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LEGISLATIVE BRANCH APPROPRIATIONS  
FOR 2017



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

SUBCOMMITTEE ON LEGISLATIVE BRANCH

**TOM GRAVES, Georgia, Chairman**

MARK E. AMODEI, Nevada

E. SCOTT RIGELL, Virginia

EVAN H. JENKINS, West Virginia

STEVEN M. PALAZZO, Mississippi

DEBBIE WASSERMAN SCHULTZ, Florida

SAM FARR, California

BETTY McCOLLUM, Minnesota

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

ELIZABETH C. DAWSON, Clerk

JENNIFER PANONE, Professional Staff

PART 1

JUSTIFICATION OF THE BUDGET ESTIMATES



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# LEGISLATIVE BRANCH APPROPRIATIONS FOR 2017

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## HEARINGS BEFORE THE COMMITTEE ON APPROPRIATIONS HOUSE OF REPRESENTATIVES ONE HUNDRED FOURTEENTH CONGRESS SECOND SESSION

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### SUBCOMMITTEE ON LEGISLATIVE BRANCH

#### **TOM GRAVES, Georgia, *Chairman***

MARK E. AMODEI, Nevada

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

ELIZABETH C. DAWSON, *Clerk*

JENNIFER PANONE, *Professional Staff*

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### PART 1

### JUSTIFICATION OF THE BUDGET ESTIMATES



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COMPARATIVE STATEMENT OF NEW BUDGET (OBLIGATIONAL) AUTHORITY FOR 2016 AND  
 THE BUDGET REQUEST FOR 2017  
 (Amounts in Thousands of Dollars)

|  | FY 2016<br>Enacted | FY 2017<br>Request | Request vs.<br>Enacted |
|--|--------------------|--------------------|------------------------|
| <b>TITLE I LEGISLATIVE BRANCH</b>  |                    |                    |                        |
| <b>HOUSE OF REPRESENTATIVES</b>  |                    |                    |                        |
| Payment to Widows and Heirs of Deceased Members<br>of Congress (Public Law 114-53, Sec. 143) 1/.....                               | 174                | ---                | -174 M                 |
| <b>Salaries and Expenses</b>   |                    |                    |                        |
| <b>House Leadership Offices</b>  |                    |                    |                        |
| Office of the Speaker.....   | 6,645              | 6,645              | ---                    |
| Office of the Majority Floor Leader.....   | 2,180              | 2,180              | ---                    |
| Office of the Minority Floor Leader.....   | 7,114              | 7,114              | ---                    |
| Office of the Majority Whip.....   | 1,887              | 1,887              | ---                    |
| Office of the Minority Whip.....   | 1,460              | 1,460              | ---                    |
| Republican Conference.....   | 1,505              | 1,505              | ---                    |
| Democratic Caucus.....   | 1,487              | 1,487              | ---                    |
| <b>Subtotal, House Leadership Offices.....</b>   | <b>22,278</b>      | <b>22,278</b>      | <b>---</b>             |
| <b>Members' Representational Allowances<br/>Including Members' Clerk Hire, Official<br/>Expenses of Members, and Official Mail</b> |                    |                    |                        |
| Expenses.....  | 554,318            | 554,318            | ---                    |
| <b>Committee Employees</b>   |                    |                    |                        |
| Standing Committees, Special and Select.....   | 123,903            | 127,053            | +3,150                 |
| Committee on Appropriations (including studies and<br>investigations).....   | 23,271             | 23,271             | ---                    |
| <b>Subtotal, Committee employees.....</b>  | <b>147,174</b>     | <b>150,324</b>     | <b>+3,150</b>          |

COMPARATIVE STATEMENT OF NEW BUDGET (OBLIGATIONAL) AUTHORITY FOR 2016 AND  
 THE BUDGET REQUEST FOR 2017  
 (Amounts in Thousands of Dollars)

|   | FY 2016<br>Enacted | FY 2017<br>Request | Request vs.<br>Enacted |
|---|--------------------|--------------------|------------------------|
| <b>Salaries, Officers and Employees</b>   |                    |                    |                        |
| Office of the Clerk.....  | 24,981             | 26,411             | +1,430                 |
| Office of the Sergeant at Arms.....   | 14,827             | 15,571             | +744                   |
| Office of the Chief Administrative Officer.....   | 117,165            | 117,165            | ---                    |
| Office of the Inspector General.....  | 4,742              | 4,987              | +245                   |
| Office of General Counsel.....  | 1,413              | 1,451              | +38                    |
| Office of the Parliamentarian.....  | 1,975              | 2,010              | +35                    |
| Office of the Law Revision Counsel of the House.....  | 3,120              | 3,182              | +62                    |
| Office of the Legislative Counsel of the House.....   | 8,353              | 8,979              | +626                   |
| Office of Interparliamentary Affairs.....   | 814                | 814                | ---                    |
| Other authorized employees.....   | 1,142              | 1,186              | +44                    |
| <b>Subtotal, Salaries, officers and employees.....</b>  | <b>178,532</b>     | <b>181,756</b>     | <b>+3,224</b>          |
| <b>Allowances and Expenses</b>  |                    |                    |                        |
| Supplies, materials, administrative costs and Federal<br>tort claims.....                         | 3,625              | 3,625              | ---                    |
| Official mail for committees, leadership offices,<br>and administrative offices of the House..... | 190                | 190                | ---                    |
| Government contributions.....   | 251,629            | 251,630            | +1                     |
| Business Continuity and Disaster Recovery.....  | 16,217             | 16,217             | ---                    |
| Transition activities.....  | 2,084              | 2,084              | ---                    |
| Wounded Warrior program.....  | 2,500              | 2,500              | ---                    |
| Office of Congressional Ethics.....   | 1,467              | 1,667              | +200                   |
| Miscellaneous items.....  | 720                | 720                | ---                    |
| <b>Subtotal, Allowances and expenses.....</b>   | <b>278,432</b>     | <b>278,633</b>     | <b>+201</b>            |
| <b>Total, House of Representatives (discretionary).....</b>                                       | <b>1,180,734</b>   | <b>1,187,309</b>   | <b>+6,575</b>          |
| <b>Total, House of Representatives (mandatory).....</b>   | <b>174</b>         | <b>---</b>         | <b>-174</b>            |

COMPARATIVE STATEMENT OF NEW BUDGET (OBLIGATIONAL) AUTHORITY FOR 2016 AND  
 THE BUDGET REQUEST FOR 2017  
 (Amounts in Thousands of Dollars)

|   | FY 2016<br>Enacted | FY 2017<br>Request | Request vs.<br>Enacted |
|---|--------------------|--------------------|------------------------|
| -----   |                    |                    |                        |
| JOINT ITEMS   |                    |                    |                        |
| Joint Economic Committee.....   | 4,203              | 4,203              | ---                    |
| Joint Congressional Committee on Inaugural Ceremonies<br>of 2017..... | 1,250              | ---                | -1,250                 |
| Joint Committee on Taxation.....                                      | 10,095             | 11,540             | +1,445                 |
| Office of the Attending Physician                                     |                    |                    |                        |
| Medical supplies, equipment, expenses, and allowances.                | 3,784              | 3,838              | +54                    |
| Office of Congressional Accessibility Services.....                   | 1,400              | 1,429              | +29                    |
|   | =====              | =====              | =====                  |
| Total, Joint items.....   | 20,732             | 21,010             | +278                   |
| CAPITOL POLICE  |                    |                    |                        |
| Salaries.....   | 309,000            | 333,128            | +24,128                |
| General expenses.....   | 66,000             | 76,460             | +10,460                |
|   | =====              | =====              | =====                  |
| Total, Capitol Police.....  | 375,000            | 409,588            | +34,588                |
| OFFICE OF COMPLIANCE  |                    |                    |                        |
| Salaries and expenses.....  | 3,959              | 4,315              | +356                   |

CONGRESSIONAL BUDGET OFFICE

COMPARATIVE STATEMENT OF NEW BUDGET (OBLIGATIONAL) AUTHORITY FOR 2016 AND  
 THE BUDGET REQUEST FOR 2017  
 (Amounts in Thousands of Dollars)

|  | FY 2016<br>Enacted | FY 2017<br>Request | Request vs.<br>Enacted |
|--|--------------------|--------------------|------------------------|
| ARCHITECT OF THE CAPITOL                                 |                    |                    |                        |
| Capital Construction and Operations ..                   | 91,589             | 103,650            | +12,061                |
| Capitol building. . . . .                                | 46,737             | 44,010             | -2,727                 |
| Capitol grounds. . . . .                                 | 11,880             | 13,083             | +1,203                 |
| House of Representatives buildings:                      |                    |                    |                        |
| House office buildings. . . . .                          | 174,962            | 189,528            | +14,566                |
| House Historic Buildings Revitalization Trust Fund       | 10,000             | 10,000             | ---                    |
| Capitol Power Plant. . . . .                             | 103,722            | 114,765            | +11,043                |
| Offsetting collections. . . . .                          | -9,000             | -9,000             | ---                    |
| Subtotal, Capitol Power Plant. . . . .                   | 94,722             | 105,765            | +11,043                |
| Library buildings and grounds. . . . .                   | 40,689             | 65,959             | +25,270                |
| Capitol police buildings, grounds, and security. . . . . | 25,434             | 37,513             | +12,079                |
| Botanic Garden. . . . .                                  | 12,113             | 15,081             | +2,968                 |
| Capitol Visitor Center . . . . .                         | 20,557             | 21,306             | +749                   |
| Total Architect of the Capitol. . . . .                  | 528,683            | 605,895            | +77,212                |

COMPARATIVE STATEMENT OF NEW BUDGET (OBLIGATIONAL) AUTHORITY FOR 2016 AND  
 THE BUDGET REQUEST FOR 2017  
 (Amounts in Thousands of Dollars)

|   | FY 2016<br>Enacted | FY 2017<br>Request | Request vs.<br>Enacted |
|---|--------------------|--------------------|------------------------|
| <b>LIBRARY OF CONGRESS</b>  |                    |                    |                        |
| Salaries and expenses.....  | 425,971            | 479,235            | +53,264                |
| Authority to spend receipts.....  | -6,350             | -6,350             | ---                    |
| Subtotal, Salaries and expenses.....  | 419,621            | 472,885            | +53,264                |
| Copyright Office, Salaries and expenses.....  | 58,875             | 74,026             | +15,151                |
| Authority to spend receipts.....  | -35,777            | -39,548            | -3,771                 |
| Prior year unobligated balances.....  | ---                | -6,147             | -6,147                 |
| Subtotal, Copyright Office.....   | 23,098             | 28,331             | +5,233                 |
| Congressional Research Service, Salaries and expenses,<br>Books for the blind and physically handicapped,<br>Salaries and expenses..... | 106,945            | 114,408            | +7,463                 |
| Total, Library of Congress.....   | 599,912            | 667,215            | +67,303                |
| <b>GOVERNMENT PUBLISHING OFFICE</b>   |                    |                    |                        |
| Congressional publishing .....  | 79,736             | 79,736             | ---                    |
| Public Information Programs of the Superintendent of<br>Documents,<br>Salaries and expenses .....                                       | 30,500             | 29,500             | -1,000                 |
| Government Publishing Office Business Operations<br>Revolving Fund .....  | 6,832              | 7,832              | +1,000                 |
| Total, Government Publishing Office .....   | 117,068            | 117,068            | ---                    |

COMPARATIVE STATEMENT OF NEW BUDGET (OBLIGATIONAL) AUTHORITY FOR 2016 AND  
 THE BUDGET REQUEST FOR 2017  
 (Amounts in Thousands of Dollars)

|   | FY 2016<br>Enacted | FY 2017<br>Request | Request vs.<br>Enacted |
|---|--------------------|--------------------|------------------------|
| -----   |                    |                    |                        |
| GOVERNMENT ACCOUNTABILITY OFFICE                                      |                    |                    |                        |
| Salaries and expenses.....  | 556,450            | 591,175            | +34,725                |
| Offsetting collections.....   | -25,450            | -23,350            | +2,100                 |
|   | =====              | =====              | =====                  |
| Total, Government Accountability Office.....                          | 531,000            | 567,825            | +36,825                |
|   |                    |                    |                        |
| OPEN WORLD LEADERSHIP CENTER TRUST FUND                               |                    |                    |                        |
| Payment to the Open World Leadership Center (OWLC)<br>Trust Fund..... | 5,600              | 5,800              | +200                   |
|   |                    |                    |                        |
| JOHN C. STENNIS CENTER FOR PUBLIC SERVICE<br>TRAINING AND DEVELOPMENT |                    |                    |                        |
| Stennis Center for Public Service.....                                | 430                | 430                | ---                    |
|   |                    |                    |                        |
| GENERAL PROVISIONS  |                    |                    |                        |
| Scorekeeping adjustment (CBO estimate) 2/.....                        | -1,000             | ---                | +1,000                 |
|   | =====              | =====              | =====                  |
| Grand total.....  | 3,408,792          | 3,634,092          | +225,300               |
| Discretionary.....  | (3,408,618)        | (3,634,092)        | (+225,474)             |
| Mandatory 1/.....   | (174)              | ---                | (-174)                 |
|   | =====              | =====              | =====                  |

1/ FY2016 funds provided in Continuing Appropriations Act, 2016 (Public Law 114-53)  
 2/ FY2016 is Sec. 9 of Consolidated Appropriations Act, 2016 (Public Law 114-113)

COMPARATIVE STATEMENT OF NEW BUDGET (OBLIGATIONAL) AUTHORITY FOR 2016 AND  
 THE BUDGET REQUEST FOR 2017  
 (Amounts in Thousands of Dollars)

|   | FY 2016<br>Enacted | FY 2017<br>Request | Request vs.<br>Enacted |
|---|--------------------|--------------------|------------------------|
| RECAPITULATION                                |                    |                    |                        |
| House of Representatives (discretionary)..... | 1,180,734          | 1,187,309          | +6,575                 |
| House of Representatives (mandatory) 1/.....  | 174                | ---                | -174                   |
| Joint Items.....                              | 20,732             | 21,010             | +278                   |
| Capitol Police.....                           | 375,000            | 409,588            | +34,588                |
| Office of Compliance.....                     | 3,959              | 4,315              | +356                   |
| Congressional Budget Office.....              | 46,500             | 47,637             | +1,137                 |
| Architect of the Capitol.....                 | 528,683            | 605,895            | +77,212                |
| Library of Congress.....                      | 599,912            | 667,215            | +67,303                |
| Government Publishing Office .....            | 117,068            | 117,068            | ---                    |
| Government Accountability Office.....         | 531,000            | 567,825            | +36,825                |
| Open World Leadership Center.....             | 5,600              | 5,800              | +200                   |
| Stennis Center for Public Service.....        | 430                | 430                | ---                    |
| General Provisions 2/.....                    | -1,000             | ---                | +1,000                 |
| Grand total.....                              | 3,408,792          | 3,634,092          | +225,300               |
| Discretionary.....                            | (3,408,618)        | (3,634,092)        | (+225,474)             |
| Mandatory 1/.....                             | (174)              | ---                | (-174)                 |

1/ FY2016 funds provided in Continuing Appropriations Act, 2016 (Public Law 114-53)  
 2/ FY2016 is Sec. 9 of Consolidated Appropriations Act, 2016 (Public Law 114-113)



**FY 2017**



**Budget  
Justification**

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| Office of Inspector General .....                                 | 82  |
| Office of General Counsel.....                                    | 87  |
| Office of the Parliamentarian .....                               | 91  |
| Office of the Law Revision Counsel .....                          | 95  |
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## FISCAL YEAR 2017 BUDGET JUSTIFICATION SUMMARY

For salaries and expenses of the House of Representatives, \$1.187 billion (excluding Mandatory and Joint Items) which is \$6.574 million or 0.56% above the *Consolidated Appropriations Act, 2016* per Public Law 114-113.

### Mandatory (Personnel & Benefits) Changes: Increase of \$6.041 million

The FY17 Personnel increase for U.S. House of Representatives Salaries and Expenses (excluding Joint Items) are attributed to variances in following categories:

Personnel Compensation Base - (\$2.564) million

Base Adjustment - \$0.935 million

Personnel Benefits - \$0.001 million

Cost of Living Adjustments (COLAs) - \$5.472 million

- o COLAs were applied to positions that are included within the House Employees Schedule or at the discretion of the approving House Officers and other House Officials for the respective accounts. COLAs were not applied to positions cited within the Speaker's Pay Order.

Longevity Increases - \$0.922 million

- o Longevity Increases were applied to positions that are included within the House Employees Schedule or at the discretion of the approving House Officers and other House Officials for the respective accounts. Longevities were not applied to positions cited within the Speaker's Pay Order.

Meritorious Increases - \$0.015 million

Overtime Pay - \$1.261 million

### House Positions Summary

| U.S. House of Representatives Accounts<br>(excluding Mandatory and Joint Items) | FY16<br>Authorized<br>Positions | FY17<br>Requested<br>Positions | Variance |
|---|---------------------------------|--------------------------------|----------|
| Total - House Leadership Offices  | 245                             | 245                            | 0        |
| Total - Members' Representational Allowances                                    | 9,702                           | 9,702                          | 0        |
| Total - Standing Committees, Special and Select                                 | 1,421                           | 1,421                          | 0        |
| Total - Committee on Appropriations   | 220                             | 220                            | 0        |
| Total - Salaries, Officers and Employees  | 1,213                           | 1,215                          | 2        |
| Total - Allowances and Expenses   | 60                              | 60                             | 0        |
| <b>Total - Positions</b>  | <b>12,861</b>                   | <b>12,863</b>                  | <b>2</b> |



## FISCAL YEAR 2017 BUDGET JUSTIFICATION SUMMARY

### Price Level Increases: Increase of \$0.118 million

This non-personnel 2.2 percent increase was applied to various House Accounts throughout this request. This increase is the projected inflation factor per the Congressional Budget Office (CBO) for FY17.

### Price Program Changes: Increase of \$0.415 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 Mandatory and Joint Items) | FY16<br>Enacted<br>(\$000) | FY17<br>Estimate<br>(\$000) | Variance<br>(\$000) |
|---|----------------------------|-----------------------------|---------------------|
| Total - House Leadership Offices  | \$1,439                    | \$1,439                     | \$0                 |
| Total - Members' Representational Allowances                                  | \$137,005                  | \$137,005                   | \$0                 |
| Total - Standing Committees, Special and Select                               | \$9,754                    | \$11,853                    | \$2,099             |
| Total - Committee on Appropriations   | \$2,176                    | \$1,486                     | (\$690)             |
| Total - Salaries, Officers and Employees                                      | \$64,149                   | \$63,142                    | (\$1,007)           |
| Total - Allowances and Expenses   | \$23,556                   | \$23,569                    | \$13                |
| Total - Program Changes   | \$238,070                  | \$238,494                   | \$415               |

## House Three Year Comparative Summary Table

| House Accounts  | FY15                   | FY16                   | FY17                   | FY16<br>Enacted vs.<br>FY17<br>Request | FY16<br>Enacted vs.<br>FY17<br>Request |
|---|------------------------|------------------------|------------------------|--|--|
|   | Actuals                | Enacted                | Estimate               | Net Change                             | % Change                               |
| Office of the Speaker   | \$4,599,824            | \$6,645,417            | \$6,645,417            | \$0                                    | 0.00%                                  |
| Office of the Majority Floor Leader                                 | \$1,565,420            | \$2,180,048            | \$2,180,048            | \$0                                    | 0.00%                                  |
| Office of the Minority Floor Leader                                 | \$4,239,421            | \$7,114,471            | \$7,114,471            | \$0                                    | 0.00%                                  |
| Office of the Majority Whip   | \$1,251,817            | \$1,886,632            | \$1,886,632            | \$0                                    | 0.00%                                  |
| Office of the Minority Whip   | \$1,634,720            | \$1,459,639            | \$1,459,639            | \$0                                    | 0.00%                                  |
| Republican Conference   | \$1,081,598            | \$1,505,426            | \$1,505,426            | \$0                                    | 0.00%                                  |
| Democratic Caucus   | \$1,016,695            | \$1,487,258            | \$1,487,258            | \$0                                    | 0.00%                                  |
| <b>Total - House Leadership Offices</b>                             | <b>\$15,389,495</b>    | <b>\$22,278,891</b>    | <b>\$22,278,891</b>    | <b>\$0</b>                             | <b>0.00%</b>                           |
| <b>Total - Members' Representational Allowances</b>                 | <b>\$514,307,960</b>   | <b>\$554,317,732</b>   | <b>\$554,317,732</b>   | <b>\$0</b>                             | <b>0.00%</b>                           |
| Standing Committees, Special and Select                             | \$112,879,548          | \$123,903,173          | \$123,903,173          | \$0                                    | 0.00%                                  |
| Hearing Room Renovations  | \$2,850,969            | \$0                    | \$3,150,200            | \$3,150,200                            | 100.00%                                |
| <b>Total - Standing Committees, Special and Select</b>              | <b>\$115,730,517</b>   | <b>\$123,903,173</b>   | <b>\$127,053,373</b>   | <b>\$3,150,200</b>                     | <b>2.74%</b>                           |
| <b>Total - Committee on Appropriations</b>                          | <b>\$17,205,494</b>    | <b>\$23,271,004</b>    | <b>\$23,271,004</b>    | <b>\$0</b>                             | <b>0.00%</b>                           |
| Office of the Clerk   | \$21,502,897           | \$24,980,898           | \$26,411,000           | \$1,430,102                            | 5.72%                                  |
| Office of the Sergeant at Arms                                      | \$11,107,842           | \$14,827,120           | \$15,571,000           | \$743,880                              | 5.02%                                  |
| Office of the Chief Administrative Officer                          | \$98,791,446           | \$117,165,000          | \$117,165,000          | \$0                                    | 0.00%                                  |
| Office of Inspector General   | \$3,463,049            | \$4,741,809            | \$4,987,000            | \$245,191                              | 5.17%                                  |
| Office of General Counsel   | \$1,445,293            | \$1,413,450            | \$1,451,000            | \$37,550                               | 2.66%                                  |
| Office of the Parliamentarian                                       | \$1,611,680            | \$1,974,606            | \$2,010,000            | \$35,394                               | 1.79%                                  |
| Office of the Law Revision Counsel                                  | \$2,285,519            | \$3,119,766            | \$3,182,000            | \$62,234                               | 1.99%                                  |
| Office of the Legislative Counsel                                   | \$8,079,792            | \$8,352,975            | \$8,979,000            | \$626,025                              | 7.49%                                  |
| Office of Interparliamentary Affairs                                | \$405,278              | \$814,069              | \$814,000              | (\$69)                                 | (0.01%)                                |
| Other Authorized Employees  | \$434,107              | \$1,142,075            | \$1,186,000            | \$43,925                               | 3.85%                                  |
| <b>Total - Salaries, Officers and Employees</b>                     | <b>\$149,126,905</b>   | <b>\$178,531,768</b>   | <b>\$181,756,000</b>   | <b>\$3,224,232</b>                     | <b>1.81%</b>                           |
| Supplies, Materials, Administrative Costs and Federal Tort Claims   | \$2,404,345            | \$3,625,236            | \$3,625,000            | (\$236)                                | (0.01%)                                |
| Official Mail for Committees, Leadership and Administrative Offices | \$78,318               | \$190,486              | \$190,000              | (\$486)                                | (0.26%)                                |
| Government Contributions  | \$200,405,060          | \$251,629,425          | \$251,630,000          | \$575                                  | 0.00%                                  |
| Business Continuity and Disaster Recovery                           | \$12,229,587           | \$16,217,008           | \$16,217,000           | (\$8)                                  | 0.00%                                  |
| Transition Activities   | \$2,454,688            | \$2,084,000            | \$2,084,000            | \$0                                    | 0.00%                                  |
| Wounded Warrior Program   | \$1,787,010            | \$2,500,000            | \$2,500,000            | \$0                                    | 0.00%                                  |
| Office of Congressional Ethics                                      | \$1,351,180            | \$1,467,030            | \$1,667,000            | \$199,970                              | 13.63%                                 |
| Miscellaneous Items   | \$599,071              | \$720,247              | \$720,000              | (\$247)                                | (0.03%)                                |
| <b>Total - Allowances and Expenses</b>                              | <b>\$221,309,258</b>   | <b>\$278,433,432</b>   | <b>\$278,633,000</b>   | <b>\$199,568</b>                       | <b>0.07%</b>                           |
| <b>Total - U.S. House of Representatives</b>                        | <b>\$1,033,069,627</b> | <b>\$1,180,736,000</b> | <b>\$1,187,310,000</b> | <b>\$6,574,000</b>                     | <b>0.56%</b>                           |
| <b>JOINT ITEMS</b>  |                        |                        |                        |  |  |
| Joint Committee on Taxation   | \$9,934,742            | \$10,095,000           | \$11,540,000           | \$1,445,000                            | 14.31%                                 |
| Office of Attending Physician                                       | \$3,100,923            | \$3,784,000            | \$3,838,000            | \$54,000                               | 1.43%                                  |
| <b>Total - Joint Items</b>  | <b>\$13,035,665</b>    | <b>\$13,879,000</b>    | <b>\$15,378,000</b>    | <b>\$1,499,000</b>                     | <b>10.80%</b>                          |
| <b>Total - U.S. House of Reps and Joint Items</b>                   | <b>\$1,046,105,293</b> | <b>\$1,194,615,000</b> | <b>\$1,202,688,000</b> | <b>\$8,073,000</b>                     | <b>0.68%</b>                           |

Schedule A - House Summary  
Pg 1 of 2

House of Representatives  
House Summary

|   | FY15<br>Actuals<br>Dollars (\$000) | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Dollars (\$000) |
|---|------------------------------------|------------------------------------|-------------------------------------|--|
| Payment to Widows and Heirs of Deceased Members of Congress |                                    | 174                                |                                     | (174)  |
| Total - House Leadership Offices                            | 15,389                             | 22,279                             | 22,279                              | -  |
| Total - Members' Representational Allowances                | 514,308                            | 554,318                            | 554,318                             | -  |
| Total - Standing Committees, Special and Select             | 115,731                            | 123,903                            | 127,053                             | 3,150  |
| Total - Committee on Appropriations                         | 17,205                             | 23,271                             | 23,271                              | -  |
| Total - Salaries, Officers and Employees                    | 149,127                            | 178,532                            | 181,756                             | 3,224  |
| Total - Allowances and Expenses                             | 221,309                            | 278,433                            | 278,633                             | 200  |
| <b>Total House of Representatives</b>                       | <b>1,033,070</b>                   | <b>1,180,910</b>                   | <b>1,187,310</b>                    | <b>6,400</b>                                   |

House Summary by Object Class

|                                       | FY15<br>Actuals<br>Dollars (\$000) | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Dollars (\$000) |
|---------------------------------------|------------------------------------|------------------------------------|-------------------------------------|--|
| 1100 Personnel Compensation           | 636,250                            | 691,028                            | 697,218                             | 6,190  |
| 1200 Personnel Benefits               | 200,349                            | 251,684                            | 251,685                             | 1  |
| 1300 Benefits to Former Personnel     | 335                                | 574                                | 400                                 | (174)  |
| 2100 Travel                           | 22,206                             | 24,909                             | 25,218                              | 310  |
| 2200 Transportation of Things         | 60                                 | 70                                 | 89                                  | 19   |
| 2300 Rent, Communications, Utilities  | 58,737                             | 69,565                             | 69,987                              | 422  |
| 2400 Printing and Reproduction        | 7,605                              | 15,337                             | 15,350                              | 13   |
| 2500 Other Services                   | 45,275                             | 57,459                             | 56,265                              | (1,193)  |
| 2600 Supplies and Materials           | 20,825                             | 22,023                             | 21,339                              | (684)  |
| 3100 Equipment                        | 41,423                             | 48,252                             | 49,750                              | 1,497  |
| 4200 Insurance Claims/Indemnities     | 6                                  | 8                                  | 8                                   | -  |
| <b>Total House of Representatives</b> | <b>1,033,070</b>                   | <b>1,180,910</b>                   | <b>1,187,310</b>                    | <b>6,400</b>                                   |

Schedule A - House Summary  
Pg 2 of 2

House of Representatives  
House Summary (Positions)

|   | FY15<br>Actuals | FY16<br>Enacted | FY17<br>Estimate | FY17 vs. FY16<br>Net Change |
|---|-----------------|-----------------|------------------|-----------------------------|
| Payment to Widows and Heirs of Deceased Members of Congress |                 |                 |                  | -                           |
| Total - House Leadership Offices                            | 214             | 245             | 245              | -                           |
| Total - Members' Representational Allowances                | 7,316           | 9,702           | 9,702            | -                           |
| Total - Standing Committees, Special and Select             | 1,135           | 1,421           | 1,421            | -                           |
| Total - Committee on Appropriations                         | 155             | 220             | 220              | -                           |
| Total - Salaries, Officers and Employees                    | 1,030           | 1,213           | 1,215            | 2                           |
| Total - Allowances and Expenses                             | 42              | 60              | 60               | -                           |
| Total House of Representatives                              | 9,892           | 12,861          | 12,863           | 2                           |

## Schedule A - Joint Items Summary

Pg 1 of 2

House of Representatives  
Joint Items Summary

|                               | FY15            | FY16            | FY17            | FY17 vs. FY16   |
|-------------------------------|-----------------|-----------------|-----------------|-----------------|
|                               | Actuals         | Enacted         | Estimate        | Net Change      |
|                               | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) |
| Joint Committee on Taxation   | 9,935           | 10,095          | 11,540          | 1,445           |
| Office of Attending Physician | 3,101           | 3,784           | 3,838           | 54              |
| <b>Total - Joint Items</b>    | <b>13,036</b>   | <b>13,879</b>   | <b>15,378</b>   | <b>1,499</b>    |

## Joint Items Summary by Object Class

|                                      | FY15            | FY16            | FY17            | FY17 vs. FY16   |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|
|                                      | Actuals         | Enacted         | Estimate        | Net Change      |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) |
| 1100 Personnel Compensation          | 8,363           | 8,815           | 9,519           | 704             |
| 1200 Personnel Benefits              | 162             | 162             | 162             | -               |
| 1300 Benefits to Former Personnel    |                 |                 |                 | -               |
| 2100 Travel                          | 24              | 81              | 67              | (14)            |
| 2200 Transportation of Things        |                 | 8               | 8               | -               |
| 2300 Rent, Communications, Utilities | 154             | 332             | 340             | 8               |
| 2400 Printing and Reproduction       | 8               | 6               | 9               | 3               |
| 2500 Other Services                  | 3,029           | 3,026           | 3,305           | 279             |
| 2600 Supplies and Materials          | 745             | 884             | 1,075           | 191             |
| 3100 Equipment                       | 551             | 565             | 893             | 328             |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               |
| <b>Total - Joint Items</b>           | <b>13,036</b>   | <b>13,879</b>   | <b>15,378</b>   | <b>1,499</b>    |

Schedule A - Joint Items Summary  
Pg 2 of 2

House of Representatives  
Joint Items Summary (Positions)

|                               | FY15<br>Actuals | FY16<br>Enacted | FY17<br>Estimate | FY17 vs. FY16<br>Net Change |
|-------------------------------|-----------------|-----------------|------------------|-----------------------------|
| Joint Committee on Taxation   | 67              | 77              | 77               | -                           |
| Office of Attending Physician | [18]            | [18]            | [18]             | -                           |
| Total - Joint Items           | 67              | 77              | 77               | -                           |

## Schedule A House and Joint Items Summary

Pg 1 of 3

House of Representatives  
House and Joint Items Summary

|   | FY15<br>Actuals<br>Dollars (\$000) | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Dollars (\$000) |
|---|------------------------------------|------------------------------------|-------------------------------------|--|
| Payment to Widows and Heirs of Deceased Members of Congress |                                    | 174                                |                                     | (174)  |
| Total - House Leadership Offices                            | 15,389                             | 22,279                             | 22,279                              | -  |
| Total - Members' Representational Allowances                | 514,308                            | 554,318                            | 554,318                             | -  |
| Total - Standing Committees, Special and Select             | 115,731                            | 123,903                            | 127,053                             | 3,150  |
| Total - Committee on Appropriations                         | 17,205                             | 23,271                             | 23,271                              | -  |
| Total - Salaries, Officers and Employees                    | 149,127                            | 178,532                            | 181,756                             | 3,224  |
| Total - Allowances and Expenses                             | 221,309                            | 278,433                            | 278,633                             | 200  |
| <b>Total House of Representatives</b>                       | <b>1,033,070</b>                   | <b>1,180,910</b>                   | <b>1,187,310</b>                    | <b>6,400</b>                                   |
| <b>Joint Items-House</b>                                    |                                    |                                    |                                     |  |
| Joint Committee on Taxation                                 | 9,935                              | 10,095                             | 11,540                              | 1,445  |
| Office of Attending Physician                               | 3,101                              | 3,784                              | 3,838                               | 54   |
| <b>Total - Joint Items</b>                                  | <b>13,036</b>                      | <b>13,879</b>                      | <b>15,378</b>                       | <b>1,499</b>                                   |
| <b>Total House and Joint</b>                                | <b>1,046,105</b>                   | <b>1,194,789</b>                   | <b>1,202,688</b>                    | <b>7,899</b>                                   |

Schedule A - House and Joint Items Summary  
Pg. 2 of 3

House of Representatives  
House and Joint Items Summary

|                                      | FY15             | FY16             | FY17             | FY17 vs. FY16   |
|--------------------------------------|------------------|------------------|------------------|-----------------|
|                                      | Actuals          | Enacted          | Estimate         | Net Change      |
|                                      | Dollars (\$000)  | Dollars (\$000)  | Dollars (\$000)  | Dollars (\$000) |
| 1100 Personnel Compensation          | 644,614          | 699,843          | 706,737          | 6,894           |
| 1200 Personnel Benefits              | 200,510          | 251,846          | 251,847          | 1               |
| 1300 Benefits to Former Personnel    | 335              | 574              | 400              | (174)           |
| 2100 Travel                          | 22,229           | 24,990           | 25,285           | 296             |
| 2200 Transportation of Things        | 60               | 78               | 97               | 19              |
| 2300 Rent, Communications, Utilities | 58,891           | 69,897           | 70,327           | 430             |
| 2400 Printing and Reproduction       | 7,613            | 15,343           | 15,359           | 16              |
| 2500 Other Services                  | 48,304           | 60,485           | 59,570           | (914)           |
| 2600 Supplies and Materials          | 21,570           | 22,907           | 22,414           | (493)           |
| 3100 Equipment                       | 41,974           | 48,817           | 50,643           | 1,825           |
| 4200 Insurance Claims/Indemnities    | 6                | 8                | 8                | -               |
| <b>Total House and Joint</b>         | <b>1,046,105</b> | <b>1,194,789</b> | <b>1,202,688</b> | <b>7,899</b>    |

Schedule A - House and Joint Items Summary  
Pg 3 of 3

House of Representatives  
House and Joint Items Summary (Positions)

|   | FY15<br>Actuals | FY16<br>Enacted | FY17<br>Estimate | FY17 vs. FY16<br>Net Change |
|---|-----------------|-----------------|------------------|-----------------------------|
| Payment to Widows and Heirs of Deceased Members of Congress |                 |                 |                  | -                           |
| Total - House Leadership Offices                            | 214             | 245             | 245              | -                           |
| Total - Members' Representational Allowances                | 7,316           | 9,702           | 9,702            | -                           |
| Total - Standing Committees, Special and Select             | 1,135           | 1,421           | 1,421            | -                           |
| Total - Committee on Appropriations                         | 155             | 220             | 220              | -                           |
| Total - Salaries, Officers and Employees                    | 1,030           | 1,213           | 1,215            | 2                           |
| Total - Allowances and Expenses                             | 42              | 60              | 60               | -                           |
| <b>Total - House of Representatives</b>                     | <b>9,892</b>    | <b>12,861</b>   | <b>12,863</b>    | <b>2</b>                    |
| <b>Joint Items-House</b>                                    |                 |                 |                  |                             |
| Joint Committee on Taxation                                 | 67              | 77              | 77               | -                           |
| Office of Attending Physician                               | [18]            | [18]            | [18]             | -                           |
| <b>Total - Joint Items</b>                                  | <b>67</b>       | <b>77</b>       | <b>77</b>        | <b>-</b>                    |
| <b>Total House and Joint Items</b>                          | <b>9,959</b>    | <b>12,938</b>   | <b>12,940</b>    | <b>2</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

|                                      | FY15            | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|---------------|
|                                      | Actuals         | Enacted         | Estimate        | Net Change      | Net Change    |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %     |
| 1100 Personnel Compensation          | -               | -               | -               | -               | -             |
| 1200 Personnel Benefits              | -               | -               | -               | -               | -             |
| 1300 Benefits to Former Personnel    | -               | 174             | -               | (174)           | (100.00%)     |
| 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)           | (100.00%)     |
|                                      | FY15            | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|                                      | Actuals         | Enacted         | Estimate        | Net Change      | Net Change %  |
| <b>Positions</b>                     | -               | -               | -               | -               | -             |

*A gratuity of \$174,000 was authorized to Tori B. Nunnelee, widow of Alan Nunnelee, late Representative from the State of Mississippi, in P. L. 114-113, The Consolidated Appropriations Act, 2016.*

*FY 2015 actuals reflect data as of September 30, 2015.*

## 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

|                                 | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Percent % |
|---------------------------------|------------------------------------|-------------------------------------|--|--|
| <b>A. MANDATORY CHANGE</b>      | 174                                | -                                   | (174)  | (100.00%)                                |
| Benefits to Former Personnel    | 174                                | -                                   | (174)  | (100.00%)                                |
| <b>B. PRICE LEVEL INCREASES</b> | -                                  | -                                   | -  | -  |
| <b>C. PROGRAM CHANGES</b>       | -                                  | -                                   | -  | -  |
| <b>TOTAL</b>                    | 174                                | -                                   | (174)  | (100.00%)                                |
| <b>POSITIONS</b>                | -                                  | -                                   | -  | -  |

## Schedule A - Salaries and Expenses

House of Representatives  
Salaries and Expenses  
By Object Class

|                                      | FY15             | FY16             | FY17             | FY17 vs. FY16   | FY17 vs. FY16 |
|--------------------------------------|------------------|------------------|------------------|-----------------|---------------|
|                                      | Actuals          | Enacted          | Estimate         | Net Change      | Net Change    |
|                                      | Dollars (\$000)  | Dollars (\$000)  | Dollars (\$000)  | Dollars (\$000) | Percent %     |
| 1100 Personnel Compensation          | 636,250          | 691,028          | 697,218          | 6,190           | 0.90%         |
| 1200 Personnel Benefits              | 200,349          | 251,684          | 251,685          | 1               | -             |
| 1300 Benefits to Former Personnel    | 335              | 400              | 400              | -               | -             |
| 2100 Travel                          | 22,206           | 24,909           | 25,218           | 310             | 1.24%         |
| 2200 Transportation of Things        | 60               | 70               | 89               | 19              | 27.05%        |
| 2300 Rent, Communications, Utilities | 58,737           | 69,565           | 69,987           | 422             | 0.61%         |
| 2400 Printing and Reproduction       | 7,605            | 15,337           | 15,350           | 13              | 0.08%         |
| 2500 Other Services                  | 45,275           | 57,459           | 56,265           | (1,193)         | (2.08%)       |
| 2600 Supplies and Materials          | 20,825           | 22,023           | 21,339           | (684)           | (3.11%)       |
| 3100 Equipment                       | 41,423           | 48,252           | 49,750           | 1,497           | 3.10%         |
| 4200 Insurance Claims/Indemnities    | 6                | 8                | 8                | -               | -             |
| <b>TOTAL</b>                         | <b>1,033,070</b> | <b>1,180,736</b> | <b>1,187,310</b> | <b>6,574</b>    | <b>0.56%</b>  |

|                  | FY15         | FY16          | FY17          | FY17 vs. FY16 | FY17 vs. FY16 |
|------------------|--------------|---------------|---------------|---------------|---------------|
|                  | Actuals      | Enacted       | Estimate      | Net Change    | Net Change %  |
| <b>POSITIONS</b> | <b>9,892</b> | <b>12,861</b> | <b>12,863</b> | <b>2</b>      | <b>0.02%</b>  |

## Schedule C - Salaries and Expenses

House of Representatives  
Detailed Analysis of Change by Organization  
Salaries and Expenses

|   | FY16                       | FY17                        | FY17 vs. FY16                 | FY17 vs. FY16           |
|---|----------------------------|-----------------------------|-------------------------------|-------------------------|
|   | Enacted<br>Dollars (\$000) | Estimate<br>Dollars (\$000) | Net Change<br>Dollars (\$000) | Net Change<br>Percent % |
| <b>A. MANDATORY CHANGE</b>                      | <b>942,657</b>             | <b>948,698</b>              | <b>6,041</b>                  | <b>0.64%</b>            |
| Personnel Base                                  | 691,028                    | 688,464                     | (2,564)                       | (0.37%)                 |
| Base Adjustment                                 |                            | 935                         | 935                           |                         |
| Cost of Living Adjustment Annualized            | -                          | 860                         | 860                           | -                       |
| Cost of Living Adjustment                       | -                          | 4,612                       | 4,612                         | -                       |
| Overtime Pay                                    | -                          | 1,261                       | 1,261                         | -                       |
| Reclassifications                               |                            | -                           | -                             |                         |
| Temporary Positions                             | -                          | -                           | -                             | -                       |
| Longevity Increase                              | -                          | 922                         | 922                           | -                       |
| Meritorious Increase                            | -                          | 15                          | 15                            | -                       |
| Accrued Leave                                   | -                          | -                           | -                             | -                       |
| Personnel Benefits                              | 251,629                    | 251,630                     | 1                             |                         |
| <b>B. PRICE LEVEL INCREASES</b>                 | <b>-</b>                   | <b>118</b>                  | <b>118</b>                    | <b>0.05%</b>            |
| <b>C. PROGRAM CHANGES</b>                       | <b>238,079</b>             | <b>238,494</b>              | <b>415</b>                    | <b>0.17%</b>            |
| Total - House Leadership Offices                | 1,439                      | 1,439                       | -                             | -                       |
| Total - Members' Representational Allowances    | 137,005                    | 137,005                     | -                             | -                       |
| Total - Standing Committees, Special and Select | 9,754                      | 11,853                      | 2,099                         | 21.52%                  |
| Total - Committee on Appropriations             | 2,176                      | 1,486                       | (690)                         | (31.70%)                |
| Total - Salaries, Officers and Employees        | 64,149                     | 63,142                      | (1,007)                       | (1.57%)                 |
| Total - Allowances and Expenses                 | 23,556                     | 23,569                      | 13                            | 0.06%                   |
| <b>TOTAL</b>                                    | <b>1,180,736</b>           | <b>1,187,310</b>            | <b>6,574</b>                  | <b>0.56%</b>            |
| <b>POSITIONS</b>                                | <b>12,861</b>              | <b>12,863</b>               | <b>2</b>                      | <b>0.02%</b>            |

## Schedule A - Office of the Spcaker

House of Representatives  
Office of the Speaker  
By Object Class

|                                      | FY15<br>Actuals<br>Dollars (\$000) | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Percent % |
|--------------------------------------|------------------------------------|------------------------------------|-------------------------------------|--|--|
| 1100 Personnel Compensation          | 4,366                              | 6,275                              | 6,275                               | -  | -  |
| 1200 Personnel Benefits              | 19                                 | 25                                 | 25                                  | -  | -  |
| 1300 Benefits to Former Personnel    | -                                  | -                                  | -                                   | -  | -  |
| 2100 Travel                          | 4                                  | 18                                 | 18                                  | -  | -  |
| 2200 Transportation of Things        | -                                  | -                                  | -                                   | -  | -  |
| 2300 Rent, Communications, Utilities | 1                                  | 1                                  | 1                                   | -  | -  |
| 2400 Printing and Reproduction       | 11                                 | 21                                 | 21                                  | -  | -  |
| 2500 Other Services                  | 3                                  | 5                                  | 5                                   | -  | -  |
| 2600 Supplies and Materials          | 196                                | 300                                | 300                                 | -  | -  |
| 3100 Equipment                       | -                                  | -                                  | -                                   | -  | -  |
| 4200 Insurance Claims/Indemnities    | -                                  | -                                  | -                                   | -  | -  |
| <b>TOTAL</b>                         | <b>4,600</b>                       | <b>6,645</b>                       | <b>6,645</b>                        | <b>-</b>                                       | <b>-</b>                                 |
|                                      | FY15<br>Actuals                    | FY16<br>Enacted                    | FY17<br>Estimate                    | FY17 vs. FY16<br>Net Change                    | FY17 vs. FY16<br>Net Change %            |
| <b>Positions</b>                     | 56                                 | 66                                 | 66                                  |  |  |

*FY15 actuals reflect data as of September 30, 2015. These are expenditures only and do not reflect open obligations or post FY spending. Leadership FY15 funding period of availability was January 3, 2015 to January 2, 2016.*

Schedule C - Office of the Speaker

House of Representatives  
Detailed Analysis of Change by Organization  
Office of the Speaker

|                                      | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Percent % |
|--------------------------------------|------------------------------------|-------------------------------------|--|--|
| <b>A. MANDATORY CHANGE</b>           | 6,275                              | 6,275                               | -  | -  |
| Personnel Base                       | 6,275                              | 6,275                               | -  | -  |
| Base Adjustment                      | -                                  | -                                   | -  | -  |
| Cost of Living Adjustment Annualized | -                                  | -                                   | -  | -  |
| Cost of Living Adjustment            | -                                  | -                                   | -  | -  |
| Overtime Pay                         | -                                  | -                                   | -  | -  |
| Reclassifications                    | -                                  | -                                   | -  | -  |
| Temporary Positions                  | -                                  | -                                   | -  | -  |
| Longevity Increase                   | -                                  | -                                   | -  | -  |
| Meritorious Increase                 | -                                  | -                                   | -  | -  |
| Accrued Leave                        | -                                  | -                                   | -  | -  |
| Personnel Benefits                   | -                                  | -                                   | -  | -  |
| <b>B. PRICE LEVEL INCREASES</b>      | -                                  | -                                   | -  | -  |
| <b>C. PROGRAM CHANGES</b>            | 370                                | 370                                 | -  | -  |
| Non-Personnel Official Expenses      | 345                                | 345                                 | -  | -  |
| Leadership Official Expenses         | 25                                 | 25                                  | -  | -  |
| <b>TOTAL</b>                         | <b>6,645</b>                       | <b>6,645</b>                        | <b>-</b>                                       | <b>-</b>                                 |
| <b>POSITIONS</b>                     | <b>66</b>                          | <b>66</b>                           | <b>-</b>                                       | <b>-</b>                                 |

## Explanation of Changes Shown on Schedule C

House Leadership Offices  
Office of the Speaker

For salaries and expenses of the Office of the Speaker, \$6,645,417. The fiscal year (FY) 2017 budget request is flat with the *Consolidated Appropriations Act, 2016* per Public Law 114-113.

This amount includes \$6,275,417 for mandatory items, no price level increases, \$370,000 for program current services and no program changes.

I. Personnel Details: FY17 Request - \$6,275,417A. Base: \$6,275,417

- i. The estimated FY16 personnel compensation will be \$6,275,417.

B. Budget Calculations:

- i. FY16 Cost of Living Annualized (Non-Statutory Positions) - (0.37%)  
1.46%
- ii. FY17 Cost of Living Prorated (Non-Statutory Positions) - (1.95%)  
2.60%
- iii. FY17 Longevity - 0.00%
- iv. FY17 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY16 Cost of Living Annualized (Non-Statutory Positions) - \$0
- ii. FY17 Cost of Living Prorated (Non-Statutory Positions) - \$0
- iii. FY17 Overtime (Non-Statutory Positions) - \$0
- iv. FY17 Reclassifications (Non-Statutory Positions) - \$0
- v. FY17 Temporary Positions (Non-Statutory Positions) - \$0
- vi. FY17 Longevity (Non-Statutory Positions) - \$0
- vii. FY17 Meritorious Increase (Non-Statutory Positions) - \$0
- viii. FY17 Accrued Leave (Non-Statutory Positions) - \$0
- ix. FY17 Personnel Benefits (Non-Statutory Positions) - \$0
- x. FY17 Base Adjustment (Non-Statutory Positions) - \$0

II. Price Level Details: FY17 Request - \$0

The non-personnel estimated inflation factor is 2.2%.

III. Program Details: FY17 Request - \$370,000

A. Current Services:

i. Non-Personnel Official Expenses - \$345,000

This account provides the necessary funding for the Office of the Speaker's non-personnel expenses.

ii. Leadership Official Expenses - \$25,000

This funds the Speaker's allowance for official expenses.

B. Proposed Changes:

i. Non-Personnel Official Expenses - \$0

ii. Leadership Official Expenses - \$0

## Schedule A - Office of the Majority Floor Leader

House of Representatives  
Office of the Majority Floor Leader  
By Object Class

|                                      | FY15<br>Actuals<br>Dollars (\$000) | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Percent % |
|--------------------------------------|------------------------------------|------------------------------------|-------------------------------------|--|--|
| 1100 Personnel Compensation          | 1,527                              | 2,087                              | 2,087                               | -  | -  |
| 1200 Personnel Benefits              | -                                  | 10                                 | 10                                  | -  | -  |
| 1300 Benefits to Former Personnel    | -                                  | -                                  | -                                   | -  | -  |
| 2100 Travel                          | -                                  | 3                                  | 3                                   | -  | -  |
| 2200 Transportation of Things        | -                                  | -                                  | -                                   | -  | -  |
| 2300 Rent, Communications, Utilities | 1                                  | 5                                  | 5                                   | -  | -  |
| 2400 Printing and Reproduction       | 2                                  | 3                                  | 3                                   | -  | -  |
| 2500 Other Services                  | 2                                  | 1                                  | 1                                   | -  | -  |
| 2600 Supplies and Materials          | 33                                 | 71                                 | 71                                  | -  | -  |
| 3100 Equipment                       | -                                  | -                                  | -                                   | -  | -  |
| 4200 Insurance Claims/Indemnities    | -                                  | -                                  | -                                   | -  | -  |
| <b>TOTAL</b>                         | <b>1,565</b>                       | <b>2,180</b>                       | <b>2,180</b>                        | <b>-</b>                                       | <b>-</b>                                 |
|                                      | FY15<br>Actuals                    | FY16<br>Enacted                    | FY17<br>Estimate                    | FY17 vs. FY16<br>Net Change                    | FY17 vs. FY16<br>Net Change %            |
| <b>Positions</b>                     | <b>23</b>                          | <b>32</b>                          | <b>32</b>                           | <b>-</b>                                       | <b>-</b>                                 |

*FY15 actuals reflect data as of September 30, 2015. These are expenditures only and do not reflect open obligations or post FY spending. Leadership FY15 funding period of availability was January 3, 2015 to January 2, 2016.*

## Schedule C - Office of the Majority Floor Leader

House of Representatives  
Detailed Analysis of Change by Organization  
Office of the Majority Floor Leader

|                                      | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Percent % |
|--------------------------------------|------------------------------------|-------------------------------------|--|--|
| <b>A. MANDATORY CHANGE</b>           | <b>2,087</b>                       | <b>2,087</b>                        | -  | -  |
| Personnel Base                       | 2,087                              | 2,087                               | -  | -  |
| Base Adjustment                      | -                                  | -                                   | -  | -  |
| Cost of Living Adjustment Annualized | -                                  | -                                   | -  | -  |
| Cost of Living Adjustment            | -                                  | -                                   | -  | -  |
| Overtime Pay                         | -                                  | -                                   | -  | -  |
| Reclassifications                    | -                                  | -                                   | -  | -  |
| Temporary Positions                  | -                                  | -                                   | -  | -  |
| Longevity Increase                   | -                                  | -                                   | -  | -  |
| Meritorious Increase                 | -                                  | -                                   | -  | -  |
| Accrued Leave                        | -                                  | -                                   | -  | -  |
| Personnel Benefits                   | -                                  | -                                   | -  | -  |
| <b>B. PRICE LEVEL INCREASES</b>      |                                    |                                     |  |  |
| <b>C. PROGRAM CHANGES</b>            | <b>93</b>                          | <b>93</b>                           | -  | -  |
| Non-Personnel Official Expenses      | 83                                 | 83                                  | -  | -  |
| Leadership Official Expenses         | 10                                 | 10                                  | -  | -  |
| <b>TOTAL</b>                         | <b>2,180</b>                       | <b>2,180</b>                        |  |  |
| <b>POSITIONS</b>                     | <b>32</b>                          | <b>32</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, \$2,180,048. The fiscal year (FY) 2017 budget request is flat with the *Consolidated Appropriations Act, 2016* per Public Law 114-113.

This amount includes \$2,087,048 for mandatory items, no price level increases, \$93,000 for program current services and no program changes.

I. Personnel Details: FY17 Request - 2,087,048A. Base: \$2,087,048

- i. The estimated FY16 personnel compensation will be \$2,087,048.

B. Budget Calculations:

- i. FY16 Cost of Living Annualized (Non-Statutory Positions) - (0.37%)  
1.46%
- ii. FY17 Cost of Living Prorated (Non-Statutory Positions) - (1.95%)  
2.60%
- iii. FY17 Longevity - 0.00%
- iv. FY17 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY16 Cost of Living Annualized (Non-Statutory Positions) - \$0
- ii. FY17 Cost of Living Prorated (Non-Statutory Positions) - \$0
- iii. FY17 Overtime (Non-Statutory Positions) - \$0
- iv. FY17 Reclassifications (Non-Statutory Positions) - \$0
- v. FY17 Temporary Positions (Non-Statutory Positions) - \$0
- vi. FY17 Longevity (Non-Statutory Positions) - \$0
- vii. FY17 Meritorious Increase (Non-Statutory Positions) - \$0
- viii. FY17 Accrued Leave (Non-Statutory Positions) - \$0
- ix. FY17 Personnel Benefits (Non-Statutory Positions) - \$0
- x. FY17 Base Adjustment (Non-Statutory Positions) - \$0

II. Price Level Details: FY17 Request - \$0

The non-personnel estimated inflation factor is 2.2%.

III. Program Details: FY17 Request - \$93,000

A. Current Services:

- i. Non-Personnel Official Expenses - \$83,000  
This account provides the necessary funding for the Office of the Majority Leader's non-personnel expenses.
- ii. Leadership Official Expenses - \$10,000  
This funds the Majority Leader's allowance for official expenses.

B. Proposed Changes:

- i. Non-Personnel Official Expenses - \$0
- ii. Leadership Official Expenses - \$0

## Schedule A - Office of the Minority Floor Leader

House of Representatives  
Office of the Minority Floor Leader  
By Object Class

|                                      | FY15<br>Actuals<br>Dollars (\$000) | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Percent % |
|--------------------------------------|------------------------------------|------------------------------------|-------------------------------------|--|--|
| 1100 Personnel Compensation          | 4,022                              | 6,666                              | 6,666                               | -  | -  |
| 1200 Personnel Benefits              | -                                  | 10                                 | 10                                  | -  | -  |
| 1300 Benefits to Former Personnel    | -                                  | -                                  | -                                   | -  | -  |
| 2100 Travel                          | 61                                 | 110                                | 110                                 | -  | -  |
| 2200 Transportation of Things        | -                                  | -                                  | -                                   | -  | -  |
| 2300 Rent, Communications, Utilities | 1                                  | 3                                  | 3                                   | -  | -  |
| 2400 Printing and Reproduction       | 4                                  | 10                                 | 10                                  | -  | -  |
| 2500 Other Services                  | 63                                 | 90                                 | 90                                  | -  | -  |
| 2600 Supplies and Materials          | 89                                 | 225                                | 225                                 | -  | -  |
| 3100 Equipment                       | -                                  | -                                  | -                                   | -  | -  |
| 4200 Insurance Claims/Indemnities    | -                                  | -                                  | -                                   | -  | -  |
| <b>TOTAL</b>                         | <b>4,239</b>                       | <b>7,114</b>                       | <b>7,114</b>                        | <b>-</b>                                       | <b>-</b>                                 |
|                                      | FY15<br>Actuals                    | FY16<br>Enacted                    | FY17<br>Estimate                    | FY17 vs. FY16<br>Net Change                    | FY17 vs. FY16<br>Net Change %            |
| <b>Positions</b>                     | 51                                 | 55                                 | 55                                  | -  | -  |

*FY15 actuals reflect data as of September 30, 2015. These are expenditures only and do not reflect open obligations or post FY spending. Leadership FY15 funding period of availability was January 3, 2015 to January 2, 2016.*

## Schedule C - Office of the Minority Floor Leader

House of Representatives  
Detailed Analysis of Change by Organization  
Office of the Minority Floor Leader

|                                      | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Percent % |
|--------------------------------------|------------------------------------|-------------------------------------|--|--|
| <b>A. MANDATORY CHANGE</b>           | <b>6,666</b>                       | <b>6,666</b>                        | -  | -  |
| Personnel Base                       | 6,666                              | 6,666                               | -  | -  |
| Base Adjustment                      | -                                  | -                                   | -  | -  |
| Cost of Living Adjustment Annualized | -                                  | -                                   | -  | -  |
| Cost of Living Adjustment            | -                                  | -                                   | -  | -  |
| Overtime Pay                         | -                                  | -                                   | -  | -  |
| Reclassifications                    | -                                  | -                                   | -  | -  |
| Temporary Positions                  | -                                  | -                                   | -  | -  |
| Longevity Increase                   | -                                  | -                                   | -  | -  |
| Meritorious Increase                 | -                                  | -                                   | -  | -  |
| Accrued Leave                        | -                                  | -                                   | -  | -  |
| Personnel Benefits                   | -                                  | -                                   | -  | -  |
| <b>B. PRICE LEVEL INCREASES</b>      | -                                  | -                                   | -  | -  |
| <b>C. PROGRAM CHANGES</b>            | <b>448</b>                         | <b>448</b>                          | -  | -  |
| Non-Personnel Official Expenses      | 438                                | 438                                 | -  | -  |
| Leadership Official Expenses         | 10                                 | 10                                  | -  | -  |
| <b>TOTAL</b>                         | <b>7,114</b>                       | <b>7,114</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, \$7,114,471. The fiscal year (FY) 2017 budget request is flat with the *Consolidated Appropriations Act, 2016* per Public Law 114-113.

This amount includes \$6,666,471 for mandatory items, no price level increases, \$448,000 for program current services and no program changes.

I. Personnel Details: FY17 Request - \$6,666,471A. Base: \$6,666,471

- i. The estimated FY16 personnel compensation will be \$6,666,471.

B. Budget Calculations:

- i. FY16 Cost of Living Annualized (Non-Statutory Positions) - (0.37%)  
1.46%
- ii. FY17 Cost of Living Prorated (Non-Statutory Positions) - (1.95%) 2.60%
- iii. FY17 Longevity - 0.00%
- iv. FY17 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY16 Cost of Living Annualized (Non-Statutory Positions) - \$0
- ii. FY17 Cost of Living Prorated (Non-Statutory Positions) - \$0
- iii. FY17 Overtime (Non-Statutory Positions) - \$0
- iv. FY17 Reclassifications (Non-Statutory Positions) - \$0
- v. FY17 Temporary Positions (Non-Statutory Positions) - \$0
- vi. FY17 Longevity (Non-Statutory Positions) - \$0
- vii. FY17 Meritorious Increase (Non-Statutory Positions) - \$0
- viii. FY17 Accrued Leave (Non-Statutory Positions) - \$0
- ix. FY17 Personnel Benefits (Non-Statutory Positions) - \$0
- x. FY17 Base Adjustment (Non-Statutory Positions) - \$0

II. Price Level Details: FY17 Request - \$0

The non-personnel estimated inflation factor is 2.2%.

III. Program Details: FY17 Request - \$448,000A. Current Services:

- i. Non-Personnel Official Expenses - \$438,000  
This account provides the necessary funding for the Office of the Minority Floor Leader's non-personnel expenses.
- ii. Leadership Official Expenses - \$10,000  
This funds the Minority Leader's allowance for official expenses.

B. Proposed Changes:

- i. Non-Personnel Official Expenses - \$0
- ii. Leadership Official Expenses - \$0

## Schedule A - Office of the Majority Whip

House of Representatives  
Office of the Majority Whip  
By Object Class

|                                      | FY15<br>Actuals<br>Dollars (\$000) | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Percent % |
|--------------------------------------|------------------------------------|------------------------------------|-------------------------------------|--|--|
| 1100 Personnel Compensation          | 1,227                              | 1,775                              | 1,775                               | -  | -  |
| 1200 Personnel Benefits              | -                                  | 5                                  | 5                                   | -  | -  |
| 1300 Benefits to Former Personnel    | -                                  | -                                  | -                                   | -  | -  |
| 2100 Travel                          | 7                                  | 15                                 | 15                                  | -  | -  |
| 2200 Transportation of Things        | -                                  | -                                  | -                                   | -  | -  |
| 2300 Rent, Communications, Utilities | -                                  | 1                                  | 1                                   | -  | -  |
| 2400 Printing and Reproduction       | 2                                  | 5                                  | 5                                   | -  | -  |
| 2500 Other Services                  | -                                  | 1                                  | 1                                   | -  | -  |
| 2600 Supplies and Materials          | 15                                 | 85                                 | 85                                  | -  | -  |
| 3100 Equipment                       | -                                  | -                                  | -                                   | -  | -  |
| 4200 Insurance Claims/Indemnities    | -                                  | -                                  | -                                   | -  | -  |
| <b>TOTAL</b>                         | <b>1,252</b>                       | <b>1,887</b>                       | <b>1,887</b>                        | <b>-</b>                                       | <b>-</b>                                 |
|                                      | FY15<br>Actuals                    | FY16<br>Enacted                    | FY17<br>Estimate                    | FY17 vs. FY16<br>Net Change                    | FY17 vs. FY16<br>Net Change %            |
| <b>Positions</b>                     | <b>21</b>                          | <b>23</b>                          | <b>23</b>                           | <b>-</b>                                       | <b>-</b>                                 |

*FY15 actuals reflect data as of September 30, 2015. These are expenditures only and do not reflect open obligations or post FY spending. Leadership FY15 funding period of availability was January 3, 2015 to January 2, 2016.*

## Schedule C - Office of the Majority Whip

House of Representatives  
Detailed Analysis of Change by Organization  
Office of the Majority Whip

|                                      | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Percent % |
|--------------------------------------|------------------------------------|-------------------------------------|--|--|
| <b>A. MANDATORY CHANGE</b>           | <b>1,775</b>                       | <b>1,775</b>                        | -  | -  |
| Personnel Base                       | 1,775                              | 1,775                               | -  | -  |
| Base Adjustment                      | -                                  | -                                   | -  | -  |
| Cost of Living Adjustment Annualized | -                                  | -                                   | -  | -  |
| Cost of Living Adjustment            | -                                  | -                                   | -  | -  |
| Overtime Pay                         | -                                  | -                                   | -  | -  |
| Reclassifications                    | -                                  | -                                   | -  | -  |
| Temporary Positions                  | -                                  | -                                   | -  | -  |
| Longevity Increase                   | -                                  | -                                   | -  | -  |
| Meritorious Increase                 | -                                  | -                                   | -  | -  |
| Accrued Leave                        | -                                  | -                                   | -  | -  |
| Personnel Benefits                   | -                                  | -                                   | -  | -  |
| <b>B. PRICE LEVEL INCREASES</b>      | -                                  | -                                   | -  | -  |
| <b>C. PROGRAM CHANGES</b>            | <b>112</b>                         | <b>112</b>                          | -  | -  |
| Non-Personnel Official Expenses      | 107                                | 107                                 | -  | -  |
| Leadership Official Expenses         | 5                                  | 5                                   | -  | -  |
| <b>TOTAL</b>                         | <b>1,887</b>                       | <b>1,887</b>                        | -  | -  |
| <b>POSITIONS</b>                     | <b>23</b>                          | <b>23</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, \$1,886,632. The fiscal year (FY) 2017 budget request is flat with the *Consolidated Appropriations Act, 2016* per Public Law 114-113.

This amount includes \$1,774,632 for mandatory items, no price level increases, \$112,000 for program current services and no program changes.

I. Personnel Details: FY17 Request - \$1,774,632A. Base: \$1,774,632

- i. The estimated FY16 personnel compensation will be \$1,774,632.

B. Budget Calculations:

- i. FY16 Cost of Living Annualized (Non-Statutory Positions) - (0.37%)  
1.46%
- ii. FY17 Cost of Living Prorated (Non-Statutory Positions) - (1.95%)  
2.60%
- iii. FY17 Longevity - 0.00%
- iv. FY17 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY16 Cost of Living Annualized (Non-Statutory Positions) - \$0
- ii. FY17 Cost of Living Prorated (Non-Statutory Positions) - \$0
- iii. FY17 Overtime (Non-Statutory Positions) - \$0
- iv. FY17 Reclassifications (Non-Statutory Positions) - \$0
- v. FY17 Temporary Positions (Non-Statutory Positions) - \$0
- vi. FY17 Longevity (Non-Statutory Positions) - \$0
- vii. FY17 Meritorious Increase (Non-Statutory Positions) - \$0
- viii. FY17 Accrued Leave (Non-Statutory Positions) - \$0
- ix. FY17 Personnel Benefits (Non-Statutory Positions) - \$0
- x. FY17 Base Adjustment (Non-Statutory Positions) - \$0

II. Price Level Details: FY17 Request - \$0

The non-personnel estimated inflation factor is 2.2%.

III. Program Details: FY17 Request - \$112,000A. Current Services:

- i. Non-Personnel Official Expenses - \$107,000  
This account provides the necessary funding for the Office of the Majority Whip's non-personnel expenses.
- ii. Leadership Official Expenses - \$5,000  
This funds the Majority Whip's allowance used for official expenses.

B. Proposed Changes:

- i. Non-Personnel Official Expenses - \$0
- ii. Leadership Official Expenses - \$0

## Schedule A - Office of the Minority Whip

House of Representatives  
Office of the Minority Whip  
By Object Class

|                                      | FY15<br>Actuals<br>Dollars (\$000) | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Percent % |
|--------------------------------------|------------------------------------|------------------------------------|-------------------------------------|--|--|
| 1100 Personnel Compensation          | 1,633                              | 1,445                              | 1,445                               | -  | -  |
| 1200 Personnel Benefits              | -                                  | 5                                  | 5                                   | -  | -  |
| 1300 Benefits to Former Personnel    | -                                  | -                                  | -                                   | -  | -  |
| 2100 Travel                          | 1                                  | 3                                  | 3                                   | -  | -  |
| 2200 Transportation of Things        | -                                  | -                                  | -                                   | -  | -  |
| 2300 Rent, Communications, Utilities | -                                  | 1                                  | 1                                   | -  | -  |
| 2400 Printing and Reproduction       | -                                  | 1                                  | 1                                   | -  | -  |
| 2500 Other Services                  | -                                  | 1                                  | 1                                   | -  | -  |
| 2600 Supplies and Materials          | 1                                  | 5                                  | 5                                   | -  | -  |
| 3100 Equipment                       | -                                  | -                                  | -                                   | -  | -  |
| 4200 Insurance Claims/Indemnities    | -                                  | -                                  | -                                   | -  | -  |
| <b>TOTAL</b>                         | <b>1,635</b>                       | <b>1,460</b>                       | <b>1,460</b>                        | <b>-</b>                                       | <b>-</b>                                 |
|                                      | FY15<br>Actuals                    | FY16<br>Enacted                    | FY17<br>Estimate                    | FY17 vs. FY16<br>Net Change                    | FY17 vs. FY16<br>Net Change %            |
| <b>Positions</b>                     | <b>23</b>                          | <b>27</b>                          | <b>27</b>                           | <b>-</b>                                       | <b>-</b>                                 |

*FY15 actuals reflect data as of September 30, 2015. These are expenditures only and do not reflect open obligations or post FY spending. Leadership FY15 funding period of availability was January 3, 2015 to January 2, 2016.*

## Schedule C - Office of the Minority Whip

House of Representatives  
Detailed Analysis of Change by Organization  
Office of the Minority Whip

|                                      | FY16            | FY17            | FY17 vs FY16    | FY17 vs. FY16 |
|--------------------------------------|-----------------|-----------------|-----------------|---------------|
|                                      | Enacted         | Estimate        | Net Change      | Net Change    |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %     |
| <b>A. MANDATORY CHANGE</b>           | <b>1,445</b>    | <b>1,445</b>    | -               | -             |
| Personnel Base                       | 1,445           | 1,445           | -               | -             |
| Base Adjustment                      | -               | -               | -               | -             |
| Cost of Living Adjustment Annualized | -               | -               | -               | -             |
| Cost of Living Adjustment            | -               | -               | -               | -             |
| Overtime Pay                         | -               | -               | -               | -             |
| Reclassifications                    | -               | -               | -               | -             |
| Temporary Positions                  | -               | -               | -               | -             |
| Longevity Increase                   | -               | -               | -               | -             |
| Meritorious Increase                 | -               | -               | -               | -             |
| Accrued Leave                        | -               | -               | -               | -             |
| Personnel Benefits                   | -               | -               | -               | -             |
| <b>B. PRICE LEVEL INCREASES</b>      |                 |                 |                 |               |
| <b>C. PROGRAM CHANGES</b>            | <b>15</b>       | <b>15</b>       | -               | -             |
| Non-Personnel Official Expenses      | 10              | 10              | -               | -             |
| Leadership Official Expenses         | 5               | 5               | -               | -             |
| <b>TOTAL</b>                         | <b>1,460</b>    | <b>1,460</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, \$1,459,639. The fiscal year (FY) 2017 budget request is flat with the *Consolidated Appropriations Act, 2016* per Public Law 114-113.

This amount includes \$1,445,139 for mandatory items, no price level increases, \$14,500 for program current services and no program changes.

#### I. Personnel Details: FY17 Request - \$1,445,139

##### A. Base: \$1,445,139

- i. The estimated FY16 personnel compensation will be \$1,445,139.

##### B. Budget Calculations:

- i. FY16 Cost of Living Annualized (Non-Statutory Positions) - (0.37%)  
1.46%
- ii. FY17 Cost of Living Prorated (Non-Statutory Positions) - (1.95%)  
2.60%
- iii. FY17 Longevity - 0.00%
- iv. FY17 Meritorious Increase - 0.00%

##### C. Requested Changes:

- i. FY16 Cost of Living Annualized (Non-Statutory Positions) - \$0
- ii. FY17 Cost of Living Prorated (Non-Statutory Positions) - \$0
- iii. FY17 Overtime (Non-Statutory Positions) - \$0
- iv. FY17 Reclassifications (Non-Statutory Positions) - \$0
- v. FY17 Temporary Positions (Non-Statutory Positions) - \$0
- vi. FY17 Longevity (Non-Statutory Positions) - \$0
- vii. FY17 Meritorious Increase (Non-Statutory Positions) - \$0
- viii. FY17 Accrued Leave (Non-Statutory Positions) - \$0
- ix. FY17 Personnel Benefits (Non-Statutory Positions) - \$0
- x. FY17 Base Adjustment (Non-Statutory Positions) - \$0

II. Price Level Details: FY17 Request - \$0

The non-personnel estimated inflation factor is 2.2%.

III. Program Details: FY17 Request - \$14,500

A. Current Services:

- i. Non-Personnel Official Expenses - \$9,500  
This account provides the necessary funding for the Office of the Minority Whip's non-personnel expenses.
- ii. Leadership Official Expenses - \$5,000  
This funds the Minority Whip's allowance used for official expenses.

B. Proposed Changes:

- i. Non-Personnel Official Expenses - \$0
- ii. Leadership Official Expenses - \$0

## Schedule A - Republican Conference

House of Representatives  
 Republican Conference  
 By Object Class

|                                      | FY15<br>Actuals<br>Dollars (\$000) | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Percent % |
|--------------------------------------|------------------------------------|------------------------------------|-------------------------------------|--|--|
| 1100 Personnel Compensation          | 919                                | 1,289                              | 1,289                               | -  | -  |
| 1200 Personnel Benefits              | -                                  | -                                  | -                                   | -  | -  |
| 1300 Benefits to Former Personnel    | -                                  | -                                  | -                                   | -  | -  |
| 2100 Travel                          | 20                                 | 25                                 | 25                                  | -  | -  |
| 2200 Transportation of Things        | -                                  | -                                  | -                                   | -  | -  |
| 2300 Rent, Communications, Utilities | 3                                  | 4                                  | 4                                   | -  | -  |
| 2400 Printing and Reproduction       | 9                                  | 12                                 | 12                                  | -  | -  |
| 2500 Other Services                  | 52                                 | 60                                 | 60                                  | -  | -  |
| 2600 Supplies and Materials          | 79                                 | 115                                | 115                                 | -  | -  |
| 3100 Equipment                       | -                                  | -                                  | -                                   | -  | -  |
| 4200 Insurance Claims/Indemnities    | -                                  | -                                  | -                                   | -  | -  |
| <b>TOTAL</b>                         | <b>1,082</b>                       | <b>1,505</b>                       | <b>1,505</b>                        | <b>-</b>                                       | <b>-</b>                                 |
|                                      | FY15<br>Actuals                    | FY16<br>Enacted                    | FY17<br>Estimate                    | FY17 vs. FY16<br>Net Change                    | FY17 vs. FY16<br>Net Change %            |
| <b>Positions</b>                     | 19                                 | 20                                 | 20                                  | -  | -  |

*FY15 actuals reflect data as of September 30, 2015. These are expenditures only and do not reflect open obligations or post FY spending. Leadership FY15 funding period of availability was January 3, 2015 to January 2, 2016.*

Schedule C - Republican Conference

House of Representatives  
 Detailed Analysis of Change by Organization  
 Republican Conference

|                                      | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|--------------------------------------|-----------------|-----------------|-----------------|---------------|
|                                      | Enacted         | Estimate        | Net Change      | Net Change    |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %     |
| <b>A. MANDATORY CHANGE</b>           | <b>1,289</b>    | <b>1,289</b>    | -               | -             |
| Personnel Base                       | 1,289           | 1,289           | -               | -             |
| Base Adjustment                      | -               | -               | -               | -             |
| Cost of Living Adjustment Annualized | -               | -               | -               | -             |
| Cost of Living Adjustment            | -               | -               | -               | -             |
| Overtime Pay                         | -               | -               | -               | -             |
| Reclassifications                    | -               | -               | -               | -             |
| Temporary Positions                  | -               | -               | -               | -             |
| Longevity Increase                   | -               | -               | -               | -             |
| Meritorious Increase                 | -               | -               | -               | -             |
| Accrued Leave                        | -               | -               | -               | -             |
| Personnel Benefits                   | -               | -               | -               | -             |
| <b>B. PRICE LEVEL INCREASES</b>      | -               | -               | -               | -             |
| <b>C. PROGRAM CHANGES</b>            | <b>216</b>      | <b>216</b>      | -               | -             |
| Non-Personnel Official Expenses      | 216             | 216             | -               | -             |
| Leadership Official Expenses         | -               | -               | -               | -             |
| <b>TOTAL</b>                         | <b>1,505</b>    | <b>1,505</b>    | -               | -             |
| <b>POSITIONS</b>                     | <b>20</b>       | <b>20</b>       | -               | -             |

## Explanation of Changes Shown on Schedule C

House Leadership Offices  
Republican Conference

For salaries and expenses of the Republican Conference, \$1,505,426. The fiscal year (FY) 2017 budget request is flat with the *Consolidated Appropriations Act, 2016* per Public Law 114-113.

This amount includes \$1,289,426 for mandatory items, no price level increases, \$216,000 for program current services and no program changes.

I. Personnel Details: FY17 Request - \$1,289,426A. Base: \$1,289,426

- i. The estimated FY16 personnel compensation will be \$1,289,426.

B. Budget Calculations:

- i. FY16 Cost of Living Annualized (Non-Statutory Positions) - (0.37%)  
1.46%
- ii. FY17 Cost of Living Prorated (Non-Statutory Positions) - (1.95%)  
2.60%
- iii. FY17 Longevity - 0.00%
- iv. FY17 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY16 Cost of Living Annualized (Non-Statutory Positions) - \$0
- ii. FY17 Cost of Living Prorated (Non-Statutory Positions) - \$0
- iii. FY17 Overtime (Non-Statutory Positions) - \$0
- iv. FY17 Reclassifications (Non-Statutory Positions) - \$0
- v. FY17 Temporary Positions (Non-Statutory Positions) - \$0
- vi. FY17 Longevity (Non-Statutory Positions) - \$0
- vii. FY17 Meritorious Increase (Non-Statutory Positions) - \$0
- viii. FY17 Accrued Leave (Non-Statutory Positions) - \$0
- ix. FY17 Personnel Benefits (Non-Statutory Positions) - \$0
- x. FY17 Base Adjustment (Non-Statutory Positions) - \$0

II. Price Level Details: FY17 Request - \$0

The non-personnel estimated inflation factor is 2.2%.

III. Program Details: FY17 Request - \$216,000

A. Current Services:

i. Non-Personnel Official Expenses - \$216,000

This account provides the necessary funding for the Office of the Republican Conference non-personnel expenses.

ii. Leadership Official Expenses - \$0

B. Proposed Changes:

i. Non-Personnel Official Expenses - \$0

ii. Leadership Official Expenses - \$0

## Schedule A - Democratic Caucus

House of Representatives  
Democratic Caucus  
By Object Class

|                                      | FY15<br>Actuals<br>Dollars (\$000) | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Percent % |
|--------------------------------------|------------------------------------|------------------------------------|-------------------------------------|--|--|
| 1100 Personnel Compensation          | 957                                | 1,302                              | 1,302                               | -  | -  |
| 1200 Personnel Benefits              | -                                  | -                                  | -                                   | -  | -  |
| 1300 Benefits to Former Personnel    | -                                  | -                                  | -                                   | -  | -  |
| 2100 Travel                          | 6                                  | 8                                  | 8                                   | -  | -  |
| 2200 Transportation of Things        | -                                  | 1                                  | 1                                   | -  | -  |
| 2300 Rent, Communications, Utilities | 1                                  | 3                                  | 3                                   | -  | -  |
| 2400 Printing and Reproduction       | -                                  | -                                  | -                                   | -  | -  |
| 2500 Other Services                  | 1                                  | 1                                  | 1                                   | -  | -  |
| 2600 Supplies and Materials          | 51                                 | 173                                | 173                                 | -  | -  |
| 3100 Equipment                       | -                                  | -                                  | -                                   | -  | -  |
| 4200 Insurance Claims/Indemnities    | -                                  | -                                  | -                                   | -  | -  |
| <b>TOTAL</b>                         | <b>1,017</b>                       | <b>1,487</b>                       | <b>1,487</b>                        | <b>-</b>                                       | <b>-</b>                                 |
|                                      | FY15<br>Actuals                    | FY16<br>Enacted                    | FY17<br>Estimate                    | FY17 vs. FY16<br>Net Change                    | FY17 vs. FY16<br>Net Change %            |
| <b>Positions</b>                     | <b>21</b>                          | <b>22</b>                          | <b>22</b>                           | <b>-</b>                                       | <b>-</b>                                 |

*FY15 actuals reflect data as of September 30, 2015. These are expenditures only and do not reflect open obligations or post FY spending. Leadership FY15 funding period of availability was January 3, 2015 to January 2, 2016.*

Schedule C - Democratic Caucus

House of Representatives  
 Detailed Analysis of Change by Organization  
 Democratic Caucus

|                                      | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|--------------------------------------|-----------------|-----------------|-----------------|---------------|
|                                      | Enacted         | Estimate        | Net Change      | Net Change    |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %     |
| <b>A. MANDATORY CHANGE</b>           | <b>1,302</b>    | <b>1,302</b>    | -               | -             |
| Personnel Base                       | 1,302           | 1,302           | -               | -             |
| Base Adjustment                      | -               | -               | -               | -             |
| Cost of Living Adjustment Annualized | -               | -               | -               | -             |
| Cost of Living Adjustment            | -               | -               | -               | -             |
| Overtime Pay                         | -               | -               | -               | -             |
| Reclassifications                    | -               | -               | -               | -             |
| Temporary Positions                  | -               | -               | -               | -             |
| Longevity Increase                   | -               | -               | -               | -             |
| Meritorious Increase                 | -               | -               | -               | -             |
| Accrued Leave                        | -               | -               | -               | -             |
| Personnel Benefits                   | -               | -               | -               | -             |
| <b>B. PRICE LEVEL INCREASES</b>      | -               | -               | -               | -             |
| <b>C. PROGRAM CHANGES</b>            | <b>185</b>      | <b>185</b>      | -               | -             |
| Non-Personnel Official Expenses      | 185             | 185             | -               | -             |
| Leadership Official Expenses         | -               | -               | -               | -             |
| <b>TOTAL</b>                         | <b>1,487</b>    | <b>1,487</b>    | -               | -             |
| <b>POSITIONS</b>                     | <b>22</b>       | <b>22</b>       | -               | -             |

## Explanation of Changes Shown on Schedule C

House Leadership Offices  
Democratic Caucus

For salaries and expenses of the Democratic Caucus, \$1,487,258. The fiscal year (FY) 2017 budget request is flat with the *Consolidated Appropriations Act, 2016* per Public Law 114-113.

This amount includes \$1,302,258 for mandatory items, no price level increases, \$185,000 for program current services and no program changes.

I. Personnel Details: FY17 Request - \$1,302,258A. Base: \$1,302,258

- i. The estimated FY16 personnel compensation will be \$1,302,258.

B. Budget Calculations:

- i. FY16 Cost of Living Annualized (Non-Statutory Positions) - (0.37%)  
1.46%
- ii. FY17 Cost of Living Prorated (Non-Statutory Positions) - (1.95%)  
2.60%
- iii. FY17 Longevity - 0.00%
- iv. FY17 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY16 Cost of Living Annualized (Non-Statutory Positions) - \$0
- ii. FY17 Cost of Living Prorated (Non-Statutory Positions) - \$0
- iii. FY17 Overtime (Non-Statutory Positions) - \$0
- iv. FY17 Reclassifications (Non-Statutory Positions) - \$0
- v. FY17 Temporary Positions (Non-Statutory Positions) - \$0
- vi. FY17 Longevity (Non-Statutory Positions) - \$0
- vii. FY17 Meritorious Increase (Non-Statutory Positions) - \$0
- viii. FY17 Accrued Leave (Non-Statutory Positions) - \$0
- ix. FY17 Personnel Benefits (Non-Statutory Positions) - \$0
- x. FY17 Base Adjustment (Non-Statutory Positions) - \$0

- II. Price Level Details: FY17 Request - \$0  
The non-personnel estimated inflation factor is 2.2%.
- III. Program Details: FY17 Request - \$185,000
  - A. Current Services:
    - i. Non-Personnel Official Expenses - \$185,000  
This account provides the necessary funding for the Office of the Democratic Caucus non-personnel expenses.
    - ii. Leadership Official Expenses - \$0
  - B. Proposed Changes:
    - i. Non-Personnel Official Expenses - \$0
    - ii. Leadership Official Expenses - \$0

## Schedule A - Total - House Leadership Offices

House of Representatives  
Total - House Leadership Offices  
By Object Class

|                                      | FY15<br>Actuals<br>Dollars (\$000) | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Percent % |
|--------------------------------------|------------------------------------|------------------------------------|-------------------------------------|--|--|
| 1100 Personnel Compensation          | 14,651                             | 20,840                             | 20,840                              | -  | -  |
| 1200 Personnel Benefits              | 19                                 | 55                                 | 55                                  | -  | -  |
| 1300 Benefits to Former Personnel    | -                                  | -                                  | -                                   | -  | -  |
| 2100 Travel                          | 100                                | 182                                | 182                                 | -  | -  |
| 2200 Transportation of Things        | -                                  | 1                                  | 1                                   | -  | -  |
| 2300 Rent, Communications, Utilities | 7                                  | 18                                 | 18                                  | -  | -  |
| 2400 Printing and Reproduction       | 29                                 | 52                                 | 52                                  | -  | -  |
| 2500 Other Services                  | 121                                | 159                                | 159                                 | -  | -  |
| 2600 Supplies and Materials          | 464                                | 974                                | 974                                 | -  | -  |
| 3100 Equipment                       | -                                  | -                                  | -                                   | -  | -  |
| 4200 Insurance Claims/Indemnities    | -                                  | -                                  | -                                   | -  | -  |
| <b>TOTAL</b>                         | <b>15,389</b>                      | <b>22,279</b>                      | <b>22,279</b>                       | <b>-</b>                                       | <b>-</b>                                 |
|                                      | FY15<br>Actuals                    | FY16<br>Enacted                    | FY17<br>Estimate                    | FY17 vs. FY16<br>Net Change                    | FY17 vs. FY16<br>Net Change %            |
| <b>Positions</b>                     | 214                                | 245                                | 245                                 | -  | -  |

## Schedule C - Total - House Leadership Offices

House of Representatives  
Detailed Analysis of Change by Organization  
Total House Leadership Offices

|                                      | FY16            | FY17            | FY17 vs. FY16   | FY16 vs. FY16 |
|--------------------------------------|-----------------|-----------------|-----------------|---------------|
|                                      | Enacted         | Estimate        | Net Change      | Net Change    |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %     |
| <b>A. MANDATORY CHANGE</b>           | 20,840          | 20,840          |                 |               |
| Personnel Base                       | 20,840          | 20,840          | -               | -             |
| Base Adjustment                      | -               | -               | -               | -             |
| Cost of Living Adjustment Annualized | -               | -               | -               | -             |
| Cost of Living Adjustment            | -               | -               | -               | -             |
| Overtime Pay                         | -               | -               | -               | -             |
| Reclassifications                    | -               | -               | -               | -             |
| Temporary Positions                  | -               | -               | -               | -             |
| Longevity Increase                   | -               | -               | -               | -             |
| Meritorious Increase                 | -               | -               | -               | -             |
| Accrued Leave                        | -               | -               | -               | -             |
| Personnel Benefits                   | -               | -               | -               | -             |
| <b>B. PRICE LEVEL INCREASES</b>      |                 |                 |                 |               |
| <b>C. PROGRAM CHANGES</b>            | 1,439           | 1,439           |                 |               |
| Office of the Speaker                | 370             | 370             | -               | -             |
| Office of the Majority Floor Leader  | 93              | 93              | -               | -             |
| Office of the Minority Floor Leader  | 448             | 448             | -               | -             |
| Office of the Majority Whip          | 112             | 112             | -               | -             |
| Office of the Minority Whip          | 15              | 15              | -               | -             |
| Republican Conference                | 216             | 216             | -               | -             |
| Democratic Caucus                    | 185             | 185             | -               | -             |
| <b>TOTAL</b>                         | <b>22,279</b>   | <b>22,279</b>   | <b>-</b>        | <b>-</b>      |
| <b>POSITIONS</b>                     | <b>245</b>      | <b>245</b>      | <b>-</b>        | <b>-</b>      |

## Schedule A Members' Representational Allowances

House of Representatives  
Members' Representational Allowances  
By Object Class

|                                      | FY15            | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|---------------|
|                                      | Actuals         | Enacted         | Estimate        | Net Change      | Net Change    |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %     |
| 1100 Personnel Compensation          | 400,206         | 417,313         | 417,313         | -               | -             |
| 1200 Personnel Benefits              | -               | -               | -               | -               | -             |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -             |
| 2100 Travel                          | 20,611          | 23,000          | 23,000          | -               | -             |
| 2200 Transportation of Things        | 2               | 5               | 5               | -               | -             |
| 2300 Rent, Communications, Utilities | 47,729          | 55,000          | 55,000          | -               | -             |
| 2400 Printing and Reproduction       | 7,338           | 15,000          | 15,000          | -               | -             |
| 2500 Other Services                  | 18,786          | 22,000          | 22,000          | -               | -             |
| 2600 Supplies and Materials          | 13,425          | 12,000          | 12,000          | -               | -             |
| 3100 Equipment                       | 6,210           | 10,000          | 10,000          | -               | -             |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -             |
| <b>TOTAL</b>                         | <b>514,308</b>  | <b>554,318</b>  | <b>554,318</b>  | <b>-</b>        | <b>-</b>      |
|                                      | FY15            | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|                                      | Actuals         | Enacted         | Estimate        | Net Change      | Net Change %  |
| <b>Positions</b>                     | 7,316           | 9,702           | 9,702           | -               | -             |

*FY15 actuals reflect data as of September 30, 2015. These are expenditures only and do not reflect open obligations or post FY spending.*

## Schedule C - Members' Representational Allowances

House of Representatives  
Detailed Analysis of Change by Organization  
Members' Representational Allowances

|                                      | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|--------------------------------------|-----------------|-----------------|-----------------|---------------|
|                                      | Enacted         | Estimate        | Net Change      | Net Change    |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %     |
| <b>A. MANDATORY CHANGE</b>           | <b>417,313</b>  | <b>417,313</b>  | -               | -             |
| Personnel Base                       | 417,313         | 417,313         | -               | -             |
| Base Adjustment                      | -               | -               | -               | -             |
| Cost of Living Adjustment Annualized | -               | -               | -               | -             |
| Cost of Living Adjustment            | -               | -               | -               | -             |
| Overtime Pay                         | -               | -               | -               | -             |
| Reclassifications                    | -               | -               | -               | -             |
| Temporary Positions                  | -               | -               | -               | -             |
| Longevity Increase                   | -               | -               | -               | -             |
| Meritorious Increase                 | -               | -               | -               | -             |
| Accrued Leave                        | -               | -               | -               | -             |
| Personnel Benefits                   | -               | -               | -               | -             |
| <b>B. PRICE LEVEL INCREASES</b>      | -               | -               | -               | -             |
| <b>C. PROGRAM CHANGES</b>            | <b>137,005</b>  | <b>137,005</b>  | -               | -             |
| Official Expenses                    | 127,005         | 127,005         | -               | -             |
| Official Mail                        | 10,000          | 10,000          | -               | -             |
| <b>TOTAL</b>                         | <b>554,318</b>  | <b>554,318</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, \$554,317,732. The fiscal year (FY) 2017 budget request is flat with the *Consolidated Appropriations Act, 2016* per Public Law 114-113.

This amount includes \$417,312,732 for mandatory items, no price level increases, \$137,005,000 for program current services and no program changes.

I. Personnel Details: FY17 Request - \$417,312,732A. Base: \$417,312,732

- i. The estimated FY16 personnel compensation will be \$417,312,732.

B. Budget Calculations:

- i. FY16 Cost of Living Annualized - (0.37%) 1.46%
- ii. FY17 Cost of Living Prorated - (1.95%) 2.60%
- iii. FY17 Longevity - 0.00%
- iv. FY17 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY16 Cost of Living Annualized - \$0
- ii. FY17 Cost of Living Prorated - \$0
- iii. FY17 Overtime - \$0
- iv. FY17 Reclassifications - \$0
- v. FY17 Temporary Positions - \$0
- vi. FY17 Longevity - \$0
- vii. FY17 Meritorious Increase - \$0
- viii. FY17 Accrued Leave - \$0
- ix. FY17 Personnel Benefits - \$0
- x. FY17 Base Adjustment - \$0

II. Price Level Details: FY17 Request - \$0

The non-personnel estimated inflation factor is 2.2%.

III. Program Details: FY17 Request - \$137,005,000A. Current Services:

- i. Official Expenses - \$127,005,000  
Official Expenses of the MRA are comprised of non-personnel items such as equipment, federal and private rent, telecommunications, printing and contract services.
- ii. Official Mail - \$10,000,000  
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 - \$0
- ii. Official Mail - \$0

## Schedule A - Standing Committees, Special and Select

House of Representatives  
Standing Committees, Special and Select  
By Object Class

|                                      | FY15            | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|---------------|
|                                      | Actuals         | Enacted         | Estimate        | Net Change      | Net Change    |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %     |
| 1100 Personnel Compensation          | 103,302         | 114,149         | 115,200         | 1,051           | 0.92%         |
| 1200 Personnel Benefits              | -               | -               | -               | -               | -             |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -             |
| 2100 Travel                          | 473             | 483             | 483             | -               | -             |
| 2200 Transportation of Things        | -               | 1               | 1               | -               | -             |
| 2300 Rent, Communications, Utilities | 1,492           | 1,623           | 1,623           | -               | -             |
| 2400 Printing and Reproduction       | 100             | 110             | 110             | -               | -             |
| 2500 Other Services                  | 1,759           | 2,008           | 1,908           | (100)           | (4.98%)       |
| 2600 Supplies and Materials          | 3,020           | 2,851           | 2,451           | (400)           | (14.03%)      |
| 3100 Equipment                       | 2,734           | 2,679           | 2,128           | (551)           | (20.56%)      |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -             |
| <b>TOTAL</b>                         | <b>112,880</b>  | <b>123,903</b>  | <b>123,903</b>  | <b>-</b>        | <b>-</b>      |
|                                      | FY15            | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|                                      | Actuals         | Enacted         | Estimate        | Net Change      | Net Change %  |
| <b>Positions</b>                     | <b>1,135</b>    | <b>1,421</b>    | <b>1,421</b>    | <b>-</b>        | <b>-</b>      |

**NOTE:** FY15 actuals reflect data as of September 30, 2015. The period of availability ends on December 31, 2016 and post fiscal year activity, October 1, 2015 to December 31, 2016, is not reflected in these figures. These are expenditures only and do not reflect open obligations or post FY spending.

## Schedule C - Standing Committees, Special and Select

House of Representatives  
Detailed Analysis of Change by Organization  
Standing Committees, Special and Select

|                                      | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Percent % |
|--------------------------------------|------------------------------------|-------------------------------------|--|--|
| <b>A. MANDATORY CHANGE</b>           | <b>114,149</b>                     | <b>115,200</b>                      | <b>1,051</b>                                   | <b>0.92%</b>                             |
| Personnel Base                       | 114,149                            | 112,390                             | (1,759)  | (1.54%)                                  |
| Base Adjustment                      | -                                  | -                                   | -  | -  |
| Cost of Living Adjustment Annualized | -                                  | 410                                 | 410  | -  |
| Cost of Living Adjustment            | -                                  | 2,200                               | 2,200  | -  |
| Overtime Pay                         | -                                  | 200                                 | 200  | -  |
| Reclassifications                    | -                                  | -                                   | -  | -  |
| Temporary Positions                  | -                                  | -                                   | -  | -  |
| Longevity Increase                   | -                                  | -                                   | -  | -  |
| Meritorious Increase                 | -                                  | -                                   | -  | -  |
| Accrued Leave                        | -                                  | -                                   | -  | -  |
| Personnel Benefits                   | -                                  | -                                   | -  | -  |
| <b>B. PRICE LEVEL INCREASES</b>      | -                                  | -                                   | -  | -  |
| <b>C. PROGRAM CHANGES</b>            | <b>9,754</b>                       | <b>8,703</b>                        | <b>(1,051)</b>                                 | <b>(10.77%)</b>                          |
| Official Expenses                    | 9,754                              | 8,703                               | (1,051)  | (10.77%)                                 |
| <b>TOTAL</b>                         | <b>123,903</b>                     | <b>123,903</b>                      | <b>-</b>                                       | <b>-</b>                                 |
| <b>POSITIONS</b>                     | <b>1,421</b>                       | <b>1,421</b>                        | <b>-</b>                                       | <b>-</b>                                 |

## Explanation of Changes Shown on Schedule C

## Standing Committees, Special and Select

For salaries and expenses of the Standing Committees, Special and Select, \$123,903,173. The fiscal year (FY) 2017 budget request is flat with the *Consolidated Appropriations Act, 2016* per Public Law 114-113.

This amount includes \$115,200,000 for mandatory items, no price level increases, \$9,754,000 for program current services and a (\$1,050,827) decrease in program changes.

I. Personnel Details: FY17 Request - \$115,200,000A. Base: \$112,390,168

- i. The estimated FY16 personnel compensation will be \$112,390,168.

B. Budget Calculations:

- i. FY16 Cost of Living Annualized - (0.36%) 1.46%
- ii. FY17 Cost of Living Prorated - (1.95%) 2.60%
- iii. FY17 Longevity - 0.00%
- iv. FY17 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY16 Cost of Living Annualized - \$410,224
- ii. FY17 Cost of Living Prorated - \$2,199,608
- iii. FY17 Overtime - \$200,000
- iv. FY17 Reclassifications - \$0
- v. FY17 Temporary Positions - \$0
- vi. FY17 Longevity - \$0
- vii. FY17 Meritorious Increase - \$0
- viii. FY17 Accrued Leave - \$0
- ix. FY17 Personnel Benefits - \$0
- x. FY17 Base Adjustment - \$0

II. Price Level Details: FY17 Request - \$0

The non-personnel estimated inflation factor is 2.2%.

III. Program Details: FY17 Request - \$8,703,173

A. Current Services:

i. Official Expenses - \$9,754,000

Official Expenses of the Standing Committees, Special and Select are composed of non-personnel items such as equipment, telecommunications, printing, contract services, supplies and travel.

B. Proposed Changes:

i. Official Expenses - (\$1,050,827)

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

|                                      | FY15            | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|---------------|
|                                      | Actuals         | Enacted         | Estimate        | 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                  | 466             | -               | 30              | 30              | -             |
| 2600 Supplies and Materials          | 46              | -               | 120             | 120             | -             |
| 3100 Equipment                       | 2,338           | -               | 3,000           | 3,000           | -             |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -             |
| <b>TOTAL</b>                         | <b>2,851</b>    | <b>-</b>        | <b>3,150</b>    | <b>3,150</b>    |               |

|                  | FY15    | FY16    | FY17     | FY17 vs. FY16 | FY17 vs. FY16 |
|------------------|---------|---------|----------|---------------|---------------|
|                  | Actuals | Enacted | Estimate | Net Change    | Net Change %  |
| <b>Positions</b> |         | -       | -        | -             | -             |

*FY15 actuals reflect data as of September 30, 2015. These are expenditures only and do not reflect open obligations or post FY spending.*

## Schedule C - Hearing Room Renovations

House of Representatives  
Detailed Analysis of Change by Organization  
Hearing Room Renovations

|                                      | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|--------------------------------------|-----------------|-----------------|-----------------|---------------|
|                                      | Enacted         | Estimate        | Net Change      | Net Change    |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %     |
| <b>A. MANDATORY CHANGE</b>           | -               | -               | -               | -             |
| Personnel Base                       | -               | -               | -               | -             |
| Base Adjustment                      | -               | -               | -               | -             |
| Cost of Living Adjustment Annualized | -               | -               | -               | -             |
| Cost of Living Adjustment            | -               | -               | -               | -             |
| Overtime Pay                         | -               | -               | -               | -             |
| Reclassifications                    | -               | -               | -               | -             |
| Temporary Positions                  | -               | -               | -               | -             |
| Longevity Increase                   | -               | -               | -               | -             |
| Meritorious Increase                 | -               | -               | -               | -             |
| Accrued Leave                        | -               | -               | -               | -             |
| Personnel Benefits                   | -               | -               | -               | -             |
| <b>B. PRICE LEVEL INCREASES</b>      | -               | -               | -               | -             |
| <b>C. PROGRAM CHANGES</b>            | -               | 3,150           | 3,150           | -             |
| Hearing Room Renovations             | -               | 3,150           | 3,150           | -             |
| <b>TOTAL</b>                         | -               | 3,150           | 3,150           | -             |
| <b>POSITIONS</b>                     | -               | -               | -               | -             |

## Explanation of Changes Shown on Schedule C

Standing Committees, Special and Select  
Hearing Room Renovations

For salaries and expenses of the Hearing Room Renovations, \$3,150,200. The fiscal year (FY) 2017 budget request is \$3,150,200 or 100.00% above the *Consolidated Appropriations Act, 2016* per Public Law 114-113.

This amount includes \$0 for mandatory items, no price level increases, \$0 for program current services and a \$3,150,200 increase in program changes.

I. Personnel Details: FY17 Request - \$0A. Base: \$0

- i. The estimated FY16 personnel compensation will be \$0.

B. Budget Calculations:

- i. FY16 Cost of Living Annualized - (0.37%) 1.46%
- ii. FY17 Cost of Living Prorated - (1.95%) 2.60%
- iii. FY17 Longevity - 0.00%
- iv. FY17 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY16 Cost of Living Annualized - \$0
- ii. FY17 Cost of Living Prorated - \$0
- iii. FY17 Overtime - \$0
- iv. FY17 Reclassifications - \$0
- v. FY17 Temporary Positions - \$0
- vi. FY17 Longevity - \$0
- vii. FY17 Meritorious Increase - \$0
- viii. FY17 Accrued Leave - \$0
- ix. FY17 Personnel Benefits - \$0
- x. FY17 Base Adjustment - \$0

II. Price Level Details: FY17 Request - \$0

The non-personnel estimated inflation factor is 2.2%.

### III. Program Details: FY17 Request - \$3,150,200

#### A. Current Services:

##### i. Hearing Room Renovations - \$0

Hearing Room Renovations is an on-going program and is currently operating using prior year appropriated no year funds. The Hearing Room Renovations program provides the CAO portion of renovations, lifecycle, emergency replacement and repair, and auxiliary systems and components that support House Committee hearing rooms. The program also includes broadcasting, webcasting, recording, and archiving of all requested Committee hearings. The Committee on House Administration (CHA) authorized the program in accordance with House Resolution 84 in 2002. House Recording Studio (HRS) staff work closely with Appropriations, CHA, the Committee/Owner of the hearing room, the Architect of the Capitol (AoC), and other CAO entities and House staff such as carpeting and drapes, Acquisitions, House Information Resources (HIR), and Radio Television Gallery.

The House complex has around sixty hearing and conference rooms that are in constant need of restoration, repair, and refresh to the equipment. Functioning audio and video (A/V) systems are crucial to the operation of hearings and their transparency and availability to the public. Much of the A/V equipment and systems in House Committee hearing rooms are well past lifecycle and thus not dependable. There have been several high profile audio system failures over the last few years and HRS needs the proper resources to keep these systems operational and dependable. At least two main hearing rooms are planned to be completely renovated each year. In doing so, we are moving toward standardizing the equipment across all Committees.

Hearing room renovations mainly benefit the Committees, as well as the public and other Government Agencies that watch proceedings either live or via webcast. Costs are shared with the AoC and in some cases the Committees themselves have helped with funding their own renovations. The CHA and CAO are continuing to explore ways to standardize equipment and make rooms functional and reliable in a cost and time efficient manner.

The Hearing Room Renovation program is currently renovating the main hearing room for the Committee on Education and Workforce, room 2175 RHOB. Work should be completed by February 2017. The CHA has scheduled 2 full major Committee hearing rooms to go under full renovation in July 2016. These hearing rooms are Judiciary, room 2141 RHOB, and Energy and Commerce, room 2123 RHOB. With no additional funds released or appropriated in FY16, there are currently insufficient funds available to complete these scheduled rooms.

#### B. Proposed Changes:

##### i. Hearing Room Renovations - \$3,150,200

Because construction is being completed through the Cannon Renewal

Project and does not use normal AoC resources, potentially 2 more Rayburn (RHOB) or Longworth (LHOB) rooms could also be completed concurrently. The FY17 request includes renovating 4 hearing rooms at a cost of \$1 million per room and \$300k to repair, support and maintain the current equipment. In FY17, it is anticipated that two major hearing rooms will be completed in Phase One of the Cannon Renewal Project. The full Committee rooms in the Cannon building will be Homeland Security, room 311 and the Budget Committee, room 210. There are 5 full Committee hearing rooms with older less reliable A/V systems that have not yet been modernized and will become prone to failure. The rooms with the oldest audio systems include Agriculture, room 1300 LHOB (audio systems were last upgraded in FY07), Foreign Affairs, room 2172 RHOB (A/V systems were last upgraded in FY08), Committee on House Administration, room 1310 LHOB (audio systems were last upgraded in FY03), Natural Resources, room 1324 LHOB (A/V systems were last upgraded in FY03), and Transportation, room 2167 RHOB (A/V systems were last upgraded in FY06).

## Schedule A Total - Standing Committees, Special and Select

House of Representatives  
Total - Standing Committees, Special and Select  
By Object Class

|                                      | FY15            | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|---------------|
|                                      | Actuals         | Enacted         | Estimate        | Net Change      | Net Change    |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %     |
| 1100 Personnel Compensation          | 103,302         | 114,149         | 115,200         | 1,051           | 0.92%         |
| 1200 Personnel Benefits              | -               | -               | -               | -               | -             |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -             |
| 2100 Travel                          | 473             | 483             | 483             | -               | -             |
| 2200 Transportation of Things        | -               | 1               | 1               | -               | -             |
| 2300 Rent, Communications, Utilities | 1,492           | 1,623           | 1,623           | -               | -             |
| 2400 Printing and Reproduction       | 100             | 110             | 110             | -               | -             |
| 2500 Other Services                  | 2,225           | 2,008           | 1,938           | (70)            | (3.49%)       |
| 2600 Supplies and Materials          | 3,067           | 2,851           | 2,571           | (280)           | (9.83%)       |
| 3100 Equipment                       | 5,072           | 2,679           | 5,129           | 2,450           | 91.43%        |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -             |
| <b>TOTAL</b>                         | <b>115,731</b>  | <b>123,903</b>  | <b>127,053</b>  | <b>3,150</b>    | <b>2.54%</b>  |
|                                      | FY15            | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|                                      | Actuals         | Enacted         | Estimate        | Net Change      | Net Change %  |
| <b>Positions</b>                     | <b>1,135</b>    | <b>1,421</b>    | <b>1,421</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

|   | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|---|-----------------|-----------------|-----------------|---------------|
|   | Enacted         | Estimate        | Net Change      | Net Change    |
|   | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %     |
| <b>A. MANDATORY CHANGE</b>              | <b>114,149</b>  | <b>115,200</b>  | <b>1,051</b>    | <b>0.92%</b>  |
| Personnel Base                          | 114,149         | 112,390         | (1,759)         | (1.54%)       |
| Base Adjustment                         | -               | -               | -               | -             |
| Cost of Living Adjustment Annualized    | -               | 410             | 410             | -             |
| Cost of Living Adjustment               | -               | 2,200           | 2,200           | -             |
| Overtime Pay                            | -               | 200             | 200             | -             |
| Reclassifications                       | -               | -               | -               | -             |
| Temporary Positions                     | -               | -               | -               | -             |
| Longevity Increase                      | -               | -               | -               | -             |
| Meritorious Increase                    | -               | -               | -               | -             |
| Accrued Leave                           | -               | -               | -               | -             |
| Personnel Benefits                      | -               | -               | -               | -             |
| <b>B. PRICE LEVEL INCREASES</b>         | <b>-</b>        | <b>-</b>        | <b>-</b>        | <b>-</b>      |
| <b>C. PROGRAM CHANGES</b>               | <b>9,754</b>    | <b>11,853</b>   | <b>2,099</b>    | <b>21.52%</b> |
| Standing Committees, Special and Select | 9,754           | 8,703           | (1,051)         | (10.77%)      |
| Hearing Room Renovations                | -               | 3,150           | 3,150           | -             |
| <b>TOTAL</b>                            | <b>123,903</b>  | <b>127,053</b>  | <b>3,150</b>    | <b>2.54%</b>  |
| <b>POSITIONS</b>                        | <b>1,421</b>    | <b>1,421</b>    |                 |               |

## Schedule A - Committee on Appropriations

House of Representatives  
Committee on Appropriations  
By Object Class

|                                      | FY15<br>Actuals<br>Dollars (\$000) | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Percent % |
|--------------------------------------|------------------------------------|------------------------------------|-------------------------------------|--|--|
| 1100 Personnel Compensation          | 15,625                             | 21,095                             | 21,785                              | 690  | 3.27%                                    |
| 1200 Personnel Benefits              | -                                  | -                                  | -                                   | -  | -  |
| 1300 Benefits to Former Personnel    | -                                  | -                                  | -                                   | -  | -  |
| 2100 Travel                          | 35                                 | 75                                 | 60                                  | (15)   | (20.00%)                                 |
| 2200 Transportation of Things        | -                                  | -                                  | -                                   | -  | -  |
| 2300 Rent, Communications, Utilities | 233                                | 300                                | 300                                 | -  | -  |
| 2400 Printing and Reproduction       | 8                                  | 10                                 | 10                                  | -  | -  |
| 2500 Other Services                  | 1,126                              | 1,200                              | 1,030                               | (170)  | (14.17%)                                 |
| 2600 Supplies and Materials          | 110                                | 200                                | 50                                  | (150)  | (75.00%)                                 |
| 3100 Equipment                       | 69                                 | 391                                | 36                                  | (355)  | (90.77%)                                 |
| 4200 Insurance Claims/Indemnities    | -                                  | -                                  | -                                   | -  | -  |
| <b>TOTAL</b>                         | <b>17,205</b>                      | <b>23,271</b>                      | <b>23,271</b>                       | <b>-</b>                                       | <b>-</b>                                 |
|                                      | FY15<br>Actuals                    | FY16<br>Enacted                    | FY17<br>Estimate                    | FY17 vs. FY16<br>Net Change                    | FY17 vs. FY16<br>Net Change %            |
| <b>Positions</b>                     | <b>155</b>                         | <b>220</b>                         | <b>220</b>                          | <b>-</b>                                       | <b>-</b>                                 |

*NOTE: FY15 actuals reflect data as of September 30, 2015. The period of availability ends on December 31, 2016 and post fiscal year activity, October 1, 2015 to December 31, 2016, is not reflected in these figures. These are expenditures only and do not reflect open obligations or post FY spending.*

## Schedule C - Committee on Appropriations

House of Representatives  
Detailed Analysis of Change by Organization  
Committee on Appropriations

|                                      | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Percent % |
|--------------------------------------|------------------------------------|-------------------------------------|--|--|
| <b>A. MANDATORY CHANGE</b>           | <b>21,095</b>                      | <b>21,785</b>                       | <b>690</b>                                     | <b>3.27%</b>                             |
| Personnel Base                       | 21,095                             | 21,095                              | -  | -  |
| Base Adjustment                      | -                                  | -                                   | -  | -  |
| Cost of Living Adjustment Annualized | -                                  | 77                                  | 77   | -  |
| Cost of Living Adjustment            | -                                  | 413                                 | 413  | -  |
| Overtime Pay                         | -                                  | 200                                 | 200  | -  |
| Reclassifications                    | -                                  | -                                   | -  | -  |
| Temporary Positions                  | -                                  | -                                   | -  | -  |
| Longevity Increase                   | -                                  | -                                   | -  | -  |
| Meritorious Increase                 | -                                  | -                                   | -  | -  |
| Accrued Leave                        | -                                  | -                                   | -  | -  |
| Personnel Benefits                   | -                                  | -                                   | -  | -  |
| <b>B. PRICE LEVEL INCREASES</b>      | -                                  | -                                   | -  | -  |
| <b>C. PROGRAM CHANGES</b>            | <b>2,176</b>                       | <b>1,486</b>                        | <b>(690)</b>                                   | <b>(31.70%)</b>                          |
| Administration                       | 2,176                              | 1,486                               | (690)  | (31.70%)                                 |
| <b>TOTAL</b>                         | <b>23,271</b>                      | <b>23,271</b>                       | <b>-</b>                                       | <b>-</b>                                 |
| <b>POSITIONS</b>                     | <b>220</b>                         | <b>220</b>                          | <b>-</b>                                       | <b>-</b>                                 |

## Explanation of Changes Shown on Schedule C

## Committee on Appropriations

For salaries and expenses of the Committee on Appropriations, \$23,271,004. The fiscal year (FY) 2017 budget request is flat with the *Consolidated Appropriations Act, 2016* per Public Law 114-113.

This amount includes \$21,784,930 for mandatory items, no price level increases, \$2,175,926 for program current services and a (\$689,852) decrease in program changes.

I. Personnel Details: FY17 Request - \$21,784,930A. Base: \$21,095,078

- i. The estimated FY16 personnel compensation will be \$21,095,078.
- ii. The estimated FY16 overtime will be \$0.

B. Budget Calculations:

- i. FY16 Cost of Living Annualized - (0.36%) 1.46%
- ii. FY17 Cost of Living Prorated - (1.95%) 2.60%
- iii. FY17 Longevity - 0.00%
- iv. FY17 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY16 Cost of Living Annualized - \$76,997
- ii. FY17 Cost of Living Prorated - \$412,855
- iii. FY17 Overtime - \$200,000
- iv. FY17 Reclassifications - \$0
- v. FY17 Temporary Positions - \$0
- vi. FY17 Longevity - \$0
- vii. FY17 Meritorious Increase - \$0
- viii. FY17 Accrued Leave - \$0
- ix. FY17 Personnel Benefits - \$0
- x. FY17 Base Adjustment - \$0

- II. Price Level Details: FY17 Request - \$0  
The non-personnel inflation factor is 2.2%.
- III. Program Details: FY17 Request - \$1,486,074

- A. Current Services:

- i. Administration - \$2,175,926

- The Administration 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. Administration - (\$689,852)

- This decrease in non-personnel spending offsets an anticipated increase in personnel expenses due to cost of living adjustments. In addition, the Committee did not request additional funding for anticipated non personnel expenses due to inflation. The Committee plans to absorb this future cost.

## Schedule A - Office of the Clerk

House of Representatives  
Office of the Clerk  
By Object Class

|                                      | FY15            | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|---------------|
|                                      | Actuals         | Enacted         | Estimate        | Net Change      | Net Change    |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %     |
| 1100 Personnel Compensation          | 18,651          | 20,092          | 21,415          | 1,323           | 6.59%         |
| 1200 Personnel Benefits              | -               | -               | -               | -               | -             |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -             |
| 2100 Travel                          | 34              | 102             | 72              | (30)            | (29.50%)      |
| 2200 Transportation of Things        | 4               | 13              | 14              | 1               | 7.69%         |
| 2300 Rent, Communications, Utilities | 143             | 207             | 206             | (1)             | (0.68%)       |
| 2400 Printing and Reproduction       | 23              | 43              | 43              | 1               | 1.18%         |
| 2500 Other Services                  | 1,232           | 2,162           | 2,311           | 149             | 6.90%         |
| 2600 Supplies and Materials          | 458             | 672             | 674             | 3               | 0.37%         |
| 3100 Equipment                       | 959             | 1,692           | 1,677           | (15)            | (0.87%)       |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -             |
| <b>TOTAL</b>                         | <b>21,503</b>   | <b>24,981</b>   | <b>26,411</b>   | <b>1,430</b>    | <b>5.72%</b>  |
|                                      | FY15            | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|                                      | Actuals         | Enacted         | Estimate        | Net Change      | Net Change %  |
| <b>Positions</b>                     | 192             | 216             | 216             | -               | -             |

*FY15 actuals reflect data as of September 30, 2015. These are expenditures only and do not reflect open obligations or post FY spending.*

## Schedule C - Office of the Clerk

House of Representatives  
Detailed Analysis of Change by Organization  
Office of the Clerk

|                                      | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|--------------------------------------|-----------------|-----------------|-----------------|---------------|
|                                      | Enacted         | Estimate        | Net Change      | Net Change    |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %     |
| <b>A. MANDATORY CHANGE</b>           | <b>20,092</b>   | <b>21,415</b>   | <b>1,323</b>    | <b>6.59%</b>  |
| Personnel Base                       | 20,092          | 20,698          | 606             | 3.02%         |
| Base Adjustment                      | -               | -               | -               | -             |
| Cost of Living Adjustment Annualized | -               | 69              | 69              | -             |
| Cost of Living Adjustment            | -               | 372             | 372             | -             |
| Overtime Pay                         | -               | 141             | 141             | -             |
| Reclassifications                    | -               | -               | -               | -             |
| Temporary Positions                  | -               | -               | -               | -             |
| Longevity Increase                   | -               | 135             | 135             | -             |
| Meritorious Increase                 | -               | -               | -               | -             |
| Accrued Leave                        | -               | -               | -               | -             |
| Personnel Benefits                   | -               | -               | -               | -             |
| <b>B. PRICE LEVEL INCREASES</b>      | <b>-</b>        | <b>37</b>       | <b>37</b>       | <b>-</b>      |
| <b>C. PROGRAM CHANGES</b>            | <b>4,889</b>    | <b>4,960</b>    | <b>71</b>       | <b>1.44%</b>  |
| Capitol Service Groups               | 35              | 29              | (6)             | (17.24%)      |
| Clerk of the House                   | 23              | 23              | -               | -             |
| Closed Captioning                    | 481             | 482             | 1               | 0.17%         |
| Immediate Office of the Clerk        | 472             | 378             | (94)            | (19.83%)      |
| Legislative Computer Systems         | 1,497           | 1,547           | 50              | 3.34%         |
| Legislative Resource Center          | 504             | 502             | (2)             | (0.43%)       |
| Newspaper Subscriptions              | 180             | 180             | -               | -             |
| Office of Art & Archives             | 238             | 300             | 62              | 26.03%        |
| Office of Chaplain                   | 2               | 2               | -               | -             |
| Office of Communications             | 62              | 56              | (6)             | (9.73%)       |
| Office of House Employment Counsel   | 256             | 218             | (38)            | (14.82%)      |
| Office of Legislative Operations     | 68              | 55              | (13)            | (19.12%)      |
| Office of the Historian              | 10              | 10              | -               | -             |
| Office of the Historian's Staff      | 159             | 231             | 72              | 45.55%        |
| Official Reporters                   | 203             | 212             | 9               | 4.64%         |
| Stenographic Reporting               | 700             | 735             | 35              | 4.94%         |
| <b>TOTAL</b>                         | <b>24,981</b>   | <b>26,411</b>   | <b>1,430</b>    | <b>5.72%</b>  |
| <b>POSITIONS</b>                     | <b>216</b>      | <b>216</b>      | <b>-</b>        | <b>-</b>      |

## Explanation of Changes Shown on Schedule C

Salaries, Officers and Employees  
Office of the Clerk

For salaries and expenses of the Office of the Clerk, \$26,411,000. The fiscal year (FY) 2017 budget request is \$1,430,102 or 5.72% above the *Consolidated Appropriations Act, 2016* per Public Law 114-113.

This amount includes \$21,414,656 for mandatory items, \$36,531 in price level increases, \$4,889,292 for program current services and a \$70,521 increase in program changes.

I. Personnel Details: FY17 Request - \$21,414,656A. Base: \$20,697,668

- i. The estimated FY16 personnel compensation will be \$20,697,668.

B. Budget Calculations:

- i. FY16 Cost of Living Annualized - (0.34%) 1.46%
- ii. FY17 Cost of Living Prorated - (1.79%) 2.60%
- iii. FY17 Longevity - 0.64%
- iv. FY17 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY16 Cost of Living Annualized - \$69,394
- ii. FY17 Cost of Living Prorated - \$372,075
- iii. FY17 Overtime - \$141,000
- iv. FY17 Reclassifications - \$0
- v. FY17 Temporary Positions - \$0
- vi. FY17 Longevity - \$134,519
- vii. FY17 Meritorious Increase - \$0
- viii. FY17 Accrued Leave - \$0
- ix. FY17 Personnel Benefits - \$0
- x. FY17 Base Adjustment - \$0

II. Price Level Details: FY17 Request - \$36,531

The non-personnel estimated inflation factor is 2.2%.

### III. Program Details: FY17 Request - \$4,959,813

#### A. Current Services:

- i. Capitol Service Groups - \$34,800  
The Service Group provides administrative support to the Members and Family Room, the Congresswomen's Suite, and the Capitol Prayer Room.
- ii. Clerk of the House - \$23,000  
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.
- iii. Closed Captioning - \$481,200  
The Closed Captioning contract provides closed captioning services for the House Floor.
- iv. Immediate Office of the Clerk - \$471,587  
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.
- v. Legislative Computer Systems - \$1,496,600  
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.
- vi. Legislative Resource Center - \$504,437  
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. Newspaper Subscriptions - \$180,000  
Newspaper Subscriptions program provides subscriptions of periodicals for House Leadership Offices.
- viii. Office of Art & Archives - \$238,000  
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.
- ix. Office of Chaplain - \$2,000  
The Office of the Chaplain opens House proceedings with prayer, provides pastoral counseling to the House community, coordinates the scheduling of guest chaplains, and arranges memorial services for the House and its staff.
- x. Office of Communications - \$61,650  
The Office of Communications provides comprehensive creative services to all divisions of the Office of the Clerk.
- xi. Office of House Employment Counsel - \$256,000  
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. Office of Legislative Operations - \$68,000  
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.
- xiii. Office of the Historian - \$10,000  
The Office of the Historian studies and documents the rich history of

the United States House of Representatives as a resource for Members, staff, scholars, the media, and the public. It serves as both the House's institutional memory and strives to inspire greater understanding about that body's central role in U.S. history.

- xiv. Office of the Historian's Staff - \$159,000  
Rule II, Clause 7, of the Rules of the House of Representatives, provides for the Office of the Historian. The mission of the Historian's Office is to research, interpret, and promote the institution's distinctive history and heritage. Historian programs include 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.
- xv. Official Reporters - \$203,018  
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.
- xvi. Stenographic Reporting - \$700,000  
Stenographic Reporting provides funding for any supplemental costs associated with stenographic reporting for House committees.

#### B. Proposed Changes:

- i. Capitol Service Groups - (\$6,000)  
This reflects a reduction in training costs.
- ii. Clerk of the House - \$0
- iii. Closed Captioning - \$814  
Scheduled contractual increase.
- iv. Immediate Office of the Clerk - (\$93,502)  
This reduction reflects an anticipated decrease in costs related to service contracts, etc.
- v. Legislative Computer Systems - \$49,946  
This reflects anticipated increase in maintenance and software upgrades.
- vi. Legislative Resource Center - (\$2,176)  
This reflects a decrease in certain mailing costs.
- vii. Newspaper Subscriptions - \$0
- viii. Office of Art & Archives - \$61,943  
Three years before the 19th Amendment gave women the right to vote, the House swore in the first woman to serve in Congress. Representative Jeannette Rankin of Montana, was elected in 1916 and sworn in on April 2, 1917. The 2017 centennial of her arrival in the

House will be marked by the House with a commemoration both of her path-breaking status and of the first generation of women in Congress. This remembrance will take the form of an educational panel and interactive exhibition on Rankin and the other pioneering early women in Congress. It will be located in the first floor corridor of the House wing, in the connecting corridor between the oldest part of the Capitol and the Hall of Columns. This request reflects the estimated costs of the Jeanette Rankin exhibition project and increases in conservation expenses.

- ix. Office of Chaplain - \$0
- x. Office of Communications - (\$6,000)  
This reflects a decrease in anticipated technology purchases, software etc.
- xi. Office of House Employment Counsel - (\$37,950)  
This reflects an anticipated reduction in travel expenses based on historical data.
- xii. Office of Legislative Operations - (\$13,000)  
This reflects an anticipated reduction in supply and equipment purchases.
- xiii. Office of the Historian - \$0
- xiv. Office of the Historian's Staff - \$72,426  
This increase reflects additional scheduled work on the Bioguide project and copier replacement.
- xv. Official Reporters - \$9,420  
This reflects an increase due to anticipated supply purchases.
- xvi. Stenographic Reporting - \$34,600  
This increase will support projected needs for additional hearings of the 115th new Congress.

## Schedule A - Office of the Sergeant at Arms

House of Representatives  
Office of the Sergeant at Arms  
By Object Class

|                                      | FY15            | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|---------------|
|                                      | Actuals         | Enacted         | Estimate        | Net Change      | Net Change    |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %     |
| 1100 Personnel Compensation          | 8,170           | 9,620           | 9,952           | 332             | 3.45%         |
| 1200 Personnel Benefits              | -               | -               | -               | -               | -             |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -             |
| 2100 Travel                          | 54              | 107             | 62              | (45)            | (42.06%)      |
| 2200 Transportation of Things        | -               | -               | -               | -               | -             |
| 2300 Rent, Communications, Utilities | 146             | 157             | 157             | -               | -             |
| 2400 Printing and Reproduction       | 2               | 7               | 16              | 9               | 128.57%       |
| 2500 Other Services                  | 2,218           | 2,120           | 1,844           | (276)           | (13.04%)      |
| 2600 Supplies and Materials          | 236             | 219             | 123             | (96)            | (43.84%)      |
| 3100 Equipment                       | 282             | 2,597           | 3,417           | 820             | 31.57%        |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -             |
| <b>TOTAL</b>                         | <b>11,108</b>   | <b>14,827</b>   | <b>15,571</b>   | <b>744</b>      | <b>5.02%</b>  |
|                                      | FY15            | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|                                      | Actuals         | Enacted         | Estimate        | Net Change      | Net Change %  |
| <b>Positions</b>                     | 113             | 132             | 132             | -               | -             |

*FY15 actuals reflect data as of September 30, 2015. These are expenditures only and do not reflect open obligations or post FY spending.*

## Schedule C - Office of the Sergeant at Arms

House of Representatives  
Detailed Analysis of Change by Organization  
Office of the Sergeant at Arms

|                                      | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Percent % |
|--------------------------------------|------------------------------------|-------------------------------------|--|--|
| <b>A. MANDATORY CHANGE</b>           | <b>9,620</b>                       | <b>9,952</b>                        | <b>332</b>                                     | <b>3.45%</b>                             |
| Personnel Base                       | 9,620                              | 9,507                               | (113)  | (1.17%)                                  |
| Base Adjustment                      | -                                  | 113                                 | 113  | -  |
| Cost of Living Adjustment Annualized | -                                  | 32                                  | 32   | -  |
| Cost of Living Adjustment            | -                                  | 172                                 | 172  | -  |
| Overtime Pay                         | -                                  | 10                                  | 10   | -  |
| Reclassifications                    | -                                  | -                                   | -  | -  |
| Temporary Positions                  | -                                  | -                                   | -  | -  |
| Longevity Increase                   | -                                  | 119                                 | 119  | -  |
| Meritorious Increase                 | -                                  | -                                   | -  | -  |
| Accrued Leave                        | -                                  | -                                   | -  | -  |
| Personnel Benefits                   | -                                  | -                                   | -  | -  |
| <b>B. PRICE LEVEL INCREASES</b>      | <b>-</b>                           | <b>51</b>                           | <b>51</b>                                      | <b>-</b>                                 |
| <b>C. PROGRAM CHANGES</b>            | <b>5,207</b>                       | <b>5,567</b>                        | <b>360</b>                                     | <b>6.92%</b>                             |
| House Garages/Parking Security       | 42                                 | 17                                  | (25)   | (59.68%)                                 |
| House Security Office                | 8                                  | -                                   | (8)  | (100.00%)                                |
| Immediate Office                     | 921                                | 849                                 | (72)   | (7.83%)                                  |
| Information Services                 | 1,068                              | 640                                 | (428)  | (40.07%)                                 |
| Office of Emergency Management       | 3,128                              | 3,943                               | 814  | 26.03%                                   |
| Protocol and Chamber Operations      | 40                                 | 119                                 | 79   | 197.80%                                  |
| <b>TOTAL</b>                         | <b>14,827</b>                      | <b>15,571</b>                       | <b>744</b>                                     | <b>5.02%</b>                             |
| <b>POSITIONS</b>                     | <b>132</b>                         | <b>132</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, \$15,571,000. The fiscal year (FY) 2017 budget request is \$743,880 or 5.02% above the *Consolidated Appropriations Act, 2016* per Public Law 114-113.

This amount includes \$9,952,098 for mandatory items, \$51,436 in price level increases, \$5,207,311 for program current services and a \$360,155 increase in program changes.

I. Personnel Details: FY17 Request - \$9,952,098A. Base: \$9,507,115

- i. The estimated FY16 personnel compensation will be \$9,507,115.

B. Budget Calculations:

- i. FY16 Cost of Living Annualized - (0.33%) 1.46%
- ii. FY17 Cost of Living Prorated - (1.78%) 2.60%
- iii. FY17 Longevity - 1.21%
- iv. FY17 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY16 Cost of Living Annualized - \$31,992
- ii. FY17 Cost of Living Prorated - \$171,541
- iii. FY17 Overtime - \$10,000
- iv. FY17 Reclassifications - \$0
- v. FY17 Temporary Positions - \$0
- vi. FY17 Longevity - \$118,756
- vii. FY17 Meritorious Increase - \$0
- viii. FY17 Accrued Leave - \$0
- ix. FY17 Personnel Benefits - \$0
- x. FY17 Base Adjustment - \$112,694  
In FY17, the Sergeant at Arms (SAA) is requesting funding for two (2) existing vacant positions. This additional authority will increase the total funded positions to 130 of the SAA's 132 authorized position ceiling.

II. Price Level Details: FY17 Request - \$51,436

The non-personnel estimated inflation factor is 2.2%.

III. Program Details: FY17 Request - \$5,567,466

A. Current Services:

- i. House Garages/Parking Security - \$42,000  
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.
- ii. House Security Office - \$8,000  
The division of House Security serves as a central location to oversee the issuance, administration, and verification of all House of Representatives security clearances. House Security serves as a central repository for classified materials and is responsible for the receiving, controlling, transmitting, storing, and destroying of classified information and 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.
- iii. Immediate Office - \$921,000  
The Sergeant at Arms Immediate Office oversees and administers all divisions within the organization. Within the Immediate Office falls the division of Police Services/Law Enforcement. Staff in the division of Police Services/Law Enforcement provide logistical and security support at on and off campus events involving Members of Congress.
- iv. Information Services - \$1,068,000  
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. Office of Emergency Management - \$3,128,311  
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.
- vi. Protocol and Chamber Operations - \$40,000

The division of Protocol and Chamber Operations is comprised of Chamber Security, Chamber Support Services, and the House Appointments Desks. Staff in this division facilitates and controls access to the House Chamber when the House is in or out of session, maintains decorum in the House Chamber, and assists visitors on official business with access to the Capitol Building.

B. Proposed Changes:

- i. House Garages/Parking Security - (\$25,066)  
The decrease is due to non-recurring costs associated with the FY16 purchase of parking permits for use in the 115th Congress.
- ii. House Security Office - (\$8,000)  
The decrease is due to non-recurring costs associated with the purchase of equipment in FY16.
- iii. Immediate Office - (\$72,146)  
The decrease is due to non-recurring travel costs associated with the advance and support of the 2016 Presidential conventions, and the purchase of Member identification pins and license plates for use in the 115th Congress.
- iv. Information Services - (\$428,000)  
The decrease is to due non-recurring costs associated with the upgrade/ replacement of the HSAA server infrastructure in FY16.
- v. Office of Emergency Management - \$814,247  
This increase is due to contractor services support, security enhancements and equipment purchases in FY17.
- vi. Protocol and Chamber Operations - \$79,120  
The increase is due to temporary staff assistance during the peak visitor/tourist season to assist with controlling access to the House floor and galleries.

## Schedule A - Office of the Chief Administrative Officer

House of Representatives  
Office of the Chief Administrative Officer  
By Object Class

|                                      | FY15<br>Actuals<br>Dollars (\$000) | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Percent % |
|--------------------------------------|------------------------------------|------------------------------------|-------------------------------------|--|--|
| 1100 Personnel Compensation          | 56,290                             | 66,322                             | 67,876                              | 1,554  | 2.34%                                    |
| 1200 Personnel Benefits              | -                                  | -                                  | -                                   | -  | -  |
| 1300 Benefits to Former Personnel    | -                                  | -                                  | -                                   | -  | -  |
| 2100 Travel                          | 164                                | 267                                | 261                                 | (6)  | (2.07%)                                  |
| 2200 Transportation of Things        | 22                                 | -                                  | 18                                  | 18   | -  |
| 2300 Rent, Communications, Utilities | 4,200                              | 5,739                              | 5,746                               | 7  | 0.12%                                    |
| 2400 Printing and Reproduction       | 36                                 | 34                                 | 36                                  | 3  | 7.46%                                    |
| 2500 Other Services                  | 15,061                             | 20,712                             | 20,681                              | (31)   | (0.15%)                                  |
| 2600 Supplies and Materials          | 2,044                              | 2,459                              | 2,336                               | (124)  | (5.02%)                                  |
| 3100 Equipment                       | 20,975                             | 21,632                             | 20,211                              | (1,422)  | (6.57%)                                  |
| 4200 Insurance Claims/Indemnities    | -                                  | -                                  | -                                   | -  | -  |
| <b>TOTAL</b>                         | <b>98,791</b>                      | <b>117,165</b>                     | <b>117,165</b>                      | <b>-</b>                                       | <b>-</b>                                 |
|                                      | FY15<br>Actuals                    | FY16<br>Enacted                    | FY17<br>Estimate                    | FY17 vs. FY16<br>Net Change                    | FY17 vs. FY16<br>Net Change %            |
| <b>Positions</b>                     | <b>590</b>                         | <b>714</b>                         | <b>714</b>                          | <b>-</b>                                       | <b>-</b>                                 |

*FY15 actuals reflect data as of September 30, 2015. These are expenditures only and do not reflect open obligations or post FY spending.*

## Schedule C - Office of the Chief Administrative Officer

House of Representatives  
Detailed Analysis of Change by Organization  
Office of the Chief Administrative Officer

|                                      | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Percent % |
|--------------------------------------|------------------------------------|-------------------------------------|--|--|
| <b>A. MANDATORY CHANGE</b>           | <b>66,322</b>                      | <b>67,876</b>                       | <b>1,554</b>                                   | <b>2.34%</b>                             |
| Personnel Base                       | 66,322                             | 64,989                              | (1,333)  | (2.01%)                                  |
| Base Adjustment                      | -                                  | -                                   | -  | -  |
| Cost of Living Adjustment Annualized | -                                  | 237                                 | 237  | -  |
| Cost of Living Adjustment            | -                                  | 1,272                               | 1,272  | -  |
| Overtime Pay                         | -                                  | 710                                 | 710  | -  |
| Reclassifications                    | -                                  | -                                   | -  | -  |
| Temporary Positions                  | -                                  | -                                   | -  | -  |
| Longevity Increase                   | -                                  | 668                                 | 668  | -  |
| Meritorious Increase                 | -                                  | -                                   | -  | -  |
| Accrued Leave                        | -                                  | -                                   | -  | -  |
| Personnel Benefits                   | -                                  | -                                   | -  | -  |
| <b>B. PRICE LEVEL INCREASES</b>      | <b>-</b>                           | <b>-</b>                            | <b>-</b>                                       | <b>-</b>                                 |
| <b>C. PROGRAM CHANGES</b>            | <b>50,843</b>                      | <b>49,289</b>                       | <b>(1,554)</b>                                 | <b>(3.06%)</b>                           |
| Acquisitions                         | 8,529                              | 8,529                               | -  | -  |
| CAO Immediate Office & Galleries     | 2,466                              | 2,358                               | (108)  | (4.38%)                                  |
| Finance                              | 866                                | 1,008                               | 142  | 16.40%                                   |
| House Information Resources          | 30,510                             | 28,275                              | (2,235)  | (7.33%)                                  |
| House Recording Studio               | 904                                | 904                                 | -  | -  |
| Human Resources                      | 1,043                              | 873                                 | (170)  | (16.30%)                                 |
| Logistics and Support                | 5,175                              | 5,222                               | 47   | 0.90%                                    |
| Strategic Initiatives/CAO Wide       | 1,350                              | 2,120                               | 770  | 57.04%                                   |
| <b>TOTAL</b>                         | <b>117,165</b>                     | <b>117,165</b>                      | <b>-</b>                                       | <b>-</b>                                 |
| <b>POSITIONS</b>                     | <b>714</b>                         | <b>714</b>                          | <b>-</b>                                       | <b>-</b>                                 |

## Explanation of Changes Shown on Schedule C

Salaries, Officers and Employees  
Office of the Chief Administrative Officer

For salaries and expenses of the Office of the Chief Administrative Officer, \$117,165,000. The fiscal year (FY) 2017 budget request is flat with the *Consolidated Appropriations Act, 2016* per Public Law 114-113.

This amount includes \$67,876,401 for mandatory items, no price level increases, \$50,843,000 for program current services and a (\$1,554,401) decrease in program changes.

I. Personnel Details: FY17 Request - \$67,876,401A. Base: \$64,989,000

- i. The estimated FY16 personnel compensation will be \$64,989,000.

B. Budget Calculations:

- i. FY16 Cost of Living Annualized - (0.37%) 1.46%
- ii. FY17 Cost of Living Prorated - (1.95%) 2.60%
- iii. FY17 Longevity - 1.00%
- iv. FY17 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY16 Cost of Living Annualized - \$237,210
- ii. FY17 Cost of Living Prorated - \$1,271,912
- iii. FY17 Overtime - \$710,000
- iv. FY17 Reclassifications - \$0
- v. FY17 Temporary Positions - \$0
- vi. FY17 Longevity - \$668,279
- vii. FY17 Meritorious Increase - \$0
- viii. FY17 Accrued Leave - \$0
- ix. FY17 Personnel Benefits - \$0
- x. FY17 Base Adjustment - \$0

II. Price Level Details: FY17 Request - \$0

The non-personnel estimated inflation factor is 2.2%.

III. Program Details: FY17 Request - \$49,288,599

A. Current Services:

- i. Acquisitions - \$8,529,000  
The Office of Acquisitions Management is responsible for House-wide purchasing, contract planning and the execution of contracts, and the contract management for mail operations, food services, fitness centers, barber shop and salon, shoe shine, and dry cleaners.
- ii. CAO Immediate Office & Galleries - \$2,466,000  
The CAO Immediate Office manages the Internal Controls program, House-wide subscriptions for National Journal and CQ Quarterly, and the Senate telephone operators MOU, and includes budgets for the three House Galleries – Radio TV Gallery, Periodical Press Gallery, and House Press Gallery.
- iii. Finance - \$866,000  
The Office of Finance provides financial management services to Leadership, Members, Committees, Officers and Offices of the U.S. House of Representatives. This office includes six divisions: Accounting, Budget, Policy and Planning, Financial Counseling, Members' Services, Payroll and Benefits, and an Immediate Office which supports its administrative and financial operations.
- iv. House Information Resources - \$30,510,000  
House Information Resources (HIR) provides IT services for the legislative, oversight and communication needs of the House. This includes building and maintaining enterprise financial and communication systems for Members, Committees and Leadership.  
  
HIR has five main service areas: Customer support (TSRs and Telecom Administrators); Enterprise Systems and Web Applications (core financial and payroll, websites, HouseNet); Infrastructure and Operations (servers, file storage, Internet access, networking, mobility/Wi-Fi, voice and data connectivity); Information Systems Security/Data Integrity; and IT to Business Management Services.
- v. House Recording Studio - \$904,000  
The House Recording Studio provides audio and video services to Members, Committees and House Officers which allows information to be disbursed to constituents and other entities. This includes the official audio and video record of floor proceedings (copies of which go to the National Archives and Library of Congress) as well as handling audio visual room setups in the CVC and most special event rooms. The House Recording Studio also is tasked with operating and maintaining equipment in House Committee Hearing Rooms and provides broadcasting, webcasting and archiving of hearings as requested by Committees.
- vi. Human Resources - \$1,043,000  
The Human Resources (HR) business unit is comprised of both

internal and external HR services. The HR Immediate Office (which encompasses CAO Human Resources, Diversity and Organizational Change Management, Privacy Assurance, and Safety and Personnel Security) provides the internal full life-cycle HR services to the CAO organization. The Office of Employee Assistance, House Learning Center and House Wounded Warrior Program, within the Human Resources business unit, provides external House-wide HR services.

- vii. Logistics and Support - \$5,175,000  
Logistics and Support (L&S) provides furniture and furnishings services to the House community including furniture procurement, carpeting, upholstery, drapery, picture framing and engraving services. Furniture is manufactured by the House, provided from House inventory, or obtained through third party vendors. This includes traditional furnishings, modular furniture, finish schedules, refurbishment, and warehousing. Additionally, this office manages logistic activities supporting House offices, Committee and special event rooms, as well as graphics and photography services to the House campus. Most recently, L&S added a new Asset Management directorate which is tasked with keeping an accurate accounting of thousands of items including equipment during their lifecycle.
- viii. Strategic Initiatives/CAO Wide - \$1,350,000  
Strategic Initiatives/ CAO-Wide provides funding for key initiatives in support of the CAO's Mission to provide the House community access to efficient, effective, and sustainable operational and financial support services. Some examples of support provided are the establishment of account access management technologies that facilitate governance, user identity, provisioning and access, automation of routine business services which strengthens security, improves visibility, and simplifies compliance for organizations, and upgrading the PeopleSoft financial system.

**B. Proposed Changes:**

- i. Acquisitions - \$0
- ii. CAO Immediate Office & Galleries - (\$108,000)  
This reduction reflects a decrease in the House-wide Roll Call and National Journal subscription contract. In addition, funding requested and received in FY16 for upgrading Internal Controls software was realigned to HR as the upgrade will be managed by Enterprise Applications.
- iii. Finance - \$142,000  
This increase will support rising contractor support costs for Affordable Care Act (ACA) compliance and retirement counseling. Funding is also requested to provide contractor support for the E-voucher and Purchase Card programs.
- iv. House Information Resources - (\$2,235,000)  
This reduction is attributed to contractor to FTE conversions across

HIR as well as removing funding received in FY16 for the VMWare renewal.

Partially offsetting these reductions, funding is requested for anticipated increases in hardware/software maintenance and licenses as well as to support the VNX2 performance and disk upgrade, Adobe enterprise licenses for the CAO and one-time project contractor costs for Knowledge Management implementation.

- v. House Recording Studio - \$0
- vi. Human Resources - (\$170,000)  
This reduction reflects decreases associated with the CAO Privacy Program as well as the Office of Employee Assistance (OEA) recordkeeping system. During FY16, both OEA's confidential recordkeeping system and a specialized CAO Privacy training program will be fully implemented. During FY17, the CAO Privacy Program will focus on maintenance and sustainment activities.
- vii. Logistics and Support - \$46,599  
This increase will support operations to the newly formed Asset Management directorate and increasing costs related to warehousing and storage as well as drape requirements. Partially offsetting these increases are anticipated cost savings due to new modular furniture installations during the Cannon Renewal project.
- viii. Strategic Initiatives/CAO Wide - \$770,000  
This increase will support PeopleSoft project initiatives.

## Schedule A - Office of Inspector General

House of Representatives  
Office of Inspector General  
By Object Class

|                                      | FY15            | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|---------------|
|                                      | Actuals         | Enacted         | Estimate        | Net Change      | Net Change    |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %     |
| 1100 Personnel Compensation          | 3,153           | 3,512           | 3,730           | 218             | 6.21%         |
| 1200 Personnel Benefits              | -               | -               | -               | -               | -             |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -             |
| 2100 Travel                          | 16              | 13              | 13              | -               | 2.20%         |
| 2200 Transportation of Things        | -               | -               | -               | -               | -             |
| 2300 Rent, Communications, Utilities | 40              | 46              | 47              | 1               | 2.20%         |
| 2400 Printing and Reproduction       | 3               | 4               | 4               | -               | 2.20%         |
| 2500 Other Services                  | 183             | 1,012           | 1,034           | 22              | 2.20%         |
| 2600 Supplies and Materials          | 21              | 94              | 96              | 2               | 2.20%         |
| 3100 Equipment                       | 47              | 61              | 62              | 1               | 2.20%         |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -             |
| <b>TOTAL</b>                         | <b>3,463</b>    | <b>4,742</b>    | <b>4,987</b>    | <b>245</b>      | <b>5.17%</b>  |
|                                      | FY15            | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|                                      | Actuals         | Enacted         | Estimate        | Net Change      | Net Change %  |
| <b>Positions</b>                     | <b>22</b>       | <b>25</b>       | <b>25</b>       | <b>-</b>        | <b>-</b>      |

*FY15 actuals reflect data as of September 30, 2015. These are expenditures only and do not reflect open obligations or post FY spending.*

## Schedule C - Office of Inspector General

House of Representatives  
Detailed Analysis of Change by Organization  
Office of Inspector General

|   | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Percent % |
|---|------------------------------------|-------------------------------------|--|--|
| <b>A. MANDATORY CHANGE</b>                          | 3,512                              | 3,730                               | 218  | 6.21%                                    |
| Personnel Base                                      | 3,512                              | 3,511                               | (1)  | (0.01%)                                  |
| Base Adjustment                                     | -                                  | 146                                 | 146  | -  |
| Cost of Living Adjustment Annualized                | -                                  | 11                                  | 11   | -  |
| Cost of Living Adjustment                           | -                                  | 62                                  | 62   | -  |
| Overtime Pay  | -                                  | -                                   | -  | -  |
| Reclassifications                                   | -                                  | -                                   | -  | -  |
| Temporary Positions                                 | -                                  | -                                   | -  | -  |
| Longevity Increase                                  | -                                  | -                                   | -  | -  |
| Meritorious Increase                                | -                                  | -                                   | -  | -  |
| Accrued Leave                                       | -                                  | -                                   | -  | -  |
| Personnel Benefits                                  | -                                  | -                                   | -  | -  |
| <b>B. PRICE LEVEL INCREASES</b>                     | -                                  | 27                                  | 27   | -  |
| <b>C. PROGRAM CHANGES</b>                           | 1,230                              | 1,230                               | -  | -  |
| Audit, Advisory, and Investigative Services Program | 958                                | 958                                 | -  | -  |
| General Operations Program                          | 189                                | 189                                 | -  | -  |
| Training Program                                    | 83                                 | 83                                  | -  | -  |
| <b>TOTAL</b>  | 4,742                              | 4,987                               | 245  | 5.17%                                    |
| <b>POSITIONS</b>                                    | 25                                 | 25                                  | -  | -  |

## Explanation of Changes Shown on Schedule C

Salaries, Officers and Employees  
Office of Inspector General

For salaries and expenses of the Office of Inspector General, \$4,987,000. The fiscal year (FY) 2017 budget request is \$245,191 or 5.17% above the *Consolidated Appropriations Act, 2016* per Public Law 114-113.

This amount includes \$3,730,140 for mandatory items, \$27,056 in price level increases, \$1,229,804 for program current services and no program changes.

I. Personnel Details: FY17 Request - \$3,730,140A. Base: \$3,511,482

- i. The estimated FY16 personnel compensation will be \$3,511,482.

B. Budget Calculations:

- i. FY16 Cost of Living Annualized - (0.31%) 1.46%
- ii. FY17 Cost of Living Prorated - (1.68%) 2.60%
- iii. FY17 Longevity - 0.00%
- iv. FY17 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY16 Cost of Living Annualized - \$11,489
- ii. FY17 Cost of Living Prorated - \$61,605
- iii. FY17 Overtime - \$0
- iv. FY17 Reclassifications - \$0
- v. FY17 Temporary Positions - \$0
- vi. FY17 Longevity - \$0
- vii. FY17 Meritorious Increase - \$0
- viii. FY17 Accrued Leave - \$0
- ix. FY17 Personnel Benefits - \$0
- x. FY17 Base Adjustment - \$145,564

In FY16, the Committee on House Administration (CHA) approved adding an FTE to support the OIG's expanded responsibilities in providing assurance services to the Legislative Branch Cyber Security Task Force. Since the additional FTE was approved after the FY16 budget submission and appropriation, we are adding \$145,564 in

FY17 to our personnel base to bring our personnel funding into alignment with approved staff levels.

II. Price Level Details: FY17 Request - \$27,056

The non-personnel estimated inflation factor is 2.2%.

III. Program Details: FY17 Request - \$1,229,804

A. Current Services:

i. Audit, Advisory, and Investigative Services Program - \$957,555

The Audit, Advisory, and Investigative Services (AAIS) program includes salaries for the Inspector General, two (2) Deputy IGs, and nineteen (19) audit, advisory, investigative, and quality assurance staff members. Based upon specific audit or advisory requirements, the Office of Inspector General (OIG) may augment its staff with contractors having specialized technical skills or subject matter expertise. The OIG prepares a 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 CHA. The OIG also assesses areas of potential risk to the House and recommends additional audits and advisories. The House OIG will also be serving in an assurance role for the newly established Legislative Branch Cyber Security Task Force. The scope, depth, and number of audits and advisories vary from year to year because of changes in House operations, emerging trends, the continual reassessment of risk, and the availability of funds for obligation. Because investigative services are ad hoc in nature and are performed on an as needed basis, the number, scope, and level of effort for investigative projects is not easily predicted. 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 this program is the purchase of audit-specific supplies (e.g. computer hardware, software, and forensic tools for audits and investigations), printing of OIG Advisory Services and Fraud Awareness brochures, and audit- or advisory-specific training. Finally, included in this program funding is audit- or advisory- related subscriptions and publications used as guides, references, and resources in the planning and performance of audits, advisories, and investigations.

ii. General Operations Program - \$189,249

The General Operations (OPS) Program includes salaries for three Support Services Division staff members who provide human resources management, contracting and procurement services, IT support, budget formulation and execution, process improvements and automation, files maintenance and disposition, and other administrative support activities to ensure audit and advisory staff and management have the necessary resources, services, and support to effectively and efficiently perform mission activities. This program includes the purchase of general office supplies, equipment (including maintenance agreements), office furnishings, enterprise computer

software, hardware, and/or licensing agreements, relevant publications, communications equipment and service subscriptions, consultant and technical service support, as well as payment for shipment of purchased items.

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 is 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, training aids, accessories, or publications associated with OIG training are also covered under this program.

B. Proposed Changes:

- i. Audit, Advisory, and Investigative Services Program - \$0
- ii. General Operations Program - \$0
- iii. Training Program - \$0

## Schedule A - Office of General Counsel

House of Representatives  
Office of General Counsel  
By Object Class

|                                      | FY15            | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|---------------|
|                                      | Actuals         | Enacted         | Estimate        | Net Change      | Net Change    |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %     |
| 1100 Personnel Compensation          | 1,214           | 1,284           | 1,321           | 37              | 2.87%         |
| 1200 Personnel Benefits              | -               | -               | -               | -               | -             |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -             |
| 2100 Travel                          | 8               | 12              | 12              | -               | -             |
| 2200 Transportation of Things        | -               | -               | -               | -               | -             |
| 2300 Rent, Communications, Utilities | 8               | 11              | 11              | -               | -             |
| 2400 Printing and Reproduction       | 4               | 4               | 5               | 1               | 17.33%        |
| 2500 Other Services                  | 141             | 5               | 8               | 3               | 60.00%        |
| 2600 Supplies and Materials          | 52              | 60              | 62              | 2               | 3.33%         |
| 3100 Equipment                       | 18              | 37              | 32              | (5)             | (13.51%)      |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -             |
| <b>TOTAL</b>                         | <b>1,445</b>    | <b>1,413</b>    | <b>1,451</b>    | <b>38</b>       | <b>2.66%</b>  |
|                                      | FY15            | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|                                      | Actuals         | Enacted         | Estimate        | Net Change      | Net Change %  |
| <b>Positions</b>                     | <b>10</b>       | <b>11</b>       | <b>11</b>       | <b>-</b>        | <b>-</b>      |

*FY15 actuals reflect data as of September 30, 2015. These are expenditures only and do not reflect open obligations or post FY spending.*

Schedule C - Office of General Counsel

House of Representatives  
 Detailed Analysis of Change by Organization  
 Office of General Counsel

|                                      | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Percent % |
|--------------------------------------|------------------------------------|-------------------------------------|--|--|
| <b>A. MANDATORY CHANGE</b>           | <b>1,284</b>                       | <b>1,321</b>                        | <b>37</b>                                      | <b>2.87%</b>                             |
| Personnel Base                       | 1,284                              | 1,284                               | -  | -  |
| Base Adjustment                      | -                                  | -                                   | -  | -  |
| Cost of Living Adjustment Annualized | -                                  | 3                                   | 3  | -  |
| Cost of Living Adjustment            | -                                  | 18                                  | 18   | -  |
| Overtime Pay                         | -                                  | -                                   | -  | -  |
| Reclassifications                    | -                                  | -                                   | -  | -  |
| Temporary Positions                  | -                                  | -                                   | -  | -  |
| Longevity Increase                   | -                                  | -                                   | -  | -  |
| Meritorious Increase                 | -                                  | 15                                  | 15   | -  |
| Accrued Leave                        | -                                  | -                                   | -  | -  |
| Personnel Benefits                   | -                                  | -                                   | -  | -  |
| <b>B. PRICE LEVEL INCREASES</b>      |                                    |                                     |  |  |
| <b>C. PROGRAM CHANGES</b>            | <b>129</b>                         | <b>130</b>                          | <b>1</b>                                       | <b>0.54%</b>                             |
| Legal Representation and Advice      | 129                                | 130                                 | 1  | 0.54%                                    |
| <b>TOTAL</b>                         | <b>1,413</b>                       | <b>1,451</b>                        | <b>38</b>                                      | <b>2.66%</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, \$1,451,000. The fiscal year (FY) 2017 budget request is \$37,550 or 2.66% above the *Consolidated Appropriations Act, 2016* per Public Law 114- 113.

This amount includes \$1,321,307 for mandatory items, no price level increases, \$129,000 for program current services and a \$693 increase in program changes.

I. Personnel Details: FY17 Request - \$1,321,307A. Base: \$1,284,450

- i. The estimated FY16 personnel compensation will be \$1,284,450.

B. Budget Calculations:

- i. FY16 Cost of Living Annualized - (0.27%) 1.46%
- ii. FY17 Cost of Living Prorated - (1.43%) 2.60%
- iii. FY17 Longevity - 0.00%
- iv. FY17 Meritorious Increase - 1.15%

C. Requested Changes:

- i. FY16 Cost of Living Annualized - \$3,436
- ii. FY17 Cost of Living Prorated - \$18,421
- iii. FY17 Overtime - \$0
- iv. FY17 Reclassifications - \$0
- v. FY17 Temporary Positions - \$0
- vi. FY17 Longevity - \$0
- vii. FY17 Meritorious Increase - \$15,000
- viii. FY17 Accrued Leave - \$0
- ix. FY17 Personnel Benefits - \$0
- x. FY17 Base Adjustment - \$0

II. Price Level Details: FY17 Request - \$0

The non-personnel estimated inflation factor is 2.2%.

III. Program Details: FY17 Request - \$129,693A. Current Services:i. Legal Representation and Advice - \$129,000

Pursuant to Rule II.8(a) of the Rules of the House of Representatives for the 114th Congress and 2 U.S.C. § 5571 the Office of 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. 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. 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.

B. Proposed Changes:i. Legal Representation and Advice - \$693

Reflects rounding to the nearest thousand.

## Schedule A - Office of the Parliamentarian

House of Representatives  
Office of the Parliamentarian  
By Object Class

|                                      | FY15            | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|---------------|
|                                      | Actuals         | Enacted         | Estimate        | Net Change      | Net Change    |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %     |
| 1100 Personnel Compensation          | 1,565           | 1,829           | 1,865           | 35              | 1.93%         |
| 1200 Personnel Benefits              | -               | -               | -               | -               | -             |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -             |
| 2100 Travel                          | -               | -               | -               | -               | -             |
| 2200 Transportation of Things        | -               | -               | -               | -               | -             |
| 2300 Rent, Communications, Utilities | 25              | 24              | 24              | -               | -             |
| 2400 Printing and Reproduction       | -               | -               | -               | -               | -             |
| 2500 Other Services                  | -               | 55              | 45              | (10)            | (18.18%)      |
| 2600 Supplies and Materials          | 5               | 16              | 16              | -               | -             |
| 3100 Equipment                       | 17              | 50              | 60              | 10              | 20.00%        |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -             |
| <b>TOTAL</b>                         | <b>1,612</b>    | <b>1,975</b>    | <b>2,010</b>    | <b>35</b>       | <b>1.79%</b>  |
|                                      | FY15            | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|                                      | Actuals         | Enacted         | Estimate        | Net Change      | Net Change %  |
| <b>Positions</b>                     | <b>12</b>       | <b>13</b>       | <b>13</b>       | <b>-</b>        | <b>-</b>      |

*FY15 actuals reflect data as of September 30, 2015. These are expenditures only and do not reflect open obligations or post FY spending.*

Schedule C - Office of the Parliamentarian

House of Representatives  
Detailed Analysis of Change by Organization  
Office of the Parliamentarian

|                                      | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Percent % |
|--------------------------------------|------------------------------------|-------------------------------------|--|--|
| <b>A. MANDATORY CHANGE</b>           | <b>1,829</b>                       | <b>1,865</b>                        | <b>35</b>                                      | <b>1.93%</b>                             |
| Personnel Base                       | 1,829                              | 1,830                               | 1  | 0.05%                                    |
| Base Adjustment                      | -                                  | -                                   | -  | -  |
| Cost of Living Adjustment Annualized | -                                  | 5                                   | 5  | -  |
| Cost of Living Adjustment            | -                                  | 29                                  | 29   | -  |
| Overtime Pay                         | -                                  | -                                   | -  | -  |
| Reclassifications                    | -                                  | -                                   | -  | -  |
| Temporary Positions                  | -                                  | -                                   | -  | -  |
| Longevity Increase                   | -                                  | -                                   | -  | -  |
| Meritorious Increase                 | -                                  | -                                   | -  | -  |
| Accrued Leave                        | -                                  | -                                   | -  | -  |
| Personnel Benefits                   | -                                  | -                                   | -  | -  |
| <b>B. PRICE LEVEL INCREASES</b>      | -                                  | -                                   | -  | -  |
| <b>C. PROGRAM CHANGES</b>            | <b>145</b>                         | <b>145</b>                          | -  | -  |
| Daily Procedural Services            | 145                                | 145                                 | -  | -  |
| <b>TOTAL</b>                         | <b>1,975</b>                       | <b>2,010</b>                        | <b>35</b>                                      | <b>1.79%</b>                             |
| <b>POSITIONS</b>                     | <b>13</b>                          | <b>13</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, \$2,010,000. The fiscal year (FY) 2017 budget request is \$35,394 or 1.79% above the *Consolidated Appropriations Act, 2016* per Public Law 114-113.

This amount includes \$1,864,751 for mandatory items, no price level increases, \$145,249 for program current services and no program changes.

I. Personnel Details: FY17 Request - \$1,864,751A. Base: \$1,830,239

- i. The estimated FY16 personnel compensation will be \$1,830,239.

B. Budget Calculations:

- i. FY16 Cost of Living Annualized - (0.30%) 1.46%
- ii. FY17 Cost of Living Prorated - (1.58%) 2.60%
- iii. FY17 Longevity - 0.00%
- iv. FY17 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY16 Cost of Living Annualized - \$5,425
- ii. FY17 Cost of Living Prorated - \$29,087
- iii. FY17 Overtime - \$0
- iv. FY17 Reclassifications - \$0
- v. FY17 Temporary Positions - \$0
- vi. FY17 Longevity - \$0
- vii. FY17 Meritorious Increase - \$0
- viii. FY17 Accrued Leave - \$0
- ix. FY17 Personnel Benefits - \$0
- x. FY17 Base Adjustment - \$0

II. Price Level Details: FY17 Request - \$0

The non-personnel estimated inflation factor is 2.2%.

III. Program Details: FY17 Request - \$145,249A. Current Services:i. Daily Procedural Services - \$145,249

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. The Parliamentarian also compiles and publishes various sources of the parliamentary law of the House (see sections 28, 28a, and 29 of Title 2, United States Code).

B. Proposed Changes:i. Daily Procedural Services - \$0

## Schedule A - Office of the Law Revision Counsel

House of Representatives  
Office of the Law Revision Counsel  
By Object Class

|                                      | FY15            | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|---------------|
|                                      | Actuals         | Enacted         | Estimate        | Net Change      | Net Change    |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %     |
| 1100 Personnel Compensation          | 2,109           | 2,355           | 2,402           | 47              | 1.98%         |
| 1200 Personnel Benefits              | -               | -               | -               | -               | -             |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -             |
| 2100 Travel                          | -               | -               | -               | -               | -             |
| 2200 Transportation of Things        | -               | -               | -               | -               | -             |
| 2300 Rent, Communications, Utilities | 8               | 10              | 10              | -               | -             |
| 2400 Printing and Reproduction       | -               | -               | 1               | 1               | -             |
| 2500 Other Services                  | 128             | 593             | 600             | 7               | 1.18%         |
| 2600 Supplies and Materials          | 33              | 60              | 60              | -               | -             |
| 3100 Equipment                       | 7               | 102             | 109             | 8               | 7.38%         |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -             |
| <b>TOTAL</b>                         | <b>2,286</b>    | <b>3,120</b>    | <b>3,182</b>    | <b>62</b>       | <b>1.99%</b>  |
|                                      | FY15            | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|                                      | Actuals         | Enacted         | Estimate        | Net Change      | Net Change %  |
| <b>Positions</b>                     | <b>17</b>       | <b>21</b>       | <b>21</b>       | <b>-</b>        | <b>-</b>      |

*FY15 actuals reflect data as of September 30, 2015. These are expenditures only and do not reflect open obligations or post FY spending.*

## Schedule C - Office of the Law Revision Counsel

House of Representatives  
Detailed Analysis of Change by Organization  
Office of the Law Revision Counsel

|                                      | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Percent % |
|--------------------------------------|------------------------------------|-------------------------------------|--|--|
| <b>A. MANDATORY CHANGE</b>           | <b>2,355</b>                       | <b>2,402</b>                        | <b>47</b>                                      | <b>1.98%</b>                             |
| Personnel Base                       | 2,355                              | 2,355                               | -  | -  |
| Base Adjustment                      | -                                  | -                                   | -  | -  |
| Cost of Living Adjustment Annualized | -                                  | 7                                   | 7  | -  |
| Cost of Living Adjustment            | -                                  | 39                                  | 39   | -  |
| Overtime Pay                         | -                                  | -                                   | -  | -  |
| Reclassifications                    | -                                  | -                                   | -  | -  |
| Temporary Positions                  | -                                  | -                                   | -  | -  |
| Longevity Increase                   | -                                  | -                                   | -  | -  |
| Meritorious Increase                 | -                                  | -                                   | -  | -  |
| Accrued Leave                        | -                                  | -                                   | -  | -  |
| Personnel Benefits                   | -                                  | -                                   | -  | -  |
| <b>B. PRICE LEVEL INCREASES</b>      | <b>-</b>                           | <b>2</b>                            | <b>2</b>                                       | <b>-</b>                                 |
| <b>C. PROGRAM CHANGES</b>            | <b>765</b>                         | <b>778</b>                          | <b>13</b>                                      | <b>1.74%</b>                             |
| General Operations Program           | 765                                | 778                                 | 13   | 1.74%                                    |
| <b>TOTAL</b>                         | <b>3,120</b>                       | <b>3,182</b>                        | <b>62</b>                                      | <b>1.99%</b>                             |
| <b>POSITIONS</b>                     | <b>21</b>                          | <b>21</b>                           | <b>-</b>                                       | <b>-</b>                                 |

## Explanation of Changes Shown on Schedule C

Salaries, Officers and Employees  
Office of the Law Revision Counsel

For salaries and expenses of the Office of the Law Revision Counsel, \$3,182,000. The fiscal year (FY) 2017 budget request is \$62,234 or 1.99% above the *Consolidated Appropriations Act, 2016* per Public Law 114-113.

This amount includes \$2,401,580 for mandatory items, \$2,242 in price level increases, \$764,900 for program current services and a \$13,278 increase in program changes.

I. Personnel Details: FY17 Request - \$2,401,580A. Base: \$2,354,866

- i. The estimated FY16 personnel compensation will be \$2,354,866.

B. Budget Calculations:

- i. FY16 Cost of Living Annualized - (0.31%) 1.46%
- ii. FY17 Cost of Living Prorated - (1.67%) 2.60%
- iii. FY17 Longevity - 0.00%
- iv. FY17 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY16 Cost of Living Annualized - \$7,343
- ii. FY17 Cost of Living Prorated - \$39,371
- iii. FY17 Overtime - \$0
- iv. FY17 Reclassifications - \$0
- v. FY17 Temporary Positions - \$0
- vi. FY17 Longevity - \$0
- vii. FY17 Meritorious Increase - \$0
- viii. FY17 Accrued Leave - \$0
- ix. FY17 Personnel Benefits - \$0
- x. FY17 Base Adjustment - \$0

II. Price Level Details: FY17 Request - \$2,242

The non-personnel estimated inflation factor is 2.2%.

III. Program Details: FY17 Request - \$778,178

A. Current Services:

- i. General Operations Program - \$764,900  
Administrative/Operational Costs covers administrative functions of the Law Revision Counsel of the House (OLRC). These expenses include the budget object categories of Travel, Rent, Communications, and Utilities, Printing, Supplies, Equipment and Other Services.
- ii. Modernization - \$0  
The House Modernization Initiative is a collaborative effort by the OLRC and the House Legislative Counsel (HOLC) begun at the behest of House leadership in 2012. The OLRC's part of the initiative proceeds in three stages: (1) convert the United States Code into XML and develop conversion tools to facilitate its use by other Hill offices; (2) develop a Codification drafting tool to draft bills in XML compatible with current efforts of the HOLC and Senate Legislative Counsel; and (3) develop a Code editing tool which allows the OLRC to edit and maintain the Code in XML. In FY12, OLRC's part of the initiative was initially funded with \$1,084,832 of reprogrammed funds, leaving a projected balance of \$1,791,104 needed to complete the project. In FY13, FY14, and FY15, the OLRC obligated significant amounts of its own funds to continue the initiative without interruption. In addition, the OLRC's budget request of \$1,000,000 was approved in FY15. The OLRC hopes that this funding will allow the OLRC to complete the House Modernization Initiative as originally envisioned. However, additional funding may be needed to complete follow-on projects that enhance or facilitate the House Modernization Initiative's objectives.

B. Proposed Changes:

- i. General Operations Program - \$13,278  
Printing and Reproduction increase is due to anticipated advertising costs in filling two vacant FTE positions in FY17. Other Services increase is due to anticipated inflation. Equipment increase is due to anticipated computer equipment purchases in FY17 to implement Stages 2 and 3 of the Modernization Initiative.
- ii. Modernization - \$0  
In FY15, the OLRC's budget request of \$1,000,000 for the completion of the Modernization Initiative was approved. Thus, we will not need to request this additional funding in FY17.

## Schedule A - Office of the Legislative Counsel

House of Representatives  
Office of the Legislative Counsel  
By Object Class

|                                      | FY15            | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|---------------|
|                                      | Actuals         | Enacted         | Estimate        | Net Change      | Net Change    |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %     |
| 1100 Personnel Compensation          | 7,823           | 8,094           | 8,761           | 667             | 8.25%         |
| 1200 Personnel Benefits              | -               | -               | -               | -               | -             |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -             |
| 2100 Travel                          | 5               | 4               | 4               | -               | 2.00%         |
| 2200 Transportation of Things        | -               | -               | -               | -               | -             |
| 2300 Rent, Communications, Utilities | 38              | 37              | 38              | 1               | 3.78%         |
| 2400 Printing and Reproduction       | 1               | -               | -               | -               | -             |
| 2500 Other Services                  | 100             | 80              | 47              | (33)            | (40.96%)      |
| 2600 Supplies and Materials          | 72              | 68              | 64              | (4)             | (5.92%)       |
| 3100 Equipment                       | 41              | 70              | 64              | (6)             | (8.82%)       |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -             |
| <b>TOTAL</b>                         | <b>8,080</b>    | <b>8,353</b>    | <b>8,979</b>    | <b>626</b>      | <b>7.49%</b>  |
|                                      | FY15            | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|                                      | Actuals         | Enacted         | Estimate        | Net Change      | Net Change %  |
| <b>Positions</b>                     | <b>66</b>       | <b>70</b>       | <b>72</b>       | <b>2</b>        | <b>2.86%</b>  |

*FY15 actuals reflect data as of September 30, 2015. These are expenditures only and do not reflect open obligations or post FY spending.*

## Schedule C - Office of the Legislative Counsel

House of Representatives  
Detailed Analysis of Change by Organization  
Office of the Legislative Counsel

|                                      | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Percent % |
|--------------------------------------|------------------------------------|-------------------------------------|--|--|
| <b>A. MANDATORY CHANGE</b>           | <b>8,094</b>                       | <b>8,611</b>                        | <b>517</b>                                     | <b>6.39%</b>                             |
| Personnel Base                       | 8,094                              | 8,094                               | -  | -  |
| Base Adjustment                      | -                                  | 517                                 | 517  | -  |
| Cost of Living Adjustment Annualized | -                                  | -                                   | -  | -  |
| Cost of Living Adjustment            | -                                  | -                                   | -  | -  |
| Overtime Pay                         | -                                  | -                                   | -  | -  |
| Reclassifications                    | -                                  | -                                   | -  | -  |
| Temporary Positions                  | -                                  | -                                   | -  | -  |
| Longevity Increase                   | -                                  | -                                   | -  | -  |
| Meritorious Increase                 | -                                  | -                                   | -  | -  |
| Accrued Leave                        | -                                  | -                                   | -  | -  |
| Personnel Benefits                   | -                                  | -                                   | -  | -  |
| <b>B. PRICE LEVEL INCREASES</b>      |                                    | <b>1</b>                            | <b>1</b>                                       | <b>-</b>                                 |
| <b>C. PROGRAM CHANGES</b>            | <b>259</b>                         | <b>367</b>                          | <b>108</b>                                     | <b>41.62%</b>                            |
| General Operations Program           | 259                                | 217                                 | (42)   | (16.30%)                                 |
| Staff Level Increase                 | -                                  | 150                                 | 150  | -  |
| <b>TOTAL</b>                         | <b>8,353</b>                       | <b>8,979</b>                        | <b>626</b>                                     | <b>7.49%</b>                             |
| <b>POSITIONS</b>                     | <b>70</b>                          | <b>72</b>                           | <b>2</b>                                       | <b>2.86%</b>                             |

## Explanation of Changes Shown on Schedule C

Salaries, Officers and Employees  
Office of the Legislative Counsel

For salaries and expenses of the Office of the Legislative Counsel, \$8,979,000. The fiscal year (FY) 2017 budget request is \$626,025 or 7.49% above the *Consolidated Appropriations Act, 2016* per Public Law 114-113.

This amount includes \$8,611,413 for mandatory items, \$814 in price level increases, \$258,975 for program current services and a \$107,798 increase in program changes.

I. Personnel Details: FY17 Request - \$8,611,413A. Base: \$8,094,097

- i. The estimated FY16 personnel compensation will be \$8,094,097.

B. Budget Calculations:

- i. FY16 Cost of Living Annualized - (0.37%) 1.46%
- ii. FY17 Cost of Living Prorated - (1.95%) 2.60%
- iii. FY17 Longevity - 0.00%
- iv. FY17 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY16 Cost of Living Annualized - \$0
- ii. FY17 Cost of Living Prorated - \$0
- iii. FY17 Overtime - \$0
- iv. FY17 Reclassifications - \$0
- v. FY17 Temporary Positions - \$0
- vi. FY17 Longevity - \$0
- vii. FY17 Meritorious Increase - \$0
- viii. FY17 Accrued Leave - \$0
- ix. FY17 Personnel Benefits - \$0
- x. FY17 Base Adjustment - \$517,316

In order to retain highly trained and skilled attorneys, there is a need to maintain compensation at least in parity with attorneys in similar positions in the Congress and the Executive Branch, particularly with respect to attorneys in the Office of the Senate Legislative Counsel (SLC) who perform comparable functions. We

have been monitoring changes in SLC salary levels through LegiStorm data (and other means) and our personnel compensation levels have been projected based on our projected estimates to maintain that parity. In addition, because of the long lead time it takes to train new attorneys in many of the more complex fields in which we provide drafting services and the need to maintain senior attorneys to do such training, there is a transitional need to retain senior personnel (who are nearing retirement) to overlap with new personnel who are learning their areas. It is anticipated (but we can't budget precisely) that there will be retirements of senior staff that will offset a significant portion of the projected increases shown.

II. Price Level Details: FY17 Request - \$814

The non-personnel estimated inflation factor is 2.2%.

III. Program Details: FY17 Request - \$366,773

A. Current Services:

i. General Operations Program - \$258,975

This program includes expenditures for travel, rent, communications, printing, furniture, computer equipment (hardware & software), office supplies, maintenance fees, contract services (excluding contract services that are for special projects that have a separate program such as the Modernization Initiative or Transparency Initiative), staff training, and publications/subscriptions.

B. Proposed Changes:

i. General Operations Program - (\$42,202)

We intend to eliminate certain contracts because of software improvements to be made during FY16 and a reduction in equipment expenditures because of a one-time license upgrade in FY16 that will not recur in FY17.

ii. Staff Level Increase - \$150,000

The office plans to hire 2 new attorneys, which would bring the total full time staff to 68. However, the office customarily hires 3 interns during the summer months, which would exceed the current amount of Authorized Positions during several months in the summer. The requested increase in positions will prevent the office from exceeding the Authorized Positions during the summer months.

## Schedule A - Office of Interparliamentary Affairs

House of Representatives  
Office of Interparliamentary Affairs  
By Object Class

|                                      | FY15<br>Actuals<br>Dollars (\$000) | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Percent % |
|--------------------------------------|------------------------------------|------------------------------------|-------------------------------------|--|--|
| 1100 Personnel Compensation          | 320                                | 418                                | 424                                 | 6  | 1.36%                                    |
| 1200 Personnel Benefits              | -                                  | -                                  | -                                   | -  | -  |
| 1300 Benefits to Former Personnel    | -                                  | -                                  | -                                   | -  | -  |
| 2100 Travel                          | -                                  | 10                                 | 10                                  | -  | -  |
| 2200 Transportation of Things        | -                                  | -                                  | -                                   | -  | -  |
| 2300 Rent, Communications, Utilities | 3                                  | 25                                 | 25                                  | -  | -  |
| 2400 Printing and Reproduction       | -                                  | 10                                 | 10                                  | -  | -  |
| 2500 Other Services                  | -                                  | 25                                 | 25                                  | -  | -  |
| 2600 Supplies and Materials          | 80                                 | 286                                | 280                                 | (6)  | (2.01%)                                  |
| 3100 Equipment                       | 2                                  | 40                                 | 40                                  | -  | -  |
| 4200 Insurance Claims/Indemnities    | -                                  | -                                  | -                                   | -  | -  |
| <b>TOTAL</b>                         | <b>405</b>                         | <b>814</b>                         | <b>814</b>                          | <b>-</b>                                       | <b>(0.01%)</b>                           |
|                                      | FY15<br>Actuals                    | FY16<br>Enacted                    | FY17<br>Estimate                    | FY17 vs. FY16<br>Net Change                    | FY17 vs. FY16<br>Net Change %            |
| <b>Positions</b>                     | 5                                  | 5                                  | 5                                   | -  | -  |

*FY15 actuals reflect data as of September 30, 2015. These are expenditures only and do not reflect open obligations or post FY spending.*

## Schedule C - Office of Interparliamentary Affairs

House of Representatives  
Detailed Analysis of Change by Organization  
Office of Interparliamentary Affairs

|                                      | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16  |
|--------------------------------------|-----------------|-----------------|-----------------|----------------|
|                                      | Enacted         | Estimate        | Net Change      | Net Change     |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %      |
| <b>A. MANDATORY CHANGE</b>           | <b>418</b>      | <b>424</b>      | <b>6</b>        | <b>1.36%</b>   |
| Personnel Base                       | 418             | 418             | -               | -              |
| Base Adjustment                      | -               | -               | -               | -              |
| Cost of Living Adjustment Annualized | -               | 1               | 1               | -              |
| Cost of Living Adjustment            | -               | 5               | 5               | -              |
| Overtime Pay                         | -               | -               | -               | -              |
| Reclassifications                    | -               | -               | -               | -              |
| Temporary Positions                  | -               | -               | -               | -              |
| Longevity Increase                   | -               | -               | -               | -              |
| Meritorious Increase                 | -               | -               | -               | -              |
| Accrued Leave                        | -               | -               | -               | -              |
| Personnel Benefits                   | -               | -               | -               | -              |
| <b>B. PRICE LEVEL INCREASES</b>      | <b>-</b>        | <b>-</b>        | <b>-</b>        | <b>-</b>       |
| <b>C. PROGRAM CHANGES</b>            | <b>396</b>      | <b>390</b>      | <b>(6)</b>      | <b>(1.46%)</b> |
| Office of Interparliamentary Affairs | 396             | 390             | (6)             | (1.46%)        |
| <b>TOTAL</b>                         | <b>814</b>      | <b>814</b>      | <b>-</b>        | <b>(0.01%)</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, \$814,000. The fiscal year (FY) 2017 budget request is (\$69) or (0.01%) below the *Consolidated Appropriations Act, 2016* per Public Law 114-113.

This amount includes \$423,546 for mandatory items, no price level increases, \$396,221 for program current services and a (\$5,767) decrease in program changes.

I. Personnel Details: FY17 Request - \$423,546A. Base: \$417,848

- i. The estimated FY16 personnel compensation will be \$417,848.

B. Budget Calculations:

- i. FY16 Cost of Living Annualized - (0.21%) 1.46%
- ii. FY17 Cost of Living Prorated - (1.15%) 2.60%
- iii. FY17 Longevity - 0.00%
- iv. FY17 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY16 Cost of Living Annualized - \$896
- ii. FY17 Cost of Living Prorated - \$4,802
- iii. FY17 Overtime - \$0
- iv. FY17 Reclassifications - \$0
- v. FY17 Temporary Positions - \$0
- vi. FY17 Longevity - \$0
- vii. FY17 Meritorious Increase - \$0
- viii. FY17 Accrued Leave - \$0
- ix. FY17 Personnel Benefits - \$0
- x. FY17 Base Adjustment - \$0

II. Price Level Details: FY17 Request - \$0

The non-personnel estimated inflation factor is 2.2%.

III. Program Details: FY17 Request - \$390,454

A. Current Services:i. Office of Interparliamentary Affairs - \$396,221

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. Office of Interparliamentary Affairs - (\$5,767)

The supply account was reduced in order to absorb the increase in personnel costs due to cost of living adjustments.

## Schedule A - Technical Assistants, Office of Attending Physician

House of Representatives  
 Technical Assistants, Office of Attending Physician  
 By Object Class

|                                      | FY15<br>Actuals<br>Dollars (\$000) | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Percent % |
|--------------------------------------|------------------------------------|------------------------------------|-------------------------------------|--|--|
| 1100 Personnel Compensation          | 434                                | 479                                | 479                                 | -  | 0.00%                                    |
| 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>                         | 434                                | 479                                | 479                                 | -  | 0.00%                                    |
|                                      | FY15<br>Actuals                    | FY16<br>Enacted                    | FY17<br>Estimate                    | FY17 vs. FY16<br>Net Change                    | FY17 vs. FY16<br>Net Change %            |
| <b>Positions</b>                     | 3                                  | 3                                  | 3                                   | -  | -  |

*FY15 actuals reflect data as of September 30, 2015. These are expenditures only and do not reflect open obligations or post FY spending.*

Schedule C - Technical Assistants, Office of Attending Physician

House of Representatives  
 Detailed Analysis of Change by Organization  
 Technical Assistants, Office of Attending Physician

|                                      | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|--------------------------------------|-----------------|-----------------|-----------------|---------------|
|                                      | Enacted         | Estimate        | Net Change      | Net Change    |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %     |
| <b>A. MANDATORY CHANGE</b>           | 479             | 479             | -               | 0.00%         |
| Personnel Base                       | 479             | 479             | -               | 0.00%         |
| Base Adjustment                      | -               | -               | -               | -             |
| Cost of Living Adjustment Annualized | -               | -               | -               | -             |
| Cost of Living Adjustment            | -               | -               | -               | -             |
| Overtime Pay                         | -               | -               | -               | -             |
| Reclassifications                    | -               | -               | -               | -             |
| Temporary Positions                  | -               | -               | -               | -             |
| Longevity Increase                   | -               | -               | -               | -             |
| Meritorious Increase                 | -               | -               | -               | -             |
| Accrued Leave                        | -               | -               | -               | -             |
| Personnel Benefits                   | -               | -               | -               | -             |
| <b>B. PRICE LEVEL INCREASES</b>      | -               | -               | -               | -             |
| <b>C. PROGRAM CHANGES</b>            | -               | -               | -               | -             |
| <b>TOTAL</b>                         | 479             | 479             | -               | 0.00%         |
| <b>POSITIONS</b>                     | 3               | 3               | -               | -             |

## Explanation of Changes Shown on Schedule C

Salaries, Officers and Employees  
Technical Assistants, Office of Attending Physician

For salaries and expenses of the Technical Assistants, Office of Attending Physician, \$479,000. The fiscal year (FY) 2017 budget request is \$14 or 0.00% above the *Consolidated Appropriations Act, 2016* per Public Law 114-113.

This amount includes \$479,000 for mandatory items, no price level increases, \$0 for program current services and no program changes.

I. Personnel Details: FY17 Request - \$479,000A. Base: \$479,000

- i. The estimated FY16 personnel compensation will be \$479,000.

B. Budget Calculations:

- i. FY16 Cost of Living Annualized - (0.37%) 1.46%
- ii. FY17 Cost of Living Prorated - (1.95%) 2.60%
- iii. FY17 Longevity - 0.00%
- iv. FY17 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY16 Cost of Living Annualized - \$0
- ii. FY17 Cost of Living Prorated - \$0
- iii. FY17 Overtime - \$0
- iv. FY17 Reclassifications - \$0
- v. FY17 Temporary Positions - \$0
- vi. FY17 Longevity - \$0
- vii. FY17 Meritorious Increase - \$0
- viii. FY17 Accrued Leave - \$0
- ix. FY17 Personnel Benefits - \$0
- x. FY17 Base Adjustment - \$0

II. Price Level Details: FY17 Request - \$0

The non-personnel estimated inflation factor is 2.2%.

III. Program Details: FY17 Request - \$0

A. Current Services:

- i. Technical Assistants, Office of Attending Physician - \$0

B. Proposed Changes:

- i. Technical Assistants, Office of Attending Physician - \$0

## Schedule A - Former Speaker's Staff

House of Representatives  
Former Speaker's Staff  
By Object Class

|                                      | FY15<br>Actuals<br>Dollars (\$000) | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Percent % |
|--------------------------------------|------------------------------------|------------------------------------|-------------------------------------|--|--|
| 1100 Personnel Compensation          | -                                  | 378                                | 421                                 | 44   | 11.53%                                   |
| 1200 Personnel Benefits              | -                                  | -                                  | -                                   | -  | -  |
| 1300 Benefits to Former Personnel    | -                                  | -                                  | -                                   | -  | -  |
| 2100 Travel                          | -                                  | -                                  | -                                   | -  | -  |
| 2200 Transportation of Things        | -                                  | -                                  | -                                   | -  | -  |
| 2300 Rent, Communications, Utilities | -                                  | 143                                | 143                                 | -  | 0.26%                                    |
| 2400 Printing and Reproduction       | -                                  | -                                  | -                                   | -  | -  |
| 2500 Other Services                  | -                                  | -                                  | -                                   | -  | -  |
| 2600 Supplies and Materials          | -                                  | 143                                | 143                                 | -  | -  |
| 3100 Equipment                       | -                                  | -                                  | -                                   | -  | -  |
| 4200 Insurance Claims/Indemnities    | -                                  | -                                  | -                                   | -  | -  |
| <b>TOTAL</b>                         | -                                  | 663                                | 707                                 | 44   | 6.62%                                    |
|                                      | FY15<br>Actuals                    | FY16<br>Enacted                    | FY17<br>Estimate                    | FY17 vs. FY16<br>Net Change                    | FY17 vs. FY16<br>Net Change %            |
| Positions                            | -                                  | 3                                  | 3                                   | -  | -  |

*FY15 actuals reflect data as of September 30, 2015. These are expenditures only and do not reflect open obligations or post FY spending.*

## Schedule C - Former Speaker's Staff

House of Representatives  
Detailed Analysis of Change by Organization  
Former Speaker's Staff

|                                      | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Percent % |
|--------------------------------------|------------------------------------|-------------------------------------|--|--|
| <b>A. MANDATORY CHANGE</b>           | <b>378</b>                         | <b>421</b>                          | <b>44</b>                                      | <b>11.53%</b>                            |
| Personnel Base                       | 378                                | 412                                 | 34   | 9.00%                                    |
| Base Adjustment                      | -                                  | -                                   | -  | -  |
| Cost of Living Adjustment Annualized | -                                  | 2                                   | 2  | -  |
| Cost of Living Adjustment            | -                                  | 8                                   | 8  | -  |
| Overtime Pay                         | -                                  | -                                   | -  | -  |
| Reclassifications                    | -                                  | -                                   | -  | -  |
| Temporary Positions                  | -                                  | -                                   | -  | -  |
| Longevity Increase                   | -                                  | -                                   | -  | -  |
| Meritorious Increase                 | -                                  | -                                   | -  | -  |
| Accrued Leave                        | -                                  | -                                   | -  | -  |
| Personnel Benefits                   | -                                  | -                                   | -  | -  |
| <b>B. PRICE LEVEL INCREASES</b>      | <b>-</b>                           | <b>-</b>                            | <b>-</b>                                       | <b>-</b>                                 |
| <b>C. PROGRAM CHANGES</b>            | <b>285</b>                         | <b>286</b>                          | <b>-</b>                                       | <b>0.13%</b>                             |
| Former Speaker Boehner               | 285                                | 286                                 | -  | 0.13%                                    |
| <b>TOTAL</b>                         | <b>663</b>                         | <b>707</b>                          | <b>44</b>                                      | <b>6.62%</b>                             |
| <b>POSITIONS</b>                     | <b>3</b>                           | <b>3</b>                            | <b>-</b>                                       | <b>-</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, \$707,000. The fiscal year (FY) 2017 budget request is \$43,911 or 6.62% above the *Consolidated Appropriations Act, 2016* per Public Law 114-113.

This amount includes \$421,232 for mandatory items, no price level increases, \$285,392 for program current services and a \$376 increase in program changes.

I. Personnel Details: FY17 Request - \$421,232A. Base: \$411,672

- i. The estimated FY16 personnel compensation will be \$411,672.

B. Budget Calculations:

- i. FY16 Cost of Living Annualized - (0.37%) 1.46%
- ii. FY17 Cost of Living Prorated - (1.95%) 2.60%
- iii. FY17 Longevity - 0.00%
- iv. FY17 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY16 Cost of Living Annualized - \$1,503
- ii. FY17 Cost of Living Prorated - \$8,057
- iii. FY17 Overtime - \$0
- iv. FY17 Reclassifications - \$0
- v. FY17 Temporary Positions - \$0
- vi. FY17 Longevity - \$0
- vii. FY17 Meritorious Increase - \$0
- viii. FY17 Accrued Leave - \$0
- ix. FY17 Personnel Benefits - \$0
- x. FY17 Base Adjustment - \$0

II. Price Level Details: FY17 Request - \$0

The non-personnel estimated inflation factor is 2.2%.

III. Program Details: FY17 Request - \$285,768A. Current Services:

- i. Former Speaker Boehner - \$285,392  
Per 2 U.S.C. 5125-5129, "Each former Speaker of the House of Representatives is entitled to retain, commencing at the expiration of his term of office as a Representative in Congress, the complete and exclusive use of one office selected by him in order to facilitate the administration, settlement, and conclusion of matters pertaining to or arising out of his incumbency in office as a Representative in Congress and as Speaker of the House of Representatives. Former Speaker Boehner's Office was established on November 1, 2015.

B. Proposed Changes:

- i. Former Speaker Boehner - \$376  
It funds the office for a full year. In FY16 the office funding was prorated based on the date in which it was officially open.

## Schedule A - Other Authorized Employees

House of Representatives  
Other Authorized Employees  
By Object Class

|                                      | FY15<br>Actuals<br>Dollars (\$000) | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Percent % |
|--------------------------------------|------------------------------------|------------------------------------|-------------------------------------|--|--|
| 1100 Personnel Compensation          | 434                                | 857                                | 900                                 | 44   | 5.08%                                    |
| 1200 Personnel Benefits              | -                                  | -                                  | -                                   | -  | -  |
| 1300 Benefits to Former Personnel    | -                                  | -                                  | -                                   | -  | -  |
| 2100 Travel                          | -                                  | -                                  | -                                   | -  | -  |
| 2200 Transportation of Things        | -                                  | -                                  | -                                   | -  | -  |
| 2300 Rent, Communications, Utilities | -                                  | 143                                | 143                                 | -  | 0.26%                                    |
| 2400 Printing and Reproduction       | -                                  | -                                  | -                                   | -  | -  |
| 2500 Other Services                  | -                                  | -                                  | -                                   | -  | -  |
| 2600 Supplies and Materials          | -                                  | 143                                | 143                                 | -  | -  |
| 3100 Equipment                       | -                                  | -                                  | -                                   | -  | -  |
| 4200 Insurance Claims/Indemnities    | -                                  | -                                  | -                                   | -  | -  |
| <b>TOTAL</b>                         | <b>434</b>                         | <b>1,142</b>                       | <b>1,186</b>                        | <b>44</b>                                      | <b>3.85%</b>                             |
|                                      | FY15<br>Actuals                    | FY16<br>Enacted                    | FY17<br>Estimate                    | FY17 vs. FY16<br>Net Change                    | FY17 vs. FY16<br>Net Change %            |
| <b>Positions</b>                     | <b>3</b>                           | <b>6</b>                           | <b>6</b>                            | <b>-</b>                                       | <b>-</b>                                 |

*FY15 actuals reflect data as of September 30, 2015. These are expenditures only and do not reflect open obligations or post FY spending.*

## Schedule C - Other Authorized Employees

House of Representatives  
Detailed Analysis of Change by Organization  
Other Authorized Employees

|                                      | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|--------------------------------------|-----------------|-----------------|-----------------|---------------|
|                                      | Enacted         | Estimate        | Net Change      | Net Change    |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %     |
| <b>A. MANDATORY CHANGE</b>           | 857             | 900             | 44              | 5.08%         |
| Personnel Base                       | 857             | 891             | 34              | 3.97%         |
| Base Adjustment                      | -               | -               | -               | -             |
| Cost of Living Adjustment Annualized | -               | 2               | 2               | -             |
| Cost of Living Adjustment            | -               | 8               | 8               | -             |
| Overtime Pay                         | -               | -               | -               | -             |
| Reclassifications                    | -               | -               | -               | -             |
| Temporary Positions                  | -               | -               | -               | -             |
| Longevity Increase                   | -               | -               | -               | -             |
| Meritorious Increase                 | -               | -               | -               | -             |
| Accrued Leave                        | -               | -               | -               | -             |
| Personnel Benefits                   | -               | -               | -               | -             |
| <b>B. PRICE LEVEL INCREASES</b>      | -               | -               | -               | -             |
| <b>C. PROGRAM CHANGES</b>            | 285             | 286             | -               | 0.13%         |
| Former Speaker's Staff               | 285             | 286             | -               | 0.13%         |
| <b>TOTAL</b>                         | <b>1,142</b>    | <b>1,186</b>    | <b>44</b>       | <b>3.85%</b>  |
| <b>POSITIONS</b>                     | <b>6</b>        | <b>6</b>        | <b>-</b>        | <b>-</b>      |

## Schedule A - Total - Salaries, Officers and Employees

House of Representatives  
Total - Salaries, Officers and Employees  
By Object Class

|                                      | FY15<br>Actuals<br>Dollars (\$000) | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Percent % |
|--------------------------------------|------------------------------------|------------------------------------|-------------------------------------|--|--|
| 1100 Personnel Compensation          | 99,729                             | 114,383                            | 118,646                             | 4,264  | 3.73%                                    |
| 1200 Personnel Benefits              | -                                  | -                                  | -                                   | -  | -  |
| 1300 Benefits to Former Personnel    | -                                  | -                                  | -                                   | -  | -  |
| 2100 Travel                          | 281                                | 514                                | 434                                 | (80)   | (15.58%)                                 |
| 2200 Transportation of Things        | 26                                 | 13                                 | 32                                  | 19   | 146.15%                                  |
| 2300 Rent, Communications, Utilities | 4,610                              | 6,400                              | 6,408                               | 8  | 0.13%                                    |
| 2400 Printing and Reproduction       | 69                                 | 101                                | 115                                 | 14   | 13.74%                                   |
| 2500 Other Services                  | 19,063                             | 26,763                             | 26,594                              | (169)  | (0.63%)                                  |
| 2600 Supplies and Materials          | 3,000                              | 4,077                              | 3,854                               | (223)  | (5.46%)                                  |
| 3100 Equipment                       | 22,349                             | 26,281                             | 25,673                              | (609)  | (2.32%)                                  |
| 4200 Insurance Claims/Indemnities    | -                                  | -                                  | -                                   | -  | -  |
| <b>TOTAL</b>                         | <b>149,127</b>                     | <b>178,532</b>                     | <b>181,756</b>                      | <b>3,224</b>                                   | <b>1.81%</b>                             |
|                                      | FY15<br>Actuals                    | FY16<br>Enacted                    | FY17<br>Estimate                    | FY17 vs. FY16<br>Net Change                    | FY17 vs. FY16<br>Net Change %            |
| <b>Positions</b>                     | <b>1,030</b>                       | <b>1,213</b>                       | <b>1,215</b>                        | <b>2</b>                                       | <b>0.16%</b>                             |

## Schedule C - Total - Salaries, Officers and Employees

House of Representatives  
Detailed Analysis of Change by Organization  
Total - Salaries, Officers and Employees

|  | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16  |
|--|-----------------|-----------------|-----------------|----------------|
|  | Enacted         | Estimate        | Net Change      | Net Change     |
|  | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %      |
| <b>A. MANDATORY CHANGE</b>                 | <b>114,383</b>  | <b>118,496</b>  | <b>4,114</b>    | <b>3.60%</b>   |
| Personnel Base                             | 114,383         | 113,577         | (805)           | (0.70%)        |
| Base Adjustment                            | -               | 776             | 776             | -              |
| Cost of Living Adjustment Annualized       | -               | 369             | 369             | -              |
| Cost of Living Adjustment                  | -               | 1,977           | 1,977           | -              |
| Overtime Pay                               | -               | 861             | 861             | -              |
| Reclassifications                          | -               | -               | -               | -              |
| Temporary Positions                        | -               | -               | -               | -              |
| Longevity Increase                         | -               | 922             | 922             | -              |
| Mentorship Increase                        | -               | 15              | 15              | -              |
| Accrued Leave                              | -               | -               | -               | -              |
| Personnel Benefits                         | -               | -               | -               | -              |
| <b>B. PRICE LEVEL INCREASES</b>            |                 | <b>118</b>      | <b>118</b>      |                |
| <b>C. PROGRAM CHANGES</b>                  | <b>64,149</b>   | <b>63,142</b>   | <b>(1,007)</b>  | <b>(1.57%)</b> |
| Office of the Clerk                        | 4,889           | 4,960           | 71              | 1.44%          |
| Office of the Sergeant at Arms             | 5,207           | 5,567           | 360             | 6.92%          |
| Office of the Chief Administrative Officer | 50,843          | 49,289          | (1,554)         | (3.06%)        |
| Office of Inspector General                | 1,230           | 1,230           | 0               | 0.00%          |
| Office of General Counsel                  | 129             | 130             | 1               | 0.54%          |
| Office of the Parliamentarian              | 145             | 145             | -               | -              |
| Office of the Law Revision Counsel         | 765             | 778             | 13              | 1.74%          |
| Office of the Legislative Counsel          | 259             | 367             | 108             | 41.62%         |
| Office of Interparliamentary Affairs       | 396             | 390             | (6)             | (1.46%)        |
| Other Authorized Employees                 | 285             | 286             | 0               | 0.13%          |
| <b>TOTAL</b>                               | <b>178,532</b>  | <b>181,756</b>  | <b>3,224</b>    | <b>1.81%</b>   |
| <b>POSITIONS</b>                           | <b>1,213</b>    | <b>1,215</b>    | <b>2</b>        | <b>0.16%</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

|                                      | FY15<br>Actuals<br>Dollars (\$000) | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Percent % |
|--------------------------------------|------------------------------------|------------------------------------|-------------------------------------|--|--|
| 1100 Personnel Compensation          | -                                  | -                                  | -                                   | -  | -  |
| 1200 Personnel Benefits              | -                                  | -                                  | -                                   | -  | -  |
| 1300 Benefits to Former Personnel    | -                                  | -                                  | -                                   | -  | -  |
| 2100 Travel                          | -                                  | -                                  | -                                   | -  | -  |
| 2200 Transportation of Things        | 31                                 | 46                                 | 46                                  | -  | -  |
| 2300 Rent, Communications, Utilities | 301                                | 658                                | 658                                 | -  | -  |
| 2400 Printing and Reproduction       | 49                                 | 54                                 | 54                                  | -  | -  |
| 2500 Other Services                  | 1,469                              | 2,170                              | 2,169                               | -  | (0.01%)                                  |
| 2600 Supplies and Materials          | 145                                | 328                                | 328                                 | -  | -  |
| 3100 Equipment                       | 204                                | 362                                | 362                                 | -  | -  |
| 4200 Insurance Claims/Indemnities    | 6                                  | 8                                  | 8                                   | -  | -  |
| <b>TOTAL</b>                         | <b>2,404</b>                       | <b>3,625</b>                       | <b>3,625</b>                        | <b>-</b>                                       | <b>(0.01%)</b>                           |
|                                      | FY15<br>Actuals                    | FY16<br>Enacted                    | FY17<br>Estimate                    | FY17 vs. FY16<br>Net Change                    | FY17 vs. FY16<br>Net Change %            |
| <b>Positions</b>                     | -                                  | -                                  | -                                   | -  | -  |

*FY15 actuals reflect data as of September 30, 2015. These are expenditures only and do not reflect open obligations or post FY spending.*

## 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

|                                      | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Percent % |
|--------------------------------------|------------------------------------|-------------------------------------|--|--|
| <b>A. MANDATORY CHANGE</b>           | -                                  | -                                   | -  | -  |
| Personnel Base                       | -                                  | -                                   | -  | -  |
| Base Adjustment                      | -                                  | -                                   | -  | -  |
| Cost of Living Adjustment Annualized | -                                  | -                                   | -  | -  |
| Cost of Living Adjustment            | -                                  | -                                   | -  | -  |
| Overtime Pay                         | -                                  | -                                   | -  | -  |
| Reclassifications                    | -                                  | -                                   | -  | -  |
| Temporary Positions                  | -                                  | -                                   | -  | -  |
| Longevity Increase                   | -                                  | -                                   | -  | -  |
| Meritorious Increase                 | -                                  | -                                   | -  | -  |
| Accrued Leave                        | -                                  | -                                   | -  | -  |
| Personnel Benefits                   | -                                  | -                                   | -  | -  |
| <b>B. PRICE LEVEL INCREASES</b>      | -                                  | -                                   | -  | -  |
| <b>C. PROGRAM CHANGES</b>            | <b>3,625</b>                       | <b>3,625</b>                        | <b>-</b>                                       | <b>(0.01%)</b>                           |
| Administrative Costs                 | 436                                | 436                                 | -  | -  |
| Technology                           | 3,189                              | 3,189                               | -  | (0.01%)                                  |
| <b>TOTAL</b>                         | <b>3,625</b>                       | <b>3,625</b>                        | <b>-</b>                                       | <b>(0.01%)</b>                           |
| <b>POSITIONS</b>                     | -                                  | -                                   | -  | -  |

## Explanation of Changes Shown on Schedule C

## Supplies, Materials, Administrative Costs and Federal Tort Claims

For salaries and expenses of the Supplies, Materials, Administrative Costs and Federal Tort Claims, \$3,625,000. The fiscal year (FY) 2017 budget request is (\$236) or (0.01%) below the *Consolidated Appropriations Act, 2016* per Public Law 114-113.

This amount includes \$0 for mandatory items, no price level increases, \$3,625,236 for program current services and a (\$236) decrease in program changes.

I. Personnel Details: FY17 Request - \$0A. Base: \$0

- i. The estimated FY16 personnel compensation will be \$0.

B. Budget Calculations:

- i. FY16 Cost of Living Annualized - (0.37%) 1.46%
- ii. FY17 Cost of Living Prorated - (1.95%) 2.60%

C. Requested Changes:

- i. FY16 Cost of Living Annualized - \$0
- ii. FY17 Cost of Living Prorated - \$0
- iii. FY17 Overtime - \$0
- iv. FY17 Reclassifications - \$0
- v. FY17 Temporary Positions - \$0
- vi. FY17 Longevity - \$0
- vii. FY17 Meritorious Increase - \$0
- viii. FY17 Accrued Leave - \$0
- ix. FY17 Personnel Benefits - \$0
- x. FY17 Base Adjustment - \$0

II. Price Level Details: FY17 Request - \$0

The non-personnel estimated inflation factor is 2.2%.

III. Program Details: FY17 Request - \$3,625,000A. Current Services:

- i. Administrative Costs - \$436,089

Provides non-personnel funding for supplies, insurance, and printing and graphics for certain Leadership offices.

- ii. Technology - \$3,189,147  
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
- ii. Technology - (\$236)  
Reflects rounding to the nearest thousand.

## Schedule A - Official Mail for Committees, Leadership and Administrative Offices

House of Representatives  
 Official Mail for Committees, Leadership and Administrative Offices  
 By Object Class

|                                      | FY15            | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16  |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|----------------|
|                                      | Actuals         | Enacted         | Estimate        | 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 | 78              | 190             | 190             | -               | (0.26%)        |
| 2400 Printing and Reproduction       | -               | -               | -               | -               | -              |
| 2500 Other Services                  | -               | -               | -               | -               | -              |
| 2600 Supplies and Materials          | -               | -               | -               | -               | -              |
| 3100 Equipment                       | -               | -               | -               | -               | -              |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -              |
| <b>TOTAL</b>                         | <b>78</b>       | <b>190</b>      | <b>190</b>      |                 | <b>(0.26%)</b> |
|                                      | FY15            | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16  |
|                                      | Actuals         | Enacted         | Estimate        | Net Change      | Net Change %   |
| <b>Positions</b>                     | -               | -               | -               | -               | -              |

*FY15 actuals reflect data as of September 30, 2015. These are expenditures only and do not reflect open obligations or post FY spending.*

Schedule C - Official Mail for Committees, Leadership and Administrative Offices

House of Representatives  
Detailed Analysis of Change by Organization  
Official Mail for Committees, Leadership and Administrative Offices

|   | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16  |
|---|-----------------|-----------------|-----------------|----------------|
|   | Enacted         | Estimate        | Net Change      | Net Change     |
|   | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %      |
| <b>A. MANDATORY CHANGE</b>              | -               | -               | -               | -              |
| Personnel Base                          | -               | -               | -               | -              |
| Base Adjustment                         | -               | -               | -               | -              |
| Cost of Living Adjustment Annualized    | -               | -               | -               | -              |
| Cost of Living Adjustment               | -               | -               | -               | -              |
| Overtime Pay                            | -               | -               | -               | -              |
| Reclassifications                       | -               | -               | -               | -              |
| Temporary Positions                     | -               | -               | -               | -              |
| Longevity Increase                      | -               | -               | -               | -              |
| Meritorious Increase                    | -               | -               | -               | -              |
| Accrued Leave                           | -               | -               | -               | -              |
| Personnel Benefits                      | -               | -               | -               | -              |
| <b>B. PRICE LEVEL INCREASES</b>         | -               | -               | -               | -              |
| <b>C. PROGRAM CHANGES</b>               | <b>190</b>      | <b>190</b>      | <b>-</b>        | <b>(0.26%)</b> |
| Nonmember Other House Offices           | 100             | 100             | -               | -              |
| Nonmember Special and Select Committees | 90              | 90              | -               | (0.54%)        |
| <b>TOTAL</b>                            | <b>190</b>      | <b>190</b>      | <b>-</b>        | <b>(0.26%)</b> |
| <b>POSITIONS</b>                        | -               | -               | -               | -              |

## Explanation of Changes Shown on Schedule C

Allowances and Expenses  
 Official Mail for Committees, Leadership and Administrative Offices

For salaries and expenses of the Official Mail for Committees, Leadership and Administrative Offices, \$190,000. The fiscal year (FY) 2017 budget request is (\$486) or (0.26%) below the *Consolidated Appropriations Act, 2016* per Public Law 114-113.

This amount includes \$0 for mandatory items, no price level increases, \$190,486 for program current services and a (\$486) decrease in program changes.

I. Personnel Details: FY17 Request - \$0

A. Base: \$0

- i. The estimated FY16 personnel compensation will be \$0.

B. Budget Calculations:

- i. FY16 Cost of Living Annualized - (0.37%) 1.46%
- ii. FY17 Cost of Living Prorated - (1.95%) 2.60%
- iii. FY17 Longevity - 0.00%
- iv. FY17 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY16 Cost of Living Annualized - \$0
- ii. FY17 Cost of Living Prorated - \$0
- iii. FY17 Overtime - \$0
- iv. FY17 Reclassifications - \$0
- v. FY17 Temporary Positions - \$0
- vi. FY17 Longevity - \$0
- vii. FY17 Meritorious Increase - \$0
- viii. FY17 Accrued Leave - \$0
- ix. FY17 Personnel Benefits - \$0
- x. FY17 Base Adjustment - \$0

II. Price Level Details: FY17 Request - \$0

The non-personnel estimated inflation factor is 2.2%.

III. Program Details: FY17 Request - \$190,000A. Current Services:

- i. Official Mail for Committees, Leadership and Administrative Offices  
- \$190,486

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 for Committees, Leadership and Administrative Offices  
- (\$486)

Reflects rounding to the nearest thousand.

Schedule A - Government Contributions

House of Representatives  
Government Contributions  
By Object Class

|                                      | FY15<br>Actuals<br>Dollars (\$000) | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Percent % |
|--------------------------------------|------------------------------------|------------------------------------|-------------------------------------|--|--|
| 1100 Personnel Compensation          | 67                                 | -                                  | -                                   | -  | -  |
| 1200 Personnel Benefits              | 200,330                            | 251,629                            | 251,630                             | 1  | 0.00%                                    |
| 1300 Benefits to Former Personnel    | -                                  | -                                  | -                                   | -  | -  |
| 2100 Travel                          | -                                  | -                                  | -                                   | -  | -  |
| 2200 Transportation of Things        | -                                  | -                                  | -                                   | -  | -  |
| 2300 Rent, Communications, Utilities | -                                  | -                                  | -                                   | -  | -  |
| 2400 Printing and Reproduction       | -                                  | -                                  | -                                   | -  | -  |
| 2500 Other Services                  | 8                                  | -                                  | -                                   | -  | -  |
| 2600 Supplies and Materials          | -                                  | -                                  | -                                   | -  | -  |
| 3100 Equipment                       | -                                  | -                                  | -                                   | -  | -  |
| 4200 Insurance Claims/Indemnities    | -                                  | -                                  | -                                   | -  | -  |
| <b>TOTAL</b>                         | <b>200,405</b>                     | <b>251,629</b>                     | <b>251,630</b>                      | <b>1</b>                                       | <b>0.00%</b>                             |
|                                      | FY15<br>Actuals                    | FY16<br>Enacted                    | FY17<br>Estimate                    | FY17 vs. FY16<br>Net Change                    | FY17 vs. FY16<br>Net Change %            |
| <b>Positions</b>                     | -                                  | -                                  | -                                   | -  | -  |

*FY15 actuals reflect data as of September 30, 2015. These are expenditures only and do not reflect open obligations or post FY spending.*

Schedule C - Government Contributions

House of Representatives  
Detailed Analysis of Change by Organization  
Government Contributions

|                                      | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Percent % |
|--------------------------------------|------------------------------------|-------------------------------------|--|--|
| <b>A. MANDATORY CHANGE</b>           | 251,629                            | 251,630                             | 1  | -  |
| Personnel Base                       | -                                  | -                                   | -  | -  |
| Base Adjustment                      | -                                  | -                                   | -  | -  |
| Cost of Living Adjustment Annualized | -                                  | -                                   | -  | -  |
| Cost of Living Adjustment            | -                                  | -                                   | -  | -  |
| Overtime Pay                         | -                                  | -                                   | -  | -  |
| Reclassifications                    | -                                  | -                                   | -  | -  |
| Temporary Positions                  | -                                  | -                                   | -  | -  |
| Longevity Increase                   | -                                  | -                                   | -  | -  |
| Meritorious Increase                 | -                                  | -                                   | -  | -  |
| Accrued Leave                        | -                                  | -                                   | -  | -  |
| Personnel Benefits                   | 251,629                            | 251,630                             | 1  | -  |
| <b>B. PRICE LEVEL INCREASES</b>      | -                                  | -                                   | -  | -  |
| <b>C. PROGRAM CHANGES</b>            | -                                  | -                                   | -  | -  |
| <b>TOTAL</b>                         | 251,629                            | 251,630                             | 1  | -  |
| <b>POSITIONS</b>                     | -                                  | -                                   | -  | -  |

## Explanation of Changes Shown on Schedule C

Allowances and Expenses  
Government Contributions

For salaries and expenses of the Government Contributions, \$251,630,000. The fiscal year (FY) 2017 budget request is \$575 or 0.00% above the *Consolidated Appropriations Act, 2016* per Public Law 114-113.

This amount includes \$251,630,000 for mandatory items, \$0 for program current services and no program changes.

I. Personnel Details: FY17 Request - \$251,630,000

A. Base: \$251,630,000

- i. The estimated FY17 personnel benefits will be \$251,630,000.

B. Budget Calculations:

- i. Benefit cost estimates are based on 0.36 cents for every personnel dollar estimated to be earned in FY17, which is \$697,218,177.

C. Requested Changes:

- i. FY17 Personnel Benefits - \$0

II. Price Level Details: FY17 Request - \$0

III. Program Details: FY17 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 and applies to employees hired from January 1, 1984 through December 31, 2012. Effective October 1, 2015, the government contribution rate increased from 18.4% to 19.1%.
- ii. Federal Employees' Retirement System - Revised Annuity Employee (FERS-RAE):  
The retirement plan is effective for staff with appointments from January 1, 2013 to December 31, 2013. Exceptions apply for staff previously employed by the federal government who may be eligible for FERS. The government contribution to the FERS-RAE plan is 11.9% versus 19.1% for FERS employees.
- iii. Federal Employees' Retirement System - Further Revised Annuity Employee (FERS-FRAE):  
The retirement plan is effective for staff with appointments from January 1, 2014 and later. Exceptions apply for staff previously employed by the federal government who may be eligible for FERS or FERS-RAE. The government contribution to the FERS-FRAE plan is 11.9% versus 19.1%

for FERS employees.

- iv. 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 five (5) years of federal service and have not taken a refund of their deposit then they are eligible for the CSRO system.
- v. Thrift Savings Plan (TSP):  
The percentage of government contributions to the Thrift Savings Plan continues to grow as employees shift to the FERS, FERS-RAE, and FERS-FRAE retirement programs. 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 have the option to increase their contributions or cancel their contributions. Per P.L. 113-255, passed on December 18, 2014, the default investment fund for TSP participants will be changed from the G Fund to an age-appropriate asset allocation fund (L Fund) as recommended by the Federal Retirement Thrift Investment Board (FRTIB). Participants will continue to have the ability to change the investment allocation at any time.
- vi. Federal Insurance Contributions Act (FICA):  
Like FERS, FICA was also deemed mandatory for employees hired after January 1, 1984. The current contribution rate is 6.2% on a wage base limit of \$118,500. The wage base limit is the maximum wage that contributions are paid on.
- vii. Medicare:  
The House has withheld the employer's portion of Medicare since January 1, 1983, which is currently 1.45%. There is no wage base limit for Medicare contributions. All covered wages are subject to the Medicare tax.
- viii. Federal Employees 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. Members and certain designated staff are not eligible for this program effective January 1, 2014.
- ix. Affordable Care Act (ACA) Health Exchange:  
Section 1312 (d)(3)(D) of the Patient Protection and Affordable Care Act (ACA) requires that, effective January 1, 2014, Members and designated staff may only obtain healthcare benefits from plans offered through a healthcare exchange created under the ACA.

- x. 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.
  - xi. 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.
  - xii. 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.
  - xiii. 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.
  - xiv. 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*.
  - xv. U.S. Capitol Telephone Exchange:  
A Memorandum of Understanding provides that the House shall reimburse the Senate for expenses incurred by the Senate with respect to employees of the US Capitol telephone exchange (2 USC 2168(e)).
- B. Proposed Changes:
- i. None.

## Schedule A - Business Continuity and Disaster Recovery

House of Representatives  
Business Continuity and Disaster Recovery  
By Object Class

|                                      | FY15            | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|---------------|
|                                      | Actuals         | Enacted         | Estimate        | 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                          | 51              | 101             | 104             | 3               | 2.95%         |
| 2200 Transportation of Things        | -               | 5               | 5               | -               | -             |
| 2300 Rent, Communications, Utilities | 3,770           | 5,225           | 5,225           | -               | -             |
| 2400 Printing and Reproduction       | -               | -               | -               | -               | -             |
| 2500 Other Services                  | 962             | 2,114           | 2,100           | (14)            | (0.66%)       |
| 2600 Supplies and Materials          | 171             | 234             | 234             | -               | -             |
| 3100 Equipment                       | 7,274           | 8,538           | 8,549           | 11              | 0.13%         |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -             |
| <b>TOTAL</b>                         | <b>12,230</b>   | <b>16,217</b>   | <b>16,217</b>   | <b>-</b>        |               |
|                                      | FY15            | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|                                      | Actuals         | Enacted         | Estimate        | Net Change      | Net Change %  |
| <b>Positions</b>                     | -               | -               | -               | -               | -             |

*FY15 actuals reflect data as of September 30, 2015. These are expenditures only and do not reflect open obligations or post FY spending.*

Schedule C - Business Continuity and Disaster Recovery

House of Representatives  
 Detailed Analysis of Change by Organization  
 Business Continuity and Disaster Recovery

|   | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Percent % |
|---|------------------------------------|-------------------------------------|--|--|
| <b>A. MANDATORY CHANGE</b>                | -                                  | -                                   | -  | -  |
| Personnel Base                            | -                                  | -                                   | -  | -  |
| Base Adjustment                           | -                                  | -                                   | -  | -  |
| Cost of Living Adjustment Annualized      | -                                  | -                                   | -  | -  |
| Cost of Living Adjustment                 | -                                  | -                                   | -  | -  |
| Overtime Pay                              | -                                  | -                                   | -  | -  |
| Reclassifications                         | -                                  | -                                   | -  | -  |
| Temporary Positions                       | -                                  | -                                   | -  | -  |
| Longevity Increase                        | -                                  | -                                   | -  | -  |
| Meritorious Increase                      | -                                  | -                                   | -  | -  |
| Accrued Leave                             | -                                  | -                                   | -  | -  |
| Personnel Benefits                        | -                                  | -                                   | -  | -  |
| <b>B. PRICE LEVEL INCREASES</b>           | -                                  | -                                   | -  | -  |
| <b>C. PROGRAM CHANGES</b>                 | <b>16,217</b>                      | <b>16,217</b>                       |  |  |
| Business Continuity and Disaster Recovery | 16,217                             | 16,217                              |  |  |
| <b>TOTAL</b>                              | <b>16,217</b>                      | <b>16,217</b>                       | -  | -  |
| <b>POSITIONS</b>                          | -                                  | -                                   | -  | -  |

## Explanation of Changes Shown on Schedule C

Allowances and Expenses  
Business Continuity and Disaster Recovery

For salaries and expenses of the Business Continuity and Disaster Recovery, \$16,217,000. The fiscal year (FY) 2017 budget request is (\$8) or 0.00% below the *Consolidated Appropriations Act, 2016* per Public Law 114-113.

This amount includes \$0 for mandatory items, no price level increases, \$16,217,008 for program current services and a (\$8) decrease in program changes.

I. Personnel Details: FY17 Request - \$0

A. Base: \$0

- i. The estimated FY16 personnel compensation will be \$0.

B. Budget Calculations:

- i. FY16 Cost of Living Annualized - (0.37%) 1.46%  
 ii. FY17 Cost of Living Prorated - (1.95%) 2.60%  
 iii. FY17 Longevity - 0.00%  
 iv. FY17 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY16 Cost of Living Annualized - \$0  
 ii. FY17 Cost of Living Prorated - \$0  
 iii. FY17 Overtime - \$0  
 iv. FY17 Reclassifications - \$0  
 v. FY17 Temporary Positions - \$0  
 vi. FY17 Longevity - \$0  
 vii. FY17 Meritorious Increase - \$0  
 viii. FY17 Accrued Leave - \$0  
 ix. FY17 Personnel Benefits - \$0  
 x. FY17 Base Adjustment - \$0

II. Price Level Details: FY17 Request - \$0

The non-personnel estimated inflation factor is 2.2%.

### III. Program Details: FY17 Request - \$16,217,000

#### A. Current Services:

##### i. Business Continuity and Disaster Recovery - \$16,217,008

The Business Continuity/Disaster Recovery (BC/DR) program provides contingency planning and operations support, as well as improvements and enhancements to technical infrastructure, systems, information security, emergency communications, and business continuity capabilities of the U.S. House of Representatives. This program covers the sustainment costs for capabilities implemented post 9/11, as well as the development and implementation of new capabilities. In April 2013, the CAO Continuity Policy was updated after a comprehensive evaluation by CAO and the CAO Chiefs. This policy is the driver for ensuring the CAO is ready and equipped to provide support to the House during disruptive events.

More than half of the BC/DR request supports two major capabilities: the Alternate Computing Facility (ACF) and lifecycle replacement of all CAO Continuity Capabilities. The ACF currently provides redundant data system services to the House including data center operations in support of electronic message (email and mobile device communications), database and financial systems. In addition to the data center operations, this facility provides general continuity services for First Call, House Technical Call Center, Network Operations, CAO Support Services and general office space for House Officers.

The lifecycle replacement portion of the BC/DR request supports the crucial replacement of continuity hardware and services enabling the CAO to properly maintain and upgrade BC/DR infrastructure and hardware – including hardware and infrastructure that are used on a daily basis (such as a robust voice and data capability on the Capitol Campus and in the District Offices). Providing funding for lifecycle replacement ensures that CAO essential support services can continue during and following a disruptive event.

#### B. Proposed Changes:

- ##### i. Business Continuity and Disaster Recovery - (\$8) Reflects rounding to the nearest thousand.

Schedule A - Transition Activities

House of Representatives  
Transition Activities  
By Object Class

|                                      | FY15            | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|---------------|
|                                      | Actuals         | Enacted         | Estimate        | 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                          | 297             | -               | 400             | 400             | -             |
| 2200 Transportation of Things        | -               | -               | -               | -               | -             |
| 2300 Rent, Communications, Utilities | 287             | 120             | 534             | 414             | 345.00%       |
| 2400 Printing and Reproduction       | -               | -               | -               | -               | -             |
| 2500 Other Services                  | 1,327           | 780             | -               | (780)           | (100.00%)     |
| 2600 Supplies and Materials          | 301             | 1,184           | 1,150           | (34)            | (2.87%)       |
| 3100 Equipment                       | 243             | -               | -               | -               | -             |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -             |
| <b>TOTAL</b>                         | <b>2,455</b>    | <b>2,084</b>    | <b>2,084</b>    | <b>-</b>        | <b>-</b>      |
|                                      | FY15            | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|                                      | Actuals         | Enacted         | Estimate        | Net Change      | Net Change %  |
| <b>Positions</b>                     | -               | -               | -               | -               | -             |

*FY15 actuals reflect data as of September 30, 2015. These are expenditures only and do not reflect open obligations or post FY spending.*

## Schedule C - Transition Activities

House of Representatives  
Detailed Analysis of Change by Organization  
Transition Activities

|                                      | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|--------------------------------------|-----------------|-----------------|-----------------|---------------|
|                                      | Enacted         | Estimate        | Net Change      | Net Change    |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %     |
| <b>A. MANDATORY CHANGE</b>           | -               | -               | -               | -             |
| Personnel Base                       | -               | -               | -               | -             |
| Base Adjustment                      | -               | -               | -               | -             |
| Cost of Living Adjustment Annualized | -               | -               | -               | -             |
| Cost of Living Adjustment            | -               | -               | -               | -             |
| Overtime Pay                         | -               | -               | -               | -             |
| Reclassifications                    | -               | -               | -               | -             |
| Temporary Positions                  | -               | -               | -               | -             |
| Longevity Increase                   | -               | -               | -               | -             |
| Meritorious Increase                 | -               | -               | -               | -             |
| Accrued Leave                        | -               | -               | -               | -             |
| Personnel Benefits                   | -               | -               | -               | -             |
| <b>B. PRICE LEVEL INCREASES</b>      | -               | -               | -               | -             |
| <b>C. PROGRAM CHANGES</b>            | <b>2,084</b>    | <b>2,084</b>    | -               | -             |
| Transition Activities                | 2,084           | 2,084           | -               | -             |
| <b>TOTAL</b>                         | <b>2,084</b>    | <b>2,084</b>    | -               | -             |
| <b>POSITIONS</b>                     | -               | -               | -               | -             |

## Explanation of Changes Shown on Schedule C

Allowances and Expenses  
Transition Activities

For salaries and expenses of the Transition Activities, \$2,084,000. The fiscal year (FY) 2017 budget request is flat with the *Consolidated Appropriations Act, 2016* per Public Law 114-113.

This amount includes \$0 for mandatory items, no price level increases, \$2,084,000 for program current services and no program changes.

I. Personnel Details: FY17 Request - \$0A. Base: \$0

- i. The estimated FY16 personnel compensation will be \$0.

B. Budget Calculations:

- i. FY16 Cost of Living Annualized - (0.37%) 1.46%
- ii. FY17 Cost of Living Prorated - (1.95%) 2.60%
- iii. FY17 Longevity - 0.00%
- iv. FY17 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY16 Cost of Living Annualized - \$0
- ii. FY17 Cost of Living Prorated - \$0
- iii. FY17 Overtime - \$0
- iv. FY17 Reclassifications - \$0
- v. FY17 Temporary Positions - \$0
- vi. FY17 Longevity - \$0
- vii. FY17 Meritorious Increase - \$0
- viii. FY17 Accrued Leave - \$0
- ix. FY17 Personnel Benefits - \$0
- x. FY17 Base Adjustment - \$0

II. Price Level Details: FY17 Request - \$0

The non-personnel estimated inflation factor is 2.2%.

III. Program Details: FY17 Request - \$2,084,000

A. Current Services:i. Transition Activities - \$2,084,000

This request provides funding for transition operations activities. Although Transition occurs biennially (odd years), there are on-going Transition related activities that occur each year. Transition operations include New Member Orientation costs, furniture purchases, replacement of drapes and carpeting, rental of warehouse space for furniture storage, transition contractor support in logistics, telecommunications and financial services, and office supplies.

Expenses for this account are on-going; however, prior year appropriated funds have not been fully utilized. Therefore, funds are requested based on the current spending levels for Transition Activities. We anticipate the request for this account to remain flat at \$2,084,000 in the out years.

B. Proposed Changes:i. Transition Activities - \$0

Schedule A Wounded Warrior Program

House of Representatives  
Wounded Warrior Program  
By Object Class

|                                      | FY15            | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|---------------|
|                                      | Actuals         | Enacted         | Estimate        | Net Change      | Net Change    |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %     |
| 1100 Personnel Compensation          | 1,688           | 2,250           | 2,250           | -               | -             |
| 1200 Personnel Benefits              | -               | -               | -               | -               | -             |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -             |
| 2100 Travel                          | 82              | 220             | 220             | -               | -             |
| 2200 Transportation of Things        | -               | -               | -               | -               | -             |
| 2300 Rent, Communications, Utilities | 2               | 2               | 2               | -               | -             |
| 2400 Printing and Reproduction       | 12              | 7               | 7               | -               | -             |
| 2500 Other Services                  | 2               | 16              | 16              | -               | -             |
| 2600 Supplies and Materials          | 2               | 5               | 5               | -               | -             |
| 3100 Equipment                       | -               | -               | -               | -               | -             |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -             |
| <b>TOTAL</b>                         | <b>1,787</b>    | <b>2,500</b>    | <b>2,500</b>    |                 |               |

|                  | FY15      | FY16      | FY17      | FY17 vs. FY16 | FY17 vs. FY16 |
|------------------|-----------|-----------|-----------|---------------|---------------|
|                  | Actuals   | Enacted   | Estimate  | Net Change    | Net Change %  |
| <b>Positions</b> | <b>34</b> | <b>50</b> | <b>50</b> | <b>-</b>      | <b>-</b>      |

*FY15 actuals reflect data as of September 30, 2015. These are expenditures only and do not reflect open obligations or post FY spending.*

Schedule C - Wounded Warrior Program

House of Representatives  
 Detailed Analysis of Change by Organization  
 Wounded Warrior Program

|                                      | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|--------------------------------------|-----------------|-----------------|-----------------|---------------|
|                                      | Enacted         | Festimate       | Net Change      | Net Change    |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %     |
| <b>A. MANDATORY CHANGE</b>           | 2,250           | 2,250           | -               | -             |
| Personnel Base                       | 2,250           | 2,250           | -               | -             |
| Base Adjustment                      | -               | -               | -               | -             |
| Cost of Living Adjustment Annualized | -               | -               | -               | -             |
| Cost of Living Adjustment            | -               | -               | -               | -             |
| Overtime Pay                         | -               | -               | -               | -             |
| Reclassifications                    | -               | -               | -               | -             |
| Temporary Positions                  | -               | -               | -               | -             |
| Longevity Increase                   | -               | -               | -               | -             |
| Meritorious Increase                 | -               | -               | -               | -             |
| Accrued Leave                        | -               | -               | -               | -             |
| Personnel Benefits                   | -               | -               | -               | -             |
| <b>B. PRICE LEVEL INCREASES</b>      |                 |                 | -               | -             |
| <b>C. PROGRAM CHANGES</b>            | 250             | 250             | -               | -             |
| Wounded Warrior Program              | 250             | 250             | -               | -             |
| <b>TOTAL</b>                         | 2,500           | 2,500           | -               | -             |
| <b>POSITIONS</b>                     | 50              | 50              | -               | -             |

## Explanation of Changes Shown on Schedule C

Allowances and Expenses  
Wounded Warrior Program

For salaries and expenses of the Wounded Warrior Program, \$2,500,000. The fiscal year (FY) 2017 budget request is flat with the *Consolidated Appropriations Act, 2016* per Public Law 114-113.

This amount includes \$2,250,000 for mandatory items, no price level increases, \$250,000 for program current services and no program changes.

**I. Personnel Details: FY17 Request - \$2,250,000**

**A. Base: \$2,250,000**

- i. The estimated FY16 personnel compensation will be \$2,250,000.

**B. Budget Calculations:**

- i. FY16 Cost of Living Annualized - (0.37%) 1.46%
- ii. FY17 Cost of Living Prorated - (1.95%) 2.60%
- iii. FY17 Longevity - 0.00%
- iv. FY17 Meritorious Increase - 0.00%

**II. Requested Changes:**

- i. FY16 Cost of Living Annualized - \$0
- ii. FY17 Cost of Living Prorated - \$0
- iii. FY17 Overtime - \$0
- iv. FY17 Reclassifications - \$0
- v. FY17 Temporary Positions - \$0
- vi. FY17 Longevity - \$0
- vii. FY17 Meritorious Increase - \$0
- viii. FY17 Accrued Leave - \$0
- ix. FY17 Personnel Benefits - \$0
- x. FY17 Base Adjustment - \$0

**III. Price Level Details: FY17 Request - \$0**

The non-personnel estimated inflation factor is 2.2%.

### III. Program Details: FY17 Request - \$250,000

#### A. Current Services:

##### i. Wounded Warrior Program - \$250,000

The Wounded Warrior Program was established to create fellowships that provide employment opportunities for wounded or disabled veterans within the U.S. House of Representatives. Positions may become available in Member, Committee and Leadership offices in Washington, D.C. and in district offices nationwide. Those selected for the program will be given the opportunity to rotate into various positions and, if a fit is found, transition into full-time employment. The positions are filled by veterans who have served on active duty since September 11, 2001, had less than 20 years of service and have a minimum 30 percent service-connected disability rating from either a military Physical Evaluation Board or the Department of Veterans Affairs. The 30 percent threshold was established to target those injured veterans who are more likely to need this type of employment opportunity. If a fellowship is located within a Member's district, the appointment is contingent on the Representative's continuous representation of that district. Wounded Warrior Fellows are hired to fill specific vacancies in the offices of participating Members. Their salaries are paid for by the Chief Administrative Officer (CAO), and the fellows do not count against the personnel ceilings of the participating Member offices. Although full time employment is not guaranteed at the conclusion of the two year fellowship, Members or Officers assigned a fellow are reminded the purpose of the program is to facilitate long-term employment with the House of Representatives. Consideration should be given to reaching that goal sometime before the expiration of the two year fellowship. The performance and progress of each fellow is tracked closely by the Director of the Wounded Warrior Program. Workspace modifications may be accommodated, when possible, to provide maximum opportunities to those veterans who meet the job qualifications and have the desired skill sets to fill a position, notwithstanding their physical limitations. All wounded warriors hired to the fellowship program appear on the rolls of the CAO and will be entitled to the same benefits as other House employees.

### IV. Proposed Changes:

#### i. Wounded Warrior Program - \$0

## Schedule A - Office of Congressional Ethics

House of Representatives  
Office of Congressional Ethics  
By Object Class

|                                      | FY15            | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|---------------|
|                                      | Actuals         | Enacted         | Estimate        | Net Change      | Net Change    |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %     |
| 1100 Personnel Compensation          | 983             | 998             | 1,184           | 186             | 18.64%        |
| 1200 Personnel Benefits              | -               | -               | -               | -               | -             |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -             |
| 2100 Travel                          | 83              | 113             | 115             | 2               | 1.77%         |
| 2200 Transportation of Things        | -               | -               | -               | -               | -             |
| 2300 Rent, Communications, Utilities | 27              | 30              | 30              | -               | -             |
| 2400 Printing and Reproduction       | 1               | 3               | 2               | (1)             | (33.33%)      |
| 2500 Other Services                  | 151             | 214             | 224             | 10              | 4.67%         |
| 2600 Supplies and Materials          | 105             | 107             | 110             | 3               | 2.77%         |
| 3100 Equipment                       | -               | 2               | 2               | -               | -             |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -             |
| <b>TOTAL</b>                         | <b>1,351</b>    | <b>1,467</b>    | <b>1,667</b>    | <b>200</b>      | <b>13.63%</b> |
|                                      | FY15            | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|                                      | Actuals         | Enacted         | Estimate        | Net Change      | Net Change %  |
| <b>Positions</b>                     | <b>8</b>        | <b>10</b>       | <b>10</b>       | <b>-</b>        | <b>-</b>      |

*FY15 actuals reflect data as of September 30, 2015. These are expenditures only and do not reflect open obligations or post FY spending.*

## Schedule C - Office of Congressional Ethics

House of Representatives  
Detailed Analysis of Change by Organization  
Office of Congressional Ethics

|                                      | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Percent % |
|--------------------------------------|------------------------------------|-------------------------------------|--|--|
| <b>A. MANDATORY CHANGE</b>           | <b>998</b>                         | <b>1,184</b>                        | <b>186</b>                                     | <b>18.64%</b>                            |
| Personnel Base                       | 998                                | 998                                 | -  | -  |
| Base Adjustment                      | -                                  | 159                                 | 159  | -  |
| Cost of Living Adjustment Annualized | -                                  | 4                                   | 4  | -  |
| Cost of Living Adjustment            | -                                  | 23                                  | 23   | -  |
| Overtime Pay                         | -                                  | -                                   | -  | -  |
| Reclassifications                    | -                                  | -                                   | -  | -  |
| Temporary Positions                  | -                                  | -                                   | -  | -  |
| Longevity Increase                   | -                                  | -                                   | -  | -  |
| Meritorious Increase                 | -                                  | -                                   | -  | -  |
| Accrued Leave                        | -                                  | -                                   | -  | -  |
| Personnel Benefits                   | -                                  | -                                   | -  | -  |
| <b>B. PRICE LEVEL INCREASES</b>      | <b>-</b>                           | <b>-</b>                            | <b>-</b>                                       | <b>-</b>                                 |
| <b>C. PROGRAM CHANGES</b>            | <b>469</b>                         | <b>483</b>                          | <b>14</b>                                      | <b>2.98%</b>                             |
| Office Administration                | 469                                | 483                                 | 14   | 2.98%                                    |
| <b>TOTAL</b>                         | <b>1,467</b>                       | <b>1,667</b>                        | <b>200</b>                                     | <b>13.63%</b>                            |
| <b>POSITIONS</b>                     | <b>10</b>                          | <b>10</b>                           | <b>-</b>                                       | <b>-</b>                                 |

## Explanation of Changes Shown on Schedule C

Allowances and Expenses  
Office of Congressional Ethics

For salaries and expenses of the Office of Congressional Ethics, \$1,667,000. The fiscal year (FY) 2017 budget request is \$199,970 or 13.63% above the *Consolidated Appropriations Act, 2016* per Public Law 114-113.

This amount includes \$1,184,000 for mandatory items, no price level increases, \$469,030 for program current services and a \$13,970 increase in program changes.

**I. Personnel Details:** FY17 Request - \$1,184,000

**A. Base:** \$998,000

- i. The estimated FY16 personnel compensation will be \$998,000.

**B. Budget Calculations:**

- i. FY16 Cost of Living Annualized - (0.37%) 1.46%
- ii. FY17 Cost of Living Prorated - (1.95%) 2.60%
- iii. FY17 Longevity - 0.00%
- iv. FY17 Meritorious Increase - 0.00%

**C. Requested Changes:**

- i. FY16 Cost of Living Annualized - \$4,224
- ii. FY17 Cost of Living Prorated - \$22,646
- iii. FY17 Overtime - \$0
- iv. FY17 Reclassifications - \$0
- v. FY17 Temporary Positions - \$0
- vi. FY17 Longevity - \$0
- vii. FY17 Meritorious Increase - \$0
- viii. FY17 Accrued Leave - \$0
- ix. FY17 Personnel Benefits - \$0
- x. FY17 Base Adjustment - \$159,130  
This adjustment is requested to increase the FY17 personnel compensation base to adequately fund the 10th authorized position.

II. Price Level Details: FY17 Request - \$0

The non-personnel estimated inflation factor is 2.2%.

III. Program Details: FY17 Request - \$483,000A. Current Services:i. Office Administration - \$469,030

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'),...". This program funds all non-personnel expenses associated with daily operations, research and investigations such as travel, transportation of things, contractor support, supplies, equipment, subscriptions and annual maintenance contracts, etc.

B. Proposed Changes:i. Office Administration - \$13,970

The proposed increase reflects increased travel and travel-associated costs for Board and staff investigative activity, increased costs of mandatory legal training, and increases in cost of software licenses,

Schedule A Miscellaneous Items

House of Representatives  
Miscellaneous Items  
By Object Class

|                                      | FY15<br>Actuals<br>Dollars (\$000) | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Percent % |
|--------------------------------------|------------------------------------|------------------------------------|-------------------------------------|--|--|
| 1100 Personnel Compensation          | -                                  | -                                  | -                                   | -  | -  |
| 1200 Personnel Benefits              | -                                  | -                                  | -                                   | -  | -  |
| 1300 Benefits to Former Personnel    | 335                                | 400                                | 400                                 | -  | -  |
| 2100 Travel                          | 193                                | 221                                | 221                                 | -  | (0.11%)                                  |
| 2200 Transportation of Things        | -                                  | -                                  | -                                   | -  | -  |
| 2300 Rent, Communications, Utilities | -                                  | -                                  | -                                   | -  | -  |
| 2400 Printing and Reproduction       | -                                  | -                                  | -                                   | -  | -  |
| 2500 Other Services                  | 36                                 | 36                                 | 36                                  | -  | -  |
| 2600 Supplies and Materials          | 36                                 | 64                                 | 64                                  | -  | -  |
| 3100 Equipment                       | -                                  | -                                  | -                                   | -  | -  |
| 4200 Insurance Claims/Indemnities    | -                                  | -                                  | -                                   | -  | -  |
| <b>TOTAL</b>                         | <b>599</b>                         | <b>720</b>                         | <b>720</b>                          |  | <b>(0.03%)</b>                           |
|                                      | FY15<br>Actuals                    | FY16<br>Enacted                    | FY17<br>Estimate                    | FY17 vs. FY16<br>Net Change                    | FY17 vs. FY16<br>Net Change %            |
| <b>Positions</b>                     | -                                  | -                                  | -                                   | -  | -  |

*FY15 actuals reflect data as of September 30, 2015. These are expenditures only and do not reflect open obligations or post FY spending.*

Schedule C - Miscellaneous Items

House of Representatives  
Detailed Analysis of Change by Organization  
Miscellaneous Items

|   | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs FY16<br>Net Change<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Percent % |
|---|------------------------------------|-------------------------------------|---|--|
| <b>A. MANDATORY CHANGE</b>                    |                                    |                                     | -   | -  |
| Personnel Base                                | -                                  | -                                   | -   | -  |
| Base Adjustment                               | -                                  | -                                   | -   | -  |
| Cost of Living Adjustment Annualized          | -                                  | -                                   | -   | -  |
| Cost of Living Adjustment                     | -                                  | -                                   | -   | -  |
| Overtime Pay                                  | -                                  | -                                   | -   | -  |
| Reclassifications                             | -                                  | -                                   | -   | -  |
| Temporary Positions                           | -                                  | -                                   | -   | -  |
| Longevity Increase                            | -                                  | -                                   | -   | -  |
| Meritorious Increase                          | -                                  | -                                   | -   | -  |
| Accrued Leave                                 | -                                  | -                                   | -   | -  |
| Personnel Benefits                            | -                                  | -                                   | -   | -  |
| <b>B. PRICE LEVEL INCREASES</b>               |                                    |                                     | -   | -  |
| <b>C. PROGRAM CHANGES</b>                     | <b>720</b>                         | <b>720</b>                          | <b>-</b>                                      | <b>(0.03%)</b>                           |
| Gratuities to Beneficiaries of Deceased Staff | 400                                | 400                                 | -   | -  |
| House Autos                                   | 280                                | 280                                 | -   | (0.09%)                                  |
| Interparliamentary Receptions                 | 40                                 | 40                                  | -   | -  |
| <b>TOTAL</b>                                  | <b>720</b>                         | <b>720</b>                          | <b>-</b>                                      | <b>(0.03%)</b>                           |
| <b>POSITIONS</b>                              | -                                  | -                                   | -   | -  |

## Explanation of Changes Shown on Schedule C

Allowances and Expenses  
Miscellaneous Items

For salaries and expenses of the Miscellaneous Items, \$720,000. The fiscal year (FY) 2017 budget request is (\$247) or (0.03%) below the *Consolidated Appropriations Act, 2016* per Public Law 114-113.

This amount includes \$0 for mandatory items, no price level increases, \$720,247 for program current services and a (\$247) decrease in program changes.

I. Personnel Details: FY17 Request - \$0A. Base: \$0

- i. The estimated FY16 personnel compensation will be \$0.

B. Budget Calculations:

- i. FY16 Cost of Living Annualized - (0.37%) 1.46%
- ii. FY17 Cost of Living Prorated - (1.95%) 2.60%
- iii. FY17 Longevity - 0.00%
- iv. FY17 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY16 Cost of Living Annualized - \$0
- ii. FY17 Cost of Living Prorated - \$0
- iii. FY17 Overtime - \$0
- iv. FY17 Reclassifications - \$0
- v. FY17 Temporary Positions - \$0
- vi. FY17 Longevity - \$0
- vii. FY17 Meritorious Increase - \$0
- viii. FY17 Accrued Leave - \$0
- ix. FY17 Personnel Benefits - \$0
- x. FY17 Base Adjustment - \$0

II. Price Level Details: FY17 Request - \$0

The non-personnel estimated inflation factor is 2.2%.

III. Program Details: FY17 Request - \$720,000A. Current Services:

- i. Gratuities to Beneficiaries of Deceased Staff - \$400,247  
This program funds and pays gratuities to heirs of deceased House employees.
- ii. House Automobiles - \$280,000  
This program funds the purchase, exchange, maintenance, repair and operation of House motor vehicles.
- iii. Interparliamentary Receptions - \$40,000  
The purpose of this program 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", pursuant to House Resolution 348 (June 29, 1961).

B. Proposed Changes:

- i. Gratuities to Beneficiaries of Deceased Staff - \$0
- ii. House Automobiles - (\$247)  
Reflects rounding to the nearest thousand.
- iii. Interparliamentary Receptions - \$0

## Schedule A - Total - Allowances and Expenses

House of Representatives  
Total - Allowances and Expenses  
By Object Class

|                                      | FY15            | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|---------------|
|                                      | Actuals         | Enacted         | Estimate        | Net Change      | Net Change    |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %     |
| 1100 Personnel Compensation          | 2,738           | 3,248           | 3,434           | 186             | 5.73%         |
| 1200 Personnel Benefits              | 200,330         | 251,629         | 251,630         | 1               | 0.00%         |
| 1300 Benefits to Former Personnel    | 335             | 400             | 400             | -               | -             |
| 2100 Travel                          | 706             | 655             | 1,060           | 405             | 61.76%        |
| 2200 Transportation of Things        | 32              | 51              | 51              | -               | -             |
| 2300 Rent, Communications, Utilities | 4,666           | 6,225           | 6,639           | 414             | 6.64%         |
| 2400 Printing and Reproduction       | 62              | 64              | 63              | (1)             | (1.56%)       |
| 2500 Other Services                  | 3,954           | 5,329           | 4,545           | (784)           | (14.72%)      |
| 2600 Supplies and Materials          | 760             | 1,921           | 1,890           | (31)            | (1.61%)       |
| 3100 Equipment                       | 7,722           | 8,902           | 8,913           | 11              | 0.12%         |
| 4200 Insurance Claims/Indemnities    | 6               | 8               | 8               | -               | -             |
| <b>TOTAL</b>                         | <b>221,309</b>  | <b>278,433</b>  | <b>278,633</b>  | <b>200</b>      | <b>0.07%</b>  |
|                                      | FY15            | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|                                      | Actuals         | Enacted         | Estimate        | Net Change      | Net Change %  |
| <b>Positions</b>                     | 42              | 60              | 60              | -               | -             |

## Schedule C - Total - Allowances and Expenses

House of Representatives  
Detailed Analysis of Change by Organization  
Total - Allowances and Expenses

|   | FY16<br>Enacted<br>Dollars (\$000) | FY17<br>Estimate<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Dollars (\$000) | FY17 vs. FY16<br>Net Change<br>Percent % |
|---|------------------------------------|-------------------------------------|--|--|
| <b>A. MANDATORY CHANGE</b>  | <b>254,877</b>                     | <b>255,064</b>                      | <b>187</b>                                     | <b>0.07%</b>                             |
| Personnel Base  | 3,248                              | 3,248                               | -  | -  |
| Base Adjustment   | -                                  | 159                                 | 159  | -  |
| Cost of Living Adjustment Annualized                                | -                                  | 4                                   | 4  | -  |
| Cost of Living Adjustment   | -                                  | 23                                  | 23   | -  |
| Overtime Pay  | -                                  | -                                   | -  | -  |
| Reclassifications   | -                                  | -                                   | -  | -  |
| Temporary Positions   | -                                  | -                                   | -  | -  |
| Longevity Increase  | -                                  | -                                   | -  | -  |
| Meritorious Increase  | -                                  | -                                   | -  | -  |
| Accrued Leave   | -                                  | -                                   | -  | -  |
| Personnel Benefits  | 251,629                            | 251,630                             | 1  | -  |
| <b>B. PRICE LEVEL INCREASES</b>                                     | <b>-</b>                           | <b>-</b>                            | <b>-</b>                                       | <b>-</b>                                 |
| <b>C. PROGRAM CHANGES</b>   | <b>23,556</b>                      | <b>23,569</b>                       | <b>13</b>                                      | <b>0.06%</b>                             |
| Supplies, Materials, Administrative Costs and Federal Tort Claims   | 3,625                              | 3,625                               | -  | (0.01%)                                  |
| Official Mail for Committees, Leadership and Administrative Offices | 190                                | 190                                 | -  | (0.26%)                                  |
| Business Continuity and Disaster Recovery                           | 16,217                             | 16,217                              | -  | -  |
| Transition Activities   | 2,084                              | 2,084                               | -  | -  |
| Wounded Warrior Program   | 250                                | 250                                 | -  | -  |
| Office of Congressional Ethics                                      | 469                                | 483                                 | 14   | 2.98%                                    |
| Miscellaneous Items   | 720                                | 720                                 | -  | (0.03%)                                  |
| <b>TOTAL</b>  | <b>278,433</b>                     | <b>278,633</b>                      | <b>200</b>                                     | <b>0.07%</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

|                                      | FY15            | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|---------------|
|                                      | Actuals         | Enacted         | Estimate        | Net Change      | Net Change    |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %     |
| 1100 Personnel Compensation          | 8,363           | 8,815           | 9,519           | 704             | 7.98%         |
| 1200 Personnel Benefits              | -               | -               | -               | -               | -             |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -             |
| 2100 Travel                          | 10              | 17              | 17              | -               | -             |
| 2200 Transportation of Things        | -               | -               | -               | -               | -             |
| 2300 Rent, Communications, Utilities | 106             | 113             | 120             | 7               | 6.19%         |
| 2400 Printing and Reproduction       | 5               | 6               | 6               | -               | -             |
| 2500 Other Services                  | 546             | 334             | 525             | 191             | 57.37%        |
| 2600 Supplies and Materials          | 360             | 350             | 475             | 125             | 35.71%        |
| 3100 Equipment                       | 544             | 460             | 878             | 418             | 90.87%        |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -             |
| <b>TOTAL</b>                         | <b>9,935</b>    | <b>10,095</b>   | <b>11,540</b>   | <b>1,445</b>    | <b>14.31%</b> |
|                                      | FY15            | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|                                      | Actuals         | Enacted         | Estimate        | Net Change      | Net Change %  |
| <b>Positions</b>                     | <b>67</b>       | <b>77</b>       | <b>77</b>       | <b>-</b>        | <b>-</b>      |

*FY15 actuals reflect data as of September 30, 2015. These are expenditures only and do not reflect open obligations or post FY spending.*

## Schedule C - Joint Committee on Taxation

House of Representatives  
Detailed Analysis of Change by Organization  
Joint Committee on Taxation

|                                      | FY16                       | FY17                        | FY17 vs. FY16                 | FY17 vs. FY16           |
|--------------------------------------|----------------------------|-----------------------------|-------------------------------|-------------------------|
|                                      | Enacted<br>Dollars (\$000) | Estimate<br>Dollars (\$000) | Net Change<br>Dollars (\$000) | Net Change<br>Percent % |
| <b>A. MANDATORY CHANGE</b>           | <b>8,815</b>               | <b>9,519</b>                | <b>704</b>                    | <b>7.98%</b>            |
| Personnel Base                       | 8,815                      | 8,815                       | -                             | -                       |
| Base Adjustment                      | -                          | 488                         | 488                           | -                       |
| Cost of Living Adjustment Annualized | -                          | 34                          | 34                            | -                       |
| Cost of Living Adjustment            | -                          | 182                         | 182                           | -                       |
| Overtime Pay                         | -                          | -                           | -                             | -                       |
| Reclassifications                    | -                          | -                           | -                             | -                       |
| Temporary Positions                  | -                          | -                           | -                             | -                       |
| Longevity Increase                   | -                          | -                           | -                             | -                       |
| Meritorious Increase                 | -                          | -                           | -                             | -                       |
| Accrued Leave                        | -                          | -                           | -                             | -                       |
| Personnel Benefits                   | -                          | -                           | -                             | -                       |
| <b>B. PRICE LEVEL INCREASES</b>      | <b>-</b>                   | <b>28</b>                   | <b>28</b>                     | <b>-</b>                |
| <b>C. PROGRAM CHANGES</b>            | <b>1,280</b>               | <b>1,993</b>                | <b>714</b>                    | <b>55.78%</b>           |
| Miscellaneous                        | 1,280                      | 1,993                       | 714                           | 55.78%                  |
| <b>TOTAL</b>                         | <b>10,095</b>              | <b>11,540</b>               | <b>1,445</b>                  | <b>14.31%</b>           |
| <b>POSITIONS</b>                     | <b>77</b>                  | <b>77</b>                   | <b>-</b>                      | <b>-</b>                |

## Explanation of Changes Shown on Schedule C

## Joint Committee on Taxation

For salaries and expenses of the Joint Committee on Taxation, \$11,540,000. The fiscal year (FY) 2017 budget request is \$1,445,000 or 14.31% above the *Consolidated Appropriations Act, 2016* per Public Law 114-113.

This amount includes \$9,519,000 for mandatory items, \$27,645 in price level increases, \$1,279,613 for program current services and a \$713,742 increase in program changes.

I. Personnel Details: FY17 Request - \$9,519,000A. Base: \$8,815,387

- i. The estimated FY16 personnel compensation will be \$8,815,387.

B. Budget Calculations:

- i. FY16 Cost of Living Annualized - (0.37%) 1.46%
- ii. FY17 Cost of Living Prorated - (1.95%) 2.60%
- iii. FY17 Longevity - 0.00%
- iv. FY17 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY16 Cost of Living Annualized - \$33,956
- ii. FY17 Cost of Living Prorated - \$182,070
- iii. FY17 Overtime - \$0
- iv. FY17 Reclassifications - \$0
- v. FY17 Temporary Positions - \$0
- vi. FY17 Longevity - \$0
- vii. FY17 Meritorious Increase - \$0
- viii. FY17 Accrued Leave - \$0
- ix. FY17 Personnel Benefits - \$0
- x. FY17 Base Adjustment - \$487,587  
This adjustment to personnel will meet demand from member offices for assistance in policy development and drafting legislative proposals the staff needs to add to tax attorneys with experience in business taxation. In addition, to effectuate the separate information technology architecture recommended by the Chief Information Security Officer of the House of Representatives the Joint Committee

will need to add one additional full time information technology specialist to oversee expansion of the Joint Committee information security.

II. Price Level Details: FY17 Request - \$27,645

The non-personnel estimated inflation factor is 2.2%.

III. Program Details: FY17 Request - \$1,993,355

A. Current Services:

i. Miscellaneous - \$1,279,613

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 - \$713,742

The need to increase cyber security while protecting the legal mandate of limited access to taxpayer return information protected under the Internal Revenue Code section 6103 necessitates increased expenditures by the staff. The Chief Information Security Officer of the House of Representatives has told committee staff that a separate architecture for the Joint Committee is the most appropriate way to provide security for the Joint Committee information technology system, and for the security of the information technology systems of the House of Representatives and the Senate. For Other Services, to create the separate information technology architecture recommended by the Chief Information Security Office of the House of Representatives, the Joint Committee will need to engage contractors in the procurement, installation, and testing of new computer hardware and software. The Joint Committee has a design proposal with estimated costs available for your review. Aside from funding creation of a separate IT system, to promote sound IT security the Joint Committee staff proposes engaging outside experts to undertake a system security audit. For Supplies and Materials, to create the separate information technology architecture recommended by the Chief Information Security Office of the House of Representatives, the Joint Committee will need to acquire additional computer software and the associated licenses for such software. The Joint Committee has a design proposal with estimated costs available for your review. Aside from funding creation of a separate IT system, to promote sound IT security the Joint Committee staff proposes acquiring additional software to scan internal system malware possibly sleeping in the system memory. For Equipment, to create the separate

information technology architecture recommended by the Chief Information Security Office of the House of Representatives, the Joint Committee will need to acquire additional computer hardware. The Joint Committee has a design proposal with the estimated costs available for your review.

## Schedule A - Office of Attending Physician

House of Representatives  
Office of Attending Physician  
By Object Class

|                                      | FY15            | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|--------------------------------------|-----------------|-----------------|-----------------|-----------------|---------------|
|                                      | Actuals         | Enacted         | Estimate        | Net Change      | Net Change    |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %     |
| 1100 Personnel Compensation          | -               | -               | -               | -               | -             |
| 1200 Personnel Benefits              | 162             | 162             | 162             | -               | -             |
| 1300 Benefits to Former Personnel    | -               | -               | -               | -               | -             |
| 2100 Travel                          | 13              | 64              | 50              | (14)            | (21.75%)      |
| 2200 Transportation of Things        | -               | 8               | 8               | -               | -             |
| 2300 Rent, Communications, Utilities | 48              | 219             | 220             | 1               | 0.46%         |
| 2400 Printing and Reproduction       | 3               | -               | 3               | 3               | -             |
| 2500 Other Services                  | 2,483           | 2,692           | 2,780           | 88              | 3.27%         |
| 2600 Supplies and Materials          | 384             | 534             | 600             | 66              | 12.33%        |
| 3100 Equipment                       | 7               | 105             | 15              | (90)            | (85.71%)      |
| 4200 Insurance Claims/Indemnities    | -               | -               | -               | -               | -             |
| <b>TOTAL</b>                         | <b>3,101</b>    | <b>3,784</b>    | <b>3,838</b>    | <b>54</b>       | <b>1.43%</b>  |
|                                      | FY15            | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|                                      | Actuals         | Enacted         | Estimate        | Net Change      | Net Change %  |
| <b>Positions</b>                     | -               | -               | -               | -               | -             |

*FY15 actuals reflect data as of September 30, 2015. These are expenditures only and do not reflect open obligations or post FY spending.*

## Schedule C - Office of Attending Physician

House of Representatives  
Detailed Analysis of Change by Organization  
Office of Attending Physician

|                                      | FY16            | FY17            | FY17 vs. FY16   | FY17 vs. FY16 |
|--------------------------------------|-----------------|-----------------|-----------------|---------------|
|                                      | Enacted         | Estimate        | Net Change      | Net Change    |
|                                      | Dollars (\$000) | Dollars (\$000) | Dollars (\$000) | Percent %     |
| <b>A. MANDATORY CHANGE</b>           | <b>162</b>      | <b>162</b>      | -               | -             |
| Personnel Base                       | -               | -               | -               | -             |
| Base Adjustment                      | -               | -               | -               | -             |
| Cost of Living Adjustment Annualized | -               | -               | -               | -             |
| Cost of Living Adjustment            | -               | -               | -               | -             |
| Overtime Pay                         | -               | -               | -               | -             |
| Reclassifications                    | -               | -               | -               | -             |
| Temporary Positions                  | -               | -               | -               | -             |
| Longevity Increase                   | -               | -               | -               | -             |
| Meritorious Increase                 | -               | -               | -               | -             |
| Accrued Leave                        | -               | -               | -               | -             |
| Personnel Benefits                   | 162             | 162             | -               | -             |
| <b>B. PRICE LEVEL INCREASES</b>      | -               | 12              | 12              | -             |
| <b>C. PROGRAM CHANGES</b>            | <b>3,622</b>    | <b>3,664</b>    | <b>42</b>       | <b>1.17%</b>  |
| Miscellaneous                        | 930             | 884             | (46)            | (4.92%)       |
| Reimbursement to the Navy            | 2,692           | 2,780           | 88              | 3.27%         |
| <b>TOTAL</b>                         | <b>3,784</b>    | <b>3,838</b>    | <b>54</b>       | <b>1.43%</b>  |
| <b>POSITIONS</b>                     | -               | -               | -               | -             |

## Explanation of Changes Shown on Schedule C

## Office of Attending Physician

For salaries and expenses of the Office of Attending Physician, \$3,838,000. The fiscal year (FY) 2017 budget request is \$54,000 or 1.43% above the *Consolidated Appropriations Act, 20* per Public Law 114-113.

This amount includes \$161,760 for mandatory items, \$11,755 in price level increase \$3,622,240 for program current services and a \$42,245 increase in program changes.

I. Personnel Details: FY17 Request - \$161,760A. Base: \$161,760

- i. The estimated FY16 personnel benefits will be \$161,760.

B. Budget Calculations:

- i. FY16 Cost of Living Annualized - (0.37%) 1.46%
- ii. FY17 Cost of Living Prorated - (1.95%) 2.60%
- iii. FY17 Longevity - 0.00%
- iv. FY17 Meritorious Increase - 0.00%

C. Requested Changes:

- i. FY16 Cost of Living Annualized - \$0
- ii. FY17 Cost of Living Prorated - \$0
- iii. FY17 Overtime - \$0
- iv. FY17 Reclassifications - \$0
- v. FY17 Temporary Positions - \$0
- vi. FY17 Longevity - \$0
- vii. FY17 Meritorious Increase - \$0
- viii. FY17 Accrued Leave - \$0
- ix. FY17 Personnel Benefits - \$0
- x. FY17 Base Adjustment - \$0

II. Price Level Details: FY17 Request - \$11,755

The non-personnel estimated inflation factor is 2.2%.

III. Program Details: FY17 Request - \$3,664,485

A. Current Services:i. Miscellaneous - \$930,240

The Office of 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; prophylactic medications, immunizations, physical exams, dietary information, 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.

ii. Reimbursement to the Navy - \$2,692,000

The Office of Attending Physician (OAP) has an ongoing contract with the U.S. Navy for services including medical staff and equipment.

B. Proposed Changes:i. Miscellaneous - (\$45,755)

There is a decrease in overall equipment purchases for FY17.

ii. Reimbursement to the Navy - \$88,000

This increase is based on the anticipated FY17 cost of the U.S. Navy contracted services.

**Appendices to the U.S. House of Representatives  
Zero Based Budgeting for FY2017 Request**

During the formulation of FY2017, several offices throughout the U.S. House of Representatives utilized principles of Zero Based Budgeting (ZBB) to develop their request in a more efficient and transparent manner. The Appendix 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 Inspector General
- Office of 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 2017 Zero Based Budgeting  
Appendix to the Narrative of Schedule C**

**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 VI), 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.

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**FY'17 Budget Request**  
\$26,411,000

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**Strategic Plan**

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), an 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.

### **Zero Based Budgeting Applied**

At the beginning of the FY 2017 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 2017; 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. The result was a budget request that was \$1.43m more than the FY 2016 enacted.

**Office of the Sergeant at Arms  
FY 2017 Zero Based Budgeting  
Appendix to the Narrative of Schedule C**

**Legislative History**

The Sergeant at Arms is an 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.

**Mission Statement**

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.

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**FY'17 Budget Request**

\$ 15,571,000

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**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 six divisions with 132 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, and Police Services/Law Enforcement staff. Administrative staff provide general administrative support for all divisions within the organization. Police Services/Law Enforcement staff provide logistical and security support for on and off campus events involving Members of Congress. To support these activities funding is requested for 10 of the 12 authorized positions. The decrease in funding for this functional component is due to non-recurring travel costs associated with the advance and support of the 2016 Presidential conventions in addition to the purchase of supplies and materials (Member and spouse pins and license plates) needed for the 115<sup>th</sup> Congress.

**Protocol and Chamber Operations** – The division of Protocol and Chamber Operations is comprised of the following sections: Chamber Security, Chamber Support Services, Protocol and the House Appointments Desks. Chamber Security and Chamber Support Services staff facilitate access to and maintain decorum in the House Chamber. Protocol staff assist with the ceremonial duties of the Sergeant at Arms. Appointments Desk staff facilitate access to the Capitol Building for visitors on official business. To support these activities funding for 44 of the 44 authorized positions is requested for personnel. The increase in funding for this functional component is for temporary staff assistance during the peak visitor/tourist season to assist with controlling access to the House floor and galleries.

**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 enforces the parking policies and allocations set forth by the Committee on House Administration. To support these activities funding for 43 of the 43 authorized positions is requested for personnel. The decrease in funding for this functional component is due the non-recurring costs associated with the FY16 purchase of parking permits for use in the 115<sup>th</sup> Congress.

**House Security** – The division House Security 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 provides training for Members of Congress and House staff on the protocols and responsibilities in handling and storing of classified materials, foreign travel, counterintelligence, and operations security. To support these activities funding for 6 of the 6 authorized positions is requested for personnel. The decrease in funding for this functional component is due to the non-recurring costs associated with the purchase of equipment in FY16.

**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 12 of 12 authorized positions is requested for personnel. The increase in funding for this functional component is due to the purchase of equipment.

**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 of the 14 authorized positions is requested for personnel. The increase in funding this functional component is due to contractor services support and equipment purchases.

**Zero Based Budgeting Applied**

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 we have an authorized ceiling of 132 positions we are only requesting funding for 130 positions.

**Office of the Chief Administrative Officer  
FY 2017 Zero Based Budgeting  
Appendix to the Narrative of Schedule C**

**Legislative History**

The Chief Administrative Officer (CAO) is an Officer of the House and is elected by majority vote of Members at the start of each Congress. Pursuant to House Rule II, the CAO directs non-legislative, budgetary, financial and administrative functions of the House subject to the oversight of the Committee on House Administration.

**Mission Statement**

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.

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**FY'17 Budget Request**  
\$117,165,000

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**Strategic Plan**

The CAO provides a wide range of essential services and support to House Members and staff, enabling them to carry out their important responsibilities efficiently and cost effectively. Our goal is to streamline operations and focus on core services including finance; budget; payroll and benefits; staff training and development; information technology systems; assets and furnishings; procurement; acquisitions; and concessionaire service contracts.

**Organization - Functional Components**

The CAO supports the House community by operating the financial and administrative functions of the House. The CAO staff is a team of dedicated professionals with 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 2016<br>Continuing<br>Appropriations<br>per P.L. 114-53 | FY 2017<br>Budget<br>Request | FY'17 Request<br>vs.<br>FY'16 CR<br>\$ | FY'17 Request<br>vs.<br>FY'16 CR<br>% |
|-------------------------------------|--|------------------------------|--|---------------------------------------|
| <b>Chief Administrative Officer</b> |  |                              |  |                                       |
| CAO Immediate Office and Galleries  | \$ 8,612,000   | \$ 9,434,689                 | \$ 822,689                             | 9.55%                                 |
| Acquisitions Management             | \$ 10,260,000  | \$ 10,327,997                | \$ 67,997                              | 0.66%                                 |
| Finance                             | \$ 9,536,000   | \$ 10,063,487                | \$ 527,487                             | 5.53%                                 |
| House Information Resources         | \$ 62,843,000  | \$ 60,686,392                | \$ (2,156,608)                         | -3.43%                                |
| House Recording Studio              | \$ 5,700,000   | \$ 5,888,205                 | \$ 188,205                             | 3.30%                                 |
| Human Resources                     | \$ 3,669,000   | \$ 3,671,984                 | \$ 2,984                               | 0.08%                                 |
| Logistics and Support               | \$ 16,545,000  | \$ 17,092,246                | \$ 547,246                             | 3.31%                                 |
| <b>Total CAO Budget</b>             | <b>\$ 117,165,000</b>                                      | <b>\$ 117,165,000</b>        | <b>\$ -</b>                            | <b>0.00%</b>                          |

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

**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.

**CAO IMMEDIATE OFFICE SUMMARY - FY'17 BUDGET REQUEST TABLE**

| Description  | Amount              | Narrative  |
|--|---------------------|--|
| <b>Tier 1: Flat FY'17 Budget</b>                                 |                     |  |
| 11-Personnel Compensation  | \$ 4,796,000        |  |
| 21-Travel  | \$ 12,000           |  |
| 22-Transportation of Things                                      | \$ -                |  |
| 23-Rent, Communications, Utilities                               | \$ 87,000           |  |
| 24-Printing  | \$ 6,000            |  |
| 25-Other Services  | \$ 2,570,000        |  |
| 26-Supplies and Materials  | \$ 52,000           |  |
| 31-Equipment   | \$ 1,089,000        |  |
| <b>Subtotal Tier 1</b>   | <b>\$ 8,612,000</b> |  |
| <b>Tier 2: Zero-based budgeting applied to Flat FY'17 Budget</b> |                     |  |
| 11-Personnel Compensation  | \$ 160,689          | The FY 2017 budget request for the CAO Immediate Office is \$822,689 or 9.55% above the FY 2016 Consolidated Appropriations Act per P. L. 114-113. The CAO requests funding to support personnel increases for the anticipated COLA and longevity as well as to support PeopleSoft project initiatives. Partially offsetting these increases, there is a reduction in both the House-wide Roll Call and National Journal subscription contracts as well as contractor support for the Internal Controls program. |
| 21-Travel  | \$ -                |  |
| 22-Transportation of Things                                      | \$ -                |  |
| 23-Rent, Communications, Utilities                               | \$ 1,000            |  |
| 24-Printing  | \$ -                |  |
| 25-Other Services  | \$ 660,000          |  |
| 26-Supplies and Materials  | \$ 1,000            |  |
| 31-Equipment   | \$ -                |  |
| <b>Subtotal Tiers 1&amp;2</b>                                    | <b>\$ 9,434,689</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>\$ 9,434,689</b> |  |

**Acquisitions Management** - Acquisitions Management procures goods and services for the House, and manages House service contracts including Food Services, Shoe Shine Services, the Barber Shop and Salon, fitness center, dry cleaners, and traditional and digital mail operations.

**ACQUISITIONS MANAGEMENT SUMMARY - FY'17 BUDGET REQUEST TABLE**

| Description   | Amount               | Narrative   |
|---|----------------------|---|
| <b>Tier 1: Flat FY'17 Budget</b>                                  |                      |   |
| 11-Personnel Compensation   | \$ 1,731,000         |   |
| 21-Travel   | \$ -                 |   |
| 22-Transportation of Things                                       | \$ -                 |   |
| 23-Rent, Communications, Utilities                                | \$ 128,000           |   |
| 24-Printing   | \$ -                 |   |
| 25-Other Services   | \$ 8,015,000         |   |
| 26-Supplies and Materials   | \$ -                 |   |
| 31-Equipment  | \$ 386,000           |   |
| <b>Subtotal Tier 1</b>  | <b>\$ 10,260,000</b> |   |
| <b>Tier 2: Zero-based budgeting applied to Flat FY' 17 Budget</b> |                      |   |
| 11-Personnel Compensation   | \$ 67,997            |   |
| 21-Travel   | \$ -                 |   |
| 22-Transportation of Things                                       | \$ -                 | The FY 2017 budget request for Acquisitions Management is \$67,997 or 0.66% above the FY 2016 Consolidated Appropriations Act per P.L. 114-113. Acquisitions Management requests funding to support personnel increases for the anticipated COLA, longevities and overtime. |
| 23-Rent, Communications, Utilities                                | \$ -                 |   |
| 24-Printing   | \$ -                 |   |
| 25-Other Services   | \$ -                 |   |
| 26-Supplies and Materials   | \$ -                 |   |
| 31-Equipment  | \$ -                 |   |
| <b>Subtotal Tiers 1&amp;2</b>                                     | <b>\$ 10,327,997</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>\$ 10,327,997</b> |   |

**Finance** - The Office of Finance provides financial management services to the House community including accounting, financial counseling for official expenses and voucher processing, payroll and benefits counseling and processing for Members of Congress and staff, and House budget management.

**FINANCE SUMMARY - FY'17 BUDGET REQUEST TABLE**

| Description  | Amount               | Narrative  |
|--|----------------------|--|
| <b>Tier 1: Flat FY'17 Budget</b>                                 |                      |  |
| 11-Personnel Compensation  | \$ 8,670,000         |  |
| 21-Travel  | \$ 3,000             |  |
| 22-Transportation of Things                                      | \$ -                 |  |
| 23-Rent, Communications, Utilities                               | \$ 90,000            |  |
| 24-Printing  | \$ 1,000             |  |
| 25-Other Services  | \$ 546,000           |  |
| 26-Supplies and Materials  | \$ 60,000            |  |
| 31-Equipment   | \$ 166,000           |  |
| <b>Subtotal Tier 1</b>   | <b>\$ 9,536,000</b>  |  |
| <b>Tier 2: Zero-based budgeting applied to Flat FY'17 Budget</b> |                      |  |
| 11-Personnel Compensation  | \$ 385,487           | The FY 2017 budget request for Finance is \$527,487 or 5.53% above the FY 2016 Consolidated Appropriations Act per P.L. 114-113. Finance requests funding to support personnel increases for the anticipated COLA, longevities, and overtime; and increased contractor support for ACA Compliance, Retirement, E-Voucher, and the Purchase Card Program. Partially offsetting these increases is a reduction in Vendor Management contractor support as well as equipment. |
| 21-Travel  | \$ -                 |  |
| 22-Transportation of Things                                      | \$ -                 |  |
| 23-Rent, Communications, Utilities                               | \$ 2,000             |  |
| 24-Printing  | \$ 1,000             |  |
| 25-Other Services  | \$ 229,000           |  |
| 26-Supplies and Materials  | \$ 1,000             |  |
| 31-Equipment   | \$ (91,000)          |  |
| <b>Subtotal Tiers 1&amp;2</b>                                    | <b>\$ 10,063,487</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>\$ 10,063,487</b> |  |

**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 conferencing through the House's public wireless network. HIR is also responsible for managing large scale software/hardware implementations.

**HOUSE INFORMATION RESOURCES SUMMARY - FY'17 BUDGET REQUEST TABLE**

| Description  | Amount               | Narrative  |
|--|----------------------|--|
| <b>Tier 1: Flat FY'17 Budget</b>                                 |                      |  |
| 11-Personnel Compensation  | \$ 32,333,000        |  |
| 21-Travel  | \$ 105,000           |  |
| 22-Transportation of Things                                      | \$ -                 |  |
| 23-Rent, Communications, Utilities                               | \$ 5,115,000         |  |
| 24-Printing  | \$ 7,500             |  |
| 25-Other Services  | \$ 7,030,000         |  |
| 26-Supplies and Materials  | \$ 623,000           |  |
| 31-Equipment   | \$ 17,629,500        |  |
| <b>Subtotal Tier 1</b>   | <b>\$ 62,843,000</b> |  |
| <b>Tier 2: Zero-based budgeting applied to Flat FY'17 Budget</b> |                      |  |
| 11-Personnel Compensation  | \$ 78,392            | The FY 2017 budget request for House Information Resources (HIR) is (\$2,156,608) or -3.43% below the FY 2016 Consolidated Appropriations Act per P.L. 114-113. This reduction is attributed to contractor to FTE conversions across HIR. In addition, funding requested and received in FY 2016 for the VMWare renewal is no longer needed. Partially offsetting these reductions, HIR requests funding to support personnel increases for the anticipated COLA, longevities, and overtime; anticipated increases in hardware/software maintenance and licenses; the VNX2 performance and disk upgrade; Adobe enterprise licenses for the CAO; and one-time project contractor costs for Knowledge Management implementation. |
| 21-Travel  | \$ -                 |  |
| 22-Transportation of Things                                      | \$ -                 |  |
| 23-Rent, Communications, Utilities                               | \$ 3,000             |  |
| 24-Printing  | \$ 2,500             |  |
| 25-Other Services  | \$ (1,142,000)       |  |
| 26-Supplies and Materials  | \$ 35,000            |  |
| 31-Equipment   | \$ (1,133,500)       |  |
| <b>Subtotal Tiers 1&amp;2</b>                                    | <b>\$ 60,686,392</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>\$ 60,686,392</b> |  |

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

**HOUSE RECORDING STUDIO SUMMARY - FY'17 BUDGET REQUEST TABLE**

| Description  | Amount              | Narrative  |
|--|---------------------|--|
| <b>Tier 1: Flat FY'17 Budget</b>                                 |                     |  |
| 11-Personnel Compensation  | \$ 4,796,000        |  |
| 21-Travel  | \$ 5,000            |  |
| 22-Transportation of Things                                      | \$ -                |  |
| 23-Rent, Communications, Utilities                               | \$ 180,000          |  |
| 24-Printing  | \$ -                |  |
| 25-Other Services  | \$ 455,000          |  |
| 26-Supplies and Materials  | \$ 70,000           |  |
| 31-Equipment   | \$ 194,000          |  |
| <b>Subtotal Tier 1</b>   | <b>\$ 5,700,000</b> |  |
| <b>Tier 2: Zero-based budgeting applied to Flat FY'17 Budget</b> |                     |  |
| 11-Personnel Compensation  | \$ 188,205          | The FY 2017 budget request for House Recording Studio is \$188,205 or 3.30% above the FY 2016 Consolidated Appropriations Act per P.L. 114-113. House Recording Studio requests funding to support personnel increases for the anticipated COLA, longevities and overtime. |
| 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>\$ 5,888,205</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>\$ 5,888,205</b> |  |

**Human Resources** - The Office of Human Resources provides personnel services to the CAO. The HR Immediate Office (which encompasses CAO Human Resources, Diversity and Organizational Change Management, Privacy Assurance, and Safety and Personnel Security) provides the internal full life-cycle HR services to the CAO organization. The Office of Employee Assistance, House Learning Center and House Wounded Warrior Program, within Human Resources, provides external House-wide HR services.

**HUMAN RESOURCES SUMMARY - FY'17 BUDGET REQUEST TABLE**

| Description  | Amount              | Narrative  |
|--|---------------------|--|
| <b>Tier 1: Flat FY'17 Budget</b>                                 |                     |  |
| 11-Personnel Compensation  | \$ 2,626,000        |  |
| 21-Travel  | \$ 76,500           |  |
| 22-Transportation of Things                                      | \$ -                |  |
| 23-Rent, Communications, Utilities                               | \$ 29,000           |  |
| 24-Printing  | \$ 19,000           |  |
| 25-Other Services  | \$ 698,000          |  |
| 26-Supplies and Materials  | \$ 61,500           |  |
| 31-Equipment   | \$ 159,000          |  |
| <b>Subtotal Tier 1</b>   | <b>\$ 3,669,000</b> |  |
| <b>Tier 2: Zero-based budgeting applied to Flat FY'17 Budget</b> |                     |  |
| 11-Personnel Compensation  | \$ 172,984          | The FY 2017 budget request for Human Resources is \$2,984 or 0.08% above the FY 2016 Consolidated Appropriations Act per P.L. 114-53. Human Resources requests funding to support personnel increases for the anticipated COLA, longevities and overtime. Partially offsetting these increases, funds are reduced to reflect decreases associated with the CAO Privacy Program as well as the Office of Employee Assistance (OEA) recordkeeping system. During FY16, both OEA's confidential recordkeeping system and a specialized CAO Privacy training program will be fully implemented. During FY17, the CAO Privacy Program will focus on maintenance and sustainment activities. |
| 21-Travel  | \$ (1,000)          |  |
| 22-Transportation of Things                                      | \$ -                |  |
| 23-Rent, Communications, Utilities                               | \$ 1,000            |  |
| 24-Printing  | \$ (1,000)          |  |
| 25-Other Services  | \$ (99,500)         |  |
| 26-Supplies and Materials  | \$ (10,500)         |  |
| 31-Equipment   | \$ (59,000)         |  |
| <b>Subtotal Tiers 1&amp;2</b>                                    | <b>\$ 3,671,984</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>\$ 3,671,984</b> |  |

**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, finish schedule activities, delivery and setup of furniture in offices, meetings and special event rooms, as well as warehousing furniture inventory. Additionally, Logistics and Support oversees the operation of Asset Management, the Office Supply Store, the House Gift Shop, Photography, Graphics, and First Call.

**LOGISTICS AND SUPPORT SUMMARY - FY'17 BUDGET REQUEST TABLE**

| Description  | Amount               | Narrative   |
|--|----------------------|---|
| <b>Tier 1: Flat FY'17 Budget</b>                                 |                      |   |
| 11-Personnel Compensation  | \$ 11,370,000        |   |
| 21-Travel  | \$ 65,100            |   |
| 22-Transportation of Things                                      | \$ -                 |   |
| 23-Rent, Communications, Utilities                               | \$ 110,400           |   |
| 24-Printing  | \$ -                 |   |
| 25-Other Services  | \$ 1,398,005         |   |
| 26-Supplies and Materials  | \$ 1,592,607         |   |
| 31-Equipment   | \$ 2,008,888         |   |
| <b>Subtotal Tier 1</b>   | <b>\$ 16,545,000</b> |   |
| <b>Tier 2: Zero-based budgeting applied to Flat FY'17 Budget</b> |                      |   |
| 11-Personnel Compensation  | \$ 500,647           | The FY 2017 budget request for Logistics and Support is \$547,246 or 3.31% above the FY 2016 Consolidated Appropriations Act per P.L. 114-113. Logistics and Support requests funding to support personnel increases for the anticipated COLA, longevities and overtime; operational costs for the newly formed Asset Management directorate; and estimated increases in warehousing, storage allowances and carpeting. Partially offsetting these increases, furniture has been reduced due to anticipated costs savings associated with modular furniture installation by the Cannon Renewal project. |
| 21-Travel  | \$ (4,510)           |   |
| 22-Transportation of Things                                      | \$ 18,000            |   |
| 23-Rent, Communications, Utilities                               | \$ -                 |   |
| 24-Printing  | \$ -                 |   |
| 25-Other Services  | \$ 321,109           |   |
| 26-Supplies and Materials  | \$ (150,000)         |   |
| 31-Equipment   | \$ (138,000)         |   |
| <b>Subtotal Tiers 1&amp;2</b>                                    | <b>\$ 17,092,246</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>\$ 17,092,246</b> |   |

**Zero Based Budgeting Applied**

The CAO continues to strive for maintaining current services with a flat operating budget. During the summer months, the CAO performed an intense internal analysis of the FY 2016 budget which included a detailed line-by-line review of all operational expenses. This Zero-Based Budgeting (ZBB) 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. After re-evaluating our priorities and current operations, the CAO realigned our planned obligations and expenditures for FY 2016 accordingly and began formulating our FY 2017 budget request.

All FY 2017 projects, programs, and activities (PPAs) were reviewed and re-validated against the CAO's mission, vision, and goals, and then revised as needed. Each PPA submitted as part of this review provided a brief overview of service, justification for service, and impact if service was not funded. During this process, budget points of contact identified any unfunded operational or project requirements and provided justifications and unfunded impacts.

Several meetings were held to review all submissions and unfunded operational or project requirements. The goal was to realign funding across PPAs to accommodate for annual increases on key activities and services as well as hardware/software maintenance and licenses. During this process, the CAO determined that it was able to maintain these activities and services through a flat budget request when compared to the FY 2016 requested levels.

**Office of the Inspector General  
FY2017 Zero Based Budgeting  
Appendix to the Narrative of Schedule C**

**Legislative History**

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 (H. Res. 423, 102<sup>nd</sup> Congress) to conduct periodic audits of the financial and administrative functions of the House and of joint entities.

**Mission Statement**

The OIG's mission is to provide value-added recommendations for improving the performance, accountability, and integrity of House financial, administrative, and technology-based operations through performance of independent audit, advisory, and investigative services in a non-partisan manner. In collaboration with the Committee on House Administration (Committee), on a bi-partisan basis, the OIG continues to do its part to contribute to a more effective and efficient House support structure by identifying and helping mitigate significant risks to the House; highlighting opportunities for improving the efficiency of House operations; and serving as a constructive critic, risk advisor, and positive change agent.

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**FY2017 BUDGET REQUEST**

\$4,987,000

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**Strategic Plan**

The OIG supports House governance activities by performing audits, advisory, and investigative services in coordination with the Committee on House Administration and House Leadership.

The OIG has three main Strategic Goals:

- Improve House financial and administrative operations
- Protect the integrity of House financial and administrative operations
- Ensure quality and excellence in our organization

**Functional Components**

The OIG staff consists of twenty-five (25) experienced and dedicated professionals who have extensive public and private sector work experience. The staff is divided among four divisions:

- Performance and Financial Audits, and Investigations
- Information Systems Audits
- Management Advisory Services

- Support Services

The OIG operates three distinct, recurring programs:

***Audit, Advisory, and Investigative Services (AAIS)***

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

The OIG prepares an annual Work Plan which is reviewed and approved by both the Majority and Minority of the Committee. This plan consists of requested projects from the House Officers and the Committee. The OIG also assesses areas of potential risk to the House and recommends additional audits and advisories. The House OIG will also be assuming an assurance role in the newly established Legislative Branch Cyber Security Task Force. The scope, depth, and number of audits and advisories vary from year to year because of changes in House operations, emerging trends, the continual reassessment of risk, and the availability of funds for obligation. 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 are not easily predicted.

The OIG executes its 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 AAIS Program budget includes salaries for the Inspector General (IG), 2 Deputy IGs, and 19 audit, advisory, investigative, and quality assurance staff members. An additional FTE to support the OIG’s assurance role in the Legislative Branch Cyber Security Task Force was approved by the Committee in FY2016, but not funded. For FY2017 we are requesting the salary for the additional FTE be added to our personnel compensation base. The AAIS Program budget also includes funding for audit-specific training, audit-specific supplies (e. g. computer hardware, software and licensing support, and forensic tools for audits and investigations), printing of OIG Advisory Services and Fraud Awareness brochures, and audit-related subscriptions and publications used as guides, references, and resources in the performance and planning of audits and investigations. Based upon specific job requirements, the OIG may augment its staff with contractors having specialized technical skills or subject matter expertise.

***AAIS Program – (FY’17 Zero-based Budget)***

**Net Change:** \$230,330. The program budget was formulated starting with the FY2016 budget request, including the requested COLA for FY2016. We increased our personnel compensation base to fund the new FTE, as well as including the FY2017 mandatory COLA for the 19 HEPCA-covered AAIS staff. We then added the salaries for the 3 non HEPCA-covered staff.

Next, the non-personnel items were formulated by starting with the amounts from our FY2016 budget request. The OIG is required to engage an independent firm to perform the annual audit of the House financial statements. The amount for this mandatory independently contracted audit is the starting point to budget for Other Services for FY2017. For the remainder of the AAIS Program budget, we

realigned some funding between BOCs to appropriately reflect previous spending trends and determined minimum estimates of the amount needed for current and planned services and support. An inflation factor of 2.2% has been added to all non-personnel budget items. The total added to the AAIS budget using the inflation factor on all non-personnel services is \$21,066.

In previous years the addition of COLA for the HEPCA-covered AAIS staff salaries had been offset by a reduction in the Other Services budget, which primarily covers the required contracting of an independent auditor of the House financial statements, as well as contracted assistance from subject matter experts on audit or advisory projects. While the OIG's investment in enhancing staff skills and areas of expertise has positioned the organization to rely less on contractors, continuing the trend of absorbing the COLA by decreasing other funds could potentially reduce the number of contracted audits or audits performed with the assistance of contracted subject matter experts. Therefore, the OIG is requesting to add, rather than absorb, the COLA for FY2017.

| <b>FY'17 Budget Request - AUDIT, ADVISORY, AND INVESTIGATIVE SERVICES</b> |                       |
|---|-----------------------|
| <b>Description</b>  | <b>Amount</b>         |
| <b>FY'16 Budget per PL 114-113</b>  | <b>Appropriations</b> |
| 11-Personnel Compensation   | \$ 3,129,956          |
| 21-Travel   | \$ -                  |
| 23-Rent, Communications, Utilities  | \$ -                  |
| 24-Printing   | \$ 3,000              |
| 25-Other Services   | \$ 850,555            |
| 26-Supplies and Materials   | \$ 72,000             |
| 31-Equipment  | \$ 32,000             |
| <b>Subtotal FY'16 per PL 114-113</b>                                      | <b>\$ 4,087,511</b>   |
| <b>Zero-based budgeting applied for FY'17 Budget</b>                      |                       |
| 11-Personnel Compensation   | \$ 209,264            |
| 21-Travel   | \$ -                  |
| 23-Rent, Communications, Utilities  | \$ -                  |
| 24-Printing   | \$ 66                 |
| 25-Other Services   | \$ 18,712             |
| 26-Supplies and Materials   | \$ 1,584              |
| 31-Equipment  | \$ 704                |
| <b>Subtotal Changes</b>   | <b>\$ 230,330</b>     |
| <b>AAIS PROGRAM FY'17 Request</b>   | <b>\$ 4,317,841</b>   |

### ***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 automation, files maintenance and disposition, and other administrative support activities to ensure audit, advisory, and investigative staff and executive management has the necessary resources, services, and support to effectively and efficiently perform mission activities. The OPS Program budget includes salaries for three OPS Program staff members, as well as funding for the purchase of general office supplies, equipment (including maintenance agreements), office furnishings, enterprise computer

software, hardware, and/or licensing agreements, relevant publications, communications equipment and service subscriptions, consultant and technical service support, and payment for shipment of purchased items.

**OPS Program – (FY'17 Zero-based Budget)**

**Net Change:** \$13,034. The program budget was formulated starting with the FY2016 budget request, including the requested COLA for FY2016. We added the mandatory COLA increase of \$8,871 for FY2017 personnel salaries for the 3 HEPCA-covered OPS staff. The OIG is requesting the increase due to the mandatory FY2017 COLA be added to the personnel compensation budget, and not absorbed by reducing funds in another area, as has been required in the past several years. We reduced our FY2016 Rent, Communications, and Utilities budget in our request to partially offset the COLA and to return the RCU budget back to its normal level after a one-time increase for purchasing new mobile devices. The remaining OPS program budget is based on necessary service contracts for maintenance of the OIG's enterprise systems, office equipment, communications plans, and on the past year's spending trends for supplies and subscriptions, and minimum estimates of the amount needed for current and planned services. Each non-personnel budget item has had an inflation factor of 2.2% applied. The change in this program budget for non-personnel items is \$4,163.

| <b>FY'17 Budget Request - OPERATIONS PROGRAM</b>     |                       |
|--|-----------------------|
| <b>Description</b>                                   | <b>Amount</b>         |
| <b>FY'16 Budget per PL 114-113</b>                   | <b>Appropriations</b> |
| 11-Personnel Compensation                            | \$ 382,049            |
| 21-Travel  | \$ -                  |
| 23-Rent, Communications, Utilities                   | \$ 46,249             |
| 24-Printing  | \$ 1,000              |
| 25-Other Services                                    | \$ 91,000             |
| 26-Supplies and Materials                            | \$ 22,000             |
| 31-Equipment   | \$ 29,000             |
| <b>Subtotal FY'16 per PL 114-113</b>                 | <b>\$ 571,298</b>     |
| <b>Zero-based budgeting applied for FY'17 Budget</b> |                       |
| 11-Personnel Compensation                            | \$ 8,871              |
| 21-Travel  | \$ -                  |
| 23-Rent, Communications, Utilities                   | \$ 1,017              |
| 24-Printing  | \$ 22                 |
| 25-Other Services                                    | \$ 2,002              |
| 26-Supplies and Materials                            | \$ 484                |
| 31-Equipment   | \$ 638                |
| <b>Subtotal Changes</b>                              | <b>\$ 13,034</b>      |
| <b>OPS PROGRAM FY'16 Request</b>                     | <b>\$ 584,332</b>     |

***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 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.

The OIG is also certified as a training provider through the National Association of State Boards of Accountancy (NASBA); therefore some training can be developed and delivered internally. The majority of the OIG's training is done locally, but in some instances, travel and travel expenses are necessary if the training cannot be obtained in time to meet the needs of the OIG or is not available locally. Purchases of computer software, accessories, training/learning aids, and publications associated with OIG training are also funded in the Training (TRN) Program's budget.

**TRN Program – (FY'17 Zero-based Budget)**

**Net Change:** \$1,826. The program budget was formulated based on the past year's spending trends and estimates to ensure funding for the minimum number of Continuing Professional Education credits which staff are required to earn, in accordance with Government Auditing Standards. This relates directly to ensuring the OIG is in compliance with Rule II, which states the OIG will conduct its work "in a manner consistent with government-wide auditing standards," and is also in line with the OIG's strategic goal of ensuring quality and excellence in our organization. The entire increase to the Training Program budget is due to application of the 2.2% inflation factor.

| <b>FY'17 Budget Request - TRAINING PROGRAM</b>       |                       |
|--|-----------------------|
| <b>Description</b>                                   | <b>Amount</b>         |
| <b>FY'16 Budget per PL 114-113</b>                   | <b>Appropriations</b> |
| 11-Personnel Compensation                            |                       |
| 21-Travel  | \$ 13,000             |
| 23-Rent, Communications, Utilities                   | \$ -                  |
| 24-Printing  | \$ -                  |
| 25-Other Services                                    | \$ 70,000             |
| 26-Supplies and Materials                            | \$ -                  |
| 31-Equipment   | \$ -                  |
| <b>Subtotal FY'16 per PL 114-113</b>                 | <b>\$ 83,000</b>      |
| <b>Zero-based budgeting applied for FY'17 Budget</b> |                       |
| 11-Personnel Compensation                            | \$ -                  |
| 21-Travel  | \$ 286                |
| 23-Rent, Communications, Utilities                   | \$ -                  |
| 24-Printing  | \$ -                  |
| 25-Other Services                                    | \$ 1,540              |
| 26-Supplies and Materials                            | \$ -                  |
| 31-Equipment   | \$ -                  |
| <b>Subtotal Changes</b>                              | <b>\$ 1,826</b>       |
| <b>TRAINING PROGRAM FY'17 Request</b>                | <b>\$ 84,826</b>      |

Based on known requirements at this time, the OIG has no additional changes to make to the zero-based budget request above. The OIG reduces costs wherever possible and releases funds for reprogramming when our operational and mission funding requirements do not match our budget estimates. For five of the last seven years, the OIG has operated on a budget that was less than its FY2009 appropriation. Our FY2017 budget request, which includes funding for a FTE added in FY2016 and the FY2017 COLA, is only 0.8% more than our FY2009 appropriation. The recurring practice of absorbing mandatory COLAs into flat budgets or further budget reductions could start to affect the OIG's ability to appropriately fund each of its programs and its expanded responsibilities in providing assurance services to the Legislative Branch Cyber Security Task Force. Therefore, the OIG's FY2017 budget request adds both funding for a newly approved FTE and COLA to help ensure there are no negative impacts to the OIG's ability to meet its future mission requirements.

**Office of General Counsel  
FY 2017 Zero Based Budgeting  
Appendix to the Narrative of Schedule C**

**Legislative History**

The Office of General Counsel (OGC) is established pursuant to Rule 11.8(a) of the Rules of the House of Representatives for the 114th Congress. The office was first established by House Rule in 1993. See H. Res. 5, 103d Cong. (Jan. 5, 1993, p.49).

**Mission Statement**

The OGC provides legal representation and advice to the House and its Members, officers, employees, and entities (e.g., committees) without regard to political affiliation, on matters related to their official duties.

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**FY'17 Budget Request**

\$1,451,000

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**Strategic Plan**

The strategic plan of the office is to win cases and provide sound legal advice. While it is impossible to provide an exhaustive list of the types of representation and advice the OGC can and does provide, the office addresses with some frequency the following types of matters:

- committee subpoenas
- judicial/administrative/grand jury subpoenas
- judicial proceedings
- privileges, including Speech or Debate Clause issues
- tort claims
- request for information (both formal and informal)
- release of constituent information and confidentiality
- FOIA and the Privacy Act issues
- formal legal opinions
- tax exemption letters
- separation of powers issues

**Office Functional Components**

Legal Representation and Advice

**Zero Based Budgeting Applied**

To execute zero based budgeting, we reviewed and analyzed our historical spending patterns, and evaluated our anticipated needs for FY 2017.

The OGC last received an increase to its budget in FY 2010, and its FY 2014 and FY 2015 budgets are below the office's FY 2009 budget. The requested increase for FY 2017 is attributable to a significant increase in the amount and complexity of the office's workload over the last several years. As a direct result, OGC replaced its law clerks with staff attorneys at higher salary levels. In addition, the increase in personnel amount for FY 2017 is attributable to meritorious and COLA increases required to maintain salary levels sufficient to attract and retain highly qualified senior attorneys (assistant counsels) who handle the bulk of the OGC's workload.

**Office of the Parliamentarian  
FY 2017 Zero Based Budgeting  
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-28e). 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 228 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).

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**FY'17 Budget Request**

\$2,010,000

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### **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.

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, which, under the Constitution, is 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 29 large printed volumes comprising thousands of decisions over the 228 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.

### **Zero Based Budgeting Applied**

After analyzing its budget from a zero base, the Office of the Parliamentarian evaluated its existing and anticipated needs and reallocated funds as necessary, especially within the personnel portion of its budget. The Parliamentarian filled one vacant FTE during the second quarter of calendar year 2015, and a second vacant FTE during the third quarter of calendar year 2015, in one case replacing a departing attorney with an entry-level hire and in the other case with a lateral hire.

The Office of the Parliamentarian continues its efforts to operate at greater efficiency. In particular, the Digital Editor within its Office of Compilation of Precedents is continuing the commitment of the Office to efficiency of operations by expanding the role of database

software in the writing, editing, and publishing of the precedents of the House. The Parliamentarian has invested in upgrades to its database technology in order to make its search and authoring capabilities more efficient. In addition, it is anticipated that the enhanced software will enable the database to accommodate a larger quantity of precedents, both through data entry of older precedents and through composition of new precedents directly in the database.

For the coming fiscal year, the Parliamentarian anticipates a shift of resources away from contract services utilization and toward training and outreach capabilities in response to changes in House leadership.

**Office of the Law Revision Counsel  
FY 2017 Zero Based Budgeting  
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 general 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.

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**FY'17 Budget Request**

\$3,182,000

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**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 Code as current and user-friendly as technologically possible. For the print version, in accordance with 1 U.S.C. 202, a complete new edition is published every six (6) years with annual cumulative supplements printed in each of the five (5) intervening years. For the OLRC, there are four (4) principle drivers:

Accuracy - This is a paramount concern. Every effort is made to ensure that the United States Code is as precise and error-free as humanly possible.

Timeliness - The United States Code online is updated to today's date. The size (50,000 pages) and complexity of the Code necessitate a day-to-day commitment from every member of the staff to make this level of timeliness an ongoing reality.

Accessibility - The Hill community and the general public need the United States Code to be transparent. For the online version, that means a quality website with downloadable data in multiple formats, including XML.

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 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 Code; and (2) Positive law codification. The OLRC currently has 17 employees. There are 9 attorneys allocated for the editorial maintenance of the Code and 3 attorneys allocated for positive law codification. The remaining 5 employees provide editorial, technical, and clerical assistance to both functional components of the OLRC.

Editorial maintenance of the Code -- This function 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 to enable users to find, track, and understand the updates.

Positive Law Codification -- This function involves preparing legislation to enact individual titles of the United States Code into positive law. Positive law codification improves the organizational structure of the Code, creates a flexible framework to accommodate future legislation, and resolves inconsistencies and errors in existing law.

### **Zero Based Budgeting Applied**

To execute zero-based budgeting, the OLRC has undertaken a detailed line-by-line review of expenses. Three concerns predominate: (1) retention of mid-level staff; (2) the replacement of departed staff; and (3) completion of the Modernization Initiative relating to the OLRC. The OLRC needs to budget for salary increases for the attorney and support staff both to retain the mid-level members of the staff and to recognize that several mid-level attorneys are undertaking senior-level responsibilities.

With the FY'15 appropriation for the Modernization Initiative, the OLRC believes it has sufficient funds to complete the Modernization Initiative as initially envisioned. However, there are needed follow-on projects that must be undertaken in the near future which will require additional funding.

**Office of the Legislative Counsel  
FY 2017 Zero Based Budgeting  
Appendix to the Narrative of Schedule C**

**Legislative History**

The Office of the Legislative Counsel (Office) 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."

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**FY'17 Budget Request**

\$8,979,000

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**Strategic Plan (Our Vision)**

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 50 attorneys, who are increasingly 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.

### **Zero Based Budgeting Applied**

- To execute zero-based budgeting, the Office has completed 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 budget-related legislation, 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) the need to have an overlap of senior personnel with new personnel in order to provide necessary training and transition in complex areas; and (3) 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.
- With respect to the first 2 concerns, because of our previous success in recruitment and retention, we have close to 20 attorneys who have been with the office for more than 20, 30, and even 40 years. Retention and then ultimate replacement of these attorneys (many of whom are eligible for retirement at this time) with new attorneys equally dedicated to public service is an increasingly serious concern. With regard to retention of highly trained and skilled attorneys, there is a need to maintain compensation at least in parity with attorneys in similar positions in the Congress and the Executive Branch, particularly with respect to attorneys in the Office of the Senate Legislative Counsel (SLC) who perform comparable functions. We have been monitoring changes in SLC salary levels through LegiStorm data (and other means) and our personnel compensation levels have been projected based on our projected estimates to maintain that parity. In addition, because of the long lead time it takes to train new attorneys in many of the more complex fields that we provide drafting services and the need to maintain senior attorneys to do such training, there is a transitional need to retain senior personnel (who are nearing retirement) to overlap with new personnel who are learning their areas.
- With respect to the last concern, Members have been increasingly interested in having a better understanding of how amendatory language to existing laws and bills changes those laws and bills. We have been actively developing tools to meet this need and have obtained and are utilizing funds to meet this end. This has proven to be unusually challenging in part because we are building on software that was designed almost 2 decades ago but we are anticipating (through coordinated developments in the Office of the Law Revision Counsel) the release of

new software with a different configuration over the next several years. This new software may make some of our previous work obsolete over time. Hence there is a potential conflict of spending additional money on improving existing programs that themselves will need major updating in the foreseeable future. Nonetheless, in order to meet our near-term needs, we are attempting to distribute (through our mini-Ramseyer program for showing changes in existing law and our Amendment Impact Program (AIP) for showing changes in bills) documents that can show changes in a manner that promotes transparency in a timely and accurate manner.

- In FY'15, the HOLC's budget request of \$540,000 for the completion of the Modernization Initiative was approved. Therefore, we will not need to request this additional funding in FY'17. Because of this Initiative, we project that we will be reducing annual administrative expenses by approximately \$22,000 for FY'17.

**Office of Interparliamentary Affairs  
FY 2017 Zero Based Budgeting  
Appendix to the Narrative of Schedule C**

**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. 5582).

**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, Interparliamentary and overseas travel services to Members of the House and support for established parliamentary exchanges.

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**FY'17 Budget Request**

\$814,000

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**Strategic Plan**

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

**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.

**Zero Based Budgeting Applied**

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'17 request should be sufficient to cover the needs of the House.

**Office of Congressional Ethics  
FY 2017 Zero Based Budgeting  
Appendix to the Narrative of Schedule C**

**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).

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**FY'17 Budget Request**

\$1,667,000

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**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).

**Functional Components/Goals**

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

**Zero Based Budgeting Applied**

The Office of Congressional Ethics (OCE) has applied zero based budgeting based on our mission and a line by line review of expenses. However, because 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.

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 EXECUTIVE DIRECTOR

**Congress of the United States**  
 JOINT ECONOMIC COMMITTEE  
CHIEF OF BUDGET TO THE HOUSE OF REPRESENTATIVES  
**Washington, DC 20510-6602**

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January 26, 2016

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

Dear Mr. Chairman:

As Chairman of the Joint Economic Committee, I am pleased to submit to the Subcommittee on Legislative Branch the Committee's FY2017 budget request of \$4,203,000. During the 115<sup>th</sup> Congress, including nine months of FY2017, the Chairman of the Joint Economic Committee will be a member of the United States House of Representatives, but the Secretary of the Senate will continue to disburse all Committee funds as required by the Employment Act of 1946.

The Committee's budget request remains at \$4,203,000, the same level appropriated each year since FY2012. The Committee is not requesting the President's proposed cost of living adjustments and is not seeking an increase in personnel.

Should you have any questions, please contact Mr. Viraj Mirani, Executive Director of the Joint Economic Committee. He can be reached on (202) 224-5171.

Thank you for your consideration.

Sincerely,

  
 Senator Dan Coats  
 Chairman  
 Joint Economic Committee

## Joint Economic Committee

|   | FY2015 Actuals | FY2016 Enacted | FY2017 Estimate |
|---|----------------|----------------|-----------------|
| <b>Appropriation or estimate</b>          | \$ 4,203,000   | \$ 4,203,000   | \$ 4,203,000    |
| <b>Personnel compensation:</b>            |                |                |                 |
| Payroll                                   | \$ 3,660,359   | \$ 4,003,000   | \$ 4,003,000    |
| Sub-total compensation                    | \$ 3,660,359   | \$ 4,003,000   | \$ 4,003,000    |
| <b>Nonpersonnel expenses:</b>             |                |                |                 |
| Metro Subsidy                             | \$ 12,962      | \$ 20,000      | \$ 20,000       |
| Travel and Transportation of Persons      | \$ 1,372       | 5,000          | 5,000           |
| Communications, Utilities & Misc. Charges | \$ 25,241      | 36,000         | 36,000          |
| Printing and Reproduction                 | \$ 700         | 8,000          | 8,000           |
| Advisory & Assistance & Other Services    | \$ 7,168       | 13,000         | 13,000          |
| Equipment/software                        | \$ 5,074       | 10,000         | 10,000          |
| Supplies & Materials                      | \$ 199,860     | 108,000        | 108,000         |
| Sub-total nonpersonnel expenses           | \$ 252,375     | \$200,000      | \$200,000       |
| <b>Total</b>                              | \$ 3,912,735   | \$ 4,203,000   | \$4,203,000     |

## Personnel Summary

|                            | FY2015 Actuals | FY2016 Enacted | FY2017 Estimate |
|----------------------------|----------------|----------------|-----------------|
| <b>Number of Positions</b> | 48             | 48             | 48              |

## 114th Congress Joint Economic Committee Members

Senator Dan Coats, (R-IN), Chairman

Representative Patrick J. Tiberi, (R-OH), Vice Chairman

Representative Carolyn B. Maloney, (D-NY), Ranking

| United States Senate               | United States House of Representatives |
|------------------------------------|--|
| Mike Lee, Utah                     | Justin Amash, Michigan                 |
| Tom Cotton, Arkansas               | Erik Paulsen, Minnesota                |
| Ben Sasse, Nebraska                | Richard L. Hanna, New York             |
| Ted Cruz, Texas                    | David Schweikert, Arizona              |
| Bill Cassidy, M.D., Louisiana      | Glenn Grothman, Wisconsin              |
| Amy Klobuchar, Minnesota           |  |
| Robert P. Casey, Jr., Pennsylvania | John Delaney, Maryland                 |
| Martin Heinrich, New Mexico        | Alma S. Adams, Ph.D., North Carolina   |
| Gary C. Peters, Michigan           | Donald S. Beyer, Jr., Virginia         |

Schedule A  
Fiscal Year 2017

Joint Economic Committee  
Summary by Organization and By Object Class

| Categories   | FY2015 Actuals |              | FY2016 Enacted |              | FY2017 Estimate |              | Net Change 2016/2017 |         |
|--|----------------|--------------|----------------|--------------|-----------------|--------------|----------------------|---------|
|  | Staff          | Dollars      | Staff          | Dollars      | Staff           | Dollars      | Staff                | Dollars |
| <b>1. Breakdown by Organization</b>                            |                |              |                |              |                 |              |                      |         |
| Joint Economic Committee                                       | +8             | \$ 3,910,480 | +8             | \$ 4,203,000 | 48              | \$ 4,203,000 |                      | \$ -    |
| <b>2. Breakdown by Object Class</b>                            |                |              |                |              |                 |              |                      |         |
| Personnel Compensation   | +8             | \$ 3,660,359 | +8             | \$ 4,003,000 | +8              | \$ 4,003,000 |                      | \$ -    |
| Communications & Miscellaneous                                 |                | \$ 23,241    |                | \$ 36,000    |                 | \$ 36,000    |                      |         |
| Other Services (Printing, Advisory and Supplies and Materials) |                | \$ 227,135   |                | \$ 164,000   |                 | \$ 164,000   |                      |         |
| <b>Total</b>   | 48             | \$ 3,912,735 | 48             | \$ 4,203,000 | 48              | \$ 4,203,000 |                      | \$ -    |

Schedule B  
Fiscal Year 2017

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            |             |                     |         |          |         |               |             |
| <b>2. Breakdown by Object Class</b>              |               |             |                     |         |          |         |               |             |
| Annualization of COLA (FY16 1.3% for 3 mos.)     |               |             |                     |         |          |         |               |             |
| Budget Year COLA Est. (2.1% for 9 mos.)          |               |             |                     |         |          |         |               |             |
| Budget Year COLA Locality Est. (0.5% for 9 mos.) |               |             |                     |         |          |         |               |             |
| <b>Total</b>                                     | <b>48</b>     | <b>\$ -</b> |                     |         |          |         |               | <b>\$ -</b> |

Schedule C  
Fiscal Year 2017

**Joint Economic Committee  
Detailed Analysis of Change by Organization**

|  | Calculation of Base |                |
|--|---------------------|----------------|
|  | Staff               | Amount         |
| <b>Appropriation, FY2016</b>             | 48                  | \$ 4,203,000   |
|  |                     |                |
|  | FY2017              | Budget Request |
|  | Staff               | Amount         |
| <b>I Adjustments to Base</b>             |                     |                |
| A. Mandatory Pay                         |                     |                |
| 1. Annualization of COLA (FY16)          |                     |                |
| 2. Budget Year COLA Est. (FY17)          |                     |                |
| 3. Budget Year COLA Locality Est. (FY17) |                     |                |
| B. Price Level Changes                   |                     |                |
| C. Program Type Changes                  |                     |                |
|  |                     |                |
| <b>II Net Increase</b>                   |                     | \$ -           |
|  |                     |                |
| <b>III Total FY2017 Budget Request</b>   | 48                  | \$ 4,203,000   |

Schedule D  
Fiscal Year 2017

Joint Economic Committee  
Summary of Committee Request  
FY2017 Budget Request

|  | Calculation of Base |                       |
|--|---------------------|-----------------------|
|  | Staff               | Amount                |
| <b>Appropriation, FY2016</b>             | 48                  | \$ 4,203,000          |
|  |                     |                       |
|  | <b>FY2016</b>       | <b>Budget Request</b> |
|  | <b>Staff</b>        | <b>Amount</b>         |
| <b>I Proposed Changes for FY2017</b>     |                     |                       |
| A. Mandatory Pay                         |                     |                       |
| 1. Annualization of COLA (FY16)          |                     |                       |
| 2. Budget Year COLA Est. (FY17)          |                     |                       |
| 3. Budget Year COLA Locality Est. (FY17) |                     |                       |
| B. Price Level Changes                   |                     |                       |
| C. Program Type Changes                  |                     |                       |
|  |                     |                       |
| <b>II Net Increase</b>                   |                     | \$ -                  |
|  |                     |                       |
| <b>III Total FY2017 Budget Request</b>   | 48                  | \$ 4,203,000          |

**United States Capitol Police**



**FY 2017 Congressional Budget Request**

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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, the legislative process, and the personnel it is sworn to protect – a mission that has been well executed for over 188 years. Just as the previous investments in intelligence and law enforcement helped to secure and sustain the safety and security of the Capitol complex, continuous prioritization of operations enables us to meet the dynamic and ever-changing security challenges.

USCP has been challenged over time to keep pace with a multitude of threats that emanates both from domestic and international sources and works to deter those threats effectively before they impact the Capitol campus. This includes, but not limited to, the need to maintain our security infrastructure and the training on the cutting edge. Smart Policing is a comprehensive strategy that USCP has taken to overcome these challenges, i.e., employing a results-oriented, data-driven approach that effectively meets current and future threats and challenges by focusing resources efficiently.

The threat from the Islamic State of Iraq and the Levant (ISIL) and their determination to incite violence specifically targeting law enforcement, military, and government agencies, continues to surpass previous threats of international terrorism due to the difficulty in discovering and mitigating the activities of lone-wolf operators. In addition, the recent terrorist attacks on multiple venues in Paris and San Bernardino, CA targeting civilians reinforces the urgency of the threat level that needs to be addressed. ISIL has mentioned Washington, DC and other American cities prominently in a recent video as possible targets. Today's threat environment dictates that we employ agile and flexible tactics to ensure the safety of the Legislative Branch against persistent dangers.

Countering these threats is similar to mitigating the threat of mass shootings, random acts of violence, and other difficult-to-detect threats. Addressing such potentially escalated risks through training and other means utilizing existing capabilities, the Department continues to execute its mission in the most cost effective manner particularly cognizant of the fiscal constraints facing the country. The FY 2017 budget request reflects judicious stewardship of federal funding centered on this approach.

Performing threat-based planning in order to align the operations with the existing and emerging priorities, USCP has relied on our internally developed Force Development (FD) Business Process. The fundamental rules of this standardized approach are the concepts of consistent planning based on risks and threats, budget formulation and 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 2017 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.

For FY 2017, USCP is requesting \$409.588 Million to support 2,319 positions (1,895 Sworn and 424 Civilians), which is \$34.588 Million more than the FY 2016 enacted level of \$375 Million. This 9.22% increase from the FY 2016 enacted levels includes several critical funding needs as follows:

- Maintaining the sworn and civilian staffing levels of 1,823 and 373 respectively
- Meet mandatory salary requirements and overtime for critical training
- Life cycle replacement for several critical infrastructure items
- Reinstate full year funding to key contracts
- 2017 Inauguration related overtime and general expenses
- \$1.650 Million for the additional requirement derived from FY 2017 Force Development Threat and Risk Analysis and Environmental Assessment
- \$7.059 Million half-year funding for 72 sworn officers and 51 civilians to meet additional staffing requirements

Understanding the fiscal concerns related to the budget impacts, USCP has worked closely with the Capitol Police Board and oversight Committees to review options to offset mission requirements where possible, such as closing lower priority doors which will reduce overall personnel and overtime costs.

## **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 2017 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 investment decisions and resource requests.

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 2017 resource requirements were developed based on these essential needs and are funding is requested 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 2017 budget justification. This includes, but is not limited to, full funding for the Department's civilian staffing strength. As always, the Department will deploy resources to help mitigate identified and emerging risks.

The sworn component is generally organized into 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, convention and inauguration support, 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 completely eliminating the overtime that results from our fixed mission exceeding our on-board personnel. Along with our salary projection, 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. Similar to sworn staffing allocations, overtime requirements may have to be adjusted throughout the year, 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 bi-weekly 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. Additionally, the Department reallocates vacant civilian positions to meet new needs rather than request authorization and funding for additional civilian positions from the Congress.

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 2017, the Department is respectfully requesting funding for a sworn staffing level of 1,895 and a civilian staffing level of 424. For the FY 2017 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 except for the new project recommended by the Board unless otherwise noted in this submission. 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 requested level.

Further, this budget request contains a request for \$35.335<sup>1</sup> Million in overtime funding necessary to meet core mission requirements not covered by onboard sworn personnel availability, to meet unanticipated requirements. This includes \$1.508 Million for the overtime needed to take staff offline for critical training requirements, and \$1.886 Million for the 2017 Inauguration.

### C. BUDGET REQUEST

This request includes requirements that are the products of the ever-evolving safety and security concerns for the Capitol including 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 makeup 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 budget request summarized below are provided in the section “Budget Details” (see page 13).

**Salaries:** The Salaries request includes details of the personnel salaries, benefits, and overtime requirements. Additional overtime is also being requested to take sworn personnel offline for them to achieve greater proficiency via training opportunities. In addition, the 2017 Inauguration related overtime is also included in this request. In FY 2017, the Department requests funding for a sworn staffing level of 1,895 and a civilian staffing level of 424, an increase of 72 Sworn and

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<sup>1</sup> Does not include benefits.

51 Civilian positions from FY 2016 levels. This is 19 less than the authorized strengths of 443 civilian positions.

**General Expenses:** The General Expenses request includes 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 and Convention related 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 2017 Differences from FY 2016 enacted levels beginning on page 19.

### Overall Budget Request

The budget request for FY 2017 includes \$409.588 Million and 2,319 (1,895 sworn and 424 civilian) budgetary funded positions. It reflects an increase of \$34.588 Million from the enacted level and includes:

- \$333.128 Million for Salaries and Benefits for 2,319 positions
- \$76.460 Million for General Expenses

#### FY 2017 Budget Request - Summary Chart

(\$ in Millions)

| Funding Levels        | FY 2015          | FY 2016          | FY 2017          | Increase over FY 2016 |              |
|-----------------------|------------------|------------------|------------------|-----------------------|--------------|
|                       | *Actual          | Enacted          | Request          | \$                    | %            |
| Salaries and Benefits | 287.674          | 309.000          | 333.128          | 24.128                | 7.81%        |
| General Expenses      | 57.515           | 66.000           | 76.460           | 10.460                | 15.85%       |
| <b>Total</b>          | <b>\$345.189</b> | <b>\$375.000</b> | <b>\$409.588</b> | <b>\$34.588</b>       | <b>9.22%</b> |

\*FY2015 Actuals as of 09/30/15. Excludes unobligated balances to be used for Workers' Compensation.

(#'s)

| Staffing Levels | FY 2015      | FY 2016      | FY 2017      | Increase over FY 2016 |              |
|-----------------|--------------|--------------|--------------|-----------------------|--------------|
|                 | *Actual      | Enacted      | Request      | #                     | %            |
| Sworn           | 1,735        | 1,823        | 1,895        | 72                    | 3.95%        |
| Civilian        | 353          | 373          | 424          | 51                    | 13.67%       |
| <b>Total</b>    | <b>2,088</b> | <b>2,196</b> | <b>2,319</b> | <b>123</b>            | <b>5.60%</b> |

(#'s)

| Authorized Staffing | FY 2015      | FY 2016      | FY 2017      | Increase over FY 2016 |              |
|---------------------|--------------|--------------|--------------|-----------------------|--------------|
|                     | Actual       | Enacted      | Request      | #                     | %            |
| Sworn               | 1,800        | 1,823        | 1,895        | 72                    | 3.95%        |
| Civilian            | 443          | 443          | 443          | 0                     | 0.00%        |
| <b>Total</b>        | <b>2,243</b> | <b>2,266</b> | <b>2,338</b> | <b>72</b>             | <b>3.18%</b> |

| <u>Overtime</u>   | FY 2016                     | FY 2017                     | FY 2015                   | FY 2017                     |
|---|-----------------------------|-----------------------------|---------------------------|-----------------------------|
|   | Enacted<br>(\$ in Millions) | Request<br>(\$ in Millions) | Actual Paid<br>Hours ('s) | Request Total<br>Hours ('s) |
| Base mission requirements, plus 24,000 hours training (16 hours for 1,500 officers), LOC Non-reimbursable events, and the Inauguration. | \$30.928                    | \$35.335                    | 483,195                   | 564,646                     |

## II. The USCP Planning Concept

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The USCP has a critical mission that helps to ensure that the Nation's legislative and democratic process of government is conducted without disruption. That mission is achieved through a variety of operational and administrative lines of business and the work and dedication of our employees. In order to effectively deliver on our mission in the future, the Strategic Plan defines the goals and objectives of the Department and the path we will take to meet our goals.

### USCP MISSION

The Mission of the USCP is to protect the Congress - its Members, employees, visitors and facilities - so it can fulfill its constitutional and legislative responsibilities in a safe, secure and open environment.

#### A. STRATEGIC PLANNING

FY 2014 marked a period of transition for the Department as the USCP updated its Strategic Plan. In FY 2015, we implemented the new Strategic Plan for FY 2015 - 2019. The USCP Strategic Plan will ensure that the Department continues to achieve its mission with distinction in response to an ever-changing threat environment; and in a fiscally responsible manner.

The Strategic Plan defines an ambitious vision to achieve **three important outcomes**:

- To more effectively monitor our activities, identify trends and improve mission performance;
- To continuously adapt and evolve to the needs of the mission; and,
- To improve management, planning and program performance.

The Department's planning is based on a strategic framework which includes a clear definition of mission, lines of business and a vision for the future. The ultimate purpose of all USCP activities is based on the Department's established Mission. Capability to achieve the mission is assured through activities within four mission stances. These mission stances are composed of an array of capabilities, programs and projects that are arranged into core Lines of Business. While the activities associated with the Lines of Business are important, they cannot be accomplished without qualified employees who share a common set of Core Values that guide them in the way they deliver on these activities.

In adopting the Strategic Plan, the USCP will achieve the following vision:

**The United States Capitol Police will be nationally recognized as a results-oriented law enforcement agency; that demonstrates the highest standards for professionalism, security, safety, and management.**

To achieve this vision the USCP has developed strategic goals (and objectives for each goal) to define the priorities necessary to attain model status in the future. The achievement of these goals will fill the gap between current capabilities and those needed to meet this vision.

**Goal 1: Employ Smart Policing:** Employ a results-oriented, data-driven approach that effectively meets current and future threats and challenges by focusing resources efficiently.

**Goal 2: Deliver Safety and Security:** Provide safety and security by deploying effective law enforcement services through collaboration, adaptability and innovation.

**Goal 3: Achieve Organizational Excellence:** Maximize efficiency and effectiveness through best practices and promote accountability through employee engagement and a positive work environment.

## **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.

## **C. TACTICAL PLANNING**

The USCP mission stances define the specific categories of activity under which the USCP will achieve its mission. The mission stances are composed of an array of capabilities, programs and activities that are arranged into core lines of business. While the mission stances remain relatively static, lines of business may be reorganized and evolve over time; as the Department evolves in response to new threats and challenges that emerge.

*The Mission Stances and their purposes are described below:*

**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.

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

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

- **Congressional Community Protection:** Prevents 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.

- **Event Management:** Enables individuals to safely participate in major events and demonstrations while not disrupting legislative operations.
- **Dignitary Protection:** Protects Members of Congress and visiting officials against criminal and terrorist activities.

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

- **Law Enforcement:** Patrols areas of statutory responsibility and diligently investigate and prosecute persons who commit criminal acts.
- **Command, Control & Communication:** Coordinates decisively and efficiently all activities and communications in response to a critical incident.
- **Specialized Response Capabilities:** Enhances our specialized response capabilities to ensure readiness to all types of incidents.
- **Continuity of Operations:** Ensures Continuity of Operations (COOP) for USCP while supporting the Congressional Community in the execution of their COOP plans and, when necessary, assist in the implementation of Legislative Branch Continuity of Government (COG) plans.

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

- **Human Capital and Development:** Creates and sustains a vigorous and motivated workforce that is highly trained and armed with the necessary knowledge, skills and abilities to achieve the mission.
- **Technology:** Provides responsive, high quality, cost-effective information technology services and solutions in a timely manner.
- **Facilities Management:** Provides USCP employees with high quality facilities to meet its mission, workload, and personnel requirements.
- **Financial Management:** Provides timely, reliable, and responsive financial management services, and ensure accountability for assets and resources.
- **Transportation and Logistics Management:** Makes transportation assets available to those who need them, when they need them. Manages the ordering, procurement, distribution, and tracking of USCP resources.
- **Legal Counsel:** Ensures legal counsel for overall organizational legal compliance.
- **Continuous Improvement:** Creates a best practices organization that, through an environment of continuous incremental improvement, encourages innovation and creativity while balancing practical considerations.

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

As part of Force Development, the Department identifies 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. ESTABLISHED POLICIES AND PROCEDURES**

The USCP ensures that functions and programs are governed by effective policies and standard operating procedures. Consistent with the vision to be a model law enforcement agency, we base the development of these policies and procedures on the best practices across the law enforcement field. As we identify changing conditions through the Force Development process, we also adjust our policies and procedures appropriately.

**F. STANDARDS AND ASSESSMENT**

The USCP ensures that it continues to meet accepted standards for public safety through its accreditation by the Commission on Accreditation for Law Enforcement Agencies (CALEA). Through the accreditation process, the Department conducts ongoing monitoring of its adherence to standards. We welcome outside assessors from other law enforcement agencies to give a third party objective assessment of our functions and internal controls. The USCP also utilizes the CALEA network of law enforcement agencies to stay abreast of new developments in the field.

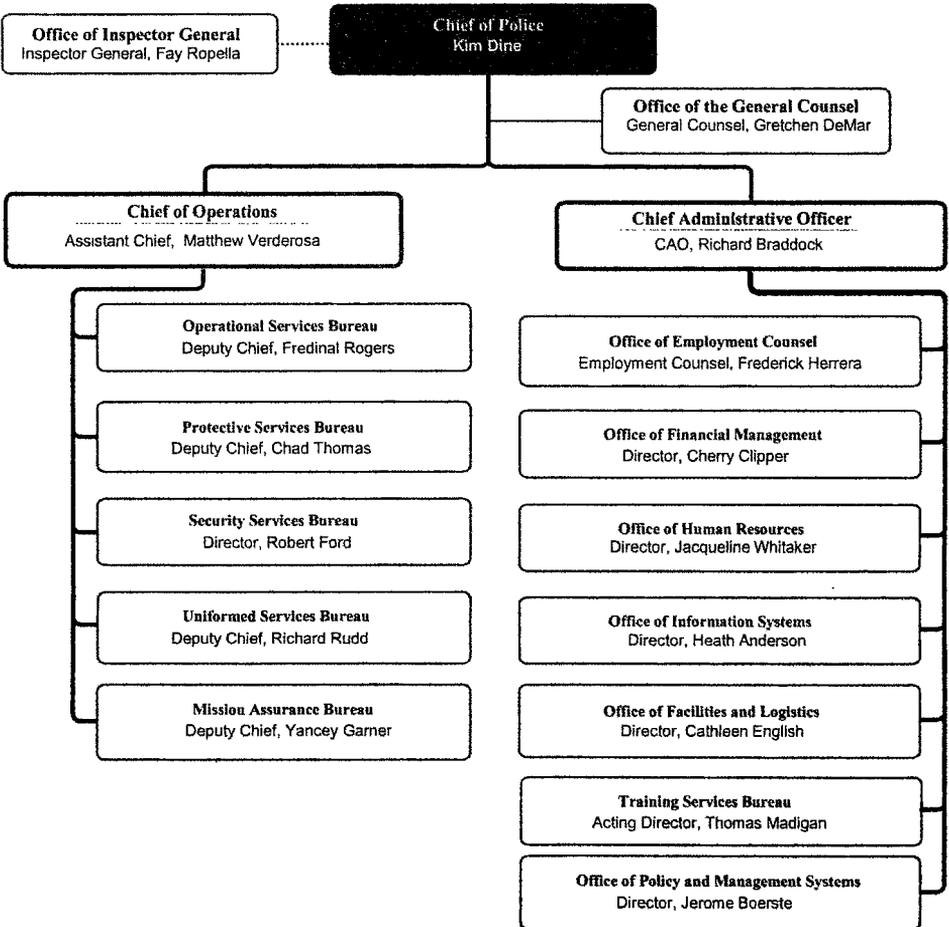
### III. Organization Charts

This section provides two organizational views of the USCP:

- A. Major Organization Levels Chart
- B. Major Functional Organization Levels Chart

#### A. CAPITOL POLICE MAJOR ORGANIZATION LEVELS

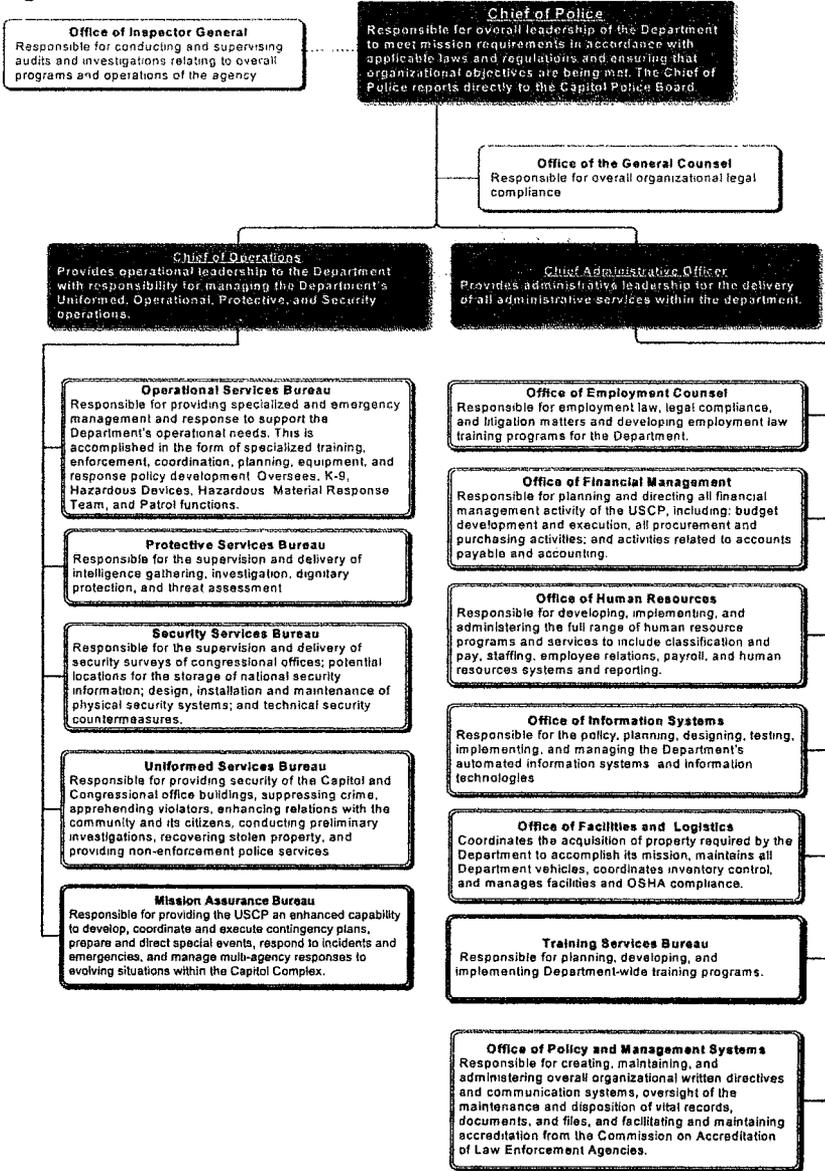
This chart illustrates the three major organizational levels: the Chief of Police, and the Operational and Administrative lines of operation. Each organizational element includes the name of the bureau commander or office director and the position title.



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

**B. CAPITOL POLICE FUNCTIONAL ORGANIZATION CHART**

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



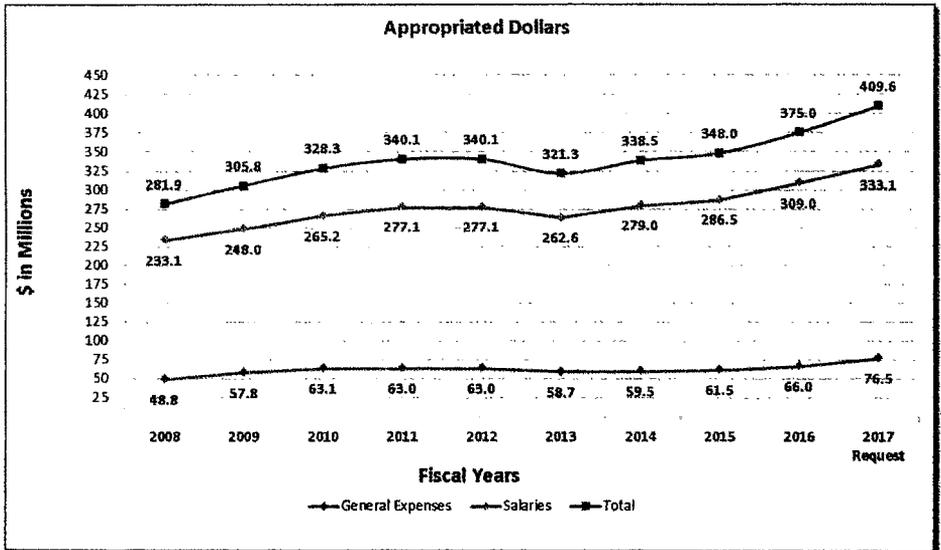
**Note:** The OIG is independent and reports to the Capitol Police Board.

## IV. 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 2017 are discussed in the relevant sections below.

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 in our operations, intelligence and investigative capabilities to ensure proper coordination with our counterterrorism and law enforcement 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 ten year chart below demonstrates the appropriated levels of USCP for both Salaries and General Expenses with the FY 2017 levels based on this request.



**Object Class Comparison****(\$ in Thousands)**

| OC                 | Object Class                        | FY 2015<br>Actuals | FY 2016<br>Enacted | FY 2017<br>Request | Change          | %<br>Change  |
|--------------------|-------------------------------------|--------------------|--------------------|--------------------|-----------------|--------------|
| 11                 | Personnel Compensation              | 215,101            | 231,603            | 247,494            | 15,891          | 6.86%        |
| 12                 | Benefits                            | 72,284             | 77,247             | 85,484             | 8,237           | 10.66%       |
| 13                 | Benefits to former personnel        | 289                | 150                | 150                |                 | 0.00%        |
| 21                 | Travel & Transportation of Persons  | 10,619             | 14,094             | 13,038             | (1,056)         | (7.49%)      |
| 22                 | Travel & Transportation of Things   | 12                 | 12                 | 39                 | 27              | 223.65%      |
| 23                 | Rent, Communications, and Utilities | 2,612              | 3,059              | 3,424              | 365             | 11.93%       |
| 24                 | Printing & Reproduction             | 7                  | 21                 | 292                | 271             | 1,283.48%    |
| 25                 | Other Contractual Services          | 29,779             | 33,133             | 35,901             | 2,768           | 8.35%        |
| 26                 | Supplies & Materials                | 2,628              | 3,955              | 4,973              | 1,018           | 25.74%       |
| 31                 | Equipment                           | 11,841             | 11,613             | 18,680             | 7,067           | 60.85%       |
| 42                 | Insurance Claims and Indemnities    | 17                 | 113                | 113                |                 | -            |
| <b>Grand Total</b> |                                     | <b>\$345,189</b>   | <b>\$375,000</b>   | <b>\$409,588</b>   | <b>\$34,588</b> | <b>9.22%</b> |

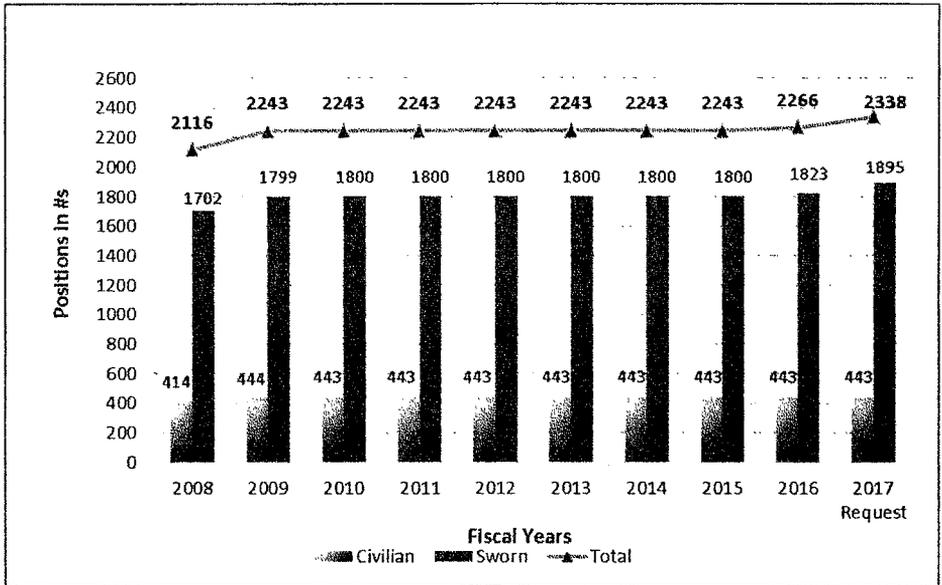
Note: Totals may contain rounding variances

**A. SALARIES**

USCP is requesting \$333.128 Million for Salaries to support 1,895 sworn and 424 civilian positions. This section provides details of the cost of personnel salaries, benefits, and overtime requirements, to include the cost of overtime necessary for providing training for the Department's staff in FY 2017. It also includes, but not limited to, promotions, within-grade increases, health benefits and retirement costs, all differentials, lump sum leave payments, overtime, hazardous duty pay, holiday pay, career ladder promotions, unemployment insurance, limited liability insurance, workers compensation, and Metro Transit Subsidy.

In line with the Legislative Branch Financial Management Council's guidance, a 2.6% cost-of-living adjustment is also included for all salary and overtime computations for calendar year 2017. Schedule B, the Analysis of Change Explanation in the Budget Schedules Section, provides a detailed analysis of the Salaries change of \$24.128 Million (see page 27). An analysis of Positions by Rank and Grade is provided on page 28, in addition to the organizational levels charts on pages 11 and 12. The chart below demonstrates the personnel strength for sworn and civilian categories for ten years.

**Authorized Personnel Strength**



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

**Overtime (OT)**

This budget submission contains a request for \$35.335 Million based on 564,646 hours in overtime funding necessary to meet core mission requirements not covered by onboard sworn personnel availability, to meet unanticipated requirements, support security requirements and 2017 Inauguration.

**USCP Projected Overtime FY 2017**

Average OT rates: (Does not include benefits) :  
 CY 2016 = \$61.65, CY 2017 = \$62.85 USCP calculates its OT requirements, based on total hours required to support its requirements minus available personnel hours.

| FY 2017 – Projection                           | Hours (#s)     | (\$ in millions) |
|--|----------------|------------------|
| Base *   | 476,946        | 29.823           |
| Unscheduled **                                 | 30,000         | 1.885            |
| Training ***                                   | 24,000         | 1.508            |
| <b>Additional Operational Requirements</b>     |                |                  |
| LOC Non-Reimbursable Events ****               | 3,700          | 0.233            |
| Inauguration                                   | 30,000         | 1.886            |
| <b>Grand Total of Operational Requirements</b> | <b>564,646</b> | <b>\$35.335</b>  |

*\* Base Hours include: Core Mission, K-9 premium, Scheduled Special Events, DPD In/DPD Out of Session, Extended Sessions, and the Promotion Backfill.*

*\*\* Based on 5 year historical trend data, USCP projects the use of 7,500 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 or in-service training and requires sworn officers be backfilled to accomplish training. (Such as Active Shooter, Use of Force and Handgun/Rifle/Shotgun Qualification) (Provides average 16 hours for 1,500 officers)*

*\*\*\*\* 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 through the Time and Attendance System.*

## **B. GENERAL EXPENSES**

USCP is requesting \$76.460 Million for General Expenses to support the responsibilities for law enforcement, Capitol Complex physical and technological security, dignitary protection, intelligence analysis, event management, hazardous material/devices, information technology, and other specialized responses, as well as logistical and administrative support.

This 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 the Federal Law Enforcement Training Center. Of particular note, our request includes the General Expenses funds needed for contractor, equipment and travel costs to restore the critical training needed for sworn personnel. Schedule B, the Analysis of Change Explanation in the Budget Schedules Section, provides a detailed analysis of the General Expenses change of \$10.460 Million (see page 27).

## **C. ADDITIONAL REQUIREMENTS**

### **1. Alternate Command Center**

The following additional requirement is derived from our FY 2017 Force Development process. As part of Force Development, the Department identifies 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.

\$1.650 Million is requested as a onetime funding for implementing an Alternate Command Center. This project supports strategic objective Congressional Community Protection, by providing a means for the Department to have a fully functional Alternate Command Center (ACC) in the Fairchild building. While the Department currently has an alternate

communications center and an alternate data center to ensure consistent operations and failover capabilities, there is no true ACC. If the current Command Center at Headquarters can not be utilized due to power or access issues, a conference room with very limited equipment is the only other solution at this time. This ACC would include back-up power, emergency notifications systems, connectivity to the House, Senate, and USCP messaging systems, secure communications, campus and airspace monitoring ability and stations for the commanders to conduct ICS operations.

| Bureau/Office                 | Details                           | \$                 |
|-------------------------------|-----------------------------------|--------------------|
| Security Services Bureau      | System Selection and Development  | 350,000            |
|                               | System installation/Commissioning | 1,250,000          |
| Office of Information Systems | IT Equipment                      | 50,000             |
|                               | <b>Total</b>                      | <b>\$1,650,000</b> |

## 2. Additional resources

With the rise of ISIL, the continued efforts of Al Qaida and other terrorist organizations to attack public venues, as well as increased occurrences of homegrown violent extremist “lone wolf” episodes, we have seen a rise in the number of mass causality events around the world and in the continental United States. Many of these terrorist events have focused on public places, large gatherings of people, vehicle and personal borne explosives, and assaults on governmental, military and law enforcement entities. These are the types of threats that the institution faces every day.

Based on this rise in terrorist events and the tactics displayed by the assailants, the United States Capitol Police have once again reviewed its operational and tactical posture to insure that the Department is taking every measure possible to maintain the security of the Capitol Complex, while allowing the legislative process to continue to function in an open environment. In close coordination with the Capitol Police Board, the Department believes that methods demonstrated in the various terrorist events occurring around the world could easily be utilized for an attack on the Capitol Complex. While we do not know of any imminent threat on the Capitol or the legislative process, we must be prepared to continue to respond effectively to any threat that may present itself.

To better mitigate these methods of attack, the Department believes that additional screening of various means must be used. These include the implementation of security measures to better secure and screen within the House garages, the full implementation of additional screening and pre-screening at various building access points, and the implementation of enhanced screening portals. We continue to believe that we must address these threats and risks outside of our buildings, before an assailant has the opportunity to enter one or more of buildings and impact the operations of the legislative process. These additional sworn personnel are not meant to reduce overtime utilization for existing mission requirements or to impede the ability of the Legislative Branch. Rather, they are meant to enhance the Department’s ability to detect, impede and address threats and risks that currently exist and that continue to evolve. Before requesting additional sworn personnel to implement new tactical measures, the Department has looked at its current mission load and worked closely with the Capitol Police Board on areas to modify or eliminate mission requirements in order to offset new mission requirements. Additionally, the Department has reviewed duties currently performed by officers

that could be civilianized in order to repurpose current officers to better meet operational requirements.

The Department's FY 2017 budget request includes a request for 72 additional officers to begin to address the Department's operational mitigation strategy, 48 civilian positions to begin the process of civilization of duties that will allow officers to be better used for operational purposes as well as 3 civilians to support installation of garage security upgrades. These 72 officers are expected to be used to address additional security within House garages and to begin the implementation of additional officers at building entrances to pre-screen visitors outside of the office buildings, as well as provide for an additional officer inside screening checkpoints. The 48 civilians are intended to be used to civilianize positions within the command center, background investigations, the firing range, and communications.

**D. FY 2017 GENERAL EXPENSES REQUEST (Differences from FY 2016 Enacted)**

The chart in the following pages depicts the budget according to identified programs (highlighted in gray) and program components (above programs) as well as the change from FY 2016 Enacted funding levels.

| Programs & Program Components (Projects)  | Description   | Major Program Changes FY 16 to FY 17  | FY 2015 Actuals  | FY 2016 Enacted  | FY 2017 Request  | Change           | % Change       |
|---|---|---|------------------|------------------|------------------|------------------|----------------|
| <b>Chief Administrative Officer</b>       |   |   |                  |                  |                  |                  |                |
| CAO Administration                        | Provides funding for CAO Administrative costs for travel, training, supplies, printing and binding and office equipment required to operate the CAO's office  | Increases of \$3,400 for training and \$600 for general office supplies   | \$4,291          | \$11,454         | \$15,492         | \$4,038          | 35.25%         |
| <b>Chief Administrative Officer Total</b> |   |   | <b>\$4,291</b>   | <b>\$11,454</b>  | <b>\$15,492</b>  | <b>\$4,038</b>   | <b>35.25%</b>  |
| <b>Chief of Operations</b>                |   |   |                  |                  |                  |                  |                |
| CCO Administration-Command Operations     | Provides funding for official travel, training and supplies for the CCO staff   |   | \$1,315          | \$1,336          | \$1,336          | \$0              | 0.00%          |
| <b>Chief of Operations Total</b>          |   |   | <b>\$1,315</b>   | <b>\$1,336</b>   | <b>\$1,336</b>   | <b>\$0</b>       | <b>0.00%</b>   |
| <b>Chief of Police</b>                    |   |   |                  |                  |                  |                  |                |
| COP Administration                        | Provides funding for the Chief of Police (COP) and his immediate staff for official temporary duty travel, diversity programs, training and to obtain operational supplies  | An increase for external training (CALEA, FEO Compliance, and Basic Mediation), subscriptions, membership fees, and office supplies   | \$11,576         | \$16,716         | \$24,441         | \$7,725          | 46.21%         |
| <b>Chief of Police Total</b>              |   |   | <b>\$11,576</b>  | <b>\$16,716</b>  | <b>\$24,441</b>  | <b>\$7,725</b>   | <b>46.21%</b>  |
| <b>Mission Assurance Bureau</b>           |   |   |                  |                  |                  |                  |                |
| MAB Administration                        | 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  |   | \$8,015          | \$8,500          | \$8,425          | (\$225)          | -2.64%         |
| MAB Operations                            | Provides funding for the Command Center Operations, Command Vehicle Operations and Communications Center Operations   | An increase of \$8,645 in training and related travel. Increase of \$23,000 in contractor support services for Command Vehicle upgrades (Satellite TV, Verizon, VSAT, VOIP). Increase of \$62,000 for equipment such as dual band radios, Surface Pro, and the expansion of the Command Vehicle Smart Board System. Increase of \$223,105 for 253 WebEOC users. Decrease of (\$4,200) in office supplies  | \$74,947         | \$85,381         | \$174,501        | \$389,120        | 455.75%        |
| <b>Mission Assurance Bureau Total</b>     |   |   | <b>\$82,958</b>  | <b>\$93,631</b>  | <b>\$182,926</b> | <b>\$388,895</b> | <b>414.02%</b> |
| <b>Office of Employment Counsel</b>       |   |   |                  |                  |                  |                  |                |
| OEC Administration                        | The Employment Counsel provides legal services for employment related matters to the Chief of Police and Capitol Police Board. 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  | Increases of \$30,000 related to external training, and \$7,400 for contractor support services.  | \$103,714        | \$111,000        | \$147,958        | \$36,958         | 33.30%         |
| <b>Office of Employment Counsel Total</b> |   |   | <b>\$103,714</b> | <b>\$111,000</b> | <b>\$147,958</b> | <b>\$36,958</b>  | <b>33.30%</b>  |
| <b>Office of Logistics and Facilities</b> |   |   |                  |                  |                  |                  |                |
| OFL - Administration                      | 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   | An increase of \$16,000 in training and related travel, an increase of \$302,500 in Occupational Safety and Hygiene contracts (provided to SSB, TSP, PSD, HARBET, AL FRT, HDS, CERT, CDL), an increase of \$3,900 in office supplies, subscriptions, and publications; an increase of \$30,000 contractor support services for critical clean-up, evidence disposal, safety, fitness coordinator, and Rayburn Firing Range maintenance and cleaning   | \$519,786        | \$522,801        | \$894,900        | \$372,399        | 71.27%         |
| OFL - FMD Administration                  | Facilities Management Division 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. | An increase of \$17,900 in transportation of things between USCP facilities, an increase of \$1,020 for rental equipment (portable toilets in support of mass arrest), an increase of \$5,000 in external training; a decrease of (\$42,310) in contractor support services, an increase of \$8,350 in miscellaneous supplies, subscriptions, and publications; a decrease of (\$64,000) in government support services for repair maintenance and upgrades to PAC Facility at FLETC; an increase of \$20,550 in non-capitalized furniture and equipment. | \$400,146        | \$371,054        | \$316,750        | (\$54,304)       | -14.64%        |

| Programs & Program Components (Projects)          | Description   | Major Program Changes FY 16 to FY 17   | FY 2015 Actuals    | FY 2016 Budget     | FY 2017 Request    | Change             | % Change       |
|---|---|--|--------------------|--------------------|--------------------|--------------------|----------------|
| OFL - PAMM Administration                         | The Property Asset Management Division provides critical logistical support through the issuance of uniforms and equipment to officers and provides central receiving and an entry management service to the Department. Provides funding for administrative costs such as supplies, training and travel for the Property Asset and Management Division.  | An increase of \$4,000 in office supplies and materials (plaques awards, binders, seal stickers, shipping supplies, and bar code labels), An increase of \$1,000 in membership fees for the National Property Management Association   | \$4,953            | \$11,000           | \$16,000           | \$5,000            | 45.45%         |
| OFL - PAMM Logistics Support                      | 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.   | A net increase of \$175,880 in controlled explosives and ammunition, weapons and replacement parts, an increase of \$607,200 for law enforcement uniforms, an increase of \$64,000 in non-capitalized equipment (3 bomb suits), an increase of \$35,650 for provisions to support of inauguration, an increase of \$21,630 for miscellaneous supplies (Hard Ball plates, Delta III) and cleaning and alterations, an increase of \$18,320 in contractor support services   | \$2,462,936        | \$3,230,722        | \$4,209,487        | \$978,765          | 30.30%         |
| OFL - VMD Administration                          | 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. Supports training for mechanics and other Vehicle Maintenance Division (VMD) staff to keep the USCP fleet at a high level of readiness.   | An increase of \$15,000 for local travel and temporary duty travel (EZ Pass and tolls), a decrease of (\$810) for training and related travel, an increase of \$300 in membership fees, a net increase of \$300 in cleaning and alterations, and supplies  | \$29,588           | \$34,560           | \$49,550           | \$14,990           | 43.37%         |
| OFL - VMD Fleet Management                        | The Vehicle Maintenance Division (VMD) is responsible for providing preventive maintenance, repairs and the procurement of 211 vehicles, 22 specialty vehicles, 45 motorcycles, and 144 pieces of equipment (mountain bikes, trailers, light towers, message centers). Supports the maintenance activities of the VMD   | An increase of \$46,750 in vehicle lease (CSA primarily lease, executive out-of-state lease and armored lease for the bearcat), an increase of \$2,000 for miscellaneous rentals, an increase of \$46,510 for vehicle repair, fluids, and supplies, an increase of \$29,000 for non-capitalized vehicles accessories, an increase of \$377,000 for life-cycle replacement of capitalized and non-capitalized vehicles (one CERT truck, one CDU trailer, one firetrucks trailer, one VMD motor transport, two ATVs, and 14 Harley Davidson Sportster motorcycles), an increase of \$78,500 for the life-cycle replacement of non-capitalized equipment (two message boards, two light towers, one tire machine, one tire balancer, and nine mountain bikes) | \$1,609,769        | \$2,455,036        | \$3,534,800        | \$1,079,764        | 43.98%         |
| <b>Office of Facilities &amp; Logistics Total</b> |   |  | <b>\$7,027,194</b> | <b>\$8,624,873</b> | <b>\$9,821,437</b> | <b>\$1,196,564</b> | <b>13.87%</b>  |
| <b>Office of Financial Management</b>             |   |  |                    |                    |                    |                    |                |
| OFM Administration                                | The Office of Financial Management is responsible for the overall management, planning and directing of all financial activity of the Department including budget development and execution, all procurement and purchasing activities, as well as the activities related to the accounts payable and accounting. Provides funds for travel, training, supplies, subscriptions and miscellaneous office equipment | An increase of \$32,590 for local travel, training and related travel, a decrease of (\$1,800) for non-capitalized equipment, an increase of \$1,000 in office supplies  | \$8,946            | \$9,100            | \$11,100           | \$3,100            | 34.94%         |
| OFM Agency Services                               | 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, toll claims, and other agency-wide services.   | An increase of \$25,260 in contractor support services, a decrease of (\$29,700) for external training, an increase of \$5,200 for vehicle fluid supplies, postage and fees  | \$703,524          | \$948,771          | \$949,541          | \$770              | 0.08%          |
| OFM Financial Management & Accountability         | Includes funding requests for contractual support, which includes outsourcing contract support and the cross-servicing Agreement for the Financial Management System  | A decrease of (\$72,970) for contractor support services for Momentum hosting and Library of Congress interagency agreement; a decrease of (\$165,000) for contractor support services (TaxMat, Momentum, and auditing)  | \$1,114,563        | \$1,216,974        | \$979,000          | (\$237,974)        | -19.55%        |
| <b>Office of Financial Management Total</b>       |   |  | <b>\$1,827,033</b> | <b>\$2,174,845</b> | <b>\$2,039,641</b> | <b>(\$135,204)</b> | <b>-6.24%</b>  |
| <b>Office of General Counsel</b>                  |   |  |                    |                    |                    |                    |                |
| OGC Administration                                | 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   | A decrease of (\$37,000) for contractor support services   | \$90,545           | \$140,216          | \$101,877          | (\$38,339)         | -27.34%        |
| <b>Office of General Counsel Total</b>            |   |  | <b>\$90,545</b>    | <b>\$140,216</b>   | <b>\$101,877</b>   | <b>(\$38,339)</b>  | <b>-27.34%</b> |

| Programs & Program Components (Projects)   | Description   | Major Program Changes FY 16 to FY 17   | FY 2015 Actuals | FY 2016 Enacted | FY 2017 Request | Change      | % Change |
|--|---|--|-----------------|-----------------|-----------------|-------------|----------|
| <b>Office of Human Resources</b>           |   |  |                 |                 |                 |             |          |
| OHR Administration                         | The Office of Human Resources provides human resource and payroll services to support the human capital activities of the Department. Provides funding for training, travel printing, binding, membership fees, operational supplies, and publications. Additionally, includes funding for employee benefit services such as the an ards program  | An increase of \$700 for general office supplies (pens, pads, folders, etc.) and special emphasis posters for Diversity Division   | \$900           | \$1,000         | \$1,700         | \$700       | 70.00%   |
| OHR Operations                             | Includes funding requests for contractual support, which includes outsourcing contract support for the time and attendance system and NFC   | An increase of \$17,220 for software rental, an increase of \$45,800 for external training, a decrease of (\$107,740) for contractor support services and governmental support services, an increase of \$1,400 in subscription and publications, and office supplies  | \$379,117       | \$411,732       | \$383,110       | (\$43,622)  | -10.10%  |
| OHR Recruiting and Staffing                | Provides funding for background investigations, polygraph testing, credit checks, medical services and psychological screening. Additionally, the program supports recruiting, travel, advertising, and supplies. Also supports annual licensing, user fees and new modules for the Human Resources Management System   | An increase of \$110,600 for temporary duty travel and travel training, an increase of \$157,930 for rental of HR software, an increase of \$38,830 in external training, a decrease of (\$575,865) for applicant testing and health services, an increase of \$2,230 for Hepatitis B vaccine for new recruits, an increase of \$17,340 for supplies, publications and subscriptions, a decrease of (\$369,130) for contractor and government support services, and a decrease of (\$40,000) in non-capitalized equipment  | \$2,625,152     | \$3,447,831     | \$3,189,782     | (\$158,048) | -4.72%   |
| <b>Office of Human Resources Total</b>     |   |  |                 |                 |                 |             |          |
| <b>Office of Information Systems</b>       |   |  |                 |                 |                 |             |          |
| OIS Administration                         | 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, Microsoft systems administration, Network engineering, and MS SQL                                  | An increase of \$281,000 in training and related travel, an increase of \$21,000 for miscellaneous materials and office supplies, an increase of \$11,000 non-capitalized equipment and materials  | \$1,449,710     | \$110,000       | \$313,000       | \$203,000   | 184.55%  |
| OIS Enterprise Applications                | 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 | An increase of \$365,000 for contractor support services (Maximo, C-Cure, Law Enforcement Case Management Systems (LECMS), and contractors in support of the intranet, PoliceNet, e-Leave system, firing range qualification system, etc.), a decrease of (\$13,000) in software and technical support services  | \$2,062,543     | \$2,027,918     | \$2,378,000     | \$350,082   | 17.26%   |
| OIS Information Security                   | 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   | An increase of \$52,730 in contractor support services, an increase of \$8,150 in software and technical support services, an increase of \$68,260 in non-capitalized equipment, a decrease of (\$53,000) in temporary travel training   | \$1,314,173     | \$1,311,361     | \$1,406,000     | \$94,139    | 7.18%    |
| OIS Network Communications                 | 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 telecommunications circuits   | An increase of \$11,000 temporary duty travel; an increase of \$573,350 for rental of telecommunication equipment and local telecommunication (internet service, MPD T1 circuits, Leadership Radio Systems, etc.); an increase of \$506,600 for contractor support services, technicians and manager in support of radio operations and antenna systems, USCP Telecom, helpdesk, etc.); an increase of \$32,150 in software and technical services, an increase of \$821,750 in capitalized and non-capitalized equipment (Blackberry/wireless accessories, life-cycle replacement of some laptops, Worktron clocks, infrastructure supplies, deployable and fixed equipment for secure communication, etc.) Decrease of (\$80,000) for non-capitalized software | \$10,057,556    | \$1,101,103     | \$1,925,952     | \$1,884,849 | 16.98%   |
| OIS Operations                             | Provides 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.  | An increase of \$58,480 in contractor support services (Project Management, Enterprise Architect, executive administrative and helpdesk support); a net increase of \$250,950 in capitalized and non-capitalized equipment and software (i.e. 400 PCs, 166 laptops, 11 servers, and a part of centralized data storage system); an increase of \$18,530 in software and technical maintenance and equipment rental.  | \$3,351,474     | \$5,089,044     | \$5,417,000     | \$327,956   | 6.44%    |
| <b>Office of Information Systems Total</b> |   |  |                 |                 |                 |             |          |
| <b>Office of Inspector General</b>         |   |  |                 |                 |                 |             |          |
| OIG Administration                         | The Inspector General has the authority and responsibility to supervise and conduct audits, inspections, and investigations involving USCP programs, functions, systems, or operations.   | An increase of \$45,000 for contractor support services. Decrease of (\$14,500) for travel, printing, and office supplies.   | \$734,438       | \$762,000       | \$792,500       | \$30,500    | 4.00%    |
| <b>Office of Inspector General Total</b>   |   |  |                 |                 |                 |             |          |

| Programs & Program Components (Projects)               | Description  | Major Program Change<br>FY 16 to FY 17   | FY 2015<br>Actuals | FY 2016<br>Estimate | FY 2017<br>Request | Change             | % Change       |
|--|--|--|--------------------|---------------------|--------------------|--------------------|----------------|
| <b>Office of Policy &amp; Management Systems</b>       |  |  |                    |                     |                    |                    |                |
| Administration OPOL                                    | 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)   | Increases of \$4,900 for travel, \$1,400 for membership fees, \$2,200 for supplies, and \$1,200 for equipment such as laptops, shredders, video camera, etc. Decrease of (\$1,900) for subscriptions & publications  | \$11,593           | \$21,893            | \$29,620           | \$7,727            | 35.29%         |
| <b>Office of Policy &amp; Management Systems Total</b> |  |  | <b>\$11,593</b>    | <b>\$21,893</b>     | <b>\$29,620</b>    | <b>\$7,727</b>     | <b>35.29%</b>  |
| <b>Office of Professional Responsibility</b>           |  |  |                    |                     |                    |                    |                |
| OPR Administration                                     | 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 requirements. The OPR Administration program provides funding for administrative costs such as, supplies, training and travel. | An increase of \$11,700 for travel training and \$3,500 for training. A decrease of (\$5,400) for supplies and equipment.  | \$8,528            | \$40,386            | \$50,665           | \$10,279           | 25.45%         |
| <b>Office of Professional Responsibility Total</b>     |  |  | <b>\$8,528</b>     | <b>\$40,386</b>     | <b>\$50,665</b>    | <b>\$10,279</b>    | <b>25.45%</b>  |
| <b>Operational Services Bureau</b>                     |  |  |                    |                     |                    |                    |                |
| OSB Administration                                     | 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).  | Increases in external training and office supplies. A decrease of (\$100,000) resulting from FY16 camera purchases.  | \$1,114            | \$101,114           | \$2,145            | (\$98,969)         | -97.85%        |
| OSB Hazardous Incident Response                        | Provides funding for operating supplies, controlled explosives, and required equipment to carry out the mission. The Hazardous Incident Response Program is comprised of the Hazardous Devices Section and the Hazardous Materials Response Team. These teams are responsible for prevention and mitigation of explosive devices.  | Increases of \$1,317M for lifecycle replacements of existing HMRT robotic equipment (iRobot 310 Kobra, 310 PackBot, and Remote; platform), \$143,900 for training and training related travel. Decrease of (\$47,000) for office supplies, specialty tools, and junk cars.   | \$562,022          | \$457,776           | \$1,892,648        | \$1,434,872        | 313.44%        |
| OSB Patrol Mobile Response Division                    | Patrol Mobile Response Division consists of Uniformed Patrol, the Motorcycle Unit, Mountain Bike Unit, CERT Operators, TIGER Team, Crime Scene Technicians, the Crash Investigation Team, the Intoxalyzer Unit, Offsite-Delivery and the K-9 Unit.   | Increases of \$130,000 for training and training related travel, \$34,000 for office supplies, and \$15,500 for government support services.   | \$243,043          | \$400,083           | \$462,130          | \$162,247          | 54.07%         |
| <b>Operational Services Bureau Total</b>               |  |  | <b>\$606,180</b>   | <b>\$658,973</b>    | <b>\$2,357,123</b> | <b>\$1,698,186</b> | <b>174.41%</b> |
| <b>Protective Services Bureau</b>                      |  |  |                    |                     |                    |                    |                |
| PSB Administration                                     | Protective Services Bureau includes Digitality Protection, and the Investigation Division, which includes intelligence operations, threat assessments, and criminal investigations. Provides funding for administrative costs such as supplies and contractual support for the Protective Services Bureau and training and travel for the immediate office.  | A decrease of (\$97,720) in contractor support services, and an increase of \$980 in office supplies.  | \$123,738          | \$173,678           | \$76,986           | (\$96,692)         | -55.67%        |
| PSB Protective Detail Travel                           | Provides funding for Digitality 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. Also provides protective escorts within the Capitol Complex for Heads of State, VIP's and other visiting dignitaries.  | A decrease of (\$117,050) for protective detail travel (airfares, lodging, per diem, and incidentals); an increase of \$319,650 for chartered flights and DPD travel, an increase of \$1,000 for miscellaneous rentals.  | \$8,612,674        | \$9,572,647         | \$9,776,258        | \$203,611          | 2.13%          |
| PSB Protective Services                                | Investigations support and Protective Intelligence contracts and operating expenses as well as training and travel for intelligence and investigations agents.   | An increase of \$100,950 for training and related travel, a decrease of (\$379,520) for rental of telecommunication and other equipment; a decrease of (\$74,000) in miscellaneous services, supplies and small purchases, and membership fees; an increase of \$7,670 for contractor and government support services, a decrease of (\$8,590) in non-capitalized equipment, and a decrease of (\$2,200M) in protective intelligence travel. | \$129,703          | \$209,400           | \$343,941          | \$134,541          | 64.25%         |

| Programs & Program Components (Projects)     | Description  | Major Program Changes FY 16 to FY 17   | FY 2015 Actuals     | FY 2016 Enacted     | FY 2017 Request     | Change               | % Change       |
|--|--|--|---------------------|---------------------|---------------------|----------------------|----------------|
| PSB Protective Services (Convention Support) | Investigations support and Protective Intelligence contracts and operating expenses as well as training and travel for intelligence and investigations agents  |  | \$0                 | \$2,708,602         | \$0                 | (\$2,708,602)        | -100.00%       |
| <b>Protective Services Bureau Total</b>      |  |  | <b>\$8,866,155</b>  | <b>\$17,664,227</b> | <b>\$10,197,185</b> | <b>(\$7,467,142)</b> | <b>-42.48%</b> |
| <b>Security Services Bureau</b>              |  |  |                     |                     |                     |                      |                |
| SSB Access Control                           | 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.  | Decrease of (\$55,500) in contractor support services for software support, and maintenance of the barriers, fire doors and podiums. Decrease of (\$33,000) in supplies such as spare parts inventory. Increase of \$1,609,000 for the Alternate Command Center business case. Increase of \$546,000 in equipment for the life-cycle replacement projects. Increase of \$8,000 in non-capitalized software licensing and support.  | \$2,580,760         | \$2,570,450         | \$4,642,606         | \$2,066,120          | 80.19%         |
| SSB Administration                           | Provides funding for travel, training, maintenance and repair of the security systems network, and supplies for each of the Divisions of security services.  | Increase of \$262,819 in external training, and \$17,113 in travel. Decrease of (\$1,500) in contractor support services.  | \$191,152           | \$192,865           | \$471,967           | \$279,402            | 145.09%        |
| SSB Detection and Screening Systems          | 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 alarms, metal detectors, pedestrian monitoring, Secure Compartmented Information Facilities (SCIF) alarms, and X-ray.  | Decrease of (\$97,800) in contractor support services for manufacturer site visits, manufacturer required system support, and maintenance of the VMS, duress system, explosive detectors, and metal detectors. Increase of \$49,100 for the spare parts inventory of devices such as CCTV cameras and metal detectors. Increase of \$333,000 in equipment for the life-cycle replacement projects.   | \$1,246,691         | \$3,285,674         | \$3,575,267         | \$286,593            | 8.71%          |
| SSB Inauguration                             | Provides support for the Protection of the Congressional Community by ensuring the security of the event staff, dignitaries, heads of state, and the leaders of all branches of the U.S. Government.   | Increase of \$257,500 in printing and binding for the inaugural credentials. Increase of \$2,964 for small supplies to support the credentialing activities. Increase of \$33,908 in equipment for the life-cycle replacement of the CCTV camera system. It is necessary to replace the cameras in order to minimize the potential for unexpected failure.   | \$0                 | \$0                 | \$369,472           | \$369,472            | 100.00%        |
| SSB Security Systems Maintenance             | Provides funding for emergency announcements, 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.   | Increase of \$487,500 in contractor support services for the preventive maintenance, testing, and repair of the integrated security management systems on the Capitol Complex. Increase of \$233,900 for support staffing including to a logistics specialist, a design engineer, an administrative assistant, an electronics technician II, and a junior network administrator. Increase of \$483,000 in non-capitalized software licensing and support for the Security IAN. Decrease of (\$18,600) in equipment for life-cycle replacements. These projects include, but are not limited to, Card Access Systems, CCTV Cameras, Fire Doors, Intrusion Alarms, and Public Address Systems. | \$3,593,787         | \$6,203,574         | \$7,390,016         | \$1,186,445          | 19.12%         |
| SSB Special Projects                         | 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 are a result of our collaboration with and support of our stakeholders, and they are designed to ensure that safety concerns are addressed. Multi-year funds are requested for these projects, as in many cases, their execution is heavily dependent on variables over which the USCP has no direct control. | An increase of \$1.25M for equipment related to special projects. Increased security demands are requiring equipment purchases out of cycle, so this increase will cover FY17 unexpected equipment needs, and/or delayed lifecycle on equipment due to prior year needs.   | \$200,000           | \$750,000           | \$2,000,000         | \$1,250,000          | 166.67%        |
| SSB Technical Countermeasures                | Provides funding for projects such as detection maintenance, equipment services and supplies, life cycle replacement and Technical Countermeasure (TCM) specialized security equipment.  | Increase of \$556,900 in contractor support services for individual administrative projects and technical support. Decrease of (\$283,400) in equipment for the portable and in-place TSCM equipment, which is made commercially as well as built by the U.S. Government.  | \$3,391,521         | \$1,466,800         | \$3,740,351         | \$273,531            | 7.89%          |
| <b>Security Services Bureau Total</b>        |  |  | <b>\$15,203,911</b> | <b>16,740,266</b>   | <b>22,119,559</b>   | <b>\$5,379,293</b>   | <b>32.46%</b>  |
| <b>Training Services Bureau</b>              |  |  |                     |                     |                     |                      |                |
| TSB Administration                           | Training Services provides recruit and in-service training services for the Department. 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.   | Increase of \$2,800 in official duty travel, and \$55,200 in PCS travel for the return of one detailed instructor from FLETC, GA. Decrease of (\$1,400) in utilities. Increase of \$4,500 in office supplies.  | \$14,605            | \$19,799            | \$80,930            | \$61,131             | 308.75%        |

| Programs & Program Components (Projects) | Description   | Major Program Changes FY 16 to FY 17   | FY 2015 Actuals     | FY 2016 Enacted     | FY 2017 Request     | Change           | % Change      |
|--|---|--|---------------------|---------------------|---------------------|------------------|---------------|
| TSB Training Services                    | Includes operational costs for recruit and in-service training for USCP sworn staff, costs for ammunition and firing range administration, Chichenban usage (firing and driving ranges) and facility costs as well as costs for the Police Executive Leadership Program | Increase of \$33,500 in travel primarily for the recruit officers per diem while attending the UPTP in FL-TC. (GA) Increase of \$9,000 in training such as the Simulation Scenario Instructor & Safety Certification Use of Force, and multiple firearms instructor certification courses. Increase of \$164,800 in contractor support services for the professional role players utilized during recruit and DPD training. Increase of \$65,250 in management development training for the SMIP and PELP. Increase of \$29,500 in safety supplies such as eye protection, disposable gloves, disinfectants, and instructor simulators. Increase of \$31,900 in equipment for targets, target stands, PA system & headsets, and the 3D target system | \$1,634,490         | \$2,497,166         | \$2,831,434         | \$334,278        | 13.39%        |
| <b>Training Services Bureau Total</b>    |   |  | <b>\$1,649,095</b>  | <b>\$2,516,965</b>  | <b>\$2,912,974</b>  | <b>\$396,408</b> | <b>15.71%</b> |
| USB Administration                       | Provides funding for USB administrative costs, which include travel, training supplies, and office equipment  | An increase of \$30,090 in training for instructors to receive Police Training Officer Program certification. Decrease of (\$3,500) in office supplies   | \$45,351            | \$62,000            | \$86,500            | \$24,500         | 39.66%        |
| <b>Uniformed Services Bureau Total</b>   |   |  | <b>\$45,351</b>     | <b>\$62,000</b>     | <b>\$86,500</b>     | <b>\$24,500</b>  | <b>39.66%</b> |
| <b>GRAND TOTAL</b>                       |   |  | <b>\$17,814,504</b> | <b>\$26,000,000</b> | <b>\$26,468,974</b> | <b>\$468,974</b> | <b>1.77%</b>  |

## **V. FY 2017 Budget Schedules**

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1. FY 2017 Resource Summary
2. Details by Object Category
3. Schedule B: Analysis of Change
4. Positions by Rank and Grade
5. Proposed Appropriations Language

## 1. RESOURCE SUMMARY

(\$ in Thousands)

|                            | FY2015<br>Budget<br>Authority | FY2016<br>Enacted | FY2017<br>Request | Change<br>FY16/FY17 | %<br>Change   |
|----------------------------|-------------------------------|-------------------|-------------------|---------------------|---------------|
| <b>Salaries</b>            |                               |                   |                   |                     |               |
| Appropriation              | 286,500                       | 309,000           | 333,128           | 24,128              | 7.81%         |
| Transfer                   | 2,900                         |                   |                   |                     |               |
| <b>Total</b>               | <b>\$289,400</b>              | <b>\$309,000</b>  | <b>\$333,128</b>  | <b>\$24,128</b>     | <b>7.81%</b>  |
| <b>General Expenses</b>    |                               |                   |                   |                     |               |
| Appropriation              | 61,459                        | 66,000            | 76,460            | 10,460              | 15.85%        |
| Transfer                   | (2,900)                       |                   |                   |                     |               |
| <b>Total</b>               | <b>58,559</b>                 | <b>66,000</b>     | <b>76,460</b>     | <b>10,460</b>       | <b>15.85%</b> |
| <b>Total Appropriation</b> | <b>\$347,959</b>              | <b>\$375,000</b>  | <b>\$409,588</b>  | <b>\$34,588</b>     | <b>9.22%</b>  |

Note: Totals may contain rounding variances

## 2. DETAILS BY OBJECT CATEGORY

(\$ in Thousands)

| Object Category                                      | FY 2015<br>Actuals | FY 2016 Enacted  | FY 2017 Final<br>Request | Change          | % Change      |
|--|--------------------|------------------|--------------------------|-----------------|---------------|
| 11.1 Full-time Permanent                             | 181,633            | 194,962          | 205,654                  | 10,692          | 5.48%         |
| 11.5 Other personnel compensation                    | 33,468             | 36,641           | 41,840                   | 5,199           | 14.19%        |
| 12.1 Civilian personnel benefits                     | 72,284             | 77,247           | 85,484                   | 8,237           | 10.66%        |
| 13.1 Benefits for former personnel                   | 289                | 150              | 150                      |                 | -             |
| <b>Total Salaries</b>                                | <b>287,674</b>     | <b>309,000</b>   | <b>333,128</b>           | <b>24,128</b>   | <b>7.81%</b>  |
| 21.0 Travel & Transportation of Persons              | 10,619             | 14,094           | 13,038                   | (1,056)         | (7.49%)       |
| 22.0 Transportation of Things                        | 12                 | 12               | 39                       | 27              | 223.65%       |
| 23.3 Rent, Communications, Utilities & Misc. Charges | 2,612              | 3,059            | 3,424                    | 365             | 11.93%        |
| 24.0 Printing & Reproduction                         | 7                  | 21               | 292                      | 271             | 1,283.48%     |
| 25.1 Advisory & Assistance Services                  | 23,392             | 26,008           | 28,783                   | 2,775           | 10.67%        |
| 25.2 Other Services                                  | 3,591              | 4,275            | 4,320                    | 45              | 1.05%         |
| 25.3 Other Purchases of Goods & Svcs from Govt       | 2,567              | 2,519            | 2,200                    | (319)           | (12.66%)      |
| 25.6 Medical Care                                    | 45                 | 164              | 398                      | 234             | 142.57%       |
| 25.7 Operations & Maint Equipment                    | 184                | 167              | 200                      | 33              | 19.84%        |
| 26.0 Supply & Materials                              | 2,628              | 3,955            | 4,973                    | 1,018           | 25.74%        |
| 31.0 Equipment                                       | 11,841             | 11,613           | 18,680                   | 7,067           | 60.85%        |
| 42.0 Insurance Claims & Indemnities                  | 17                 | 113              | 113                      |                 | -             |
| <b>General Expenses</b>                              | <b>57,515</b>      | <b>66,000</b>    | <b>76,460</b>            | <b>10,460</b>   | <b>15.85%</b> |
| <b>Total USC P</b>                                   | <b>\$345,189</b>   | <b>\$375,000</b> | <b>\$409,588</b>         | <b>\$34,588</b> | <b>9.22%</b>  |

Note: Totals may contain rounding variances

## 3. SCHEDULE B: ANALYSIS OF CHANGE

(\$ in Thousands)

| FY 2017 Analysis of Change  |                 |                  |
|---|-----------------|------------------|
|   | Positions (#'s) | Amount           |
| <b>FY 2016 Enacted</b>  | <b>2,196</b>    | <b>\$375,000</b> |
| <b>FY 2017 Changes:</b>   |                 |                  |
| <b>Pay and Related Costs</b>  |                 |                  |
| <i>Non-recurring Costs:</i> Overtime - Convention/Pre-inauguration                                      |                 | (1,827)          |
| FY 2016 Salaries for Authorized Positions Annualized for FY 2017  |                 | 4,758            |
| FY 2017 Within Grade Increases & Promotions   |                 | 165              |
| FY 2017 Civilian New Hires  | 51              | 2,047            |
| FY 2017 Sworn New Hires   | 72              | 2,074            |
| Overtime - Core Mission, Training, Unscheduled, etc.  |                 | 4,341            |
| Overtime - LOC non-reimbursable   |                 | 7                |
| Overtime - Inauguration   |                 | 1,886            |
| Holiday Pay - Including Inauguration  |                 | 458              |
| Annualized Benefits   |                 | 8,237            |
| Lump Sum & Misc. Payments   |                 | 1,982            |
|   | <b>123</b>      | <b>24,128</b>    |
| <b>Program Changes (Net)</b>  |                 |                  |
| Price Level Changes   |                 | 3,080            |
| <i>Non-recurring Costs:</i> Conventions   |                 | (2,709)          |
| Administrative  |                 | 154              |
| Facilities Mgmt.: FFE Replacements and Contracts  |                 | 306              |
| Financial Management & Accountability (Momentum/Maximo systems and contractor support)                  |                 | (238)            |
| Financial Management: Agency-wide Services (gas, internal training, and equipment)                      |                 | 2                |
| Fleet Management: Vehicles, repairs, rental, supplies   |                 | 1,080            |
| Human Resources: Operations and Systems   |                 | (44)             |
| Human Resources: Recruiting and Employment  |                 | (158)            |
| Information Systems: Enterprise Applications  |                 | 350              |
| Information Systems: Information Security   |                 | 94               |
| Information Systems: Network Communications   |                 | 1,885            |
| Information Systems: Operations   |                 | 328              |
| Mission Assurance Bureau: Operations - Contractor support, training, travel for training, equipment     |                 | 389              |
| Operational Services: Hazardous Response- External training, travel for training, ammunition, equipment |                 | 1,435            |
| Operational Services: Patrol Mobile Response - Training, travel for training, ammunition, equipment     |                 | 158              |
| Property Management: Logistical Support   |                 | 971              |
| Protective Services: Protective Detail - Travel and chartered flights                                   |                 | 204              |
| Protective Services: Protective Service - Contractor support, training, travel for training, equipment  |                 | 135              |
| Security Services: Access Control (Card Access, Barriers, Fire Doors, Kiosk)                            |                 | 1,534            |
| Security Services: Detection/Screening Systems - Lifecycle replacement, contractor support, equipment   |                 | (40)             |
| Security Services: Inauguration   |                 | 369              |
| Security Services: Security Systems Maintenance - Life cycle replacement, contractor support, equipment |                 | (609)            |
| Security Services: Special Projects   |                 | 1,450            |
| Training Services: Training Programs  |                 | 334              |
|   |                 | <b>10,460</b>    |
| <b>Net Increase/Decrease</b>  |                 | <b>34,588</b>    |
| <b>Total Appropriation</b>  | <b>2,319</b>    | <b>\$409,588</b> |

#### 4. POSITIONS BY RANK AND GRADE

This chart is an analysis of the FY 2017 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                       | (#'s)              |               |                  |                    |
|-----------------------------|--------------------|---------------|------------------|--------------------|
|                             | Appointed*<br>FY17 | Sworn<br>FY17 | Civilian<br>FY17 | Total USCP<br>FY17 |
| 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          |                    | 1,625         |                  | 1,625              |
| <b>TOTAL SWORN</b>          | <b>2</b>           | <b>1,893</b>  | <b>0</b>         | <b>1,895</b>       |
| CAO, OGC, CP-14/15          | 2                  |               | 11               | 13                 |
| CP-13                       |                    |               | 27               | 27                 |
| CP-11 to 12                 |                    |               | 75               | 75                 |
| CP-4 to 10                  |                    |               | 271              | 271                |
| CP-3                        |                    |               | 51               | 51                 |
| OIG                         | 6                  |               |                  | 6                  |
| <b>TOTAL CIVILIAN</b>       | <b>8</b>           | <b>0</b>      | <b>435</b>       | <b>443</b>         |
| <b>TOTAL</b>                | <b>10</b>          | <b>1,826</b>  | <b>435</b>       | <b>2,338</b>       |

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

## 5. PROPOSED APPROPRIATIONS LANGUAGE

### Salaries

For salaries of employees of the Capitol Police, including overtime, hazardous duty pay, and Government contributions for health, retirement, social security, professional liability insurance, and other applicable employee benefits, [\$309,000,000] \$333,128,000 of which overtime shall not exceed [\$30,928,000] \$35,335,000 unless the Committee on Appropriations of the House and Senate are notified, to be disbursed by the Chief of the Capitol Police or his designee. (*Legislative Branch Appropriations Act, 2016.*)

### 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, [\$66,000,000] \$76,460,000, 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 2017 shall be paid by the Secretary of Homeland Security from funds available to the Department of Homeland Security. (*Legislative Branch Appropriations Act, 2016.*)

### Administrative Provisions

2 U.S.C. § 1906 is amended by inserting “and acceptance” after “Disposal” in the title, by inserting “, including disposed, forfeited, voluntarily abandoned and unclaimed property” after “surplus or obsolete property” and by inserting “and the Capitol Police may accept the surplus or obsolete property of federal agencies upon notification to the Committees on Appropriations of the House of Representatives and the Senate” after “method” in subsection (a).

As amended, 2 U.S.C. § 1906 would read as follows:

#### § 1906. Disposal and acceptance of surplus property

(a) In general. Within the limits of available appropriations, the Capitol Police may dispose of surplus or obsolete property, including disposed, forfeited, voluntarily abandoned and unclaimed property of the Capitol Police by interagency transfer, donation, sale, trade-in, or other appropriate method and the Capitol Police may accept the surplus or obsolete property of federal agencies upon notification to the Committees on Appropriations of the House of Representatives and the Senate.

(b) Amounts received. Any amounts received by the Capitol Police from the disposition of property under subsection (a) shall be credited to the account established for the general expenses of the Capitol Police, and shall be available to carry out the purposes of such account during the fiscal year in which the amounts are received and the following fiscal year.

(c) Effective date. This section shall apply to fiscal year 2003 and each fiscal year thereafter.

## VII. Index of Acronyms

|          |  |
|----------|--|
| ACC      | Alternate Command Center   |
| ACF      | Alternate Computer Facility  |
| AOC      | Architect of the Capitol   |
| CERT     | Containment Emergency Response Team  |
| CALEA    | Commission on Accreditation for Law Enforcement Agencies                                       |
| CAO      | Chief Administrative Officer   |
| CCTV     | Closed Circuit TV  |
| 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   |
| CY       | Calendar Year  |
| DNC      | Democratic National Convention   |
| DPD      | Dignitary Protection Division  |
| FD       | Force Development  |
| FFE      | Furniture, Fixtures, and Equipment   |
| FLETC    | Federal Law Enforcement Training Center  |
| FY       | Fiscal Year  |
| HDS      | Hazardous Devices Section  |
| IAD      | Internal Affairs Division  |
| ICS      | Incident Command Systems   |
| ID       | Inspection Division  |
| IED      | Improvised Explosive Device  |
| ISIL     | Islamic State of Iraq and the Levant   |
| IT       | Information Technology   |
| K-9      | Canine   |
| LAN      | Local Area Network   |
| LOC      | Library of Congress  |
| MAB      | Mission Assurance Bureau ( <i>formerly Office of Plans, Operations and Homeland Security</i> ) |
| MOU      | Memorandum of Understanding  |
| MS SQL   | Microsoft SQL  |
| NFC      | National Finance Center  |
| OC       | Object Class   |
| OEC      | Office of Employment Counsel   |
| OFL      | Office of Facilities and Logistics   |
| OFL-FMD  | OFL-Facilities Management Division   |
| OFL-PAMD | OFL-Property and Asset Management Systems  |
| OFL-VMD  | OFL-Vehicle Maintenance Division   |
| OFM      | Office of Financial Management   |
| OGC      | Office of the General Counsel  |
| OHR      | Office of Human Resources  |
| OIG      | Office of Inspector General  |
| OIS      | Office of Information Systems  |
| OPOL     | Office of Policy and Management Systems  |
| OPR      | Office of Professional Responsibility  |
| OSB      | Operational Services Bureau  |
| OSB-PMRD | OSB-Patrol Mobile Response Division  |
| OSHA     | Occupational Safety and Health Administration  |
| OT       | Overtime   |
| PAS      | Public Address System  |
| PCS      | Permanent Change of Station  |
| PELP     | Police Executive Leadership Program  |

|      |  |
|------|--|
| PSB  | Protective Services Bureau                   |
| PTO  | Police Training Officer                      |
| RNC  | Republican National Convention               |
| SAN  | Storage Area Network                         |
| SCIF | Sensitive Compartmented Information Facility |
| SSB  | Security Services Bureau                     |
| TCM  | Technical Countermeasures                    |
| TSB  | Training Services Bureau                     |
| UPTP | Uniformed Police Training Program            |
| USB  | Uniformed Services Bureau                    |
| USCP | United States Capitol Police                 |

USCP FY 2017 Salary Projection

|                |       |
|----------------|-------|
| PP 19 A        | 2.8%  |
| PP19 B         | 100%  |
| Projected COLA | 2.65% |

| FY 2016 Base      | Positions    | Annual (\$)    | Per PP       |
|-------------------|--------------|----------------|--------------|
| Sworn             | 1,823        | 158,818        | 6,108        |
| Civilian          | 373          | 36,544         | 1,466        |
| LWOP Adj.         |              | -517           | -20          |
| <b>Total Base</b> | <b>2,196</b> | <b>194,845</b> | <b>7,494</b> |

| PP                                    | Base  | Proj WIG | Adj. Base Sal per PP | Night Diff | Sunday Diff | Night & Sunday Diff | Holiday pay | Hazard Duty Pay | Subtotal Salary | Benefits 39.00% | Lump Sum Leave | FTO   | Overtime (OT) | Unscheduled | OT Unscheduled Nonreimb | TOTAL | Benefits 7.65% | TOTAL  |
|---------------------------------------|-------|----------|----------------------|------------|-------------|---------------------|-------------|-----------------|-----------------|-----------------|----------------|-------|---------------|-------------|-------------------------|-------|----------------|--------|
|                                       |       |          |                      |            |             |                     |             |                 |                 |                 |                |       |               |             |                         |       |                |        |
| 19                                    | 209   | 208      | 1,101                | 1,160      | 3           | 1                   | 1           | 1,187           | 1,214           | 83              | 1              | 1,158 | 165           | 1,169       | 1,170                   | 168   | 13             | 475    |
| 20                                    | 7,494 | 6        | 7,500                | 112        | 23          | 33                  | 104         | 7,929           | 3,039           | 23              | 10             | 1,293 | 96            | 1,293       | 96                      | 1,293 | 96             | 12,213 |
| 21                                    | 7,500 | 3        | 7,504                | 112        | 23          | 33                  | 113         | 7,959           | 3,046           | 23              | 10             | 1,012 | 73            | 1,012       | 73                      | 1,012 | 66             | 11,904 |
| 22                                    | 7,504 | 4        | 7,508                | 112        | 23          | 33                  | 76          | 7,771           | 3,031           | 23              | 10             | 1,031 | 73            | 1,031       | 73                      | 1,031 | 101            | 12,274 |
| 23                                    | 7,508 | 1        | 7,508                | 112        | 23          | 33                  |             | 7,701           | 3,003           | 23              | 10             | 1,042 | 73            | 1,042       | 73                      | 1,042 | 88             | 12,034 |
| 24                                    | 7,508 | 5        | 7,513                | 112        | 23          | 33                  |             | 7,702           | 3,003           | 23              | 10             | 1,202 | 73            | 1,202       | 73                      | 1,202 | 88             | 11,949 |
| 25                                    | 7,513 | 2        | 7,514                | 112        | 23          | 33                  |             | 7,659           | 3,065           | 23              | 10             | 1,030 | 73            | 1,030       | 73                      | 1,030 | 87             | 12,156 |
| 26                                    | 7,514 | 1        | 7,514                | 112        | 23          | 33                  | 157         | 8,341           | 3,253           | 23              | 10             | 1,120 | 73            | 1,120       | 73                      | 1,120 | 86             | 12,799 |
| 27                                    | 7,514 | 6        | 7,520                | 120        | 23          | 33                  | 615         | 7,721           | 3,011           | 23              | 10             | 1,082 | 73            | 1,082       | 73                      | 1,082 | 92             | 12,631 |
| 28                                    | 7,520 | 13       | 7,533                | 112        | 23          | 33                  |             | 7,726           | 3,013           | 23              | 10             | 1,604 | 73            | 1,604       | 73                      | 1,604 | 131            | 12,569 |
| 29                                    | 7,533 | 5        | 7,543                | 112        | 23          | 33                  | 131         | 7,863           | 3,068           | 23              | 10             | 1,059 | 73            | 1,059       | 73                      | 1,059 | 86             | 12,171 |
| 30                                    | 7,543 | 5        | 7,547                | 112        | 23          | 33                  |             | 7,735           | 3,017           | 23              | 10             | 968   | 73            | 968         | 73                      | 968   | 85             | 11,917 |
| 31                                    | 7,547 | 2        | 7,549                | 112        | 23          | 33                  |             | 7,737           | 3,017           | 23              | 10             | 981   | 73            | 981         | 73                      | 981   | 84             | 11,933 |
| 32                                    | 7,549 | 2        | 7,551                | 112        | 23          | 33                  |             | 7,739           | 3,018           | 23              | 10             | 1,147 | 73            | 1,147       | 73                      | 1,147 | 96             | 12,114 |
| 33                                    | 7,551 | 12       | 7,563                | 112        | 23          | 33                  |             | 7,751           | 3,023           | 23              | 10             | 1,000 | 73            | 1,000       | 73                      | 1,000 | 85             | 11,973 |
| 34                                    | 7,563 | 12       | 7,570                | 112        | 23          | 33                  |             | 7,757           | 3,025           | 23              | 10             | 1,011 | 73            | 1,011       | 73                      | 1,011 | 86             | 11,994 |
| 35                                    | 7,570 | 6        | 7,570                | 112        | 23          | 33                  |             | 7,760           | 3,026           | 23              | 10             | 1,516 | 73            | 1,516       | 73                      | 1,516 | 125            | 12,541 |
| 36                                    | 7,570 | 2        | 7,572                | 112        | 23          | 33                  |             | 7,875           | 3,071           | 23              | 10             | 1,109 | 73            | 1,109       | 73                      | 1,109 | 94             | 12,263 |
| 37                                    | 7,572 | 5        | 7,577                | 112        | 23          | 33                  | 110         | 7,772           | 3,031           | 23              | 10             | 1,041 | 73            | 1,041       | 73                      | 1,041 | 86             | 12,047 |
| 38                                    | 7,577 | 5        | 7,584                | 112        | 23          | 33                  |             | 7,959           | 3,104           | 23              | 10             | 1,801 | 73            | 1,801       | 73                      | 1,801 | 131            | 12,909 |
| 39                                    | 7,584 | 6        | 7,590                | 112        | 23          | 33                  | 181         | 7,781           | 3,035           | 23              | 10             | 963   | 73            | 963         | 73                      | 963   | 82             | 11,975 |
| 40                                    | 7,590 | 3        | 7,593                | 112        | 23          | 33                  |             | 7,786           | 3,037           | 23              | 10             | 1,142 | 73            | 1,142       | 73                      | 1,142 | 96             | 12,174 |
| 41                                    | 7,593 | 5        | 7,598                | 112        | 23          | 33                  |             | 7,801           | 3,042           | 23              | 10             | 1,391 | 73            | 1,391       | 73                      | 1,391 | 115            | 12,464 |
| 42                                    | 7,598 | 15       | 7,613                | 112        | 23          | 33                  |             | 7,802           | 3,043           | 23              | 10             | 1,174 | 73            | 1,174       | 73                      | 1,174 | 94             | 12,231 |
| 43                                    | 7,613 | 17       | 7,614                | 112        | 23          | 33                  | 108         | 7,817           | 3,088           | 23              | 10             | 1,228 | 73            | 1,228       | 73                      | 1,228 | 96             | 12,337 |
| 44                                    | 7,614 | 8        | 7,622                | 112        | 23          | 33                  |             | 7,811           | 3,046           | 23              | 10             | 1,068 | 73            | 1,068       | 73                      | 1,068 | 90             | 12,131 |
| 45                                    | 7,622 | 2        | 7,623                | 112        | 23          | 33                  |             | 7,811           | 3,046           | 23              | 10             | 1,068 | 73            | 1,068       | 73                      | 1,068 | 90             | 12,131 |
| Civilian Career-Ladder                |       |          |                      |            |             |                     |             |                 |                 |                 |                |       |               |             |                         |       |                |        |
| Non-NEC payments and additional costs |       |          |                      |            |             |                     |             |                 |                 |                 |                |       |               |             |                         |       |                |        |
| <b>TOTALS</b>                         |       |          |                      |            |             |                     |             |                 |                 |                 |                |       |               |             |                         |       |                |        |

|   |        |       |         |
|---|--------|-------|---------|
| Sub-total                               | 32,798 | 2,568 | 316,222 |
| Pay                                     | 4,121  | 1,607 | 5,728   |
| Benefits                                | 1,866  | 144   | 2,030   |
| Other Salary Increase to Base           | 1,508  | 115   | 1,624   |
| -Additional Requirements                | 3,974  | 1,550 | 5,524   |
| Overtime-inaugural                      | 11,469 | 3,417 | 33,336  |
| Overtime - Training 24,000 Hrs.         |        |       |         |
| COLA(2.6%) (excludes Hazd.Duty/Fto pay) |        |       |         |
| <b>GRAND TOTAL</b>                      |        |       |         |

| Additional Requirements | Positions  | Annual Cost(\$) | Per PP       |
|-------------------------|------------|-----------------|--------------|
| Sworn - Half year       | 72         | 4,147           | 160          |
| Civilians - Half Year   | 51         | 4,095           | 157          |
| <b>Total Increase</b>   | <b>123</b> | <b>8,242</b>    | <b>4,121</b> |

**BASE SWORN AND CIVILIAN SALARY ESTIMATES**

| Sworn salary                     | Positions   | Salary         |
|----------------------------------|-------------|----------------|
| <b>Base PP 20 FY 2016</b>        |             |                |
| Total Salary-Sworn               | 1733        | 148,239        |
| Total Salary - Sworn - Appointed | 2           | 342            |
| Backfill for open positions      | 88          | 4,996          |
|                                  | <b>1823</b> | <b>153,577</b> |
| FY 2016 COLA                     |             | 2,242          |
| FY 2016 WIGS                     |             | 2,743          |
| 2015-16 Sworn Promotion impact   |             | 256            |
| <b>Base Subtotal</b>             | <b>1823</b> | <b>158,818</b> |

\$ 000's

| Civilian salary                    | Positions  | Salary        |
|------------------------------------|------------|---------------|
| <b>Base PP 20 FY 2016</b>          |            |               |
| Total Salary - Civilian            | 345        | 32,586        |
| Total Salary Appointed             | 8          | 1,230         |
| Backfill for open positions to 373 | 20         | 1,889         |
|                                    | <b>373</b> | <b>35,705</b> |
| FY 2016 COLA                       |            | 521           |
| FY 2016 WIGS                       |            | 254           |
| FY 16 Career Ladder                |            | 64            |
| <b>Base Subtotal</b>               | <b>373</b> | <b>36,544</b> |

**United States Capitol Police  
FY 2017 General Expenses by Program, Project, and BOC**

| Bureau<br>Program                           | Projects | BOC | BOC Description                                     | FY2015        | FY2016         | FY2017         | Change from FY2016 Enacted |                |
|---|----------|-----|---|---------------|----------------|----------------|----------------------------|----------------|
|   |          |     |   | Actuals       | Enacted        | Request        | \$                         | %              |
|   |          |     |   | \$            | \$             | \$             | \$                         | %              |
| <b>Chief Administrative Officer</b>         |          |     |   |               |                |                |                            |                |
| CAO Administration                          |          |     |   |               |                |                |                            |                |
| CAO Administration                          |          |     |   |               |                |                |                            |                |
|   | 2111     |     | Temp Travel Training                                | 1,169         | -              | -              | -                          | -              |
|   | 2512     |     | External Training                                   | 50            | 7,070          | 10,492         | 3,422                      | 48.40%         |
|   | 2526     |     | Contractor Support Services non-Federal             | 1,764         | -              | -              | -                          | -              |
|   | 2610     |     | Office & Miscellaneous Supplies                     | 1,308         | 4,384          | 5,900          | 616                        | 14.05%         |
| <b>CAO Administration Total</b>             |          |     |   | <b>4,291</b>  | <b>11,454</b>  | <b>16,392</b>  | <b>4,038</b>               | <b>35.25%</b>  |
| <b>Chief of Operations</b>                  |          |     |   |               |                |                |                            |                |
| COO Administration-Command Ops              |          |     |   |               |                |                |                            |                |
| COO Administration                          |          |     |   |               |                |                |                            |                |
|   | 2610     |     | Office & Miscellaneous Supplies                     | 1,315         | 1,336          | 1,336          | -                          | -              |
| <b>COO Administration-Command Ops Total</b> |          |     |   | <b>1,315</b>  | <b>1,336</b>   | <b>1,336</b>   | <b>-</b>                   | <b>-</b>       |
| <b>Chief of Operations Total</b>            |          |     |   | <b>1,315</b>  | <b>1,336</b>   | <b>1,336</b>   | <b>-</b>                   | <b>-</b>       |
| <b>Chief of Police</b>                      |          |     |   |               |                |                |                            |                |
| COP Administration                          |          |     |   |               |                |                |                            |                |
| COP Administration                          |          |     |   |               |                |                |                            |                |
|   | 2110     |     | Temporary Duty (TDY) Travel                         | 1,154         | 1,800          | 1,850          | 50                         | 2.78%          |
|   | 2510     |     | Membership Fees                                     | 1,175         | 2,160          | 2,220          | 60                         | 2.78%          |
|   | 2512     |     | External Training                                   | 170           | -              | 7,405          | 7,405                      | -              |
|   | 2610     |     | Office & Miscellaneous Supplies                     | 7,184         | 7,456          | 7,666          | 210                        | 2.82%          |
|   | 2630     |     | Subscriptions and Publications                      | 265           | 300            | 300            | -                          | -              |
| COP Representation Fund                     |          |     |   |               |                |                |                            |                |
|   | 2610     |     | Office & Miscellaneous Supplies                     | 292           | 5,000          | 5,000          | -                          | -              |
|   | 2615     |     | Provisions  | 1,336         | -              | -              | -                          | -              |
| <b>COP Administration Total</b>             |          |     |   | <b>11,578</b> | <b>18,716</b>  | <b>24,441</b>  | <b>7,725</b>               | <b>41.21%</b>  |
| <b>Chief of Police Total</b>                |          |     |   | <b>11,578</b> | <b>18,716</b>  | <b>24,441</b>  | <b>7,725</b>               | <b>41.21%</b>  |
| <b>Mission Assurance Bureau</b>             |          |     |   |               |                |                |                            |                |
| MAB Administration                          |          |     |   |               |                |                |                            |                |
| MAB Administration                          |          |     |   |               |                |                |                            |                |
|   | 2110     |     | Temporary Duty (TDY) Travel                         | 1,670         | -              | -              | -                          | -              |
|   | 2111     |     | Temp Travel Training                                | 952           | 1,275          | 1,275          | -                          | -              |
|   | 2526     |     | Contractor Support Services non-Federal             | -             | 975            | -              | (975)                      | (100.00%)      |
|   | 2610     |     | Office & Miscellaneous Supplies                     | 3,652         | 4,500          | 5,250          | 750                        | 16.67%         |
| MAB Command Ctr Ops Adm                     |          |     |   |               |                |                |                            |                |
|   | 2610     |     | Office & Miscellaneous Supplies                     | 1,742         | 1,800          | 1,800          | -                          | -              |
| <b>MAB Administration Total</b>             |          |     |   | <b>6,016</b>  | <b>8,550</b>   | <b>8,325</b>   | <b>(225)</b>               | <b>(2.63%)</b> |
| MAB Operations                              |          |     |   |               |                |                |                            |                |
| MAB Command Center Operations               |          |     |   |               |                |                |                            |                |
|   | 2111     |     | Temp Travel Training                                | -             | 2,000          | 75,906         | 73,906                     | 3,695.30%      |
|   | 2512     |     | External Training                                   | -             | -              | 9,739          | 9,739                      | -              |
|   | 2526     |     | Contractor Support Services non-Federal             | 9,307         | 3,400          | 3,500          | 100                        | 2.94%          |
|   | 2610     |     | Office & Miscellaneous Supplies                     | 4,002         | 9,180          | 6,750          | (2,430)                    | (26.47%)       |
| MAB Command Vehicle Operations              |          |     |   |               |                |                |                            |                |
|   | 2526     |     | Contractor Support Services non-Federal             | 21,837        | 1,280          | 34,280         | 33,000                     | 2,578.13%      |
|   | 2540     |     | Miscellaneous Merchant & Vendor Services            | -             | 10,000         | -              | (10,000)                   | (100.00%)      |
|   | 2610     |     | Office & Miscellaneous Supplies                     | 1,206         | 2,673          | 2,700          | 27                         | 1.01%          |
|   | 3110     |     | Non-Capitalized Furniture, Equipment, and Machinery | 30,225        | 45,596         | 107,910        | 62,312                     | 136.65%        |
|   | 3120     |     | Capitalized Furniture, Equipment, and Machinery     | -             | -              | 223,105        | 223,105                    | -              |
| MAB Communications Center Operations        |          |     |   |               |                |                |                            |                |
|   | 2110     |     | Temporary Duty (TDY) Travel                         | 1,385         | -              | -              | -                          | -              |
|   | 2111     |     | Temp Travel Training                                | 917           | -              | -              | -                          | -              |
|   | 2512     |     | External Training                                   | -             | 4,500          | 5,611          | 1,111                      | 24.69%         |
|   | 2610     |     | Office & Miscellaneous Supplies                     | 5,964         | 6,750          | 5,000          | (1,750)                    | (25.93%)       |
| <b>MAB Operations Total</b>                 |          |     |   | <b>31,047</b> | <b>58,881</b>  | <b>178,651</b> | <b>119,770</b>             | <b>203.29%</b> |
| <b>Mission Assurance Bureau Total</b>       |          |     |   | <b>37,063</b> | <b>83,931</b>  | <b>102,826</b> | <b>36,895</b>              | <b>44.02%</b>  |
| <b>Office of Employment Counsel</b>         |          |     |   |               |                |                |                            |                |
| OEC Administration                          |          |     |   |               |                |                |                            |                |
| OEC Administration                          |          |     |   |               |                |                |                            |                |
|   | 2110     |     | Temporary Duty (TDY) Travel                         | -             | 3,380          | -              | (3,380)                    | (100.00%)      |
|   | 2111     |     | Temp Travel Training                                | -             | 4,320          | 6,364          | 2,044                      | 47.31%         |
|   | 2410     |     | Printing and Binding                                | 5,310         | 6,400          | 7,400          | 1,000                      | 15.63%         |
|   | 2512     |     | External Training                                   | -             | -              | 27,624         | 27,624                     | -              |
|   | 2526     |     | Contractor Support Services non-Federal             | 88,827        | 88,000         | 95,470         | 7,470                      | 8.49%          |
|   | 2610     |     | Office & Miscellaneous Supplies                     | 6,981         | 3,420          | 5,600          | 2,180                      | 63.74%         |
|   | 2630     |     | Subscriptions and Publications                      | 2,574         | 5,500          | 5,500          | -                          | -              |
|   | 2699     |     | Credit Card Disputes                                | 22            | -              | -              | -                          | -              |
| <b>OEC Administration Total</b>             |          |     |   | <b>97,734</b> | <b>111,020</b> | <b>147,958</b> | <b>36,938</b>              | <b>33.26%</b>  |

**United States Capitol Police  
FY 2017 General Expenses by Program, Project, and BOC**

| Bureau/<br>Program                                | Projects | BOC | BOC Description                                     | FY2015           | FY2016           | FY2017           | Change from FY2016 Enacted |                 |
|---|----------|-----|---|------------------|------------------|------------------|----------------------------|-----------------|
|   |          |     |   | Actuals          | Enacted          | Request          | \$                         | %               |
| <b>Office of Facilities &amp; Logistics</b>       |          |     |   |                  |                  |                  |                            |                 |
| <b>Administration - OFL</b>                       |          |     |   |                  |                  |                  |                            |                 |
| Occupational Safety Health and Environment        |          |     |   |                  |                  |                  |                            |                 |
|   | 2111     |     | Temp Travel Training                                | -                | -                | 6,000            | 6,000                      | -               |
|   | 2310     |     | Rental of Equipment                                 | 523              | -                | -                | -                          | -               |
|   | 2512     |     | External Training                                   | 8,704            | -                | 10,000           | 10,000                     | -               |
|   | 2519     |     | Health Services                                     | 33,966           | 87,500           | 390,000          | 302,500                    | 345.71%         |
|   | 2526     |     | Contractor Support Services non-Federal             | 420,676          | 400,000          | 450,000          | 50,000                     | 12.50%          |
|   | 2610     |     | Office & Miscellaneous Supplies                     | 3,696            | 5,001            | 4,200            | (801)                      | (16.02%)        |
|   | 2630     |     | Subscriptions and Publications                      | 2,294            | 5,000            | 9,700            | 4,700                      | 93.99%          |
|   | 3110     |     | Non-Capitalized Furniture, Equipment, and Machinery | 49,927           | 25,000           | 25,000           | -                          | -               |
| <b>Administration - OFL Total</b>                 |          |     |   | <b>649,786</b>   | <b>522,501</b>   | <b>894,900</b>   | <b>372,399</b>             | <b>71.27%</b>   |
| <b>FMD Administration</b>                         |          |     |   |                  |                  |                  |                            |                 |
| FMD Administration                                |          |     |   |                  |                  |                  |                            |                 |
|   | 2110     |     | Temporary Duty (TDY) Travel                         | 1,600            | -                | -                | -                          | -               |
|   | 2220     |     | Transportation of Things                            | 12,012           | 12,100           | 30,000           | 17,900                     | 147.93%         |
|   | 2310     |     | Rental of Equipment                                 | -                | 2,880            | 3,900            | 1,020                      | 35.42%          |
|   | 2322     |     | Rentals - Miscellaneous                             | 2,468            | -                | -                | -                          | -               |
|   | 2512     |     | External Training                                   | -                | -                | 5,000            | 5,000                      | -               |
|   | 2526     |     | Contractor Support Services non-Federal             | 216,118          | 142,514          | 100,000          | (42,514)                   | (29.83%)        |
|   | 2535     |     | Government Support Services                         | -                | 84,605           | 20,000           | (64,605)                   | (76.36%)        |
|   | 2610     |     | Office & Miscellaneous Supplies                     | 43,616           | 19,500           | 27,350           | 7,850                      | 40.26%          |
|   | 2630     |     | Subscriptions and Publications                      | -                | -                | 500              | 500                        | -               |
|   | 3110     |     | Non-Capitalized Furniture, Equipment, and Machinery | 124,332          | 109,455          | 130,000          | 20,545                     | 18.77%          |
| <b>FMD Administration Total</b>                   |          |     |   | <b>400,146</b>   | <b>371,954</b>   | <b>318,750</b>   | <b>(82,304)</b>            | <b>(44.44%)</b> |
| <b>PMD Administration</b>                         |          |     |   |                  |                  |                  |                            |                 |
| PMD Administration                                |          |     |   |                  |                  |                  |                            |                 |
|   | 2510     |     | Membership Fees                                     | -                | -                | 1,000            | 1,000                      | -               |
|   | 2610     |     | Office & Miscellaneous Supplies                     | 4,889            | 11,000           | 15,000           | 4,000                      | 36.36%          |
|   | 2699     |     | Credit Card Disputes                                | 69               | -                | -                | -                          | -               |
| <b>PMD Administration Total</b>                   |          |     |   | <b>4,958</b>     | <b>11,000</b>    | <b>16,000</b>    | <b>6,000</b>               | <b>54.55%</b>   |
| <b>PMD Logistics Support</b>                      |          |     |   |                  |                  |                  |                            |                 |
| PMD Logistical Support                            |          |     |   |                  |                  |                  |                            |                 |
|   | 2512     |     | External Training                                   | 250              | -                | -                | -                          | -               |
|   | 2526     |     | Contractor Support Services non-Federal             | 588,371          | 530,490          | 548,809          | 18,319                     | 3.45%           |
|   | 2528     |     | Cleaning and Alteration Services                    | 32,448           | 51,000           | 52,632           | 1,632                      | 3.20%           |
|   | 2540     |     | Miscellaneous Merchant and Vendor Services          | 4,332            | -                | -                | -                          | -               |
|   | 2610     |     | Office & Miscellaneous Supplies                     | 196,579          | 30,000           | 50,000           | 20,000                     | 66.67%          |
|   | 2615     |     | Provisions  | 52,486           | 43,350           | 79,000           | 35,650                     | 82.24%          |
|   | 2634     |     | Controlled Explosives & Ammunition                  | 233,629          | 793,169          | 1,054,443        | 261,274                    | 32.94%          |
|   | 2637     |     | Law Enforcement Uniforms                            | 783,525          | 1,520,319        | 2,183,603        | 663,284                    | 43.63%          |
|   | 3110     |     | Non-Capitalized Furniture, Equipment, and Machinery | 240,271          | 6,000            | 70,000           | 64,000                     | 1,066.67%       |
|   | 3160     |     | Weapons and Replacement Parts                       | 330,045          | 256,394          | 171,000          | (85,394)                   | (33.31%)        |
| <b>PMD Logistics Support Total</b>                |          |     |   | <b>2,002,936</b> | <b>2,900,722</b> | <b>3,209,849</b> | <b>309,127</b>             | <b>10.66%</b>   |
| <b>Administration - VMD</b>                       |          |     |   |                  |                  |                  |                            |                 |
| Administration - VMD                              |          |     |   |                  |                  |                  |                            |                 |
| VMD Administration                                |          |     |   |                  |                  |                  |                            |                 |
|   | 2110     |     | Temporary Duty (TDY) Travel                         | -                | -                | 15,000           | 15,000                     | -               |
|   | 2111     |     | Temp Travel Training                                | -                | 8,450            | 8,250            | (200)                      | (2.37%)         |
|   | 2112     |     | Local Travel  | 2,500            | -                | -                | -                          | -               |
|   | 2510     |     | Membership Fees                                     | 489              | 500              | 1,000            | 500                        | 100.00%         |
|   | 2512     |     | External Training                                   | 3,339            | 3,910            | 3,300            | (610)                      | (15.60%)        |
|   | 2528     |     | Cleaning and Alteration Services                    | 16,347           | 19,000           | 17,000           | (2,000)                    | (10.53%)        |
|   | 2610     |     | Office & Miscellaneous Supplies                     | 4,423            | 2,700            | 5,000            | 2,300                      | 85.19%          |
| <b>Administration - VMD Total</b>                 |          |     |   | <b>28,698</b>    | <b>34,660</b>    | <b>49,550</b>    | <b>14,890</b>              | <b>43.00%</b>   |
| <b>VMD Fleet Management</b>                       |          |     |   |                  |                  |                  |                            |                 |
| VMD - Fleet Management                            |          |     |   |                  |                  |                  |                            |                 |
|   | 2120     |     | Vehicle Rental                                      | 1,746,302        | 1,747,550        | 2,294,300        | 546,750                    | 31.29%          |
|   | 2310     |     | Rental of Equipment                                 | -                | 7,995            | 10,000           | 2,005                      | 25.08%          |
|   | 2322     |     | Rentals - Miscellaneous                             | 13,675           | -                | -                | -                          | -               |
|   | 2571     |     | Vehicle Repair Services                             | 184,386          | 166,893          | 200,000          | 33,107                     | 19.84%          |
|   | 2621     |     | Vehicle Supplies                                    | 166,933          | 185,893          | 200,000          | 14,107                     | 7.59%           |
|   | 2622     |     | Vehicle Fluid Supplies                              | 15,490           | 20,700           | 20,000           | (700)                      | (3.38%)         |
|   | 3110     |     | Non-Capitalized Furniture, Equipment, and Machinery | 144,240          | -                | 78,500           | 78,500                     | -               |
|   | 3170     |     | Non-Capitalized Vehicles                            | 61,880           | 125,003          | 282,000          | 156,997                    | 125.59%         |
|   | 3171     |     | Capitalized Vehicles                                | 1,154,121        | 30,000           | 250,000          | 220,000                    | 733.33%         |
|   | 3175     |     | Non-Capitalized Vehicle Accessories                 | 122,552          | 171,002          | 200,000          | 28,998                     | 16.96%          |
| <b>VMD Fleet Management Total</b>                 |          |     |   | <b>3,273,984</b> | <b>3,149,143</b> | <b>3,674,300</b> | <b>525,157</b>             | <b>16.68%</b>   |
| <b>Administration - VMD &amp; Logistics Total</b> |          |     |   | <b>2,031,644</b> | <b>2,907,714</b> | <b>3,268,400</b> | <b>360,686</b>             | <b>12.41%</b>   |

**United States Capitol Police  
FY 2017 General Expenses by Program, Project, and BOC**

| Bureau/<br>Program                        | Projects                         | BOC | BOC Description  | FY2015           | FY2016           | FY2017           | Change from FY2016 Enacted |                 |
|---|----------------------------------|-----|--|------------------|------------------|------------------|----------------------------|-----------------|
|   |                                  |     |  | Actuals          | Enacted          | Request          | \$                         | %               |
|   |                                  |     |  | \$               | \$               | \$               | \$                         | %               |
| <b>Office of Financial Management</b>     |                                  |     |  |                  |                  |                  |                            |                 |
| OFM Administration                        |                                  |     |  |                  |                  |                  |                            |                 |
|   | 2111                             |     | Temp Travel Training                                       | -                | 6                | 5,600            | 5,594                      | 93,233.33%      |
|   | 2112                             |     | Local Travel   | 846              | -                | -                | -                          | -               |
|   | 2512                             |     | External Training  | -                | -                | 27,000           | 27,000                     | -               |
|   | 2610                             |     | Office & Miscellaneous Supplies                            | 8,100            | 3,994            | 5,000            | 1,006                      | 25.19%          |
|   | 2630                             |     | Subscriptions and Publications                             | -                | 3,500            | 3,500            | -                          | -               |
|   | 3110                             |     | Non-Capitalized Furniture, Equipment, and Machinery        | -                | 1,800            | -                | (1,800)                    | (100.00%)       |
|   |                                  |     | <b>OFM Administration Total</b>                            | <b>8,946</b>     | <b>6,300</b>     | <b>41,600</b>    | <b>37,800</b>              | <b>594.94%</b>  |
| OFM Agency Services                       |                                  |     |  |                  |                  |                  |                            |                 |
|   | 2350                             |     | Postage and Fees   | 15,261           | 15,300           | 15,500           | 200                        | 1.31%           |
|   | 2512                             |     | External Training  | 23,780           | 117,790          | 88,100           | (29,690)                   | (25.21%)        |
|   | 2526                             |     | Contractor Support Services non-Federal                    | 467,506          | 433,181          | 458,441          | 25,260                     | 5.83%           |
|   | 2541                             |     | Emergency Services - CDOOP                                 | 9,294            | 100,000          | 100,000          | -                          | -               |
|   | 2622                             |     | Vehicle Fluid Supplies                                     | 171,000          | 170,000          | 175,000          | 5,000                      | 2.94%           |
|   | 4210                             |     | Tort Claims and Awards                                     | 16,892           | 112,500          | 112,500          | -                          | -               |
|   |                                  |     | <b>OFM Agency Services Total</b>                           | <b>703,624</b>   | <b>848,771</b>   | <b>849,541</b>   | <b>770</b>                 | <b>0.09%</b>    |
| OFM Financial Management & Accountability |                                  |     |  |                  |                  |                  |                            |                 |
|   | Financial Systems                |     |  |                  |                  |                  |                            |                 |
|   | 2526                             |     | Contractor Support Services non-Federal                    | 175,000          | -                | 175,000          | 175,000                    | -               |
|   | 2535                             |     | Government Support Services                                | 155,000          | 390,000          | 225,000          | (165,000)                  | (42.31%)        |
|   | OFM Contractual Support          |     |  |                  |                  |                  |                            |                 |
|   | 2526                             |     | Contractor Support Services non-Federal                    | 607,918          | 828,974          | 579,000          | (247,974)                  | (29.99%)        |
|   | 2535                             |     | Government Support Services                                | 176,845          | -                | -                | -                          | -               |
|   |                                  |     | <b>OFM Financial Management &amp; Accountability Total</b> | <b>1,115,643</b> | <b>1,218,974</b> | <b>979,000</b>   | <b>(237,974)</b>           | <b>(19.52%)</b> |
|   |                                  |     | <b>Office of Financial Management Total</b>                | <b>1,924,634</b> | <b>2,175,045</b> | <b>1,506,641</b> | <b>(205,404)</b>           | <b>(9.44%)</b>  |
| <b>Office of General Counsel</b>          |                                  |     |  |                  |                  |                  |                            |                 |
| OGC Administration                        |                                  |     |  |                  |                  |                  |                            |                 |
|   | OGC Legal Services               |     |  |                  |                  |                  |                            |                 |
|   | 2440                             |     | Advertising & Recruiting                                   | 2,167            | 4,689            | 1,500            | (3,199)                    | (68.08%)        |
|   | 2512                             |     | External Training  | -                | 1,500            | 4,640            | 3,140                      | 209.33%         |
|   | 2526                             |     | Contractor Support Services non-Federal                    | 68,063           | 110,397          | 73,024           | (37,373)                   | (33.85%)        |
|   | 2610                             |     | Office & Miscellaneous Supplies                            | 3,766            | 3,790            | 4,923            | 1,133                      | 29.88%          |
|   | 2630                             |     | Subscriptions and Publications                             | 16,529           | 18,830           | 17,790           | (2,040)                    | (10.29%)        |
|   |                                  |     | <b>OGC Administration Total</b>                            | <b>86,925</b>    | <b>140,216</b>   | <b>107,677</b>   | <b>(32,539)</b>            | <b>(23.24%)</b> |
|   |                                  |     | <b>Office of General Counsel Total</b>                     | <b>86,925</b>    | <b>140,216</b>   | <b>107,677</b>   | <b>(32,539)</b>            | <b>(23.24%)</b> |
| <b>Office of Human Resources</b>          |                                  |     |  |                  |                  |                  |                            |                 |
| OHR Administration                        |                                  |     |  |                  |                  |                  |                            |                 |
|   | OHR Administration               |     |  |                  |                  |                  |                            |                 |
|   | 2610                             |     | Office & Miscellaneous Supplies                            | 900              | 1,000            | 1,700            | 700                        | 70.00%          |
|   |                                  |     | <b>OHR Administration Total</b>                            | <b>900</b>       | <b>1,000</b>     | <b>1,700</b>     | <b>700</b>                 | <b>70.00%</b>   |
| OHR Operations                            |                                  |     |  |                  |                  |                  |                            |                 |
|   | OHR Operations Administration    |     |  |                  |                  |                  |                            |                 |
|   | 2512                             |     | External Training  | -                | -                | 45,800           | 45,800                     | -               |
|   | 2610                             |     | Office & Miscellaneous Supplies                            | 13,474           | 8,100            | 12,000           | 3,900                      | 48.15%          |
|   | 2630                             |     | Subscriptions and Publications                             | 164              | 3,000            | 200              | (2,800)                    | (93.33%)        |
|   | OHR Operations Services          |     |  |                  |                  |                  |                            |                 |
|   | 2526                             |     | Contractor Support Services non-Federal                    | 32,505           | 33,335           | 33,275           | (60)                       | (0.18%)         |
|   | OHR Operations Systems           |     |  |                  |                  |                  |                            |                 |
|   | 2315                             |     | Rental of IT Software                                      | 3,000            | -                | 17,220           | 17,220                     | -               |
|   | 2526                             |     | Contractor Support Services non-Federal                    | -                | 7,324            | -                | (7,324)                    | (100.00%)       |
|   | 2535                             |     | Government Support Services                                | 329,973          | 379,973          | 279,615          | (100,358)                  | (26.41%)        |
|   |                                  |     | <b>OHR Operations Total</b>                                | <b>375,946</b>   | <b>431,732</b>   | <b>385,910</b>   | <b>(45,822)</b>            | <b>(10.61%)</b> |
| OHR Recruiting and Staffing               |                                  |     |  |                  |                  |                  |                            |                 |
|   | OHR Employee Benefits & Services |     |  |                  |                  |                  |                            |                 |
|   | 2610                             |     | Office & Miscellaneous Supplies                            | 7,000            | 7,000            | 7,000            | -                          | -               |
|   | OHR Recruiting Administration    |     |  |                  |                  |                  |                            |                 |
|   | 2110                             |     | Temporary Duty (TDY) Travel                                | 55,811           | 120,000          | 208,000          | 88,000                     | 73.33%          |
|   | 2111                             |     | Temp Travel Training                                       | 2,885            | -                | 22,600           | 22,600                     | -               |
|   | 2510                             |     | Membership Fees  | 150              | -                | -                | -                          | -               |
|   | 2512                             |     | External Training  | 924              | 9,000            | 47,835           | 38,835                     | 431.50%         |
|   | 2517                             |     | Applicant Testing  | 23,772           | -                | -                | -                          | -               |
|   | 2526                             |     | Contractor Support Services non-Federal                    | 829,250          | 1,662,437        | 1,289,863        | (372,774)                  | (22.42%)        |
|   | 2535                             |     | Government Support Services                                | 299,989          | 88,412           | 92,056           | 3,646                      | 4.12%           |
|   | 2610                             |     | Office & Miscellaneous Supplies                            | 25,509           | 32,198           | 49,841           | 17,843                     | 54.80%          |
|   | 2630                             |     | Subscriptions and Publications                             | -                | 2,150            | 1,856            | (294)                      | (13.67%)        |
|   | 3110                             |     | Non-Capitalized Furniture, Equipment, and Machinery        | 5,199            | 40,000           | -                | (40,000)                   | (100.00%)       |

**United States Capitol Police  
FY 2017 General Expenses by Program, Project, and BOC**

| Bureau/<br>Program | Projects | BOC | BOC Description   | FY2015    | FY2016    | FY2017    | Change from FY2016 Enacted |           |
|--------------------|----------|-----|---|-----------|-----------|-----------|----------------------------|-----------|
|                    |          |     |   | Actuals   | Enacted   | Request   | \$                         | %         |
|                    |          |     | OHR Recruiting Assessment   |           |           |           |                            |           |
|                    |          |     | 2517 Applicant Testing  | 616,025   | 1,258,566 | 1,251,278 | (7,288)                    | (0.58%)   |
|                    |          |     | 2519 Health Services  | 10,805    | 76,577    | 8,000     | (68,577)                   | (89.55%)  |
|                    |          |     | 2526 Contractor Support Services non-Federal                          | 169,078   | -         | -         | -                          | -         |
|                    |          |     | 2535 Government Support Services                                      | 525,000   | -         | -         | -                          | -         |
|                    |          |     | 2610 Office & Miscellaneous Supplies                                  | 5,970     | -         | -         | -                          | -         |
|                    |          |     | 2633 Biohazard Supplies   | -         | 6,000     | 8,235     | 2,235                      | 37.25%    |
|                    |          |     | OHR Recruiting Systems  |           |           |           |                            |           |
|                    |          |     | 2315 Rental of IT Software  | 47,786    | 45,492    | 203,417   | 157,925                    | 347.15%   |
|                    |          |     | <b>Office of Information Systems</b>                                  |           |           |           |                            |           |
|                    |          |     | OIS Administration  |           |           |           |                            |           |
|                    |          |     | OIS Administration, Project Management & Enterprise Architecture      |           |           |           |                            |           |
|                    |          |     | 2110 Temporary Duty (TDY) Travel                                      | 1,448     | -         | -         | -                          | -         |
|                    |          |     | 2111 Temp Travel Training   | -         | -         | 96,000    | 96,000                     | -         |
|                    |          |     | 2512 External Training  | -         | -         | 185,000   | 185,000                    | -         |
|                    |          |     | 2526 Contractor Support Services non-Federal                          | 1,399,625 | 100,000   | -         | (100,000)                  | (100.00%) |
|                    |          |     | 2573 Software and Technical Support Services & Maintenance Agreements | 46,207    | -         | -         | -                          | -         |
|                    |          |     | 2610 Office & Miscellaneous Supplies                                  | 2,431     | 5,000     | 16,000    | 11,000                     | 220.00%   |
|                    |          |     | 3110 Non-Capitalized Furniture, Equipment, and Machinery              | -         | 5,000     | 16,000    | 11,000                     | 220.00%   |
|                    |          |     | <b>OIS Enterprise Applications (PROGRAMS &amp; PLANNING)</b>          |           |           |           |                            |           |
|                    |          |     | Enterprise Business Applications                                      |           |           |           |                            |           |
|                    |          |     | 2526 Contractor Support Services non-Federal                          | 387,089   | 386,162   | 380,000   | (6,162)                    | (1.60%)   |
|                    |          |     | 2573 Software and Technical Support Services & Maintenance Agreements | 498,853   | 500,200   | 522,000   | 21,800                     | 4.36%     |
|                    |          |     | 3110 Non-Capitalized Furniture, Equipment, and Machinery              | -         | 176       | -         | (176)                      | (100.00%) |
|                    |          |     | 3184 Capitalized Software   | 70,950    | -         | -         | -                          | -         |
|                    |          |     | Law Enforcement Information Systems/Tech                              |           |           |           |                            |           |
|                    |          |     | 2315 Rental of IT Software  | -         | 61,754    | 62,000    | 246                        | 0.40%     |
|                    |          |     | 2526 Contractor Support Services non-Federal                          | 164,842   | 174,056   | 242,000   | 67,944                     | 39.04%    |
|                    |          |     | 2573 Software and Technical Support Services & Maintenance Agreements | 317,058   | 400,842   | 364,000   | (36,842)                   | (9.19%)   |
|                    |          |     | 2630 Subscriptions and Publications                                   | 58,539    | -         | -         | -                          | -         |
|                    |          |     | 3110 Non-Capitalized Furniture, Equipment, and Machinery              | 80,762    | 53,000    | 53,000    | -                          | -         |
|                    |          |     | 3120 Capitalized Furniture, Equipment, and Machinery                  | 51,190    | -         | -         | -                          | -         |
|                    |          |     | Web (PoliceNet)   |           |           |           |                            |           |
|                    |          |     | 2526 Contractor Support Services non-Federal                          | 436,629   | 449,829   | 753,000   | 303,171                    | 67.40%    |
|                    |          |     | 2573 Software and Technical Support Services & Maintenance Agreements | 920       | 1,869     | 2,000     | 101                        | 5.32%     |
|                    |          |     | <b>OIS Information Security</b>                                       |           |           |           |                            |           |
|                    |          |     | OIS Information Assurance / Privacy/Network Defense                   |           |           |           |                            |           |
|                    |          |     | 2111 Temp Travel Training   | 6,071     | 15,000    | -         | (15,000)                   | (100.00%) |
|                    |          |     | 2512 External Training  | 13,555    | 20,000    | -         | (20,000)                   | (100.00%) |
|                    |          |     | 2526 Contractor Support Services non-Federal                          | 719,671   | 736,274   | 789,000   | 52,726                     | 7.16%     |
|                    |          |     | 2573 Software and Technical Support Services & Maintenance Agreements | 234,755   | 358,852   | 367,000   | 8,148                      | 2.27%     |
|                    |          |     | 3110 Non-Capitalized Furniture, Equipment, and Machinery              | 169,552   | 181,735   | 250,000   | 68,265                     | 37.56%    |
|                    |          |     | 3120 Capitalized Furniture, Equipment, and Machinery                  | 28,013    | -         | -         | -                          | -         |
|                    |          |     | 3184 Capitalized Software   | 50,393    | -         | -         | -                          | -         |
|                    |          |     | 3194 Non-Capitalized Software   | 94,164    | -         | -         | -                          | -         |
|                    |          |     | <b>OIS Information Security Modernization</b>                         |           |           |           |                            |           |
|                    |          |     | <b>OIS Network Communications</b>                                     |           |           |           |                            |           |
|                    |          |     | Data Networks   |           |           |           |                            |           |
|                    |          |     | 2334 Local Telecommunications   | 253,800   | 349,304   | 264,000   | (85,304)                   | (24.42%)  |
|                    |          |     | 2526 Contractor Support Services non-Federal                          | 1,291,859 | 1,297,863 | 1,300,000 | 2,137                      | 0.16%     |
|                    |          |     | 2573 Software and Technical Support Services & Maintenance Agreements | 192,700   | 394,041   | 260,000   | (134,041)                  | (34.02%)  |
|                    |          |     | 3110 Non-Capitalized Furniture, Equipment, and Machinery              | 136,512   | -         | 85,000    | 85,000                     | -         |
|                    |          |     | 3120 Capitalized Furniture, Equipment, and Machinery                  | -         | 153,172   | 100,000   | (53,172)                   | (34.71%)  |
|                    |          |     | Radio Communications  |           |           |           |                            |           |
|                    |          |     | 2110 Temporary Duty (TDY) Travel                                      | 2,959     | 13,000    | 17,000    | 4,000                      | 30.77%    |
|                    |          |     | 2334 Local Telecommunications   | 865,871   | 890,159   | 908,000   | 17,841                     | 2.00%     |
|                    |          |     | 2335 Rental of Telecommunications Equipment                           | 42,887    | 47,127    | 55,000    | 7,873                      | 16.71%    |
|                    |          |     | 2526 Contractor Support Services non-Federal                          | 904,119   | 918,621   | 961,000   | 42,379                     | 4.61%     |
|                    |          |     | 2573 Software and Technical Support Services & Maintenance Agreements | 1,210,930 | 1,250,165 | 1,292,000 | 41,835                     | 3.35%     |
|                    |          |     | 3110 Non-Capitalized Furniture, Equipment, and Machinery              | 483,939   | 1,077,608 | 946,000   | (131,608)                  | (12.21%)  |
|                    |          |     | 3120 Capitalized Furniture, Equipment, and Machinery                  | 126,303   | -         | -         | -                          | -         |
|                    |          |     | 3194 Non-Capitalized Software   | 11,806    | -         | -         | -                          | -         |
|                    |          |     | Secure Communications   |           |           |           |                            |           |
|                    |          |     | 2110 Temporary Duty (TDY) Travel                                      | -         | 3,000     | 10,000    | 7,000                      | 233.33%   |
|                    |          |     | 3110 Non-Capitalized Furniture, Equipment, and Machinery              | -         | 264,800   | 340,000   | 75,200                     | 28.40%    |
|                    |          |     | 3120 Capitalized Furniture, Equipment, and Machinery                  | -         | -         | 325,000   | 325,000                    | -         |

**United States Capitol Police  
FY 2017 General Expenses by Program, Project, and BOC**

| Bureau/<br>Program | Projects  | BOC | BOC Description   | FY2015            | FY2016            | FY2017           | Change from FY2016 Enacted |   |
|--------------------|---|-----|-------------------|-------------------|-------------------|------------------|----------------------------|---|
|                    |   |     |                   | Actuals           | Enacted           | Request          | \$                         | % |
|                    |   |     |                   | \$                | \$                | \$               | \$                         | % |
|                    | Telephony/UTC   |     |                   |                   |                   |                  |                            |   |
|                    | 2334 Local Telecommunications   |     | 298,219           | 199,500           | 260,000           | 60,500           | 30.33%                     |   |
|                    | 2526 Contractor Support Services non-Federal                          |     | 174,988           | 67,656            | 215,000           | 147,344          | 217.78%                    |   |
|                    | 3110 Non-Capitalized Furniture, Equipment, and Machinery              |     | 353,056           | 312,200           | 355,000           | 42,800           | 13.71%                     |   |
|                    | Wireless/BB Comms   |     |                   |                   |                   |                  |                            |   |
|                    | 2334 Local Telecommunications   |     | 1,054,739         | 1,037,557         | 1,610,000         | 572,443          | 55.17%                     |   |
|                    | 2526 Contractor Support Services non-Federal                          |     | 403,938           | 407,175           | 644,000           | 236,825          | 58.16%                     |   |
|                    | 2573 Software and Technical Support Services & Maintenance Agreements |     | 75,522            | 162,648           | 290,000           | 127,352          | 78.30%                     |   |
|                    | 3110 Non-Capitalized Furniture, Equipment, and Machinery              |     | 136,816           | 151,419           | 379,952           | 228,533          | 150.93%                    |   |
|                    | 3194 Non-Capitalized Software   |     | 18,500            | 60,000            | -                 | (60,000)         | (100.00%)                  |   |
|                    | Wiring & Fiber Plant  |     |                   |                   |                   |                  |                            |   |
|                    | 2526 Contractor Support Services non-Federal                          |     | 1,367,427         | 1,391,088         | 1,469,000         | 77,912           | 5.60%                      |   |
|                    | 2573 Software and Technical Support Services & Maintenance Agreements |     | 50,000            | 53,000            | 50,000            | (3,000)          | (5.66%)                    |   |
|                    | 3110 Non-Capitalized Furniture, Equipment, and Machinery              |     | 600,767           | 600,000           | 850,000           | 250,000          | 41.67%                     |   |
|                    | <b>OIS Network Communications Total</b>                               |     | <b>10,067,656</b> | <b>11,141,303</b> | <b>12,685,662</b> | <b>1,544,359</b> | <b>16.98%</b>              |   |
|                    | OIS Operations  |     |                   |                   |                   |                  |                            |   |
|                    | Customer Support  |     |                   |                   |                   |                  |                            |   |
|                    | 2526 Contractor Support Services non-Federal                          |     | 1,136,984         | 1,092,272         | 1,110,000         | 17,728           | 1.62%                      |   |
|                    | 2573 Software and Technical Support Services & Maintenance Agreements |     | 4,994             | 5,298             | 6,000             | 702              | 13.25%                     |   |
|                    | Database/Storage  |     |                   |                   |                   |                  |                            |   |
|                    | 2573 Software and Technical Support Services & Maintenance Agreements |     | 278,962           | 281,000           | 315,000           | 34,000           | 12.10%                     |   |
|                    | 3110 Non-Capitalized Furniture, Equipment, and Machinery              |     | 34,237            | -                 | -                 | -                | -                          |   |
|                    | 3120 Capitalized Furniture, Equipment, and Machinery                  |     | 160,574           | 214,000           | 250,000           | 36,000           | 16.82%                     |   |
|                    | E-Mail, Operating Systems & Office Productivity Software              |     |                   |                   |                   |                  |                            |   |
|                    | 2573 Software and Technical Support Services & Maintenance Agreements |     | 380,968           | 384,788           | 397,000           | 12,212           | 3.17%                      |   |
|                    | 3110 Non-Capitalized Furniture, Equipment, and Machinery              |     | 3,565             | 74,586            | -                 | (74,586)         | (100.00%)                  |   |
|                    | 3184 Capitalized Software   |     | -                 | -                 | 32,600            | 32,000           | -                          |   |
|                    | 3194 Non-Capitalized Software   |     | 34,065            | -                 | -                 | -                | -                          |   |
|                    | OIS IT Hardware Support & Administration (Server/PC/Laptop/etc.)      |     |                   |                   |                   |                  |                            |   |
|                    | 2310 Rental of Equipment  |     | -                 | 7,040             | -                 | (7,040)          | (100.00%)                  |   |
|                    | 2526 Contractor Support Services non-Federal                          |     | 786,492           | 818,226           | 839,000           | 20,774           | 2.54%                      |   |
|                    | 2573 Software and Technical Support Services & Maintenance Agreements |     | 205,044           | 225,202           | 202,000           | (23,202)         | (10.30%)                   |   |
|                    | 3110 Non-Capitalized Furniture, Equipment, and Machinery              |     | 38,451            | 476,327           | 761,000           | 284,673          | 59.76%                     |   |
|                    | 3120 Capitalized Furniture, Equipment, and Machinery                  |     | 287,139           | -                 | -                 | -                | -                          |   |
|                    | OIS Project Management Office & Enterprise Architecture               |     |                   |                   |                   |                  |                            |   |
|                    | 2526 Contractor Support Services non-Federal                          |     | -                 | 1,437,357         | 1,457,330         | 19,973           | 1.39%                      |   |
|                    | 2573 Software and Technical Support Services & Maintenance Agreements |     | -                 | 45,812            | 47,670            | 1,858            | 4.06%                      |   |
|                    | 3194 Non-Capitalized Software   |     | -                 | 27,136            | -                 | (27,136)         | (100.00%)                  |   |
|                    | <b>OIS Operations Total</b>   |     | <b>3,851,474</b>  | <b>5,196,544</b>  | <b>5,447,000</b>  | <b>250,456</b>   | <b>4.84%</b>               |   |
|                    | <b>Office of Information Systems Total</b>                            |     | <b>18,426,486</b> | <b>19,639,926</b> | <b>22,480,662</b> | <b>2,840,736</b> | <b>14.46%</b>              |   |
|                    | Office of Inspector General   |     |                   |                   |                   |                  |                            |   |
|                    | OIG Administration  |     |                   |                   |                   |                  |                            |   |
|                    | OIG Administration  |     |                   |                   |                   |                  |                            |   |
|                    | 2110 Temporary Duty (TDY) Travel                                      |     | -                 | 8,000             | 6,000             | (2,000)          | (25.00%)                   |   |
|                    | 2111 Temp Travel Training   |     | 3,408             | -                 | -                 | -                | -                          |   |
|                    | 2410 Printing and Binding   |     | -                 | 10,000            | 500               | (9,500)          | (95.00%)                   |   |
|                    | 2512 External Training  |     | 22,893            | 33,000            | 33,000            | -                | -                          |   |
|                    | 2526 Contractor Support Services non-Federal                          |     | 705,740           | 701,000           | 746,000           | 45,000           | 6.42%                      |   |
|                    | 2610 Office & Miscellaneous Supplies                                  |     | 2,316             | 10,000            | 7,600             | (3,000)          | (30.00%)                   |   |
|                    | 2630 Subscriptions and Publications                                   |     | 82                | -                 | -                 | -                | -                          |   |
|                    | <b>OIG Administration Total</b>                                       |     | <b>7,430</b>      | <b>72,000</b>     | <b>72,600</b>     | <b>600</b>       | <b>0.80%</b>               |   |
|                    | <b>Office of Inspector General Total</b>                              |     | <b>7,430</b>      | <b>72,000</b>     | <b>72,600</b>     | <b>600</b>       | <b>0.80%</b>               |   |
|                    | Office of Policy & Management Systems                                 |     |                   |                   |                   |                  |                            |   |
|                    | Administration OPOL   |     |                   |                   |                   |                  |                            |   |
|                    | OPOL Administration   |     |                   |                   |                   |                  |                            |   |
|                    | 2110 Temporary Duty (TDY) Travel                                      |     | 1,677             | -                 | 4,400             | 4,400            | -                          |   |
|                    | 2112 Local Travel   |     | -                 | -                 | 400               | 400              | -                          |   |
|                    | 2510 Membership Fees  |     | 8,020             | 8,060             | 9,270             | 1,210            | 15.01%                     |   |
|                    | 2512 External Training  |     | 690               | 6,300             | 6,950             | 650              | 10.32%                     |   |
|                    | 2535 Government Support Services                                      |     | -                 | 1,500             | 1,000             | (600)            | (33.33%)                   |   |
|                    | 2610 Office & Miscellaneous Supplies                                  |     | 1,206             | 3,773             | 6,000             | 2,227            | 59.02%                     |   |
|                    | 2630 Subscriptions and Publications                                   |     | -                 | 1,860             | -                 | (1,860)          | (100.00%)                  |   |
|                    | 3110 Non-Capitalized Furniture, Equipment, and Machinery              |     | -                 | 400               | 1,600             | 1,200            | 300.00%                    |   |
|                    | <b>Administration OPOL Total</b>                                      |     | <b>11,593</b>     | <b>20,993</b>     | <b>23,220</b>     | <b>2,227</b>     | <b>10.61%</b>              |   |
|                    | <b>Office of Policy &amp; Management Systems Total</b>                |     | <b>11,593</b>     | <b>20,993</b>     | <b>23,220</b>     | <b>2,227</b>     | <b>10.61%</b>              |   |

United States Capitol Police  
 FY 2017 General Expenses by Program, Project, and BOC

| Bureau/<br>Program                           | Projects | BOC | BOC Description                                     | FY2015<br>Actuals | FY2016<br>Enacted | FY2017<br>Request | Change from FY2016 Enacted |                |
|--|----------|-----|---|-------------------|-------------------|-------------------|----------------------------|----------------|
|  |          |     |   | \$                | \$                | \$                | \$                         | %              |
| <b>Office of Professional Responsibility</b> |          |     |   |                   |                   |                   |                            |                |
| OPR Administration                           |          |     |   |                   |                   |                   |                            |                |
| OPR Administration                           |          |     |   |                   |                   |                   |                            |                |
|  | 2110     |     | Temporary Duty (TDY) Travel                         | 2,711             | -                 | -                 | -                          | -              |
|  | 2111     |     | Temp Travel Training                                | -                 | 16,542            | 28,213            | 11,671                     | 70.56%         |
|  | 2512     |     | External Training                                   | -                 | 10,000            | 13,452            | 3,452                      | 34.52%         |
|  | 2526     |     | Contractor Support Services non-Federal             | 1,147             | 5,568             | 3,000             | (2,568)                    | (46.12%)       |
|  | 2610     |     | Office & Miscellaneous Supplies                     | 4,670             | 5,400             | 6,000             | 600                        | 11.11%         |
|  | 3110     |     | Non-Capitalized Furniture, Equipment, and Machinery | -                 | 2,876             | -                 | (2,876)                    | (100.00%)      |
|  |          |     | <b>OPR Administration Total</b>                     | <b>8,528</b>      | <b>40,386</b>     | <b>50,665</b>     | <b>10,279</b>              | <b>25.45%</b>  |
| <b>Operational Services Bureau</b>           |          |     |   |                   |                   |                   |                            |                |
| OSB Administration                           |          |     |   |                   |                   |                   |                            |                |
| OSB Administration                           |          |     |   |                   |                   |                   |                            |                |
|  | 2512     |     | External Training                                   | 695               | 695               | 845               | 150                        | 21.59%         |
|  | 2610     |     | Office & Miscellaneous Supplies                     | 474               | 419               | 1,300             | 881                        | 210.26%        |
|  | 2699     |     | Credit Card Disputes                                | (55)              | -                 | -                 | -                          | -              |
|  | 3110     |     | Non-Capitalized Furniture, Equipment, and Machinery | -                 | 100,000           | -                 | (100,000)                  | (100.00%)      |
|  |          |     | <b>OSB Administration Total</b>                     | <b>1,114</b>      | <b>101,114</b>    | <b>1,145</b>      | <b>(68)</b>                | <b>(0.72%)</b> |
| OSB Hazardous Incident Response              |          |     |   |                   |                   |                   |                            |                |
| OSB Hazardous Devices                        |          |     |   |                   |                   |                   |                            |                |
|  | 2111     |     | Temp Travel Training                                | 42,786            | 59,412            | 62,190            | 2,778                      | 4.68%          |
|  | 2512     |     | External Training                                   | 18,959            | 15,000            | 141,983           | 126,983                    | 846.55%        |
|  | 2540     |     | Miscellaneous Merchant & Vendor Services            | 909               | 8,599             | 696               | (7,903)                    | (91.91%)       |
|  | 2610     |     | Office & Miscellaneous Supplies                     | 21,755            | 35,323            | 34,035            | (1,288)                    | (3.65%)        |
|  | 2615     |     | Provisions  | 295               | -                 | 672               | 672                        | -              |
|  | 2634     |     | Controlled Explosives & Ammunition                  | 1,226             | 9,000             | 5,500             | (3,500)                    | (38.89%)       |
|  | 3110     |     | Non-Capitalized Furniture, Equipment, and Machinery | 30,280            | -                 | -                 | -                          | -              |
|  | 3120     |     | Capitalized Furniture, Equipment, and Machinery     | -                 | -                 | 1,264,250         | 1,264,250                  | -              |
| OSB Hazardous Materials                      |          |     |   |                   |                   |                   |                            |                |
|  | 2111     |     | Temp Travel Training                                | 5,800             | 8,000             | 17,500            | 9,500                      | 118.75%        |
|  | 2510     |     | Membership Fees                                     | -                 | -                 | 500               | 500                        | -              |
|  | 2512     |     | External Training                                   | 17,141            | 29,950            | 43,550            | 13,600                     | 45.41%         |
|  | 2540     |     | Miscellaneous Merchant & Vendor Services            | 46,846            | 91,955            | 89,300            | (2,655)                    | (2.89%)        |
|  | 2610     |     | Office & Miscellaneous Supplies                     | 36,919            | 70,800            | 25,000            | (45,800)                   | (64.69%)       |
|  | 2615     |     | Provisions  | 494               | -                 | 672               | 672                        | -              |
|  | 2620     |     | System Supplies and Materials                       | 2,185             | -                 | 10,000            | 10,000                     | -              |
|  | 2633     |     | Biohazard Supplies                                  | 14,864            | 37,000            | 32,300            | (4,700)                    | (12.70%)       |
|  | 2699     |     | Credit Card Disputes                                | 1,435             | -                 | -                 | -                          | -              |
|  | 3110     |     | Non-Capitalized Furniture, Equipment, and Machinery | 120,128           | 45,737            | 64,500            | 18,763                     | 41.02%         |
|  | 3120     |     | Capitalized Furniture, Equipment, and Machinery     | -                 | 47,000            | 100,000           | 53,000                     | 112.77%        |
|  |          |     | <b>OSB Hazardous Materials Total</b>                | <b>368,022</b>    | <b>467,776</b>    | <b>1,292,844</b>  | <b>1,434,772</b>           | <b>313.24%</b> |
| OSB Patrol Mobile Response                   |          |     |   |                   |                   |                   |                            |                |
| OSB CERT                                     |          |     |   |                   |                   |                   |                            |                |
|  | 2111     |     | Temp Travel Training                                | 7,429             | 10,736            | 48,755            | 38,019                     | 354.13%        |
|  | 2510     |     | Membership Fees                                     | 1,150             | 1,500             | 1,400             | (100)                      | (6.67%)        |
|  | 2512     |     | External Training                                   | 24,018            | 36,192            | 111,977           | 75,785                     | 209.40%        |
|  | 2610     |     | Office & Miscellaneous Supplies                     | 9,403             | 17,200            | 48,042            | 30,842                     | 179.31%        |
|  | 2630     |     | Subscriptions and Publications                      | -                 | -                 | 40                | 40                         | -              |
|  | 2699     |     | Credit Card Disputes                                | 163               | -                 | -                 | -                          | -              |
|  | 3110     |     | Non-Capitalized Furniture, Equipment, and Machinery | 46,240            | 32,980            | 58,470            | 25,490                     | 77.29%         |
|  | 3180     |     | Weapons and Replacement Parts                       | 2,416             | -                 | -                 | -                          | -              |
| OSB K-9 Unit                                 |          |     |   |                   |                   |                   |                            |                |
|  | 2110     |     | Temporary Duty (TDY) Travel                         | -                 | -                 | 550               | 550                        | -              |
|  | 2111     |     | Temp Travel Training                                | 165               | 1,644             | -                 | (1,644)                    | (100.00%)      |
|  | 2510     |     | Membership Fees                                     | -                 | 300               | 3,750             | 3,450                      | 1,150.00%      |
|  | 2512     |     | External Training                                   | -                 | -                 | 2,800             | 2,800                      | -              |
|  | 2526     |     | Contractor Support Services non-Federal             | 723               | 980               | 697               | (283)                      | (27.40%)       |
|  | 2527     |     | Veterinary Services                                 | 34,888            | 39,960            | 35,000            | (4,960)                    | (12.41%)       |
|  | 2610     |     | Office & Miscellaneous Supplies                     | 827               | -                 | 1,000             | 1,000                      | -              |
|  | 2632     |     | K-9 Supplies  | 24,430            | 34,402            | 40,000            | 5,598                      | 16.27%         |
|  | 2634     |     | Controlled Explosives & Ammunition                  | 290               | 800               | 500               | (300)                      | (37.50%)       |
|  | 3110     |     | Non-Capitalized Furniture, Equipment, and Machinery | 33,810            | 64,700            | 25,500            | (39,200)                   | (60.59%)       |
| OSB Offsite Delivery                         |          |     |   |                   |                   |                   |                            |                |
|  | 2540     |     | Miscellaneous Merchant & Vendor Services            | 4,523             | 7,056             | 8,197             | 1,141                      | 16.17%         |
|  | 2610     |     | Office & Miscellaneous Supplies                     | 9,657             | 10,691            | 9,000             | (1,691)                    | (15.82%)       |
|  | 3110     |     | Non-Capitalized Furniture, Equipment, and Machinery | 724               | 2,337             | 1,380             | (1,037)                    | (44.37%)       |

**United States Capitol Police  
FY 2017 General Expenses by Program, Project, and BOC**

| Bureau/<br>Program                        | Projects | BOC | BOC Description                                     | FY2015           | FY2016            | FY2017            | Change from FY2016 Enacted |                 |
|---|----------|-----|---|------------------|-------------------|-------------------|----------------------------|-----------------|
|   |          |     |   | Actuals          | Enacted           | Request           | \$                         | %               |
|   |          |     |   | \$               | \$                | \$                | \$                         | %               |
| <b>OSB Patrol Mobile Response</b>         |          |     |   |                  |                   |                   |                            |                 |
|   | 2111     |     | Temp Travel Training                                | 10,295           | 9,850             | 7,215             | (2,435)                    | (25.23%)        |
|   | 2512     |     | External Training                                   | 9,670            | 4,300             | 19,297            | 14,997                     | 348.77%         |
|   | 2535     |     | Government Support Services                         | 4,500            | -                 | 15,500            | 15,500                     | -               |
|   | 2540     |     | Miscellaneous Merchant & Vendor Services            | 137              | 7,115             | -                 | (7,115)                    | (100.00%)       |
|   | 2610     |     | Office & Miscellaneous Supplies                     | 14,782           | 13,730            | 17,540            | 3,810                      | 27.75%          |
|   | 2634     |     | Controlled Explosives & Ammunition                  | 1,906            | 1,330             | 3,000             | 1,670                      | 125.56%         |
|   | 3110     |     | Non-Capitalized Furniture, Equipment, and Machinery | -                | 1,500             | 1,600             | 300                        | 20.00%          |
|   | 3194     |     | Non-Capitalized Software                            | 899              | 1,000             | 1,000             | -                          | -               |
| <b>OSB Patrol Mobile Response Total</b>   |          |     |   | <b>243,043</b>   | <b>300,083</b>    | <b>482,330</b>    | <b>182,247</b>             | <b>60.73%</b>   |
| <b>Operational Services Bureau Total</b>  |          |     |   | <b>606,180</b>   | <b>556,973</b>    | <b>2,357,123</b>  | <b>1,800,150</b>           | <b>323.41%</b>  |
| <b>Protective Services Bureau</b>         |          |     |   |                  |                   |                   |                            |                 |
| <b>PSB Administration</b>                 |          |     |   |                  |                   |                   |                            |                 |
| <b>PSB Administration</b>                 |          |     |   |                  |                   |                   |                            |                 |
|   | 2334     |     | Local Telecommunications                            | 1,729            | 1,178             | 1,226             | 48                         | 4.07%           |
|   | 2526     |     | Contractor Support Services non-Federal             | 100,000          | 150,000           | 52,280            | (97,720)                   | (65.15%)        |
|   | 2610     |     | Office & Miscellaneous Supplies                     | 20,560           | 22,500            | 23,480            | 980                        | 4.36%           |
|   | 2699     |     | Credit Card Disputes                                | 1,489            | -                 | -                 | -                          | -               |
| <b>PSB Administration Total</b>           |          |     |   | <b>123,778</b>   | <b>173,678</b>    | <b>75,986</b>     | <b>(96,692)</b>            | <b>(55.67%)</b> |
| <b>PSB Protective Detail Travel</b>       |          |     |   |                  |                   |                   |                            |                 |
| <b>PSB Protective Detail Travel</b>       |          |     |   |                  |                   |                   |                            |                 |
|   | 2115     |     | Protective Detail TDY Travel                        | 8,148,099        | 9,533,317         | 9,416,272         | (117,045)                  | (1.23%)         |
|   | 2120     |     | Vehicle Rental                                      | 6,182            | -                 | -                 | -                          | -               |
|   | 2125     |     | Charter Flights                                     | 448,853          | 29,790            | 349,440           | 319,650                    | 1,073.01%       |
|   | 2322     |     | Rentals - Miscellaneous                             | 9,540            | 9,540             | 10,546            | 1,006                      | 10.54%          |
| <b>PSB Protective Detail Travel Total</b> |          |     |   | <b>8,612,674</b> | <b>9,572,647</b>  | <b>9,775,258</b>  | <b>203,611</b>             | <b>2.13%</b>    |
| <b>PSB Protective Services</b>            |          |     |   |                  |                   |                   |                            |                 |
| <b>PSB Convention Support</b>             |          |     |   |                  |                   |                   |                            |                 |
|   | 2110     |     | Temporary Duty (TDY) Travel                         | -                | 2,251,906         | -                 | (2,251,906)                | (100.00%)       |
|   | 2322     |     | Rentals - Miscellaneous                             | -                | 260,908           | -                 | (260,908)                  | (100.00%)       |
|   | 2335     |     | Rentals of Telecommunications Equipment             | -                | 118,614           | -                 | (118,614)                  | (100.00%)       |
|   | 2610     |     | Office & Miscellaneous Supplies                     | -                | 75,060            | -                 | (75,060)                   | (100.00%)       |
|   | 2690     |     | Small Purchases                                     | -                | 2,114             | -                 | (2,114)                    | (100.00%)       |
| <b>PSB Dignitary Services</b>             |          |     |   |                  |                   |                   |                            |                 |
|   | 2111     |     | Temp Travel Training                                | 15,825           | 56,500            | 36,564            | (19,916)                   | (35.25%)        |
|   | 2512     |     | External Training                                   | -                | -                 | 80,440            | 80,440                     | -               |
| <b>PSB Protective Intelligence</b>        |          |     |   |                  |                   |                   |                            |                 |
|   | 2110     |     | Temporary Duty (TDY) Travel                         | -                | 45,000            | 66,924            | 21,924                     | 48.72%          |
|   | 2111     |     | Temp Travel Training                                | 9,066            | -                 | 26,600            | 26,600                     | -               |
|   | 2510     |     | Membership Fees                                     | -                | -                 | 421               | 421                        | -               |
|   | 2512     |     | External Training                                   | 620              | -                 | 22,825            | 22,825                     | -               |
|   | 2526     |     | Contractor Support Services non-Federal             | 70,663           | -                 | 85,268            | 85,268                     | -               |
|   | 2535     |     | Government Support Services                         | -                | 77,600            | -                 | (77,600)                   | (100.00%)       |
|   | 2540     |     | Miscellaneous Merchant & Vendor Services            | 424              | -                 | 2,673             | 2,673                      | -               |
|   | 2690     |     | Small Purchases                                     | -                | 1,500             | 2,000             | 500                        | 33.33%          |
|   | 3110     |     | Non-Capitalized Furniture, Equipment, and Machinery | 33,105           | 28,800            | 20,206            | (8,594)                    | (29.84%)        |
| <b>PSB Protective Services Total</b>      |          |     |   | <b>129,703</b>   | <b>2,916,802</b>  | <b>3,142,440</b>  | <b>225,638</b>             | <b>7.73%</b>    |
| <b>Protective Services Bureau Total</b>   |          |     |   | <b>8,866,165</b> | <b>12,664,327</b> | <b>13,173,122</b> | <b>508,795</b>             | <b>4.02%</b>    |
| <b>Security Services Bureau</b>           |          |     |   |                  |                   |                   |                            |                 |
| <b>SSB Access Control</b>                 |          |     |   |                  |                   |                   |                            |                 |
| <b>SSB Alternate Computer Facility</b>    |          |     |   |                  |                   |                   |                            |                 |
|   | 2528     |     | Contractor Support Services non-Federal             | 907,654          | 688,265           | 683,470           | (15,205)                   | (1.75%)         |
|   | 3120     |     | Capitalized Furniture, Equipment, and Machinery     | -                | -                 | 1,600,000         | 1,600,000                  | -               |
| <b>SSB Barriers</b>                       |          |     |   |                  |                   |                   |                            |                 |
|   | 2526     |     | Contractor Support Services non-Federal             | 907,594          | 907,594           | 689,399           | (18,195)                   | (2.00%)         |
|   | 2620     |     | System Supplies and Materials                       | 66,400           | 66,400            | 67,330            | 930                        | 1.40%           |
| <b>SSB Card Access</b>                    |          |     |   |                  |                   |                   |                            |                 |
|   | 2526     |     | Contractor Support Services non-Federal             | 213,947          | 247,590           | 181,881           | (65,729)                   | (26.55%)        |
|   | 2620     |     | System Supplies and Materials                       | 34,843           | 35,000            | 45,830            | 10,830                     | 30.37%          |
|   | 3110     |     | Non-Capitalized Furniture, Equipment, and Machinery | 216,107          | 216,107           | 425,031           | 208,924                    | 96.68%          |
|   | 3194     |     | Non-Capitalized Software                            | -                | -                 | 8,589             | 8,589                      | -               |
| <b>SSB Command Center</b>                 |          |     |   |                  |                   |                   |                            |                 |
|   | 2526     |     | Contractor Support Services non-Federal             | 3,151            | 2,600             | 16,197            | 13,597                     | 522.96%         |
|   | 2610     |     | Office & Miscellaneous Supplies                     | 29,365           | -                 | -                 | -                          | -               |
|   | 2620     |     | System Supplies and Materials                       | -                | 30,300            | 10,167            | (20,133)                   | (66.45%)        |
|   | 3110     |     | Non-Capitalized Furniture, Equipment, and Machinery | 40,500           | 40,500            | 150,609           | 110,109                    | 271.87%         |
| <b>SSB Fire Doors</b>                     |          |     |   |                  |                   |                   |                            |                 |
|   | 2528     |     | Contractor Support Services non-Federal             | 4,449            | 5,000             | 10,140            | 5,140                      | 102.80%         |
|   | 2620     |     | System Supplies and Materials                       | 35,459           | 35,829            | 21,121            | (14,708)                   | (41.05%)        |
|   | 3110     |     | Non-Capitalized Furniture, Equipment, and Machinery | 10,521           | 10,521            | 180,946           | 170,424                    | 1,619.85%       |

**United States Capitol Police**  
**FY 2017 General Expenses by Program, Project, and BOC**

| Bureau/<br>Program                               | Projects | BOC | BOC Description                                     | FY2015           | FY2016           | FY2017           | Change from FY2016 Enacted |                |
|--|----------|-----|---|------------------|------------------|------------------|----------------------------|----------------|
|  |          |     |   | Actuals          | Enacted          | Request          | \$                         | %              |
|  |          |     |   | \$               | \$               | \$               | \$                         | %              |
| <b>SSB Podiums</b>                               |          |     |   |                  |                  |                  |                            |                |
|  | 2526     |     | Contractor Support Services non-Federal             | 17,000           | 17,000           | 11,572           | (5,428)                    | (31.93%)       |
|  | 2610     |     | Office & Miscellaneous Supplies                     | 24,870           | 24,880           | 15,088           | (9,792)                    | (39.36%)       |
|  | 3110     |     | Non-Capitalized Furniture, Equipment, and Machinery | 36,590           | 68,900           | 125,457          | 56,557                     | 82.09%         |
|  | 3194     |     | Non-Capitalized Software                            | 32,310           | -                | -                | -                          | -              |
| <b>SSB Access Control Total</b>                  |          |     |   | <b>2,990,760</b> | <b>2,576,488</b> | <b>4,842,606</b> | <b>2,066,120</b>           | <b>80.19%</b>  |
| <b>SSB Administration</b>                        |          |     |   |                  |                  |                  |                            |                |
| <b>SSB Administration</b>                        |          |     |   |                  |                  |                  |                            |                |
|  | 2110     |     | Temporary Duty (TDY) Travel                         | 6,468            | 5,400            | 10,951           | 5,551                      | 102.80%        |
|  | 2111     |     | Temp Travel Training                                | 1,131            | 11,999           | 35,340           | 23,341                     | 194.52%        |
|  | 2512     |     | External Training                                   | 56,534           | 72,205           | 336,024          | 262,819                    | 363.99%        |
|  | 2526     |     | Contractor Support Services non-Federal             | 35,049           | 1,562            | -                | (1,562)                    | (100.00%)      |
|  | 2610     |     | Office & Miscellaneous Supplies                     | 29,280           | 31,400           | 31,840           | 440                        | 1.40%          |
|  | 2630     |     | Subscriptions and Publications                      | 2,093            | -                | -                | -                          | -              |
|  | 3110     |     | Non-Capitalized Furniture, Equipment, and Machinery | 15,357           | 28,000           | 28,392           | 392                        | 1.40%          |
|  | 3194     |     | Non-Capitalized Software                            | 12,495           | -                | -                | -                          | -              |
| <b>SSB Security Survey/Tech. Countermasures</b>  |          |     |   |                  |                  |                  |                            |                |
|  | 2110     |     | Temporary Duty (TDY) Travel                         | 32,746           | 41,999           | 30,420           | (11,579)                   | (27.57%)       |
| <b>SSB Access Control Total</b>                  |          |     |   | <b>491,162</b>   | <b>192,288</b>   | <b>471,967</b>   | <b>279,682</b>             | <b>145.09%</b> |
| <b>SSB Detection and Screening Systems</b>       |          |     |   |                  |                  |                  |                            |                |
| <b>SSB CCTV</b>                                  |          |     |   |                  |                  |                  |                            |                |
|  | 2526     |     | Contractor Support Services non-Federal             | 325,000          | 352,390          | 272,211          | (80,179)                   | (22.75%)       |
|  | 2620     |     | System Supplies and Materials                       | 34,702           | 35,501           | 25,868           | (9,633)                    | (27.18%)       |
|  | 3110     |     | Non-Capitalized Furniture, Equipment, and Machinery | 809,552          | 810,477          | 694,166          | (116,311)                  | (14.35%)       |
|  | 3194     |     | Non-Capitalized Software                            | 704              | -                | -                | -                          | -              |
| <b>SSB Duress</b>                                |          |     |   |                  |                  |                  |                            |                |
|  | 2526     |     | Contractor Support Services non-Federal             | 76,768           | 89,712           | 70,240           | (19,472)                   | (21.71%)       |
|  | 2610     |     | Office & Miscellaneous Supplies                     | 4,826            | -                | -                | -                          | -              |
|  | 2620     |     | System Supplies and Materials                       | 14,508           | 19,391           | 14,592           | (4,799)                    | (24.75%)       |
|  | 3110     |     | Non-Capitalized Furniture, Equipment, and Machinery | 574,127          | 574,127          | 469,052          | (105,075)                  | (18.30%)       |
| <b>SSB Emergency Call Boxes</b>                  |          |     |   |                  |                  |                  |                            |                |
|  | 2620     |     | System Supplies and Materials                       | 17,929           | 18,000           | 18,252           | 252                        | 1.40%          |
|  | 3110     |     | Non-Capitalized Furniture, Equipment, and Machinery | 25,001           | 25,001           | 25,351           | 350                        | 1.40%          |
| <b>SSB Explosive Detectors</b>                   |          |     |   |                  |                  |                  |                            |                |
|  | 2526     |     | Contractor Support Services non-Federal             | 20,000           | 20,000           | 20,280           | 280                        | 1.40%          |
|  | 2620     |     | System Supplies and Materials                       | 99,987           | 100,000          | 162,240          | 62,240                     | 62.24%         |
|  | 3110     |     | Non-Capitalized Furniture, Equipment, and Machinery | 70,265           | -                | -                | -                          | -              |
|  | 3120     |     | Capitalized Furniture, Equipment, and Machinery     | 466,735          | 612,000          | 846,676          | 234,676                    | 38.35%         |
|  | 3194     |     | Non-Capitalized Software                            | 75,000           | -                | -                | -                          | -              |
| <b>SSB Intrusion Alarm</b>                       |          |     |   |                  |                  |                  |                            |                |
|  | 2526     |     | Contractor Support Services non-Federal             | 15,445           | 15,500           | 15,717           | 217                        | 1.40%          |
|  | 2620     |     | System Supplies and Materials                       | 25,951           | 26,100           | 16,325           | (9,775)                    | (37.45%)       |
|  | 3110     |     | Non-Capitalized Furniture, Equipment, and Machinery | 25,001           | 25,001           | 57,142           | 32,141                     | 128.56%        |
| <b>SSB Metal Detectors</b>                       |          |     |   |                  |                  |                  |                            |                |
|  | 2526     |     | Contractor Support Services non-Federal             | -                | -                | 2,003            | 2,003                      | -              |
|  | 2620     |     | System Supplies and Materials                       | 15,220           | 15,243           | 15,456           | 213                        | 1.40%          |
|  | 3110     |     | Non-Capitalized Furniture, Equipment, and Machinery | 88,398           | 103,758          | 131,064          | 27,306                     | 26.32%         |
|  | 3194     |     | Non-Capitalized Software                            | 15,360           | -                | -                | -                          | -              |
| <b>SSB SCIF Alarms</b>                           |          |     |   |                  |                  |                  |                            |                |
|  | 2526     |     | Contractor Support Services non-Federal             | 8,250            | 8,250            | 8,366            | 116                        | 1.41%          |
|  | 2620     |     | System Supplies and Materials                       | 4,500            | 4,500            | 4,563            | 63                         | 1.40%          |
|  | 3110     |     | Non-Capitalized Furniture, Equipment, and Machinery | 19,650           | 19,650           | 29,470           | 9,820                      | 49.97%         |
| <b>SSB X-Rays</b>                                |          |     |   |                  |                  |                  |                            |                |
|  | 2526     |     | Contractor Support Services non-Federal             | 10,973           | 10,973           | 10,140           | (833)                      | (7.59%)        |
|  | 2620     |     | System Supplies and Materials                       | 53,047           | 53,100           | 63,882           | 10,782                     | 20.31%         |
|  | 3110     |     | Non-Capitalized Furniture, Equipment, and Machinery | 93,666           | -                | -                | -                          | -              |
|  | 3120     |     | Capitalized Furniture, Equipment, and Machinery     | 256,331          | 350,000          | 602,221          | 252,221                    | 72.06%         |
| <b>SSB Detection and Screening Systems Total</b> |          |     |   | <b>3,246,683</b> | <b>4,288,674</b> | <b>4,376,267</b> | <b>299,593</b>             | <b>6.91%</b>   |
| <b>SSB Inauguration</b>                          |          |     |   |                  |                  |                  |                            |                |
| <b>SSB Inauguration</b>                          |          |     |   |                  |                  |                  |                            |                |
|  | 2410     |     | Printing and Binding                                | -                | -                | 282,500          | 282,500                    | -              |
|  | 2610     |     | Office & Miscellaneous Supplies                     | -                | -                | 2,984            | 2,984                      | -              |
|  | 3110     |     | Non-Capitalized Furniture, Equipment, and Machinery | -                | -                | 83,908           | 83,908                     | -              |
| <b>SSB Non-Capitalized Software</b>              |          |     |   | <b>32,310</b>    | <b>-</b>         | <b>-</b>         | <b>-</b>                   | <b>-</b>       |
| <b>SSB Security Systems Maintenance</b>          |          |     |   |                  |                  |                  |                            |                |
| <b>SSB Comprehensive Maintenance</b>             |          |     |   |                  |                  |                  |                            |                |
|  | 2526     |     | Contractor Support Services non-Federal             | 3,170,145        | 3,505,000        | 3,901,847        | 396,847                    | 11.32%         |
| <b>SSB Mass Notification Systems</b>             |          |     |   |                  |                  |                  |                            |                |
|  | 2526     |     | Contractor Support Services non-Federal             | 146,125          | 146,170          | 101,400          | (44,770)                   | (30.63%)       |
|  | 3110     |     | Non-Capitalized Furniture, Equipment, and Machinery | 13,102           | 13,102           | 60,102           | 47,000                     | 358.72%        |

**United States Capitol Police  
FY 2017 General Expenses by Program, Project, and BOC**

| Bureau/<br>Program  | Projects                                 | BOC | BOC Description   | FY2015            | FY2016            | FY2017            | Change from FY2016 Enacted |                 |
|---|--|-----|---|-------------------|-------------------|-------------------|----------------------------|-----------------|
|   |  |     |   | Actuals           | Enacted           | Request           | \$                         | %               |
|   |  |     |   | \$                | \$                | \$                | \$                         | %               |
| SSB Security Installation Support                                 |  |     |   |                   |                   |                   |                            |                 |
|   | 3110                                     |     | Non-Capitalized Furniture, Equipment, and Machinery         | 918,000           | -                 | -                 | -                          | -               |
|   | 3120                                     |     | Capitalized Furniture, Equipment, and Machinery             | -                 | 1,098,145         | 930,852           | (167,293)                  | (15.23%)        |
| SSB Security Network  |  |     |   |                   |                   |                   |                            |                 |
|   | 2526                                     |     | Contractor Support Services non-Federal                     | 139,797           | 139,962           | 275,680           | 135,718                    | 96.97%          |
|   | 2620                                     |     | System Supplies and Materials                               | 13,478            | 13,500            | 13,689            | 189                        | 1.40%           |
|   | 3110                                     |     | Non-Capitalized Furniture, Equipment, and Machinery         | 538,276           | 604,713           | 706,458           | 101,745                    | 16.83%          |
|   | 3120                                     |     | Capitalized Furniture, Equipment, and Machinery             | 54,450            | -                 | -                 | -                          | -               |
|   | 3194                                     |     | Non-Capitalized Software                                    | 11,844            | -                 | 482,633           | 482,633                    | -               |
| SSB Specialized Security Equipment                                |  |     |   |                   |                   |                   |                            |                 |
|   | 2526                                     |     | Contractor Support Services non-Federal                     | 550               | 550               | 558               | 8                          | 1.45%           |
|   | 2620                                     |     | System Supplies and Materials                               | 8,911             | 9,807             | 9,944             | 137                        | 1.40%           |
|   | 3110                                     |     | Non-Capitalized Furniture, Equipment, and Machinery         | 4,500             | 4,500             | 4,563             | 63                         | 1.40%           |
| SSB Support Staffing  |  |     |   |                   |                   |                   |                            |                 |
|   | 2526                                     |     | Contractor Support Services non-Federal                     | 574,609           | 668,422           | 902,290           | 233,868                    | 34.99%          |
| <b>SSB Security Systems Maintenance Total</b>                     |  |     |   | <b>6,593,787</b>  | <b>8,203,871</b>  | <b>7,300,016</b>  | <b>(1,196,145)</b>         | <b>(14.59%)</b> |
| SSB Special Projects  |  |     |   |                   |                   |                   |                            |                 |
|   | SSB Uhly Tunnel Design                   |     |   |                   |                   |                   |                            |                 |
|   | 3120                                     |     | Capitalized Furniture, Equipment, and Machinery             | 160,548           | -                 | -                 | -                          | -               |
| SSB House Garages   |  |     |   |                   |                   |                   |                            |                 |
|   | 3120                                     |     | Capitalized Furniture, Equipment, and Machinery             | -                 | 750,000           | -                 | (750,000)                  | (100.00%)       |
| SSB Security Fit-Out Radio Modernization Equipment Rms            |  |     |   |                   |                   |                   |                            |                 |
|   | 3120                                     |     | Capitalized Furniture, Equipment, and Machinery             | 39,452            | -                 | -                 | -                          | -               |
| SSB Garage Additional Equipment                                   |  |     |   |                   |                   |                   |                            |                 |
|   | 3120                                     |     | Capitalized Furniture, Equipment, and Machinery             | -                 | -                 | 2,000,000         | 2,000,000                  | -               |
| <b>SSB Special Projects Total</b>                                 |  |     |   | <b>200,000</b>    | <b>750,000</b>    | <b>2,000,000</b>  | <b>1,280,000</b>           | <b>169.57%</b>  |
| SSB Technical Countermeasures                                     |  |     |   |                   |                   |                   |                            |                 |
|   | SSB TCM Equipment, Services and Supplies |     |   |                   |                   |                   |                            |                 |
|   | 2526                                     |     | Contractor Support Services non-Federal                     | 1,688,034         | 2,020,034         | 2,576,967         | 556,933                    | 27.57%          |
|   | 2620                                     |     | System Supplies and Materials                               | 3,949             | 4,000             | 4,056             | 56                         | 1.40%           |
|   | 3110                                     |     | Non-Capitalized Furniture, Equipment, and Machinery         | 1,209,577         | 617,878           | 582,075           | (35,803)                   | (5.79%)         |
|   | 3120                                     |     | Capitalized Furniture, Equipment, and Machinery             | -                 | 333,038           | -                 | (333,038)                  | (100.00%)       |
|   | 3194                                     |     | Non-Capitalized Software                                    | 1,636             | -                 | -                 | -                          | -               |
| SSB TCM Life-Cycle Replacement                                    |  |     |   |                   |                   |                   |                            |                 |
|   | 3110                                     |     | Non-Capitalized Furniture, Equipment, and Machinery         | 488,325           | 164,700           | -                 | (164,700)                  | (100.00%)       |
|   | 3120                                     |     | Capitalized Furniture, Equipment, and Machinery             | -                 | 327,150           | 577,233           | 250,083                    | 76.44%          |
| <b>SSB Technical Countermeasures Total</b>                        |  |     |   | <b>3,111,222</b>  | <b>3,426,902</b>  | <b>3,740,931</b>  | <b>323,931</b>             | <b>7.89%</b>    |
| <b>Security Services Bureau Total</b>                             |  |     |   | <b>15,353,913</b> | <b>16,478,398</b> | <b>22,189,559</b> | <b>5,711,161</b>           | <b>34.66%</b>   |
| Training Services Bureau  |  |     |   |                   |                   |                   |                            |                 |
| TSB Administration  |  |     |   |                   |                   |                   |                            |                 |
|   | TSB Administration                       |     |   |                   |                   |                   |                            |                 |
|   | 2110                                     |     | Temporary Duty (TDY) Travel                                 | 2,092             | 4,600             | 7,880             | 2,880                      | 60.01%          |
|   | 2111                                     |     | Temp Travel Training  | 1,024             | -                 | -                 | -                          | -               |
|   | 2130                                     |     | Relocation Reimbursement-Enroute Travel & House Hunting Trp | -                 | -                 | 1,000             | 1,000                      | -               |
|   | 2210                                     |     | Transportation of Household Goods and Personal Effects      | -                 | -                 | 9,162             | 9,162                      | -               |
|   | 2337                                     |     | Utilities   | 2,236             | 5,000             | 3,600             | (1,400)                    | (28.00%)        |
|   | 2535                                     |     | Government Support Services                                 | -                 | -                 | 45,000            | 45,000                     | -               |
|   | 2610                                     |     | Office & Miscellaneous Supplies                             | 9,252             | 10,000            | 14,488            | 4,488                      | 44.88%          |
| <b>TSB Administration Total</b>                                   |  |     |   | <b>14,806</b>     | <b>19,700</b>     | <b>30,930</b>     | <b>11,124</b>              | <b>56.45%</b>   |
| TSB Training Services   |  |     |   |                   |                   |                   |                            |                 |
|   | TSB Firearms Training Qualification      |     |   |                   |                   |                   |                            |                 |
|   | 2110                                     |     | Temporary Duty (TDY) Travel                                 | 16,934            | -                 | -                 | -                          | -               |
|   | 2111                                     |     | Temp Travel Training  | -                 | 21,500            | 10,000            | (11,500)                   | (53.49%)        |
|   | 2512                                     |     | External Training   | -                 | 104,646           | 85,470            | (19,176)                   | (18.32%)        |
|   | 2535                                     |     | Government Support Services                                 | 62,209            | 80,000            | 84,800            | (15,200)                   | (19.00%)        |
|   | 2610                                     |     | Office & Miscellaneous Supplies                             | 9,308             | 29,385            | 39,978            | 10,593                     | 36.05%          |
|   | 3110                                     |     | Non-Capitalized Furniture, Equipment, and Machinery         | -                 | 27,000            | 58,889            | 31,889                     | 118.11%         |
|   | TSB Training Programs                    |     |   |                   |                   |                   |                            |                 |
|   | 2110                                     |     | Temporary Duty (TDY) Travel                                 | 21,725            | -                 | -                 | -                          | -               |
|   | 2111                                     |     | Temp Travel Training  | 5,763             | 59,200            | 103,520           | 45,320                     | 77.87%          |
|   | 2512                                     |     | External Training   | 23,630            | 35,500            | 39,080            | 3,180                      | 8.86%           |
|   | 2513                                     |     | Management Development                                      | 13,645            | 18,000            | 83,250            | 65,250                     | 362.50%         |
|   | 2526                                     |     | Contractor Support Services non-Federal                     | 453,129           | 668,734           | 831,543           | 164,809                    | 24.72%          |
|   | 2535                                     |     | Government Support Services                                 | 1,014,059         | 1,206,800         | 1,231,400         | 24,599                     | 2.04%           |
|   | 2536                                     |     | Government Support Services/TRNG                            | -                 | 210,280           | 225,862           | 15,602                     | 7.42%           |
|   | 2610                                     |     | Office & Miscellaneous Supplies                             | 14,345            | 38,720            | 57,632            | 18,912                     | 48.84%          |
|   | 2637                                     |     | Law Enforcement Uniforms                                    | 653               | -                 | -                 | -                          | -               |
| <b>TSB-Practical Application Center (PAC Building 12) TSB-102</b> |  |     |   |                   |                   |                   |                            |                 |
| <b>Training Services Bureau Total</b>                             |  |     |   | <b>1,649,095</b>  | <b>2,510,866</b>  | <b>2,912,774</b>  | <b>395,408</b>             | <b>15.74%</b>   |

**United States Capitol Police  
FY 2017 General Expenses by Program, Project, and BOC**

| Branch/<br>Program               | Projects | BOC | BOC Description  | FY2016        | FY2016        | FY2017        | Change from FY2016 Enacted |               |
|----------------------------------|----------|-----|--|---------------|---------------|---------------|----------------------------|---------------|
|                                  |          |     |  | Actuals       | Enacted       | Request       | \$                         | %             |
|                                  |          |     |  | \$            | \$            | \$            | \$                         | %             |
| <b>Uniformed Services Bureau</b> |          |     |  |               |               |               |                            |               |
| <b>USB Administration</b>        |          |     |  |               |               |               |                            |               |
| <b>USB Administration</b>        |          |     |  |               |               |               |                            |               |
|                                  |          |     | 2512 External Training                                   | 625           | 15,000        | 19,375        | 4,375                      | 29.17%        |
|                                  |          |     | 2610 Office & Miscellaneous Supplies                     | 1,798         | 2,500         | 2,500         | -                          | -             |
| <b>USB Capitol Division</b>      |          |     |  |               |               |               |                            |               |
|                                  |          |     | 2512 External Training                                   | -             | -             | 6,425         | 6,425                      | -             |
|                                  |          |     | 2610 Office & Miscellaneous Supplies                     | 12,377        | 12,500        | 11,000        | (1,500)                    | (12.00%)      |
| <b>USB House Division</b>        |          |     |  |               |               |               |                            |               |
|                                  |          |     | 2512 External Training                                   | -             | -             | 6,510         | 6,510                      | -             |
|                                  |          |     | 2610 Office & Miscellaneous Supplies                     | 12,342        | 12,500        | 11,000        | (1,500)                    | (12.00%)      |
|                                  |          |     | 3110 Non-Capitalized Furniture, Equipment, and Machinery | -             | 0             | 0             | -                          | -             |
| <b>USB Library Of Congress</b>   |          |     |  |               |               |               |                            |               |
|                                  |          |     | 2512 External Training                                   | -             | -             | 5,930         | 5,930                      | -             |
|                                  |          |     | 2610 Office & Miscellaneous Supplies                     | 5,765         | 7,000         | 6,000         | (1,000)                    | (14.29%)      |
| <b>USB Senate Division</b>       |          |     |  |               |               |               |                            |               |
|                                  |          |     | 2512 External Training                                   | -             | -             | 6,850         | 6,850                      | -             |
|                                  |          |     | 2610 Office & Miscellaneous Supplies                     | 12,445        | 12,500        | 11,000        | (1,500)                    | (12.00%)      |
| <b>USB Total</b>                 |          |     |  | <b>29,881</b> | <b>42,000</b> | <b>46,300</b> | <b>4,300</b>               | <b>10.24%</b> |
| <b>Total</b>                     |          |     |  | <b>45,351</b> | <b>62,000</b> | <b>66,600</b> | <b>4,600</b>               | <b>7.42%</b>  |

**FY 2017  
OFFICE OF INSPECTOR GENERAL (OIG)  
Resource Requirements**

**General Expense Budget**

| Program        | FY 2016<br>Enacted | FY 2017<br>Request | Increase | % Increase |
|----------------|--------------------|--------------------|----------|------------|
| Administration | \$762,000          | \$792,500          | \$30,500 | 4%         |

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. In 2015, with the support of our oversight committees, OIG increased its staffing by two FTEs from within the Department's funded civilian staffing levels (House Report 112-511, Legislative Branch Appropriations Bill, 2013 dated June 1, 2012) and (Senate CRPT 113-196 dated June 14, 2014) stated "The Committee included funds to support not less than six FTEs within the USCP Office of Inspector General."

Yet, 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 2015, the Department's budget, not including supplemental appropriations, has increased 31 percent and the authorized level of positions has grown by 160. Meanwhile, OIG staffing level has increased only by two FTEs, for a total of 6 FTEs.

OIG continues to report the management challenges for the Department for each of the past nine years: Interagency Communication, Coordination, and Program Integration Need Improvement (*Challenge 1*); Ensuring the Security of Federal Information System and Cyber Critical Infrastructure and Protecting the Privacy of Personally Identifiable Information (*Challenge 2*); Strong, Integrated Internal Control Systems Still Needed (*Challenge 3*); Managing Federal Contracting More Effectively (*Challenge 4*); Human Capital Management Needs Improvement (*Challenge 5*); and Progress Continues on Resolution of Recommendations (*Challenge 6*). 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 proactive reviews of these challenges due to a lack of sufficient resources.

OIG understands fully the fiscal challenges facing the government, as well as its responsibility to maximize resources to achieve goals and objectives. Therefore, OIG respectfully requests two or three additional FTEs. If onboarding and training can occur by the end of FY 2017 (which will be absorbed within the USCP's authorized levels per agreement with and full support of the Department), the OIG will decrease the general expense request by approximately 40 percent in future years. OIG has made a concerted effort to hire staff multifaceted in audit, investigations, intelligence, security, and law enforcement. Additional staff would allow OIG to address USCP's most serious challenges. Ultimately, the new FTEs would allow OIG to conduct additional work related to the security of Federal information systems and cyber infrastructure and financial audits; thereby, reducing our reliance on contractors to conduct such critical projects. OIG needs these additional staff members to reach critical mass to fulfill the OIG duties described by the Act.



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

**Fiscal Year 2017**

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## STATEMENT OF THE EXECUTIVE DIRECTOR

On behalf of the Office of Compliance, I am pleased to submit the FY 2017 budget request and justification for your consideration. On the 20<sup>th</sup> Anniversary of the opening of the Office of Compliance under the Congressional Accountability Act of 1995 (CAA), we are privileged to assist the Legislative community in the areas of dispute resolution, safety and health compliance, public access for people with disabilities, labor management relations, and education and outreach. The Office continues its efforts to create safe and hazard free workplaces for Legislative Branch employees and a barrier-free Capitol Hill and district offices for public visitors. As mandated in the CAA, we provide training and education programs for Members and staff that are designed to prevent harassing and discriminatory behaviors in the office.

This year, the Office of Compliance is requesting an additional \$356,151, or 9% over the FY 2016 enacted amount. As we move further into the digital age, this added funding will allow us to make necessary improvements to our existing website [www.compliance.gov](http://www.compliance.gov), not only to bring the site into compliance with existing cybersecurity standards, but to allow for necessary capacity to host our newly launched on-demand on-line training modules and webinars being developed to reach more Congressional employees especially in the districts or otherwise unable to attend in-person training sessions on the Hill. The shift in focus from in-person to web-based training for workplace rights is essential in carrying out our statutory educational mandate.<sup>1</sup> Our new training methods will include technical enhancements including videos and interactive modules that will instruct on important office safety and health matters as well as best practices and insights around paternity/maternity issues, non-discriminatory telework policies, Family and Medical Leave Act compliance, and reasonable accommodations for staffers under the Americans with Disabilities Act.

In all areas of discrimination prevention, a comprehensive training program continues to be the most effective investment an organization can make in reducing complaints and creating a more productive workforce. Training programs have been linked to a reduction in discrimination complaints by approximately 25% in the Executive Branch. The Congressional workforce, especially the hundreds of personal offices and committees need direction on the important issues incorporated in the CAA. Employment counsel of the various agencies provide guidance, but the offices are very often left to their own devices to determine policies and understand problem areas. The OOC can positively impact decisions made by managers and chiefs of staff that could potentially and unwittingly violate an employee's rights as incorporated in the CAA. Our aim is to provide the information that leads a manager to the right and just solution to workplace issues and eliminates the controversies and complaints.

In addition, enhancing our website and technical capabilities will provide stakeholders with a needed portal for e-filing. In a meeting with stakeholders, the overall interest expressed was for the OOC to provide a means for filing claims and documents electronically. As we complete our new Case Management system, which has recently gone live, it is important that we are able to link this improved system to an e-filing system that will improve the efficacy and timeliness of the dispute resolution program.

Our agency remains small, and our operations are lean. Many employees are cross-trained to handle other duties and assist in multiple aspects of the offices mission. We continue to move ahead and

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<sup>1</sup> Public Law 104-1, Section 302(h)(1)

provide more safety, health and ADA inspection hours, and technical assistance and outreach services to the Congressional community, including the reinstatement of technical conferences and the full reimplementation of the Office Safety Awards.

### **The Congressional Mandate**

The Congressional Accountability Act (“CAA”) was passed 20 years ago, 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, and the Americans with Disabilities Act Amendments Act of 2008;*

*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 employing offices and approximately 30,000 employees. We administer and ensure the integrity of the dispute resolution system that provides counseling, mediation and adjudication with respect to disputes that arise under the CAA; carry 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; advise Congress on needed changes and amendments to the CAA; and investigate and enforce the CAA’s occupational safety and health, public access for persons with disabilities, and unfair labor practice provisions.

The Executive Director, in addition to exercising overall agency supervision and managing personnel functions, 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 of the 22 FTE's) 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; enforcing anti-discrimination/anti-retaliation, occupational safety and health, disability access, and labor management 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 services of other individuals such as mediators, hearing officers, and safety and health inspectors.

### **The Current Operation of the Office of Compliance**

In the last 21 years, since the passage of the CAA in 1995, significant progress continues to be made by the OOC in improving the safety of the Legislative Branch; recognizing and implementing the rights of employees; assuring access to persons with disabilities; and educating our constituency on the mandates of the CAA.

Administration of the CAA has led to ongoing improvements in health and safety conditions on the Capitol Hill campus since 1995 and swift, confidential resolution of employee-employer disputes.

The OOC, with minimal staff and resources, is charged with a large and important statutory mandate. The OOC serves the same functions as multiple agencies in the Executive Branch, including the Equal Employment Opportunity Commission, the Department of Labor, the Department of Justice (with respect to access for persons with disabilities), and the Federal Labor Relations Authority. With the CAA now in its twentieth year, the OOC continues to implement more collaborative enforcement strategies for carrying out its statutory functions without compromising the regulatory mandates of the CAA. We strive for continuous improvement and pursue promising initiatives that will better serve the regulated community.

### **FY 2017 Budget Request**

The Office of Compliance's FY 2017 budget request was formulated through zero based structured review of the OOC's mission, strategic plan and agency goals. On a day-to-day basis we analyze our resource posture in relation to the mission and functions of the OOC. We have little margin for error and must obtain the highest value for each dollar expended.

The Office of Compliance is requesting \$4,315,151 for FY 2017 operations, which represents a 9% increase from the FY 2016 enacted level. The FY 2017 budget request focuses on supporting the most important aspects of the statutory functions of the Office of Compliance and improving the delivery of services to the covered community. Specifically, this increase will be used to complete the overhaul of our website to bring it into compliance with .gov cybersecurity standards, improve the site's capacity to host our new and innovative web-based learning initiatives and to lay the framework for our site's integration into our improved case management system through an e-filing system. These improvements will ensure the security of OOC information and provide a dynamic and impactful learning and informational environment for Congressional staffs and the public.

With respect to improvements in education, the OOC is in the final stages of developing its second on-line learning module for reasonable accommodation under the ADA. Once completed, this training will be launched on our website and will target the traditionally underserved state and district staffers who comprise almost half of all staffers now working outside of the National Capitol Region.

We surveyed Congressional offices regarding the type of training they needed to assist in their day to day operations. A majority of respondents expressed an interest in a wide variety of training, including how to manage maternity/paternity issues under the CAA, what accommodations should be made for staff under the Americans with Disabilities Act and how telework or life balance policies can be used to ensure equal treatment of workers. In order to answer this demand, the OOC is working to develop and launch web-based training on these and many more issues. Ensuring that the website can seamlessly host and support this initiative, and that the training is comprehensive and tailored to the Legislative Branch environment is paramount to its success.

In FY2015, we developed a new case management system that replaces an outdated system that produced unreliable and/or incomplete data. This system just went live and as we work out the kinks in the system, we look forward to being able to create more streamlined reports. These reports will help the OOC develop the kind of training that is needed by the community. The additional funding for FY 2017 will go toward the development of an e-filing system that is linked to the new case management system. This function will not only provide for more streamlined service delivery by our office to the Congressional community but will also allow cost savings in the long run. We are requesting sufficient funds in FY 2017 to develop and maintain an e-filing system into the future.

The FY 2017 IT budget request reflects OOC's focus on other IT needs such as upgrading security to meet current threat levels; incorporating the necessary systems to launch on-line training opportunities; and enhancing video conferencing equipment to provide for and to save travel money for Hearing Officers assigned to hear cases.

The balance of the 9% increase requested is for increases in contract services, including cross servicing providers, such as the Library of Congress and the National Finance Center, and other services, equipment and supplies needed to operate OOC. The services include training development and video production, as well as technical support for the ever-growing social media environment on the Hill which presents an opportunity to highlight best practices and provide important information to employees who have little time for training updates.

The OOC and its Board of Directors are proud of the level of services we provide to the legislative community. As the Executive Director, it is my responsibility to provide our highly professional and talented staff members with the tools they need to perform their critical functions. Our small size and interrelated missions mean we cannot underfund one statutorily mandated area and expect to succeed in the others. Our staff and I are available to answer any questions or address any concerns the Chair of the House or Senate Subcommittee or its Members may have.

Barbara J. 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), \$4,315,151, of which \$450,000 shall remain available until September 30, 2018: *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 2015<br>Actual* | FY 2016<br>Actual* | FY 2017<br>request |
|-----------------------|--------------------|--------------------|--------------------|
| Average ES salary     | \$166,980          | \$152,740          | \$154,740          |
| Average GS/GM salary  | \$90,170           | \$90,574           | \$91,933           |
| Executive level**     | 5                  | 5                  | 5                  |
| GS/GM-15              | 4                  | 3                  | 3                  |
| GS/GM-12-14           | 7                  | 9                  | 9                  |
| GS-9-11               | 4                  | 4                  | 4                  |
| GS-3-8                | 2                  | 1                  | 1                  |
| 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 2017 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.

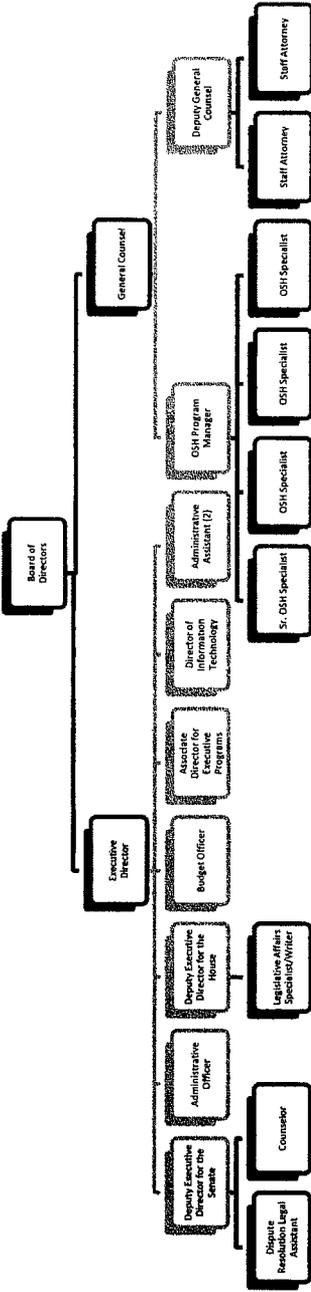
The other four FTEs are for the executive director, two deputy executive directors, and the general counsel.

## 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    | 3,617 <sup>10</sup>            |
| 2014  | 4,482    | 3,868 <sup>11</sup>            |
| 2015  | 4,020    | 3,959                          |
| 2016  | 4,020    | 3,959                          |
| 2017  | 4,315    |                                |

<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 113-6<sup>11</sup>FY 2014 amount reflects increase pursuant to PL 113-76



Office of Compliance  
ORGANIZATION CHART

## **STRATEGIC PLAN and MEASURING SUCCESS**

### **Introduction**

The latest Strategic Plan was established to guide the operations of the Office of Compliance from Fiscal Year 2016 through Fiscal Year 2018. This Strategic Plan, OOC's fifth, represents the experience and collective effort of the staff and Board of Directors of the OOC to set priorities, acquire resources, and work collaboratively to realize the safe, productive, and fair workplace envisioned by the Congressional Accountability Act (CAA). This plan is intended to be a dynamic document by which the OOC will evaluate its accomplishments over the next three years.

The OOC is an independent and non-partisan agency established in 1996, and currently one of the smallest of its kind. Yet, its mission is large and complex. With a staff of just 21 full-time equivalent employees, five part-time Board members, and contracted professionals as needed, the OOC carries out mandated programs of education, alternative dispute resolution, inspection and enforcement. About 30,000 legislative branch employees and countless visitors to Capitol Hill and district offices benefit from the work of the OOC.

The OOC staff is committed to ensuring that the congressional workplace is safe and healthy and free from discrimination; and that Capitol Hill remains free of barriers to public access. While we take seriously our enforcement mission, we emphasize voluntary compliance through cooperation and education. These approaches are key to fulfilling our mission and they run throughout our plan.

This year marks the 20<sup>th</sup> anniversary of the opening of the OOC. There is cause to reflect on and celebrate the OOC's many successes. For twenty years, the agency has been at the forefront of best practices for promoting and protecting the rights and obligations of legislative branch offices, employees, unions, and the visiting public on Capitol Hill and in district offices.

OOC's Mission is to ensure a fair, safe and accessible workforce throughout the Legislative Branch. And, our vision is to effectively enforce the Congressional Accountability Act through the efforts of a highly motivated staff skilled in the efficient use of resources.

Our strategic plan focuses on both external and internal areas of improvement. External efforts include increasing outreach and education to stakeholders; and internal efforts include, among other initiatives, implementing critical information technology enhancements. All OOC staff and Board members are important to these efforts. We are energized and determined to achieve the goals set forth in this strategic plan.

### **Goals**

The strategic plan will measure achievements under the following six mission-related goals. Although budgetary restraints and other challenges exist, OOC will continue to monitor progress, improve efficiency and adjust for the future.

Goal I is intended to promote full compliance with the workplace rights covered in the Congressional Accountability Act through effective education, outreach, and cooperative efforts with stakeholders. By focusing on educating and communicating with the Congressional community on the rights and responsibilities under the CAA, and its services and technical expertise, the Office of Compliance will

ensure that it is a trusted resource on the application of the CAA in the legislative branch.

Goal II outlines the agency's commitment to efficiently administering an effective Administrative Dispute Resolution Program (ADR) by facilitating the identification and resolution of workplace disputes and issues involving claims arising under the CAA. The OOC wants to ensure that stakeholders have full access to its ADR procedures. We anticipate that this will be accomplished as we develop and implement an e-filing system.

Goal III ensures that the Office of Compliance will work toward full compliance with the safety and health provisions of the CAA by developing cooperative relationships with stakeholders, providing expert educational and technical assistance, and timely and accurately assessing facilities, programs, activities, and services for compliance with the OSH and ADA Standards.

In Goal IV, the Office of Compliance will advance the principles of the CAA by monitoring efforts to amend, enhance or implement the law and by promulgating regulations. The OOC will work toward this goal by establishing working relationships with oversight committees, lawmakers and agencies to ensure pre-decisional involvement in legislative proposals regarding the principles in the CAA.

The purpose of Goal V is to promote excellent labor- management relations in the Legislative Branch by administering the labor-management provisions of the CAA in a way that can result in cooperative relationships between labor and management, based on mutual respect and cooperation with an aim toward resolving disputes at the lowest and least confrontational levels.

In Goal VI, the OOC will develop and retain a highly motivated, talented and satisfied workforce. We hope to accomplish this by identifying needed office upgrades that will improve efficiency and by providing training opportunities to staff that will enhance workplace skills, improve job performance, and increase employee satisfaction.

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 achieve. 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 2015<br>Actual | FY 2016<br>Level<br>Appropriation | FY 2017<br>Request<br>Appropriation | Change: FY 2015<br>Enacted to FY<br>2016 Enacted<br>Level | Change: FY<br>2016 Level to<br>FY 2017<br>Request |
|-------------------|-------------------|-----------------------------------|-------------------------------------|---|---|
| Salary & Benefits | \$2,810,806       | \$3,012,963                       | \$3,088,001                         | \$277,195   | \$75,038  |
| General Expenses  | \$698,194         | \$496,037                         | \$777,150                           | (\$78,956)  | \$281,113   |
| Two Year (MH, SH) | \$450,000         | \$450,000                         | \$450,000                           | 0   | 0   |
| Grand Total       | \$3,959,000       | \$3,959,000                       | \$4,315,151                         | \$0   | \$356,151   |
| FTE's             | 22                | 22                                | 22                                  | 0   | 0   |

**OVERVIEW OF FISCAL YEAR 2017 BUDGET REQUEST**

The Office of Compliance is requesting \$4,315,151 for fiscal year 2017 operations, reflecting:

- ❖ an increase of \$356,151 or 9% from the Agency's fiscal year 2016 Level budget of \$3,959,000.

The requested funding is necessary for the Agency's:

- ❖ mandated operations, including hearings, mediations, safety and health inspections, unfair labor practice investigations, Americans with Disabilities Act inspections, and educational activities;
- ❖ funding for 22 full-time equivalent positions ("FTEs"), which includes one FTE for the five member Board of Directors;
- ❖ funding for improved technology, including an e-filing system.

The OOC is requesting that a total of \$450,000 remain available until September 30, 2018 for the services of essential contractors, including hearing officers, mediators, and safety and health inspectors.

**Summary of FY 2017 funding - \$4,315,151**

- 11: Personnel - \$2,381,722**
- 12: Benefits and Other Personnel Compensation - \$706,279**
- 13: Benefits for Former Personnel - \$0**
- 21: Travel - \$38,000**
- 23: Space Rental/Communications/Misc Charges - \$38,850**
- 24: Printing and Reproduction - \$13,000**
- 25: Contractual Services - \$887,300**
- 26: Supplies, Materials and Publications - \$19,500**
- 31: Equipment - \$230,500**

**FUNDING REQUESTS (FY 2017)****OBJECT CLASS 11: Personnel**

For FY 2017, OOC requests a budget of **\$2,381,722** for salary expenses associated with full-time employees. This is an increase of **\$48,759** over FY 2016. The amount is the projected cost for a total of five Board member positions equal to one FTE and twenty-one full-time positions, inclusive of 1.5% annual salary increase.

**OBJECT CLASS 12: Benefits and Other Personnel Compensation**

A total of \$706,279 is budgeted for other personnel compensation and benefits during FY 2017, an increase of \$26,279 above FY 2016. Personnel benefits are a direct function of the amount of budgeted salary/wages and inclusive of the recent transit benefit increase, 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 FY 2016. 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 four 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 \$35,000 is budgeted for travel by OOC Board members in FY 2017. The balance for staff travel, local and long distance is budgeted at \$3,000 for a total of \$38,000 for FY 2017. 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 \$7,800 from FY 2016.

**OBJECT CLASS 23: Communications/Misc. Charges**

OOC's budget includes \$32,500 for telephone service during FY 2017. 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 distribution 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 \$6,000 for this purpose in FY 2017. This represents a total of \$38,850, an increase of \$2,950 from FY 2016.

**OBJECT CLASS 24: Printing and Reproduction**

OOC has budgeted \$13,000 in FY 2017 for printing costs. These costs will include: a) printing, where necessary, the newsletter and annual notification of rights sent to 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 are published biannually. 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. This budget item reflects an increase of **\$1,000** from FY 2016.

## **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 that 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, \$116,000);
- ❖ National Finance Center (Payroll/Personnel services, \$4,000);
- ❖ Software Licenses/Website support (\$154,700);
- ❖ Database Services (WebTA, FMA, WestLaw, Pacer, \$13,000);
- ❖ Staff Training (\$34,000);
- ❖ Incidentals (Temporary services, etc., \$43,000).

Fixed costs continue to rise. These support services in total will cost OOC **\$364,700** in FY 2017.

### **B. MISSION DIRECT SERVICES**

OOC has budgeted **\$522,000 (\$72,000-1yr, \$450,000-2yr)** 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 **\$72,000** for FY 2017, for the following:

- ❖ Web Site; Annual Report; Newsletter; 102(b) Report (Design/Production, \$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 (\$42,000);

The OOC is requesting that a total of **\$450,000** remain available until **September 30, 2018** for the services of essential contractors, including hearing officers, mediators, 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 duty to provide services to all employees and covered parties who seek service from OOC. In addition, costs of mediations and hearings can only be controlled in a limited manner due to the complexity and breadth of each individual claim.

**OBJECT CLASS 26: Supplies, Materials and Publication**

OOO's budget includes **\$19,500** for the purchase of supplies, materials and publications for FY 2017. This amount represents a \$5,500 increase from FY 2016. The amount includes costs for supplies for mailing and copying, along with 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.

**OBJECT CLASS 31: Equipment**

OOO is requesting **\$230,500** for equipment in FY 2017. This is an increase from FY 2016. Most of the increase in this object class is for OOC to shift to an E-file system to improve and simplify the filing complaints with the office.

- ❖ 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 2017 Annual General Expenses<br>Budget Request Summary by Program<br>(*Inclusive of 2 Yr. Funds) |                   |                    |                    |                                 |                                 |                                   |                                   |
|---|-------------------|--------------------|--------------------|---------------------------------|---------------------------------|-----------------------------------|-----------------------------------|
|   | FY 2015<br>Actual | FY 2016<br>Enacted | FY 2017<br>Request | FY 2015 to<br>FY 2017<br>Change | FY 2016 to<br>FY 2017<br>Change | FY 2015 to<br>FY 2017 %<br>Change | FY 2016 to<br>FY 2017 %<br>Change |
| OOC   |                   |                    |                    |                                 |                                 |                                   |                                   |
| Salaries & Benefits   | \$2,810,806       | \$3,012,963        | \$3,088,001        | \$277,195                       | \$75,038                        | 9.86%                             | 2.49%                             |
| OCBD  | \$32,358          | \$31,000           | \$35,250           | \$2,892                         | \$4,250                         | 8.93%                             | 13.71%                            |
| OCED  | \$165,547         | \$143,600          | \$90,100           | (\$75,447)                      | (\$53,500)                      | -45.57%                           | -59.38%                           |
| OCEI  | \$32,616          | \$38,500           | \$75,000           | \$42,384                        | \$36,500                        | 129.95%                           | 94.81%                            |
| OCMH*   | \$205,281         | \$200,000          | \$192,000          | (\$13,281)                      | (\$8,000)                       | -6.46%                            | -4.00%                            |
| OCGC  | \$12,467          | \$10,000           | \$14,500           | \$2,033                         | \$4,500                         | 16.31%                            | 45.00%                            |
| OCSH*   | \$379,414         | \$251,300          | \$266,600          | (\$112,814)                     | \$15,300                        | -29.73%                           | 6.09%                             |
| OCSY  | \$320,511         | \$271,637          | \$553,700          | \$233,189                       | \$282,063                       | 72.76%                            | 103.84%                           |
| Grand Total   | \$3,959,000       | \$3,959,000        | \$4,315,151        | \$356,151                       | \$356,151                       | 9.00%                             | 9.00%                             |

## Personnel Costs

| Personnel Request<br>(in millions) |             |                 |                               |                               |                      |                      |
|------------------------------------|-------------|-----------------|-------------------------------|-------------------------------|----------------------|----------------------|
| FY 2015 Actual                     | FY 2016 EN  | FY 2017 Request | FY 2015 to FY 2017 Difference | FY 2016 to FY 2017 Difference | FY 2015 to FY 2017 % | FY 2016 to FY 2017 % |
| \$2,810,806                        | \$3,012,963 | \$3,088,001     | \$277,195                     | \$75,038                      | 9.86%                | 2.49%                |

## Non-Personnel Costs

| Non-Personnel Request<br>(in millions) |            |                 |                               |                               |                      |                      |
|--|------------|-----------------|-------------------------------|-------------------------------|----------------------|----------------------|
| FY 2015 Actual                         | FY 2016 EN | FY 2017 Request | FY 2015 to FY 2017 Difference | FY 2016 to FY 2017 Difference | FY 2015 to FY 2017 % | FY 2016 to FY 2017 % |
| \$1,148,194                            | \$946,037  | \$1,227,150     | \$78,956                      | \$281,113                     | 6.88%                | 29.71%               |

## Non-Personnel services increase/decrease by major Object Class.

| Object Class                             | FY 2015 Actual | FY 2016 EN | FY 2017 Budget Request | FY 2015 to FY 2017 Change | FY 2016 to FY 2017 Change | FY 2015 to FY 2017 % | FY 2016 to FY 2017 % |
|--|----------------|------------|------------------------|---------------------------|---------------------------|----------------------|----------------------|
| (21) Travel                              | \$33,155       | \$30,200   | \$38,000               | \$4,845                   | \$7,800                   | 14.6                 | 25.8                 |
| (23)Space Rental/Communications/Misc     | \$37,630       | \$35,900   | \$38,850               | \$1,220                   | \$2,950                   | 3.2                  | 8.2                  |
| (24) Printing and Reproduction           | \$10,140       | \$12,000   | \$13,000               | \$2,860                   | \$1,000                   | 28.2                 | 8.3                  |
| (25)Contractual Services                 | \$889,851      | \$763,000  | \$887,300              | (\$2,551)                 | \$124,300                 | -0.3                 | 16.3                 |
| (26)Supplies, Materials and Publications | \$17,754       | \$14,000   | \$19,500               | \$1,746                   | \$5,500                   | 9.8                  | 39.3                 |
| (31) Equipment                           | \$159,664      | \$90,937   | \$230,500              | \$70,836                  | \$139,563                 | 44.4                 | 153.5                |
| Grand Total                              | \$1,148,194    | \$946,037  | \$1,227,150            | \$78,956                  | \$281,113                 | 6.88                 | 29.7                 |

## 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 (OOC) administers a dispute resolution program to address and resolve claims alleging violations of the Congressional Accountability Act (CAA). The process is multi-step, and includes confidential counseling and mediation - providing parties a forum to address and resolve their conflict on mutually agreeable terms. Claims not resolved in mediation may be raised in the confidential administrative hearing process, or a claimant may file a civil action in a United States District Court. A party aggrieved by a decision of a hearing officer, may file with the Board of Directors a petition for review of the hearing officer's decision.

*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. The CAA mandates that employees 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 a dispute is not resolved during counseling or mediation, an employee may choose to pursue their claim through the OOC's formal administrative hearing process, or file suit in U.S. District Court. An employee who elects the adjudicative procedures of the OOC files a formal complaint with the Office. 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 a civil action.

#### Accomplishments in FY 2015 – MH

Dispute Resolution Process: A notable feature of the Office of Compliance (OOC) administrative dispute resolution process is the confidential nature of its proceedings. In FY2015, the OOC provided advice and information to more than 300 covered employees, employing offices, and members of the public on a confidential basis. Individuals called with questions about their rights and responsibilities under the thirteen laws applied by the Congressional Accountability Act ("CAA" or "Act"), including civil rights, family and medical leave, and Veteran's rights. The OOC provided callers with information on the law, its requirements, and its application to the issues presented – enabling employees and employing offices to make informed decisions.

In FY 2015, 63 Requests for Counseling were filed by covered employees, initiating formal proceedings alleging violations of the CAA. Following counseling, 47 requests for mediation were made in FY2015.

Over the course of the fiscal year, 21 cases were formally settled as a result of negotiated settlement discussions at various stages in the process (settlements were both monetary and non-monetary), and one case was resolved by informal agreement between the parties during counseling or mediation.

Formal administrative complaints filed with the OOC are decided by a Hearing Officer in a confidential setting, enabling employees to pursue their claims in a non-public forum that is less formal and less costly than a court proceeding, yet provides the same remedies that a court can provide. In FY2015, 13 administrative complaints were filed with the Office of Compliance, and six cases were still pending before a hearing officer at the end of the fiscal year.

To encourage voluntary compliance with the CAA, the OOC provides training and organizes outreach activities to educate the covered community on their rights and responsibilities. In FY2015, the OOC educated congressional staffers, agencies, unions, attorneys, and visitors on the Act and the Office's regulations. The OOC conducted briefings and seminars, electronically distributed notices of CAA rights to covered employees, and published educational materials in hard copy and on its website – including statutorily mandated studies and reports, brochures, newsletters, and bulletins on OSHA and ADA compliance - to inform the covered community of its rights and responsibilities. In addition, the OOC launched its first interactive online training module on sexual harassment, and began development of a second online training module on the Americans with Disability Act.

During FY15, the OOC worked on processing a unit clarification petition seeking to amend a unit certification issued previously by the OOC's Board of Directors. The Board also issued decisions in eight cases on appeal, and had a 2013 decision affirmed by the United States Court of Appeals for the Federal Circuit. The Board of Directors submitted into the Congressional Record a notice of proposed rulemaking and request for comments on extending and modifying the rights and protections under the Family and Medical Leave Act of 1993 (FMLA).

OOC outreach activities included meetings with staff and representatives of the House and Senate, AOC, USCP, CBO, and LOC to discuss issues of compliance with the CAA, and the state of employment and labor rights in the Congressional workplace. OOC staff also met with stakeholders to discuss its Procedural Rules and solicit meaningful feedback on the application of the Rules. The OOC continued to encourage Congressional employers to provide voluntary training and adhere to strong workplace policies on matters covered by the CAA, and offered to assist in developing relevant materials and workplace policies.

Improvements in Efficiency: The Office continued to monitor trends in the number and types of charges filed under the CAA, and developed outreach activities to support compliance efforts in areas indicated by the trending data. OOC staff received continuing training opportunities utilizing low or no-cost services provided by legislative and executive branch agencies.

To optimize operations within current budget limitations, in FY15, the Office utilized law school interns to help conduct legal research in support of the work of the OOC. In addition, the OOC continued to assign cases to an in-house mediator skilled and experienced in dispute resolution and the CAA, maintained a flat rate for contract mediators, and instituted rate limitations for other outside service-providers. The OOC also received recommendations from the Administrative Conference of the United States and other federal entities for hearing officer candidates.

The OOC finalized the development of an electronic case management system that will bring the Office's IT capacity current with best practices. The new case management system, which recently went live, will increase dramatically the agency's efficiencies by enabling it to docket, retain, and retrieve documents

electronically, and trend data. It will also provide the infrastructure for the OOC to develop and maintain an electronic filing system to meet stakeholder demand for e-filing capability.

**FY 1997 - FY 2015 Comparison**

|          | <b>Calls for Information</b> | <b>Requests for Confidential Counseling</b> | <b>Requests for Confidential Mediation</b> | <b>Administrative Complaints Filed</b> |
|----------|------------------------------|---|--|--|
| 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                                     |
| FY 2013  | 260                          | 81  | 76   | 11                                     |
| FY 2014  | 302                          | 57  | 25   | 9                                      |
| FY 2015  | 300                          | 63  | 47   | 13                                     |

\* The OOC experienced group filings on each of two controversies.

**Fiscal Year 2017 Budget Request**

The Office of Compliance is requesting a total of \$192,000 for non-personnel services for FY 2017 for the OC Mediation and Hearings Program. This total reflects an analysis of the requirements to perform basic functions.

## 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 in the Executive Branch, 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 OGC 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, she 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. In 2017, OOC hopes to re-establish regular technical advisory conferences.

#### **Accomplishments in FY 2015 - SH – ADA**

The Office of the General Counsel (OGC) completed the 113<sup>th</sup> Congress Biennial Occupational Safety and Health (OSH) Inspection and commenced the 114<sup>th</sup> Congress Biennial OSH Inspection. These inspections focused on inspecting higher-risk hazards and verifying the abatement status of the most serious hazards identified in prior inspections. During these inspections, the OGC also inspected newly occupied facilities. The OGC issued to Congress a report combining the results of the 112<sup>th</sup> and 113<sup>th</sup> Congress inspections. This report indicated that the OGC found 2,741 hazards during the 112<sup>th</sup> Congress Biennial Inspection and 2,869 hazards during the 113<sup>th</sup> Congress Biennial Inspection. The AOC and the OGC also worked together with a consulting expert in the fields of fire protection engineering and historic preservation to assess the fire and life safety issues in the Russell Senate Office Building. At the beginning of FY 2015, there were 16 open requestor-initiated OSH cases in the OGC. During FY 2015, 9 new cases were opened and 10 cases were closed. The investigations have been completed for most of the 15 cases open at the end of FY 2015, but the cases will not be closed until the responsible office abates the findings. The GC issued no citations in FY 2015. There were 7 open citations at the end of FY 2015.

The OGC completed the 113<sup>th</sup> Congress American with Disabilities Act (ADA) Biennial Inspection after providing its inspectors with Americans with Disabilities Act (ADA) refresher training for inspecting access to legislative branch facilities from the exterior for people with disabilities. The OGC also commenced the 114<sup>th</sup> Congress ADA inspection involving the entrances to legislative branch facilities and the accessible pathways from the entrances of the facilities to the major function areas. During FY 2015, the OGC assisted the OOC Board of Directors in responding to comments regarding proposed substantive regulations on Titles II and III of the ADA. The OOC Board of Directors will be adopting these substantive regulations in early 2016. At the beginning of FY 2015, there were 3 open requestor-initiated ADA cases in the OGC.

During FY 2015, 2 new cases were opened and 4 cases were closed. The investigation has been completed for the 1 case open at the end of FY 2105, but the report will not be issued until early 2016.

#### **Fiscal Year 2017 Budget Request**

The Office of Compliance is requesting a total of \$266,600 for non-personnel services for FY 2017 for the OC Safety and Health Program.

## 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 2015 – ULP

At the beginning of FY 2015 there were 11 active unfair labor practice (“ULP”) charges on file with the OGC. During FY 2015, 13 new ULP charges were filed with the OGC and 18 ULP charges were closed. The OGC filed two ULP complaints with the OOC Executive Director. Both of these cases are currently pending before the OOC Board of Directors. The OOC has jurisdiction over approximately 20 bargaining units, most of which are comprised of employees of the AOC and the USCP. The unfair labor practice charges allege denial of union representation, failure to provide fair representation (against the union, filed by a former bargaining unit member), reprisal, failure to provide information, failure to implement an arbitration award, and other assertions that management or the union has denied a right.

### Other Accomplishments in FY 2015 – Defense of Board Decisions

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 OOC 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 OGC represents the Board of Directors in such appeals. During FY 2015, there was one case pending in the Federal Circuit that involved the OOC. The OGC argued this case in February 2015 and the Court affirmed the decision of the OOC Board of Directors during FY 2015.

### Fiscal Year 2017 Budget Request

The Office of Compliance is requesting a total of \$14,500 for non-personnel services for FY 2017 for the OC General Counsel Program. This total reflects an analysis of the requirements to perform basic functions and changes in requirements.

## 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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Workplace rights and responsibilities are only meaningful if employees actually understand them and know how to exercise them. Thus, Congress mandated the Office of Compliance to “carry out a program of education for Members of Congress and other employing authorities of the legislative branch”. (Public Law 104-1, Sec. 301(h)(1)). The OOC prioritizes education and continually looks for ways to successfully fulfill its mandate.

### Accomplishments in FY 2015 - EI

OOC is proud of its FY15 accomplishments in educating some 30,000 employees of the legislative branch on their rights and responsibilities under the CAA. But, with more resources and virtual training initiatives, more can be accomplished.

The OOC advertises its training catalog of classes directly to Congress and its Legislative Branch agencies. For the past two years, this initiative has paid enormous dividends in terms of raising the profile of OOC course offerings. Now, the demand for these services has increased. With just 3-4 staff members available for this effort, in FY15, OOC presented training to agency personnel, House and Senate staff, and committee staff.

During FY15, OOC also presented in-person training bi-monthly at the request of the Congressional Research Service (CRS). During CRS training, OOC interacts with approximately 30 congressional staffers new to their jobs in district offices located around the country. According to CRS, district staff represents one half of the congressional staff covered by the CAA, thus the OOC is determined to reach more district employees on a regular basis.

Where low resources, time or geography make in-person training impractical, OOC has taken steps to provide other web-based learning opportunities. In FY15, OOC launched an on-line learning initiative. The first online module titled “Preventing Sexual Harassment in the Workplace” was completed in August 2015. In FY16, OOC will measure the results and surveys for the interactive module in anticipating the launch of a similar module on Reasonable Accommodation requests under the ADA as incorporated into the CAA. This and a future module on the Family Medical Leave Act will become a part of the OOC - Online Academy which the agency will recommend as required training for all staff.

Other web-based education efforts included the launch of OOC’s brand new website in December 2015. This year-long effort to totally revamp [www.compliance.gov](http://www.compliance.gov) resulted in an online presence that is more user friendly and with enhanced capabilities for video uploads, streaming content and one-click search options. The website’s design and look is tailored to assist the user in more easily accessing and understanding the laws incorporated in the CAA.

The new website will allow easy Twitter and blog updates and provide links to workplace rights topics. An aim for the enhanced web presence is to underscore the OOC's occupational safety and health program and encourage employing offices to fully comply with OSH laws and regulations. With requested funding, OOC will produce short videos with safety and health demonstrations by OOC inspection staff. These videos will focus on common safety and health hazards on Capitol Hill and provide updates for new technical changes to the law. To educate the covered workforce through the new OOC website, we must increase our search engine optimization and social media presence in the covered community. This year's request includes funding for technical support to attract legislative branch traffic to the website.

The OOC transmits its annual notification of rights via e-mail to covered employees. A new launch for FY17 will include quarterly emails to all employees by the OOC eNewsletter. The transmission will be a compilation of the quarter's published articles, updated training modules and most recent information spotlighting best practices. In 2015, the OOC original publication *Compliance@Work* highlighted ADA accessibility on Capitol Hill, programs for returning veterans, and internship opportunities for individuals with intellectual and developmental disabilities. OOC will issue *Compliance@Work* monthly via social media and the OOC website, while the quarterly eNewsletter will include all OOC publications in the previous three months.

### **Fiscal Year 2017 Budget Request**

The Office of Compliance is requesting a total of \$75,000 for non-personnel services for FY 2017 for the OC Education & Information (Outreach) Program. This total reflects an analysis of the requirements to perform basic functions and changes in requirements.

## OC Board of Directors - OCB D

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### Mandate: Congressional Accountability Act, Section 102(b)

The Board shall review provisions of Federal law (including regulations) relating to (A) the terms and conditions of employment (including hiring, promotion, demotion, termination, salary, wages, overtime compensation, benefits, work assignments or reassignments, grievance and disciplinary procedures, protection from discrimination in personnel actions, occupational health and safety, and family and medical and other leave) of employees, and (B) access to public services and accommodations . . . [and] the Board shall report on (A) whether or to what degree the provisions described [above] . . . are applicable or inapplicable to the Legislative Branch, and (B) with respect to provisions inapplicable to the Legislative Branch, whether such provisions should be made applicable to the Legislative Branch. The presiding officers of the House . . . and the Senate shall cause each such report to be printed in the Congressional Record and each such report shall be referred to the committees of the House . . . And the Senate with jurisdiction.@ 2 U.S.C. 1302(b).

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### Overview

Section 102(b)(2) of the Act requires the Board to submit a report to Congress on the applicability to the Legislative Branch of any employment laws not made applicable by the Act. The section 102(b) report and recommendation(s) are 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 to 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 2015 - BD

During FY 2015, eleven petitions of review (PFRs) of hearing officer decisions were in process before the Board. Six new PFRs were filed with the OOC's Board of Directors in FY 2015, and five petitions from FY 2014 were pending. The Board issued eight decisions on appeal in FY 2015. These cases covered issues involving race discrimination and disability discrimination, veterans' employment, the Fair Labor

Standards Act, hostile work environment claims, and retaliation under the CAA. In addition, the Board issued a decision related to exceptions to an arbitrator's award. Also, the Board had a 2013 decision affirmed by the United States Court of Appeals for the Federal Circuit.

Furthermore, one appeal of a hearing officer decision involving an unfair labor practice complaint was filed with the Board. Final decisions of the Board of Directors are published on our website at: <http://www.compliance.gov/directives/final-decisions-year-issuance>.

#### **Fiscal Year 2017 Budget Request**

The Office of Compliance is requesting a total of \$35,250 for non-personnel services for FY 2017 for the OC Board of Directors Program. This total reflects an analysis of the requirements to perform basic functions and changes in requirements.

## OC Systems (Operations) - OCSY

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### Mandate: Supports Office of Compliance core functions

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#### Financial Support

The OOC delivers comprehensive financial services, in compliance with all applicable Federal appropriations laws, and maintains adequate spending controls.

#### Accomplishments in FY 2015

*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. In addition OOC provides input to the 'travel' and 'MOMENTUM Cloud' initiatives. 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 continually produced yearly savings (\$20,000 - FY 2014), as the cost of using the Treasury SPS disbursement system is zero.

*Interagency contracting:* OOC is continuing the policy and practice of collaborating with other Legislative Branch agencies on procurement and in other resource intensive areas, such as Human Resources. OOC also participated in the CAO Council, the Legislative Branch Financial Management Council and its subcommittees.

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

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 continues to work closely with Legislative Branch partners and reevaluate our IT posture in order to provide the most efficient and value oriented structure to support OOC mission activities.

#### Accomplishments in FY 2015

OOC has migrated 1 of 2 mission critical systems to the cloud, with the second system expected to migrate in 2015. OOC continues to explore secure cloud-based solutions and related products with the goal of reducing in-house computer hardware and maintenance costs. In addition, IT continues to work with and improve the necessary data bases that critical for core office functions.

#### Fiscal Year 2017 Budget Request

The Office of Compliance is requesting a total of \$553,700 for non-personnel services for FY 2017 for the OC Systems Program. This total reflects an analysis of the requirements to perform basic functions and changes in requirements.

## OC Executive Director - OCED

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### Mandate: Supports Office of Compliance core functions

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#### Overview

The Executive Director's office is responsible for overall agency supervision, personnel, and budget function, with oversight for Mediations and Hearings; and Education and Outreach. The Executive Director also covers representation and Congressional relations functions which includes communication and consultation with Appropriations and Oversight Committees, Congressional Leadership, and other Legislative Branch agencies (not already captured in Education and Outreach, above). In addition, the Executive Director provides support for the Board of Directors.

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 2015 - ED

At the beginning of 2016, the OOC hired a new General Counsel and Deputy Executive Director for the House of Representatives to serve on the Executive staff team. These statutory employees are appointed by the OOC Board of Directors and carry out the day-to-day functions of the office. There were a number of new staff, as well as Executive staff hired in FY 2015- 2016, including a new Budget Director, Counselor, Attorney, and Administrative Assistant.

During 2015, the OOC staff and Board of Directors drafted and issued proposed regulations covering the access portions of the Americans with Disabilities Act and the Office of Compliance procedural rules. After reviewing comments on the proposed regulations, the Board and Executive Director will adopt them sometime in FY 2016. In addition, after publishing in FY 2015, a notice of proposed rulemaking on the OOC's Family and Medical Leave Act regulations, the Board is expected to adopt the regulations in FY 2016, after review of comments.

We continue to reduce our carbon footprint, while at the same time reducing costs, by increasing the use of e-mail in communicating with stakeholders, promoting recycling, and reducing paper waste by requiring double-sided copying. Specifically, in FY 2015, the CAA was changed to allow for the e-mailing of the Annual Notification of Rights. The Office was able to complete this electronic delivery of the annual notice and to plan for more outreach to the Legislative Branch community.

#### Fiscal 2017 Budget Request

The Office of Compliance is requesting a total of \$90,100 for non-personnel services for FY 2017 for the OC Executive Director Program. This total reflects an analysis of the requirements to perform basic functions and changes in requirements.

## Budget Schedules

| Office of Compliance<br>FISCAL YEAR 2017 Resource Summary<br>(Budget Authority Dollars in Thousands) |   |            |                    |                     |                     |                   |                   |
|--|---|------------|--------------------|---------------------|---------------------|-------------------|-------------------|
| Personnel  | FY 2015<br>Budget<br>Authority<br>(actual<br>exp) | FY 2016 EN | FY 2017<br>Request | Change<br>FY15/FY17 | Change<br>FY16/FY17 | 15/17 %<br>Change | 16/17 %<br>Change |
| Appropriation  | \$2,811   | \$3,013    | \$3,088            | \$277               | \$75                | 2.7               | 2.5               |
| Supplemental<br>Appropriation  |   |            |                    |                     |                     |                   |                   |
| Transfers  |   |            |                    |                     |                     |                   |                   |
| Rescission   |   |            |                    |                     |                     |                   |                   |
| Total  | \$2,811   | \$3,013    | \$3,088            | \$277               | \$75                | 2.7               | 2.5               |
| Non-Personnel  | FY 2015<br>Actual                                 | FY 2016 EN | FY 2017<br>Request | Change<br>FY15/FY17 | Change<br>FY16/FY17 | 15/17 %<br>Change | 16/17 %<br>Change |
| Appropriation  | \$1,148   | \$946      | \$1,227            | \$79                | \$281               | 6.9               | 29.7              |
| Supplemental<br>Appropriation  |   |            |                    |                     |                     |                   |                   |
| Transfers  |   |            |                    |                     |                     |                   |                   |
| Rescission   |   |            |                    |                     |                     |                   |                   |
| Total  | \$1,148   | \$946      | \$1,227            | \$71                | \$281               | 6.9               | 29.7              |
| Total<br>Appropriations  | \$3,959   | \$3,959    | \$4,315            | \$356               | \$356               | 9.0               | 9.0               |

| Office of Compliance<br>FY 2017 Expense Request<br>SCHEDULE A<br>(Dollars in Thousands) - (*Inclusive of 2 yr)<br>Summary by Object Class |                   |             |                    |   |   |
|---|-------------------|-------------|--------------------|---|---|
| Object Class  | FY 2015<br>Actual | FY 2016 EN  | FY 2017<br>Request | FY 2015/FY2017<br>Change<br>Appropriation | FY 2016/FY 2017<br>Change Appropriation |
| 11 Personnel<br>Compensation  | \$2,173,584       | \$2,332,963 | \$2,381,722        | \$208,138                                 | \$48,759                                |
| 12 Personnel Benefits   | \$637,222         | \$680,000   | \$706,279          | \$69,057                                  | \$26,279                                |
| 13 Benefits for Former<br>Personnel   | \$0               | \$0         | \$0                | \$0                                       | \$0                                     |
| 21 Travel   | \$33,155          | \$30,200    | \$38,000           | \$4,845                                   | \$7,800                                 |
| 23 Rent,<br>Communications and<br>Utilities   | \$37,630          | \$35,900    | \$38,850           | \$1,220                                   | \$2,950                                 |
| 24 Printing and<br>Reproduction   | \$10,140          | \$12,000    | \$13,000           | \$2,860                                   | \$1,000                                 |
| 25 Contractual<br>Services*   | \$889,851         | \$763,000   | \$887,300          | (\$2,551)                                 | \$124,300                               |
| 26 Supplies and<br>Materials  | \$17,754          | \$14,000    | \$19,500           | \$1,746                                   | \$5,500                                 |
| 31 Equipment  | \$159,664         | \$90,937    | \$230,500          | \$70,836                                  | \$139,563                               |
| Total Budget  | \$3,959,000       | \$3,959,000 | \$4,315,151        | \$356,151                                 | \$356,151                               |

### 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 and settlements.

The enacted Legislative Branch Appropriations bills of 1996 through 2016 have appropriated funds for awards and settlements under the Act.

In FY 2015, a total of \$482,797 was awarded and disbursed under nine settlements made under section 415 of the CAA. To date in FY 2016, six settlements have been awarded totaling \$344,960.

### 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        | 14                     | \$334,823       |
| 2014        | 11                     | \$806,450       |
| 2015        | 13                     | \$482,797       |
| 2016        | 6**                    | \$344,960**     |

Monetary settlements could resolve multiple claims\*

As of 1/20/2016\*\*



Congressional Budget Office

**The Congressional Budget Office's  
Request for Appropriations for  
Fiscal Year 2017**

January 2016

CONGRESS OF THE UNITED STATES



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## The Congressional Budget Office's Request for Appropriations for Fiscal Year 2017

### Overview of CBO's Budget Request for 2017

The Congressional Budget Office requests appropriations of \$47.6 million for fiscal year 2017. That amount represents an increase of \$1.1 million, or 2.4 percent, from the \$46.5 million provided to CBO for 2016.

Most of the increase—\$746,000 (accounting for an increase of 1.6 percent)—would fund ongoing operations, covering an increase of \$807,000 in pay and benefits partly offset by a decrease of about \$61,000 in nonpay expenditures. The proposed increase in pay and benefits reflects small increases in average pay and rising costs of benefits. The decrease in nonpay expenditures derives mostly from holding spending on information technology (IT) to the same amount that has been provided in 2016.

About one-third of the requested increase, \$391,000, would fund three new full-time-equivalent positions (FTEs), which would boost the agency's staffing from 235 to 238. The additional FTEs would be devoted to analyzing the economic effects of federal tax and spending policies (including the "dynamic analysis" of certain legislation required by the budget resolution) and to the analysis of health care issues. CBO expects to devote considerable attention to further developing its capacity to conduct dynamic analysis in the coming year; and interest remains high in modifying or replacing the Affordable Care Act and considering changes to Medicare or Medicaid. Additional resources to address those needs would be helpful in producing, documenting, and explaining CBO's analyses in those areas.

Of the requested funding for 2017, 91 percent would support pay and benefits, 6 percent would be for IT, and 3 percent would go toward purchases of data, training, office supplies, and other items.

### CBO's Funding History and Its Effects on Staffing and Output

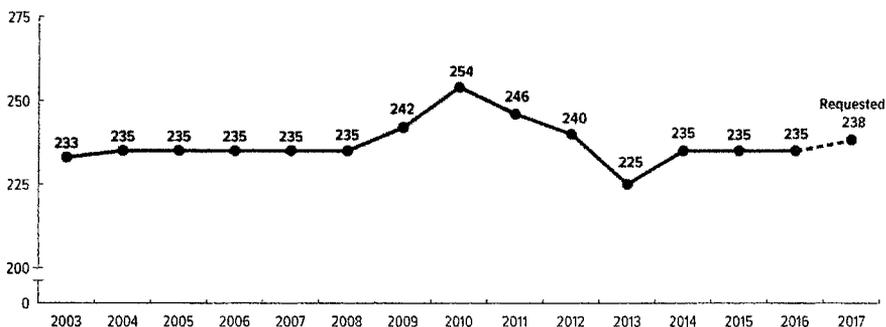
Because such a large share of CBO's budget represents compensation, the contours of the agency's budget and staffing levels have been and will continue to be closely linked.

Between fiscal years 2003 and 2008, the number of authorized FTEs at CBO held between 233 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. CBO had sufficient funding for 254 FTEs in 2010.

The increase in staffing enabled CBO to conduct analyses of some particularly complex issues and to provide substantially more estimates and other analyses to the Congress. With the larger staff, CBO was able to, among other things, significantly expand health care analysis, substantially enhance financial analysis, considerably improve modeling of the economic effects of federal tax and spending policies, issue several reports with options for changing federal benefit programs, make significant gains in the transparency of the agency's analysis, and continue to produce high-quality cost estimates for legislation and analyses of numerous other topics.

However, constraints on CBO's funding (following from constraints on discretionary appropriations as a whole) caused the agency's staffing to shrink in fiscal years 2011 through 2013. The agency's appropriation for 2013 was

Figure 1.

**FTEs Authorized for Fiscal Years 2003 Through 2017**

FTE = full-time-equivalent position.

For fiscal year 2016, no specific number of FTEs was authorized. The number shown is consistent with the funding provided.

well below the amounts provided during the preceding year (see Figure 2). Those cuts, combined with small increases in average pay and rising costs of benefits and other items during those years, required a drop in the number of FTEs to only 225 in 2013, the lowest level in more than a dozen years. In addition, the agency had to defer critical purchases of IT equipment and services and other items.

CBO's appropriation for 2014 was significantly larger than its appropriation for 2013, and the appropriation for 2015 equaled the amount provided in 2014. Accordingly, the agency sharply increased its recruiting in order to return to its traditional level of staffing at 235 FTEs as quickly as possible and to catch up on deferred IT purchases. As a result, staffing stood at about 233 FTEs at the end of fiscal year 2015, and it is expected to be at that number or higher by the end of this year. CBO's funding for fiscal year 2016, which represented a 1.8 percent increase over the 2015 appropriation, will allow the agency to maintain current operations and to end the fiscal year with approximately 235 FTEs.

### **CBO's Funding Request and Its Consequences for Staffing and Output**

In fiscal year 2017, 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 \$47.6 million in funding—an increase of \$1,137,000 from the \$46.5 million provided for 2016.

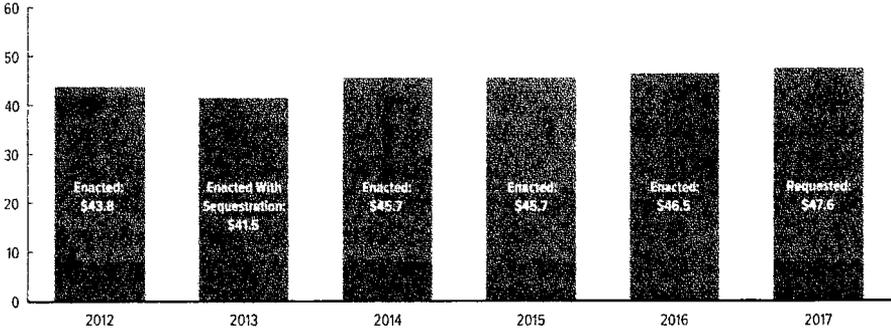
The requested funds would be used as follows:

- \$32.2 million for pay of personnel—an increase of \$918,000 (3 percent) over the amount that will be spent in fiscal year 2016. The increase would cover \$0.3 million in pay for the additional FTEs, as well as performance-based salary increases for current staff and an across-the-board increase of 2.6 percent for employees making less than \$100,000 (if such an increase is authorized for executive branch agencies).
- \$11.0 million for benefits of personnel—an increase of \$280,000 (3 percent) relative to the amount projected to be spent in 2016, to fund an increase in the cost of federal benefits as well as the benefits for the three added staff members.
- \$4.3 million for other purposes—a decrease of \$61,000 (1 percent) from the amount appropriated in 2016. The funds would go toward purchases of IT, data, training, and other items. The decrease for 2017 is possible mostly because funding in fiscal years 2014 and 2015 allowed CBO to catch up on deferred IT purchases and to make some purchases that reduced future needs.

Figure 2.

**Funding for Fiscal Years 2012 Through 2017**

Millions of dollars



The requested amount of funding would allow CBO to provide the following estimates and other analyses to the Congress:

- More than 600 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 clear picture of the budgetary impact of proposals and variants of proposals before they formally consider legislation;
- More than 100 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;
- Three sets of detailed 10-year baseline budget projections and two sets of 10-year economic projections, as well as long-term budget projections (spanning 30 years), documented with numerous files of data posted on CBO's website; and
- More than 90 analytical reports and other publications—generally required by law or prepared in response to requests from the Chairmen and Ranking

Members of key committees—about the outlook for the budget and the economy, major issues affecting that outlook under current law, the budgetary effects of policy proposals that could change the outlook, and a broad range of related budget and economic topics, ranging from defense policy to infrastructure and energy policy.

Despite high productivity by a dedicated staff, CBO expects that that anticipated volume of estimates and other analyses will fall considerably short of the number of Congressional requests. The demands on the agency remain intense: The now-required dynamic analyses of how certain legislative proposals would affect the economy and how those economic effects would, in turn, affect the federal budget require complex modeling; and the Congress remains acutely interested in analyses of the Affordable Care Act and numerous proposals for further changes in federal health care programs. Other issues arise frequently and create a heavy workload—including, for example, ones surrounding the Highway Trust Fund, immigration, defense authorization bills, farm legislation, unemployment benefits, trade agreements, trade adjustment assistance, and reform of the Postal Service. Analyzing the possibilities and proposals has strained the agency's resources in many areas. CBO regularly consults with committees and Congressional leadership to ensure that its resources are focused on the work that is of highest priority to the Congress.

### Special Emphasis on Dynamic Analysis

In May 2015, the Congress adopted a concurrent resolution on the budget for fiscal year 2016 requiring CBO, to the greatest extent practicable, to incorporate macroeconomic effects into its cost estimates for major legislation approved by Congressional committees. In response, CBO (in collaboration with the staff of the Joint Committee on Taxation) completed several such estimates for H.R. 3762, the Restoring Americans' Healthcare Freedom Reconciliation Act, in the past year. Because macroeconomic analyses require a significant amount of time, they can be produced only for a small number of major proposals, and only if time allows.

CBO expects to devote considerable attention to further developing its capacity to conduct dynamic analysis in the coming year so that it can effectively carry out the requirements specified in the budget resolution. The agency anticipates that the form in which the information is provided to the Congress will evolve over time depending on what sort of presentation seems most useful. Cost estimates that incorporate dynamic analysis will include all of the information typically presented in cost estimates as well as information on the macroeconomic effects and the uncertainty surrounding those effects. To the extent possible within the time available, CBO will explain the basis for determining the budgetary impact of macroeconomic effects. The agency has already shifted some resources to bolster its dynamic analysis and is requesting funding for additional staff to work on such analyses.

### Special Emphasis on Analysis of Federal Health Care Spending

CBO faces significant challenges in projecting the future costs of federal health care programs and in analyzing proposals to change those programs. Although spending for health care in the United States has grown more slowly in recent years than it had previously, health care spending per person has grown faster, on average, than the nation's economic output per person during the past few decades. In the coming year, CBO expects to expend a great deal of effort analyzing health care spending.

Interest in legislative proposals related to health care—on the part of committees of jurisdiction, the Congressional leadership, and the budget committees—remains very high. The enactment of the Affordable Care Act in 2010 has been followed by a great deal of Congressional interest in analysis of that legislation and possible

modifications to it, as well as potential changes to Medicare or Medicaid. Several developments and possibilities could heighten that interest, along with CBO's workload. More data will become available about the costs of the expansion of health insurance coverage under the Affordable Care Act, which will further understanding of potential effects of changing that law.

CBO is in the process of analyzing various aspects of the health care system and enhancing its analytical capacity to assess the effects of future legislation on that system and on the federal budget. The agency is training a number of new analysts to replace those who have recently retired or accepted attractive offers to work elsewhere and continues to recruit analysts to boost the quantity of analysis while maintaining or enhancing the quality.

### 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—making use of the best new evidence and innovative ideas as well as the lessons of experience;
- Timely—providing a response 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 as well as impartial, the agency makes no

policy recommendations. Instead, it 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:

- Analyzes trends and recent developments related to federal spending and revenues, and constructs budget projections for the next 10 years and the longer term;
- Estimates the cost of legislative proposals—which involves providing formal cost estimates for all bills reported by committees of the House and Senate (most of which included estimates of the cost of intergovernmental and private-sector mandates), 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;
- Prepares projections of budgetary and economic outcomes for the coming decade and reports describing them;
- Examines the effects of the President's budgetary proposals and numerous alternative policy choices for the budget and the economy, including many options being considered by the budget committees in the course of developing a budget resolution;
- Conducts policy studies of governmental activities that have significant budgetary and economic impacts—which involves analyzing 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 2015**

In 2015, CBO produced hundreds of formal cost estimates and mandate statements as well as thousands of informal estimates, ongoing "scorekeeping" estimates for appropriation acts, and 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.

### **Formal Cost Estimates and Mandate Statements**

CBO completed 640 formal cost estimates in 2015. They generally included explanations of the components of the estimates and the estimating methodology used. The vast majority also included mandate statements, which 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 2015.

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 2015, CBO provided spending estimates with account-level detail for individual appropriation acts at all stages of the legislative process. Those tabulations totaled 118 last year. 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.

### **Baseline Budget and Economic Projections and the Data Underlying Them**

CBO issued 10-year budget and economic projections in January and August and an update of the 10-year budget projections in March. In June, the agency issued long-term budget projections looking ahead decades further. In conjunction with all of those projections, CBO posted on its website (in 48 separate files) detailed data on

Table 1.

**Products by the Congressional Budget Office, Calendar Years 2015 to 2017**

| Type of Product  | 2015,<br>Actual | 2016,<br>Estimate | 2017,<br>Estimate |
|--|-----------------|-------------------|-------------------|
| Formal Cost Estimates and Mandate Statements <sup>a</sup>      | 640             | 640               | 640               |
| Scorekeeping Tabulations                                       | 118             | 120               | 120               |
| Data Files Related to Baseline Budget and Economic Projections | 48              | 50                | 50                |
| Analytic Reports and Working Papers <sup>b</sup>               | 94              | 95                | 95                |

a. In addition to those 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. Includes CBO's major recurring reports providing budget and economic projections and analyses, the *Monthly Budget Review*, reports on a broad range of topics, testimonies, answers to questions for the record following a Congressional hearing, letters to Members of Congress, and working papers providing technical descriptions of official CBO analyses or presenting independent research by CBO analysts.

spending and revenues and on different aspects of the economy.

**Analytic Reports and Working Papers**

To describe those projections, CBO produced two major reports about the budget and economic outlook (in January and August) as well as one about the updated budget projections (in March). The agency also provided a comprehensive analysis of the long-term outlook for federal budget, spanning a 25-year horizon, which also included analysis of the economic outcomes under different budgetary paths and of the uncertainty surrounding long-term budget projections.

In addition, CBO produced two analyses of the President's budgetary proposals, one of which addressed the macroeconomic effects of those proposals.

Besides those major reports, CBO released its *Monthly Budget Review* at the beginning of every month. 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.

CBO published numerous other analytic reports in 2015—with increased emphasis on providing explanations of the agency's analytical methods in appendixes and as separate documents. Some of those analyses took the form of formal reports; others were conveyed as answers to questions for the record following a Congressional hearing, letters to Members of Congress, and working papers providing technical descriptions of official CBO analyses or presenting independent research by CBO analysts.

CBO's also presented the results of its work in the form of testimony at Congressional hearings. The agency submitted written testimony to Congressional committees on a variety of topics, including the veterans' health care system, spending on highways, the renewable fuel standard, naval shipbuilding, and nuclear waste disposal.

In conjunction with some of its analytic reports, CBO posted supplemental data on its website. The agency also posted 39 presentations, most drawn from published analyses. And it produced some in-depth blog posts on various topics.

The agency's full list of analytic reports, arrayed by category below, and working papers totals 94.

**ANALYTIC REPORTS****PROJECTIONS AND BUDGET ISSUES IN MAJOR RECURRING REPORTS**

*An Update to the Budget and Economic Outlook: 2015 to 2025* (August)

*A Macroeconomic Analysis of the President's 2016 Budget* (August)

*The 2015 Long-Term Budget Outlook* (June)

*An Analysis of the President's 2016 Budget* (March)

*Updated Budget Projections: 2015 to 2025* (March)

*The Budget and Economic Outlook: 2015 to 2015* (January)

## BUDGET ISSUES

*Monthly Budget Review* (12 issues)

*Final Sequestration Report for Fiscal Year 2016*  
(December)

*Updated Information About Federal Debt and the Statutory Limit* (Letter to the Honorable Orrin G. Hatch)  
(October)

*Federal Debt and the Statutory Limit, October 2015*

*CBO's Projections of Federal Receipts and Expenditures in the National Income and Product Accounts* (September)

*Federal Debt and the Statutory Limit, August 2015*

*Sequestration Update Report: August 2015*

*Understanding the Long-Term Budget Outlook* (Testimony before the Senate Committee on Homeland Security and Governmental Affairs) (July)

*Answers to Questions for the Record Following a Hearing on The 2015 Long-Term Budget Outlook Conducted by the Senate Committee on the Budget* (July)

*Communicating the Nation's Fiscal Status* (Letter to the Honorable Ron Johnson) (June)

*The 2015 Long-Term Budget Outlook* (Testimony before the Senate Committee on the Budget) (June)

*Budgetary and Economic Outcomes Under Paths for Federal Revenues and Noninterest Spending Specified in the Conference Report on the 2016 Budget Resolution* (April)

*A Review of CBO's Activities in 2014 Under the Unfunded Mandates Reform Act* (March)

*Legislation Enacted in the 113th Congress That Will Affect Mandatory Spending or Revenues* (March)

*Answers to Questions for the Record Following a Hearing on The Budget and Economic Outlook for 2015 to 2025 Conducted by the House Committee on the Budget* (March)

*Budgetary and Economic Outcomes Under Paths for Federal Revenues and Noninterest Spending Specified by Chairman Enzi* (March)

*Budgetary and Economic Outcomes Under Paths for Federal Revenues and Noninterest Spending Specified by Chairman Price* (March)

Letter to the Honorable Tom Price regarding accounting for automatic spending reductions in CBO's baseline projections (March)

*Answers to Questions for the Record Following a Hearing on The Budget and Economic Outlook for 2015 to 2025 Conducted by the Senate Committee on the Budget* (March)

*Federal Debt and the Statutory Limit, March 2015*

*The Budget and Economic Outlook: 2015 to 2025* (Testimony before the Senate Committee on the Budget) (January)

*The Budget and Economic Outlook: 2015 to 2025* (Testimony before the House Committee on the Budget) (January)

*Unauthorized Appropriations and Expiring Authorizations* (January)

*Final Sequestration Report for Fiscal Year 2015* (January)

## ENERGY AND NATURAL RESOURCES

*Answers to Questions for the Record Following a Hearing on the Renewable Fuel Standard Conducted by the Subcommittee on Environment and the Subcommittee on Oversight of the House Committee on Science, Space, and Technology* (December)

*The Federal Government's Responsibilities and Liabilities Under the Nuclear Waste Policy Act* (Testimony before the Subcommittee on Environment and the Economy, House Committee on Energy and Commerce) (December)

*Federal Support for the Development, Production, and Use of Fuels and Energy Technologies* (November)

*The Renewable Fuel Standard: Issues for 2015 and Beyond* (Testimony before the Subcommittee on Oversight and Subcommittee on Environment, House Committee on Science, Space, and Technology) (November)

*Using ESPCs to Finance Federal Investments in Energy-Efficient Equipment* (February)

#### HEALTH CARE

*Budgetary and Economic Effects of Repealing the Affordable Care Act* (June)

*Comparing the Costs of the Veterans' Health Care System with Private-Sector Costs* (Testimony before the Subcommittee on Health, House Committee on Veterans' Affairs) (January)

#### HOUSING, POVERTY AND INCOME SECURITY

*CBO's 2015 Long-Term Projections for Social Security: Additional Information* (December)

*Social Security Policy Options, 2015* (December)

*The Federal Role in the Financing of Multifamily Rental Properties* (December)

*Federal Housing Assistance for Low-Income Households* (September)

*Child Nutrition Programs: Spending and Policy Options* (September)

*The Effects of Potential Cuts in SNAP Spending on Households With Different Amounts of Income* (March)

Letter to the Honorable Tom Price regarding spending for means-tested programs (March)

*Temporary Assistance for Needy Families: Spending and Policy Options* (January)

#### INFRASTRUCTURE AND TRANSPORTATION

*Answer to a Question for the Record Following a Hearing on the Future of Highway Funding Conducted by the Senate Committee on Finance* (July)

*Answer to a Question for the Record Following a Hearing on the Long-Term Financing of the Highway Trust Fund Conducted by the House Committee on Ways and Means* (July)

*The Status of the Highway Trust Fund and Options for Paying for Highway Spending* (Testimony before the Senate Committee on Finance) (June)

*The Status of the Highway Trust Fund and Options for Paying for Highway Spending* (Testimony before the House Committee on Ways and Means) (June)

Letter to the Honorable Sander M. Levin regarding the estimated revenue shortfall if spending authority for the Highway Trust Fund were extended beyond May 31, 2015 (May)

*Public Spending on Transportation and Water Infrastructure, 1956 to 2014* (March)

#### MACROECONOMIC ANALYSIS

*The Macroeconomic Effects of Eliminating Automatic Reductions to Discretionary Spending Caps* (Letter to the Honorable Bernard Sanders) (August)

*CBO's Economic Forecasting Record: 2015 Update* (February)

*Why CBO Projects That Actual Output Will Be Below Potential Output on Average* (February)

*Estimated Impact of the American Recovery and Reinvestment Act on Employment and Economic Output in 2014* (February)

#### NATIONAL SECURITY

*Replacing Military Personnel in Support Positions With Civilian Employees* (December)

*CBO's Analysis of the Navy's Fiscal Year 2016 Shipbuilding Plan* (Testimony before the Subcommittee on Seapower and Projection Forces, House Committee on Armed Services) (December)

*An Analysis of the Navy's Fiscal Year 2016 Shipbuilding Plan* (October)

*Preserving the Navy's Forward Presence With a Smaller Fleet* (March)

*Projected Costs of U.S. Nuclear Forces, 2015 to 2024* (January)

#### TAXES

*CBO's Revenue Forecasting Record* (November)

*Effective Marginal Tax Rates for Low- and Moderate-Income Workers in 2016* (November)

#### OTHER ISSUES

*Proceeds From Auctions Held by the Federal*

*Communications Commission* (Letter to the Honorable Dean Heller) (April)

*Federal Contracts and the Contracted Workforce* (March)

*Report on the Troubled Asset Relief Program—March 2015*

*How Changes in Immigration Policy Would Affect the Federal Budget* (January)

*Federal Reinsurance for Terrorism Risk: An Update* (January)

#### CBO OPERATIONS

*Answers to Questions for the Record Following a Hearing by the House Committee on the Budget on the Work of the Congressional Budget Office* (July)

*Answers to Questions for the Record Following a Hearing on the Work of CBO Conducted by the Senate Committee on the Budget* (June)

*The Work of the Congressional Budget Office* (Testimony before the House Committee on the Budget) (June)

*The Work of the Congressional Budget Office* (Testimony before the Senate Committee on the Budget) (May)

*Answers to Questions for the Record Following a Hearing on CBO's 2016 Appropriation Request Conducted by the Subcommittee on the Legislative Branch, Senate Committee on Appropriations* (April)

*CBO's Appropriation Request for Fiscal Year 2016* (Testimony before the Subcommittee on the Legislative Branch, Senate Committee on Appropriations) (March)

#### WORKING PAPERS

*The Costs to Different Generations of Policies That Close the Fiscal Gap* (December)

*How CBO Estimates the Effects of the Affordable Care Act on the Labor Market* (December)

*Changes in Medicare Spending per Beneficiary by Age* (November)

*How CBO Estimates the Automatic Stabilizers* (November)

*Do Large-Scale Refinancing Programs Reduce Mortgage Defaults? Evidence From a Regression Discontinuity Design* (October)

*China's Growing Energy Demand: Implications for the United States* (June)

*Federal Reinsurance for Terrorism Risk in 2015 and Beyond* (June)

*Pricing Freight Transport to Account for External Costs* (March)

*The Fiscal Multiplier and Economic Policy Analysis in the United States* (February)

*Do We Know Why Earnings Fall with Job Displacement?* (January)

#### Improvements in

##### Internal Management in 2015

In 2015, 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. When the new Director was appointed, he met in small groups with all CBO staff.

CBO continued to emphasize training. The agency funded participation in conferences of researchers, practitioners, and government employees on various economic and policy topics, as well as training in analytic tools and various skills. The agency also continued to emphasize the need to clearly communicate the results of analyses by providing courses on writing analytic reports, reviewing reports, and writing cost estimates.

CBO implemented numerous improvements to its IT infrastructure and practices last year. Among other advances, CBO:

- Upgraded network switches to increase the speed of data transfers between the agency's location at the Ford House Office Building and the offsite Alternate Computing Facility by 50 percent, in order to facilitate backups;
- Installed new server equipment to centralize the use of some software, allowing staff to share those resources and facilitating recovery after a disaster should the need arise;
- Improved the agency's ability to monitor and remediate potential cyber threats around the clock and conduct more in-depth vulnerability assessments on a recurring basis;
- Streamlined and enhanced data storage capability and reliability to ensure that increasing requirements for using large data sets are met;
- Migrated the agency's email system to a cloud-based system, which reduced the equipment and labor needed and facilitated disaster recovery if needed; and
- Continued to improve remote access capabilities, to cover the entire workforce.

CBO continually strives to make its work more easily accessible on its public website and on its social media platforms. In 2015, CBO:

- Redesigned the website's document landing pages as part of a broader strategy to make the agency's website more mobile friendly;
- Significantly upgraded the website's search capabilities;
- Created new website topics pages on dynamic analysis and methods for analyzing health insurance coverage to make the agency's work in those areas easier to find and to bolster transparency;
- Expanded the presentation of budget options online to include all options included in analytic reports and not just those in the agency's periodic volume devoted to the topic; and
- Added a new page on the agency's website detailing the policy for its panels of advisers regarding political activity and financial interests, which includes links to the required forms.

In addition to making use of CBO's website, people interested in the agency's work can read the agency's blog, follow CBO on Twitter and SlideShare (a presentation-hosting service), monitor the agency's YouTube channel, or sign up for RSS (really simple syndication) feeds or email alerts.

Also in 2015, CBO migrated its intranet to a new, upgraded platform, a complex project that for the first time was handled completely in-house.

CBO continued to encourage small businesses to participate in its procurements by making a point of including them in its requests for price quotes and in its market research and, before making an award, by having each prospective contractor identify the type of business it is and its size. As a result of those efforts, CBO awarded 171 contracts and purchase orders to small businesses in fiscal year 2015. Of those contracts and purchase orders, 2 went to minority-owned businesses, 37 to women-owned businesses, and 2 to a business owned by a minority woman.

### **CBO's Goals for 2016 and 2017**

In carrying out its mission of serving the Congress during 2016 and 2017, 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 and pursue opportunities to enhance the transparency of the agency's work.
- Continue to improve CBO's internal management.

#### **Continue to Provide the Congress With Budget and Economic Information That Is Objective, Insightful, and Timely**

In 2016 and 2017, 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 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 the agency 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 Congressional committees and the leadership. 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 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 variations of them. To be ready to provide timely responses to requests, the agency makes ongoing investments in that process. For example, the agency is now in the process of developing an updated and refined version of its health insurance coverage model for the population under age 65.

CBO's products in 2016 and 2017 will fall into the same broad categories as in 2015:

#### **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.

#### **BASLINE BUDGET AND ECONOMIC PROJECTIONS AND THE DATA UNDERLYING THEM**

CBO expects to release 10-year budget and economic projections, typically in January and August, and an update of the 10-year budget projections, typically in March. Those budget projections will serve as neutral benchmarks for gauging the effects of spending and revenue proposals over the course of the year. The agency also expects to release long-term budget projections each summer. Along with those projections, CBO will provide detailed data on spending and revenues and on different aspects of the economy. In addition to the projections of budgetary amounts and key economic indicators, the data will include information used in the development of those projections, such as cost-of-living adjustments to various benefits, prices of crops covered by farm programs, and so on.

#### **ANALYTIC REPORTS AND WORKING PAPERS**

CBO will produce comprehensive reports on the outlook for the budget and the economy, describing in detail the baseline budget and economic projections and the basis for them. In addition, 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 will also report on the long-term budget outlook, examining the pressures facing Social Security, Medicare, Medicaid, 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 growth in the cost of health care per person. The agency will continue to enhance its analysis of the economic implications of long-term budgetary imbalances and of alternative ways of addressing those imbalances.

CBO will release, in 2016, a new volume of policy options for reducing budget deficits, including estimates and brief descriptions of the advantages and disadvantages of each option.

CBO will also provide in-depth analyses of budget and economic issues, responding to the interests and concerns of Congressional committees and the leadership. Those analyses will span broad budget issues and an array of

other topics, including health care, income security, education, macroeconomic conditions and problems, financial markets, credit programs, taxes, national security, energy, and the environment.

**Continue to Present and Explain the Methodology and Results of CBO's Analyses Clearly and Seek to Enhance the Transparency of the Agency's Work**

CBO makes a considerable effort to make its work transparent by explaining the basis of its findings so that Members of Congress, their staff, and outside analysts can understand the results and question the methodologies used. In particular, although much of the work that CBO does is extremely technical in nature, the agency devotes substantial time and energy to presenting the work as clearly and nontechnically as possible.

Obtaining feedback in response to those efforts is a key element of CBO's efforts to ensure that the information it provides is clearly presented and of the highest quality; another key element is conducting extensive external review of the agency's analytic reports before they are released and of the methodologies on which its products are based.

In the coming two years, input from outside experts and extensive external review will remain an important component of transparency:

- CBO will continue to solicit external professional review of its work so that the agency's analyses reflect both the consensus and diversity of views of experts from around the country.
- CBO's 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 whom it expects to have diverse views about the topics being analyzed and methods of analysis.
- The agency's cost estimates will often draw on consultation with outside experts.
- 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 regularly consult with those distinguished experts and other experts for guidance on the agency's work on a broad range of topics.

CBO's documents and related information will aim to go well beyond presentations of results:

- Formal cost estimates will describe 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 on the accuracy of its projections. CBO has recently released an assessment of the accuracy of its economic forecasts and a similar analysis of its revenue forecasts.
- The agency will publish supplementary data and other technical information with some of its key reports.
- Many of CBO's reports will provide substantial discussions of the relevant research literature and CBO's modeling approaches—in the text, in separate boxes, or in appendices.
- CBO will publish reports and working papers providing details about its analyses for nonexperts and technical descriptions for experts.

And the agency will promote transparency by providing broad access:

- When CBO completes a budget or economic projection, a cost estimate for a public piece of legislation, or another type of analysis, it will make the results of that analysis available immediately to all Members of Congress, their staff, and the public.
- CBO's analysts will regularly explain details underlying the agency's estimates and other analyses to interested Hill staff.
- To promote discussion among experts in the field, CBO's analysts will present their work—including descriptions of their modeling approaches—in working papers and at professional conferences.

Examples from CBO's past work illustrate other aspects of the agency's commitment to transparency. For

instance, when CBO revised its views of the effectiveness of malpractice reform in reducing health care costs, of the effect of prescription drug use on Medicare's spending for other health care services, and of the effect on the budget deficit of raising Medicare's age of eligibility to 67, it issued reports explaining why.

In addition, CBO undertakes and publishes analyses of the sensitivity of its estimates to key parameters. For example, CBO's analyses of the economic effects of fiscal policies include alternative estimates that would apply if various effects were stronger or weaker than expected—such as the amount of short-term restraint provided by higher taxes or lower government spending, the response of the labor supply to changes in tax rates, the effects of budget deficits on private saving and international capital flows, and the effect of changes in federal investment on the economy. Similarly, a report on employment-based health insurance under the Affordable Care Act showed how the results would vary if employers' and employees' responses to that act differed from the agency's expectations.

Because the overall demand for CBO's work is high and its resources are constrained, the agency needs to balance the desire to publish more detail about finished analyses with requests for new analyses and with its other responsibilities, such as regularly updating its baseline budget and economic projections. Much of CBO's analysis is very technical, so publishing explanations of the models and other analytic techniques used is time-consuming. Because the pace of Congressional action often requires CBO to produce its analysis quickly, the amount of explanation that can be provided when an estimate or analytic report is released is usually limited by the time available. How to strike the appropriate balance between publishing additional explanation, undertaking new analyses, and pursuing other responsibilities is part of the guidance about priorities that CBO seeks from committees and the Congressional leadership. The additional staffing requested in the key areas of dynamic analysis and health care would facilitate more research and analysis and more transparency in those areas.

#### **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 their skills, and providing the support services and other infrastructure needed to make

them as productive as possible. CBO is incorporating the feedback from employee surveys into the broad management goals that it has pursued in recent years.

#### **RETAINING AND DEVELOPING CBO STAFF**

CBO continues to face considerable competitive pressure in attracting and retaining the highly educated and skilled employees that it needs. More than two-thirds of the agency'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 32 percent, while the highest inflation-adjusted annual salary paid at CBO has fallen by 7 percent. In addition, most of CBO's staff who are not economists or 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 appeal of the agency's mission to provide objective analyses, the intellectual challenges, 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. However, with the current limits on the salaries that CBO can pay in the competitive markets for economists, budget analysts, and other professionals, retaining strong performers will be difficult over the long term.

In addition to its role in improving work products, staff development plays an important part in retaining staff. For both purposes, the agency will continue to fund professional development, IT training, and efforts to improve communication skills. Of course, to remain fiscally prudent, CBO will continue efforts to develop skills using internal resources and those of sister agencies to the extent possible.

#### MAINTAINING AND IMPROVING TECHNOLOGICAL INFRASTRUCTURE

CBO continually works to improve its technological infrastructure. In 2016 and 2017, CBO plans to:

- Replace network switches and redesign the agency's network at the Ford House Office Building to improve the speed and reliability of electronic communications;
- Conduct failover and disaster recovery testing that will temporarily shift all mission-critical operations to the offsite Alternate Computing Facility to ensure their continued availability in the event of a disaster rendering the Ford House Office Building inaccessible;
- Improve the agency's ability to identify, isolate, and remediate internal and external cyber threats by upgrading, replacing, and adding various security systems and by testing the systems' capabilities to withstand penetration and breach attempts; and
- Acquire new hardware and systems to support providing staff with "virtual desktops," which are more cost-effective in the long run and allow for greater mobility and easier maintenance than physical desktops.

#### Key Staffing Changes in 2015 and January 2016

Keith Hall took the helm as the ninth Director of CBO on April 1, 2015. Dr. Hall has more than 25 years of public service. Just before joining CBO, he served as the Chief Economist and Director of Economics at the International Trade Commission (ITC). Before that, he was a senior research fellow at George Mason University's Mercatus Center, the Commissioner of the Bureau of Labor Statistics, Chief Economist for the White House's Council of Economic Advisers, Chief Economist for the Department of Commerce, a senior international economist for the ITC, and an international economist at the Department of Treasury. In those positions, he worked on a wide variety of topics, including labor market analysis and policy, economic conditions and measurement, macroeconomic analysis and forecasting, international economics and policy, and computational partial equilibrium modeling. In addition, Dr. Hall has held academic positions at the University of Arkansas and

the University of Missouri. He earned his Ph.D. and M.S. in economics from Purdue University.

Leigh Angres was promoted to become CBO's Associate Director for Legislative Affairs in July 2015. She joined CBO in 2007 and has worked in a variety of positions. Most recently, she served for more than five years as a special assistant to the Director, in which capacity she was responsible for preparing the Director's presentations, managing CBO's blog, and performing research projects on various budget and economic issues. During that time, she coauthored two reports: *Choices for Deficit Reduction* (November 2012) and *Choices for Deficit Reduction: An Update* (December 2013). Before joining the Director's office, she was an analyst in the Budget Analysis Division. There, she prepared cost estimates for legislation involving deposit insurance, the U.S. court system, and Department of Justice programs. In earlier government service, Ms. Angres worked as a budget analyst in the Department of Justice's Civil Division, preparing the agency's appropriation requests. She earned her M.P.P. from the University of California at Berkeley and her A.B. from Duke University.

In January 2016, Wendy Edelberg became an Associate Director for Economic Analysis, having served as the Assistant Director for Macroeconomic Analysis almost five years. Just before coming to CBO in 2011, she was the executive director of the Financial Crisis Inquiry Commission, which released its report on the causes of the financial crisis in January 2011. Previously, she worked on issues related to macroeconomics, housing, and consumer spending at the President's Council of Economic Advisers during two administrations. Before that, she worked on those same issues at the Federal Reserve Board. She received a Ph.D. in economics from the University of Chicago, an M.B.A. from the University of Chicago, and a B.A. from Columbia University.

After a spell away, Philip Ellis returned to CBO in 2013 and was promoted to the position of Deputy Assistant Director of the Health, Retirement, and Long-term Analysis Division in February 2015. From 2011 to 2013, he worked as a Senior Vice President in the Center for Health Reform and Modernization at UnitedHealth Group. Previously, he had worked at CBO for more than eight years in various positions. He served as a leader of the agency's health team during the 2009–2010 consideration of health care legislation, focusing primarily on estimating the effects of proposals affecting

insurance coverage. His earlier work at CBO covered a wide range of topics in health care. Before joining CBO in 2002, Dr. Ellis was a Senior Advisor in the Office of the Assistant Secretary for Planning and Evaluation at the Department of Health and Human Services and worked in the Office of Economic Policy at the Treasury Department. He holds a Ph.D. in economics from MIT, a master's degree in public policy from Harvard's Kennedy School of Government, and a bachelor's degree in economics and international relations from Stanford University.

**Theresa Gullo** was promoted to the position of Assistant Director for Budget Analysis in March 2015. Since joining CBO in 1985, Ms. Gullo has held a variety of positions. She served as an analyst in the Natural and Physical Resources Cost Estimates Unit, where she handled land and water management issues. Following the enactment of the Unfunded Mandates and Reform Act in 1995, she helped create the State and Local Government Cost Estimates Unit, which she managed for more than 12 years. In 2007, she became the division's Deputy Assistant Director. Before coming to CBO, Ms. Gullo worked at the Urban Institute, conducting research on a variety of public finance issues,

including infrastructure investment and state implementation of federal block grants. She graduated from Scripps College with a bachelor's degree in American studies and received a master's degree in public policy from the University of California at Berkeley.

**Jeffrey F. Werling** joined CBO in January 2016. Before coming to the agency, he was the Director of Inforum, a research unit within the Department of Economics at the University of Maryland, College Park. There, he served as the principal investigator for projects concerning economic forecasts, infrastructure investment, health care, fiscal policy, port disruptions, immigration, and exchange rate fluctuations. For more than a decade, he contributed to the Blue Chip and other consensus economic forecasts. He also taught an undergraduate course in economic development. Previously, he held positions as an international and industry economist with the National Electrical Manufacturers Association, the Manufacturers Alliance for Productivity and Innovation, and Wharton Econometric Forecasting Associates (now Global Insight). He received a B.S. in mineral economics from the Pennsylvania State University, and an M.A. and a Ph.D. in economics from the University of Maryland.

**Organization Charts**

Figures 3 through 11 show CBO's organizational structure.

Figure 3.

**Organization Chart—Entire Agency**

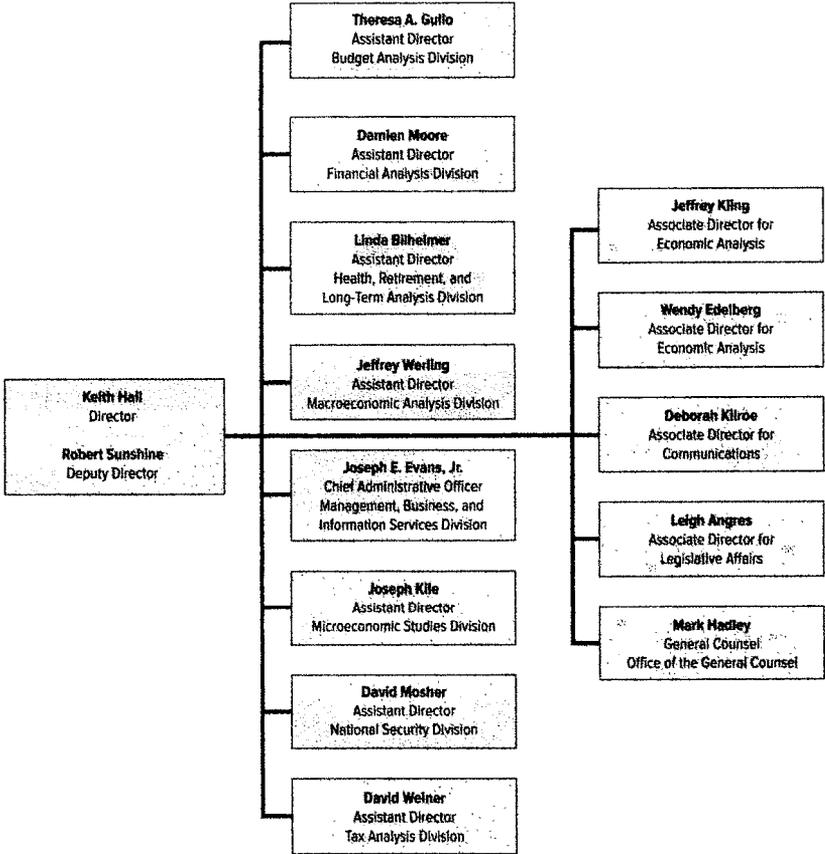


Figure 4.

**Organization Chart—Budget Analysis Division**

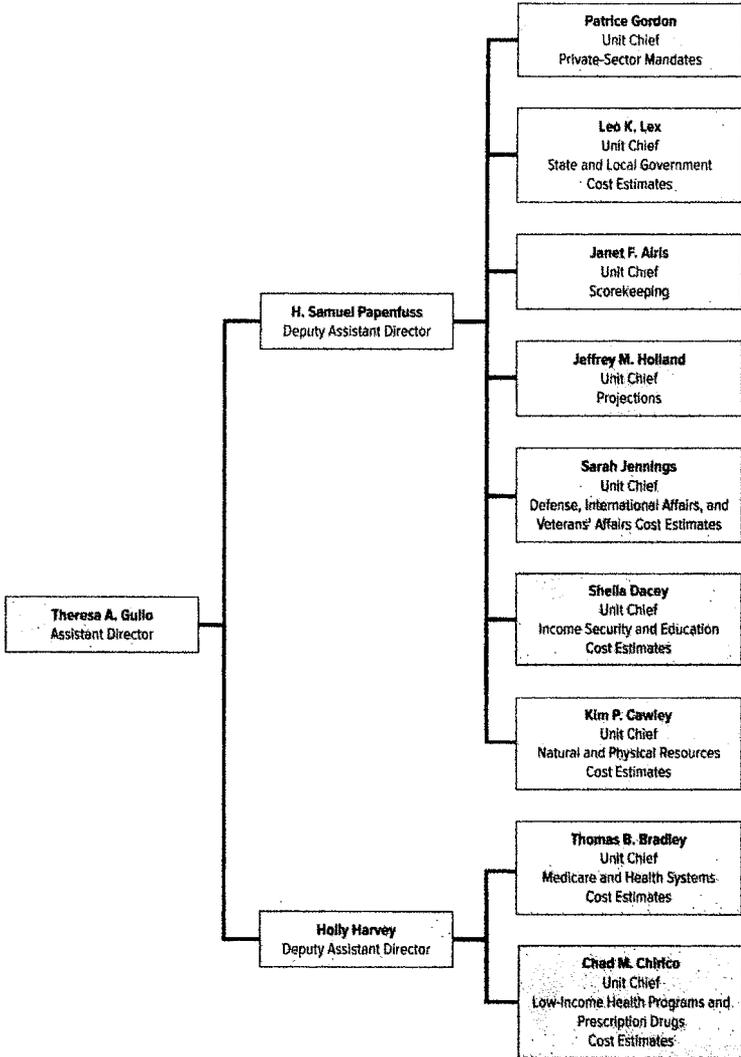


Figure 5.

**Organization Chart—Financial Analysis Division**

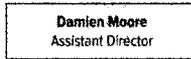


Figure 6.

**Organization Chart—Health, Retirement, and Long-Term Analysis Division**

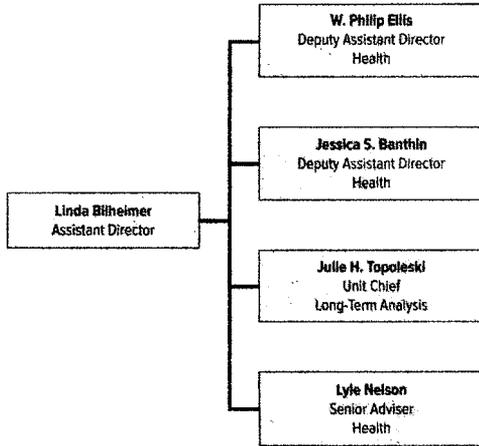


Figure 7.

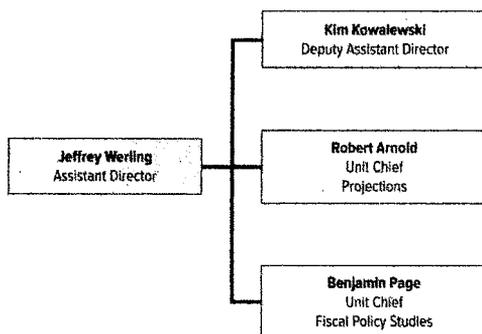
**Organization Chart—Macroeconomic Analysis Division**

Figure 8.

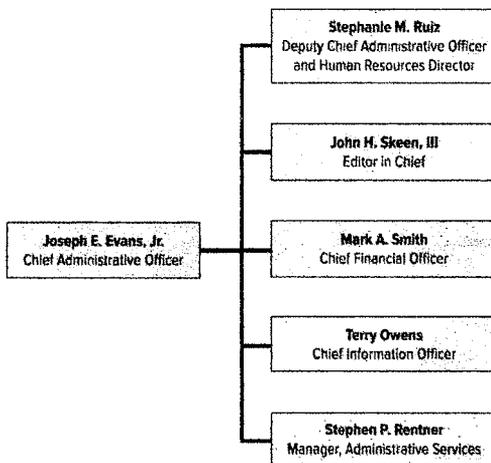
**Organization Chart—Management, Business, and Information Services Division**

Figure 9.

**Organization Chart—Microeconomic Studies Division**

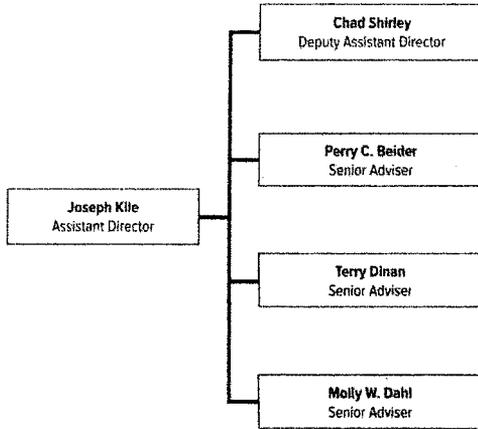


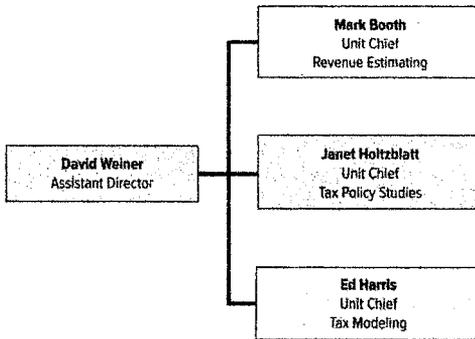
Figure 10.

**Organization Chart—National Security Division**



Figure 11.

**Organization Chart—Tax Analysis Division**



## Detailed Tables

Tables 2 through 8 provide a detailed breakdown of CBO's past budgets and requested appropriations for fiscal year 2017.

Table 2.

### Summary of Salaries and Expenses Appropriation, by Organizational Unit

Thousands of Dollars

| Organizational Unit                               | Fiscal Year 2015,<br>Actual |               | Fiscal Year 2016,<br>Enacted |               | Fiscal Year 2017,<br>Request |               | Change From FY 2016 to FY 2017<br>Funding |              |            |
|---|-----------------------------|---------------|------------------------------|---------------|------------------------------|---------------|---|--------------|------------|
|   | FTEs                        | Funding       | FTEs                         | Funding       | FTEs                         | Funding       | FTEs                                      | Amount       | Percentage |
| Office of the Director                            | 16                          | 3,051         | 16                           | 3,152         | 16                           | 3,144         | 0   | -8           | -0.3       |
| Budget Analysis                                   | 80                          | 13,887        | 82                           | 14,763        | 82                           | 15,014        | 0   | 251          | 1.7        |
| Macroeconomic Analysis                            | 20                          | 3,637         | 20                           | 3,825         | 21                           | 3,983         | 1   | 158          | 4.1        |
| Financial Analysis                                | 7                           | 1,342         | 7                            | 1,420         | 7                            | 1,453         | 0   | 33           | 2.3        |
| Tax Analysis                                      | 18                          | 3,110         | 17                           | 3,059         | 17                           | 3,111         | 0   | 52           | 1.7        |
| Health, Retirement, and<br>Long-Term Analysis     | 26                          | 4,722         | 29                           | 5,323         | 31                           | 5,769         | 2   | 446          | 8.4        |
| Microeconomic Studies                             | 18                          | 3,408         | 17                           | 3,065         | 17                           | 3,114         | 0   | 49           | 1.6        |
| National Security                                 | 14                          | 2,706         | 13                           | 2,354         | 13                           | 2,400         | 0   | 46           | 2.0        |
| Management, Business,<br>and Information Services | 34                          | 9,813         | 34                           | 9,539         | 34                           | 9,649         | 0   | 110          | 1.2        |
| <b>Total</b>                                      | <b>233</b>                  | <b>45,676</b> | <b>235</b>                   | <b>46,500</b> | <b>238</b>                   | <b>47,637</b> | <b>3</b>                                  | <b>1,137</b> | <b>2.4</b> |

FTE = full-time-equivalent position; FY = fiscal year.

Table 3.

**Summary of Salaries and Expenses Appropriation, by Object Class**

Thousands of Dollars

| Object Class | CBO Activities                                       | Fiscal Year 2015,  | Fiscal Year 2016, | Fiscal Year 2017, | Fiscal Years  |            |
|--------------|--|--------------------|-------------------|-------------------|---------------|------------|
|              |  | Actual Obligations | Enacted           | Request           | 2016 and 2017 | Percentage |
|              |  |                    |                   |                   | Change        | Change     |
| 11.1         | Full-Time Permanent Positions                        | 28,891             | 30,066            | 30,951            | 885           | 2.9        |
| 11.3         | Other Than Full-Time Permanent                       | 877                | 653               | 686               | 33            | 5.1        |
| 11.5         | Other Personnel Compensation (Performance Awards)    | 530                | 600               | 600               | 0             | 0.0        |
| 11.5         | Other Personnel Compensation (Overtime)              | 12                 | 12                | 12                | 0             | 0.0        |
| 12.1         | Personnel Benefits                                   | 10,433             | 10,769            | 11,049            | 280           | 2.6        |
|              | Total, Pay   | 40,743             | 42,100            | 43,298            | 1,198         | 2.8        |
| 21.0         | Travel and Transportation of Persons                 | 185                | 185               | 185               | 0             | 0.0        |
| 23.3         | Communications, Utilities, and Miscellaneous Charges | 298                | 290               | 281               | -9            | -3.1       |
| 24.0         | Printing and Reproduction                            | 31                 | 34                | 33                | -1            | -2.9       |
| 25.0         | Other Services                                       | 2,313              | 2,092             | 2,173             | 81            | 3.9        |
| 26.0         | Supplies and Materials                               | 407                | 397               | 407               | 10            | 2.5        |
| 31.0         | Equipment  | 1,699              | 1,402             | 1,260             | -142          | -10.1      |
|              | Total, Nonpay  | 4,933              | 4,400             | 4,339             | -61           | -1.4       |
|              | <b>Total</b>   | <b>45,676</b>      | <b>46,500</b>     | <b>47,637</b>     | <b>1,137</b>  | <b>2.4</b> |

Table 4.

**Salaries and Expenses Appropriation: Analysis of Change**

Thousands of Dollars

|  | FTEs       | Requested Amount<br>(Thousands of dollars) |
|--|------------|--|
| Fiscal Year 2016 Funding   | 235        | 46,500                                     |
| <b>Mandatory Pay and Related Costs</b>                           |            |  |
| Annualization of prior fiscal year personnel actions (Pay only)  |            | 479  |
| Personnel additions (Pay only)                                   | 3          | 293  |
| Fiscal year 2017 across-the-board pay adjustment (Pay only)      |            | 63   |
| Fiscal year 2017 performance increases (Pay only)                |            | 361  |
| Increase in other than full-time permanent                       |            | 33   |
| Savings from delay in backfilling vacated positions (Pay only)   |            | -32  |
| Two fewer workdays than in fiscal year 2016 (Pay only)           |            | -226                                       |
| Savings from reduction in leave buyout costs (Pay only)          |            | -53  |
| Personnel additions (Benefits)                                   |            | 98   |
| Savings from delay in backfilling vacated positions (Benefits)   |            | -11  |
| Other personnel benefit changes                                  |            | 268  |
| Two fewer workdays than in fiscal year 2016 (Benefits only)      |            | -75  |
| <b>Total, Mandatory Pay and Related Costs</b>                    |            | <u>1,198</u>                               |
| <b>Price-Level Changes</b>                                       |            |  |
| Price increases  |            | 0  |
| <b>Total, Price-Level Changes</b>                                |            | <u>0</u>                                   |
| <b>Program Changes</b>   |            |  |
| Decrease in communications, utilities, and miscellaneous charges |            | -9   |
| Decrease in printing and reproduction                            |            | 1  |
| Increase in other services                                       |            | 81   |
| Increase in supplies and materials                               |            | 10   |
| Decrease in equipment  |            | -142                                       |
| <b>Total, Program Changes</b>                                    |            | <u>-61</u>                                 |
| Net Increase or Decrease   | <u>3</u>   | <u>1,137</u>                               |
| <b>Fiscal Year 2017 Request</b>                                  | <b>238</b> | <b>47,637</b>                              |

FTE = full-time-equivalent position.

Table 5.

**Staffing Summary**

| Organizational Unit                               | Fiscal Year 2015                              |                             | Fiscal Year 2016,<br>Enacted<br>FTEs | Fiscal Year 2017,<br>Requested<br>FTEs | Change in FTEs<br>From FY 2016<br>to FY 2017 |
|---|---|-----------------------------|--------------------------------------|--|--|
|   | Actual<br>Number of<br>Employees <sup>a</sup> | Actual<br>FTEs <sup>b</sup> |                                      |  |  |
| Office of the Director                            | 15  | 16                          | 16                                   | 16                                     | 0  |
| Budget Analysis                                   | 81  | 80                          | 82                                   | 82                                     | 0  |
| Macroeconomic Analysis                            | 18  | 20                          | 20                                   | 21                                     | 1  |
| Financial Analysis                                | 6   | 7                           | 7                                    | 7                                      | 0  |
| Tax Analysis                                      | 18  | 18                          | 17                                   | 17                                     | 0  |
| Health, Retirement, and Long-Term Analysis        | 28  | 26                          | 29                                   | 31                                     | 2  |
| Microeconomic Studies                             | 19  | 18                          | 17                                   | 17                                     | 0  |
| National Security                                 | 13  | 14                          | 13                                   | 13                                     | 0  |
| Management, Business, and<br>Information Services | 34  | 34                          | 34                                   | 34                                     | 0  |
| <b>Total</b>                                      | <b>232</b>                                    | <b>233</b>                  | <b>235</b>                           | <b>238</b>                             | <b>3</b>                                     |

FTE = full-time-equivalent position.

a. Number of employees at the end of the year.

b. Cumulative number of FTEs over the course of the year.

Table 6.

**Supplemental Data on Mandatory Pay Increases in CBO's Request**

| Thousands of Dollars  |              |  |
|---|--------------|--|
| Category  | Amount       | Explanation of Calculation   |
| Annualization of Prior Fiscal Year Personnel Actions (Pay only) | 479          | CBO annualized fiscal year 2016 actions to include promotions and performance-based increases for staff.   |
| Personnel Additions (Pay only)                                  | 293          | CBO added pay for three new FTEs.  |
| Fiscal Year 2017 Across-the-Board Pay Adjustment (Pay only)     | 63           | Funding for a projected 2.6 percent across-the-board pay increase in January 2017 for staff whose salary is less than \$100,000 (if such an increase is authorized for executive branch agencies).   |
| Fiscal Year 2017 Performance Increases (Pay only)               | 361          | 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 markets for economists and budget analysts. |
| Increase in Other Than Full-Time Permanent                      | 33           | Funding to support a slight increase in costs for employees other than full-time permanent employees.  |
| Savings From Delay in Backfilling Vacated Positions (Pay only)  | -32          | On the basis of historical data, CBO budgeted for pay savings to be realized because of the normal delay in backfilling vacated positions.   |
| Two Fewer Workdays Than in Fiscal Year 2016 (Pay only)          | -226         | CBO reduced pay needs on the basis of having 260 compensable days in fiscal year 2017, as compared with 262 compensable days in fiscal year 2016.  |
| Savings From Reduction in Leave Buyout Costs                    | -53          | CBO reduced leave buyout costs on the basis of historical data.  |
| Personnel Additions (Benefits)                                  | 98           | CBO added pay for three new FTEs.  |
| Savings From Delay in Backfilling Vacated Positions (Benefits)  | -11          | On the basis of historical data, CBO budgeted for benefit savings to be realized because of the normal delay in backfilling vacated  |
| Other Personnel Benefit Changes                                 | 268          | This line item represents the estimated cost of the change in benefits associated with health insurance, life insurance, workers' compensation, and the Federal Insurance Contributions Act (FICA) tax.  |
| Two Fewer Workdays Than in Fiscal Year 2016 (Benefits only)     | -75          | CBO reduced benefit needs on the basis of having 260 compensable days in fiscal year 2017, as compared with 262 compensable days in fiscal year 2016.  |
| <b>Total, Mandatory Pay Increases</b>                           | <b>1,198</b> |  |

FTE = full-time-equivalent position.

Table 7.

**Supplemental Data on Price-Level Increases in CBO's Request**

Thousands of Dollars

| Category                           | Amount   | Explanation of Calculation   |
|------------------------------------|----------|--|
| General Inflationary Increase      | 0        | Although CBO might have included an adjustment of 2.2 percent to match its projection of inflation, it did not in order to help pare costs for nonpay items. |
| <b>Total, Price-Level Increase</b> | <b>0</b> |  |

The general inflationary rate of 2.2 percent of the non-pay was not used.

CBO kept selected non-pay items flat in FY 2017.

Table 8.

**Salaries and Expenses Obligations: 10-Year Historical Data**

Thousands of Dollars, Not Adjusted for Inflation, by Fiscal Year

| Object |  |               |               |               |               |               |               |               |               | 2016,         | 2017,         |
|--------|--|---------------|---------------|---------------|---------------|---------------|---------------|---------------|---------------|---------------|---------------|
| Class  | CBO Activities                                       | 2008          | 2009          | 2010          | 2011          | 2012          | 2013          | 2014          | 2015          | Enacted       | Requested     |
| 11.1   | Full-Time Permanent Positions                        | 25,149        | 26,864        | 28,564        | 29,724        | 29,488        | 28,687        | 28,200        | 28,891        | 30,066        | 30,951        |
| 11.3   | Other Than Full-Time Permanent                       | 876           | 901           | 991           | 838           | 543           | 514           | 818           | 877           | 653           | 686           |
| 11.5   | Other Personnel Compensation                         | 91            | 454           | 994           | 885           | 567           | 6             | 583           | 542           | 612           | 612           |
|        |  | <u>26,116</u> | <u>28,219</u> | <u>30,549</u> | <u>31,447</u> | <u>30,598</u> | <u>29,207</u> | <u>29,601</u> | <u>30,310</u> | <u>31,331</u> | <u>32,249</u> |
| 12.1   | Personnel Benefits                                   | 8,348         | 8,921         | 9,633         | 10,048        | 9,939         | 9,711         | 9,752         | 10,433        | 10,769        | 11,049        |
| 13.0   | Benefits for Former Personnel                        | 0             | 0             | 0             | 8             | 0             | 0             | 0             | 0             | 0             | 0             |
| 21.0   | Travel and Transportation of Persons                 | 137           | 119           | 123           | 168           | 128           | 112           | 123           | 185           | 185           | 185           |
| 23.3   | Communications, Utilities, and Miscellaneous Charges | 169           | 197           | 220           | 264           | 160           | 157           | 318           | 298           | 290           | 281           |
| 24.0   | Printing and Reproduction                            | 23            | 68            | 39            | 61            | 26            | 11            | 29            | 31            | 34            | 33            |
| 25.0   | Other Services                                       | 1,527         | 3,873         | 3,300         | 2,616         | 1,439         | 1,381         | 2,445         | 2,313         | 2,092         | 2,173         |
| 26.0   | Supplies and Materials                               | 404           | 746           | 465           | 458           | 454           | 370           | 422           | 407           | 397           | 407           |
| 31.0   | Equipment  | 477           | 2,103         | 2,355         | 1,597         | 985           | 520           | 2,293         | 1,699         | 1,402         | 1,260         |
|        | <b>Total, Obligations</b>                            | <u>37,201</u> | <u>44,246</u> | <u>46,684</u> | <u>46,667</u> | <u>43,729</u> | <u>41,469</u> | <u>44,983</u> | <u>45,676</u> | <u>46,500</u> | <u>47,637</u> |
|        | Full-Time-Equivalent Positions                       | 235           | 242           | 250           | 246           | 237           | 225           | 225           | 233           | 235           | 238           |

## Detailed Object Class Analysis

The details of CBO's requested appropriation for 2017 are explained below.

### Basis for CBO's Budget Estimates—Personnel Costs

Projections of personnel costs are derived using CBO's internally developed software for tracking current payroll costs and projecting future payroll costs. Estimates are based on employee-level payroll data at the object class level. In prior years, payroll budget projections derived from this database have proved to be more than 99 percent accurate for developing and tracking personnel costs.

#### OBJECT CLASS 11—FULL-TIME AND PART-TIME EMPLOYEES: \$32,249,400

- **\$31,350,000 for Base Pay**—funds an average of 238 FTEs for the fiscal year. The amount constitutes an overall net increase of \$971,000:
  - \$479,000 is for prior-year personnel actions (performance-based increases and promotions).
  - \$293,000 is for base pay for three additional FTEs.

\$62,600 is for an across-the-board pay increase of 2.6 percent in January 2017 for staff whose salary is less than \$100,000 (if such an increase is authorized for executive branch agencies).

\$361,000 is for performance-based increases in 2017. CBO uses a performance-based system to reward its employees. 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 markets for economists, budget analysts, and other professionals.

\$33,000 is for increased base pay for employees other than full-time permanent employees.

Savings of \$32,000 arise from normal delays in filling vacant positions.

Savings of \$226,000 arise from having two fewer workdays than in fiscal year 2016.

- **\$600,000 for Performance Bonuses**—funds performance bonuses for CBO's top performers. To be provided at the same level as that projected for fiscal year 2016, such bonuses enable CBO to control long-term compensation costs while helping to retain its outstanding performers in competitive job markets.
- **\$287,400 for Leave Buyout Costs**—funds mandatory leave buyout costs for employees who depart. This amount is based on current data and projected departures; the amount is a decrease of \$53,000 from that in fiscal year 2016. For leave buyout costs above this amount, CBO would delay filling vacated positions to cover the costs.
- **\$12,000 for Overtime Pay**—funds overtime pay for nonexempt employees at the same level as that in fiscal year 2016. Currently, CBO has 13 employees serving in nonexempt positions. Overtime is required 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 and printing products, delivering them to the Congress, and providing technical support.

#### OBJECT CLASS 12—PERSONNEL BENEFITS: \$11,048,500

- **\$5,199,400 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 increase of \$91,700. Fiscal year 2017 costs are based on the projected base pay for current employees using the current benefit rates of 18.4 percent for FERS employees generally, 7.5 percent for CSRS and CSRS Offset employees, 11.1 percent for employees new to government after December 31, 2012, along with a reduction for anticipated attrition.
- **\$1,824,600 for Health Insurance**—funds mandatory health benefit costs. The amount constitutes an increase of \$106,100. Fiscal year 2017 costs are projected to be 6.2 percent above those in 2016.
- **\$1,643,600 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 \$25,900. Fiscal year 2017 costs are projected using an estimated maximum

- taxable amount of \$120,000 for each employee, along with a reduction for anticipated attrition.
- **\$1,169,100 for FERS Thrift Savings Plan (TSP) Government Matching Contributions**—funds mandatory government matching contributions. The amount constitutes an increase of \$9,100. Fiscal year 2017 costs are projected on the basis of 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 3.8 percent of base pay.
  - **\$465,000 for Medicare Payroll Taxes**—funds mandatory benefit costs for CBO employees. The amount constitutes an increase of \$15,400. Fiscal year 2017 costs are projected using 1.45 percent of base pay, along with a reduction for anticipated attrition.
  - **\$305,400 for FERS TSP Government Basic Contribution**—funds the mandatory FERS TSP matching benefit of 1 percent. The amount constitutes an increase of \$9,600. Fiscal year 2017 costs are projected on the basis of the benefits paid to current employees using their current annualized salary, along with a reduction for anticipated attrition.
  - **\$276,000 for the Transit Subsidy Program**—funds mandatory employee benefits that are associated with CBO's Transit Subsidy Program. The amount constitutes an increase of \$22,000, which covers the annualized cost of the increase in the maximum transit subsidy that took effect in fiscal year 2016.
  - **\$104,500 for Recruitment Bonuses**—funds a valuable recruiting tool for the agency. The amount is the same as that in fiscal year 2016.
  - **\$41,300 for Life Insurance**—funds mandatory life insurance benefits for employees. The amount constitutes an increase of \$1,400. Fiscal year 2017 costs are projected on the basis of historical data and equal roughly 0.1 percent of base pay.
  - **\$18,000 for the Student Loan Repayment Program**—funds a valuable recruiting tool for the agency. The amount is the same as that in fiscal year 2016. There are currently two commitments of \$6,000 made to two employees.
  - **\$1,500 for the Federal Flexible Spending Account Program (FSAFEDS)**—funds mandatory costs for participation in FSAFEDS by employees. The amount is the same as that in fiscal year 2016. Fiscal year 2017 costs are projected on the basis of employees' historical use of the program.
  - **\$100 for Workers' Compensation**—provides funds to cover workers' compensation claims received in FY 2015, but required to be paid in FY 2017. Based on data received from the Department of Labor, the amount is a decrease of \$1,400 from that in fiscal year 2016.
- Basis for CBO's Budget Estimates—Nonpersonnel Costs**  
Projections of nonpersonnel costs are derived using CBO's past experience and plans for the upcoming year.
- OBJECT CLASS 21—TRAVEL: \$184,600**
- **\$184,600 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 the agency's analyses; funds employees' attendance at the annual Allied Social Science Associations conference, which is a primary venue 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 2016.
- OBJECT CLASS 23.3—COMMUNICATIONS, UTILITIES, AND MISCELLANEOUS: \$280,900**
- **\$272,800 for Telecommunications and Telephone Services**—funds secure communication lines to support Internet and intranet services, local and long distance telephone services, and smart phone service for some CBO personnel. Based on anticipated requirements, this amount is an \$8,400 decrease from that in fiscal year 2016.
  - **\$8,100 for Mail Service**—funds postage, couriers, and mail services. The amount is a \$600 decrease from that in fiscal year 2016.
- OBJECT CLASS 24—PRINTING AND REPRODUCTION: \$32,600**
- **\$32,600 for Publications**—funds the printing of publications through the Government Publishing Office and other miscellaneous printing requirements

involving CBO's products for the Congress. The amount is a \$1,000 decrease from that in fiscal year 2016.

**OBJECT CLASS 25—OTHER SERVICES: \$2,173,400**

- **\$501,400 for Commercial Data**—funds purchases of data on health care, domestic and international banking and financial markets, and other topics in support of the agency's analyses. On the basis of known requirements, the amount is a \$25,200 decrease from that in fiscal year 2016.
- **\$428,700 for Equipment Maintenance and Repair**—funds a broad array of IT items needed for operations. Based on known requirements, the amount is a \$102,500 increase from that in fiscal year 2016. CBO's equipment maintenance costs have increased substantially in recent years, primarily because of the need to add network security appliances to safeguard the agency's IT infrastructure. Besides security, this funding supports maintenance, repairs, and updates of backup equipment, network equipment, copiers, a high-capacity printer, network storage, data backup software, and other software. It also pays for professional services as necessary to implement major upgrades, for virtual computing and network storage management, for instance. 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.
- **\$374,400 for IT System Development and Support**—funds major software installations, upgrades, and support. The amount is a \$91,300 increase, made necessary primarily because of the need to provide continuous security support and a requirement to conduct vulnerability and penetration tests to gauge the reliability of CBO's network infrastructure. IT 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 development projects, for the agency's website and centralized database systems, for instance; to augment the agency's own staff to quickly resolve complex outages; to provide mandatory annual security assessments; and to help develop comprehensive security management policies.
- **\$225,200 for Training**—funds CBO analysts' participation in conferences and technical training in data analysis (including Statistical Analysis Software [SAS]), economic modeling, business and report writing, and IT systems and software, as well as management training for managers. The amount is the same as that in fiscal year 2016. To constrain expenses in this area, CBO takes advantage of House-sponsored training courses as well as those offered by other agencies.
- **\$184,300 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 experience, is a \$66,800 decrease from that in fiscal year 2016 (during which the agency is incurring added costs related to analysis of the Trans-Pacific Partnership).
- **\$95,400 for Financial Management Support**—funds the interagency agreement with the Library of Congress (LOC). Based on known requirements, this amount is a \$13,300 decrease from that in fiscal year 2016. 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 the agency's financial management system, which is called 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.

- **\$94,500 for the Financial Management System (Momentum)**—funds annual costs of CBO’s maintenance support for Momentum. The amount is a \$26,800 increase from that in fiscal year 2016 to support anticipated changes to Momentum that will enhance financial operations.
- **\$93,300 for Miscellaneous Temporary Support**—funds ad hoc IT, clerical, and miscellaneous support throughout the agency during peak workload periods. This amount is a \$68,600 decrease because the agency had some one-time needs for legal, IT, and other contractor support in fiscal year 2016.
- **\$61,400 for the Financial Audit**—funds the annual independent audit of CBO’s financial statements. The amount is a \$24,300 increase from that in fiscal year 2016. 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 obtaining on its own a Statement on Standards for Attestation Engagement No. 16 Report. This is a fixed-cost contract, so funding cannot be adjusted.
- **\$48,000 for Editing and Publications Contractor Support**—principally funds ad hoc services by contractors to help in producing CBO publications. The contractors are used to augment the agency’s editing capacity, particularly to assist during peak workload periods. Based on anticipated requirements, this amount is an \$11,600 increase from that in fiscal year 2016.
- **\$32,000 for Payroll Processing Support**—funds comprehensive payroll (and related benefits) processing for CBO by the National Finance Center. That agency provides payroll services to more than 140 government agencies, allowing it to offer services at substantially lower costs than what would be possible otherwise. Based on anticipated requirements, this amount is a \$1,400 decrease from that in fiscal year 2016.
- **\$28,800 for Human Resources Contract Support**—funds a variety of costs related to CBO’s personnel, including those for posting jobs to the USAJobs website and advertising vacancies, retaining personnel

records, and participating in recruitment events—as well as minor costs associated with employment services such as retirement counseling. The amount is the same as that in fiscal year 2016.

- **\$6,000 for Official Representation**—funds events such as meetings of the Panel of Economic Advisers, Panel of Health Advisers, and other outside analysts, as well as minority recruitment events. The amount is the same as that in fiscal year 2016.

**OBJECT CLASS 26.0—SUPPLIES AND MATERIALS: \$407,100**

- **\$332,600 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 a \$7,600 increase from that in fiscal year 2016.

- **\$74,500 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 a \$2,000 increase from that in fiscal year 2016.

**OBJECT CLASS 31.0—EQUIPMENT: \$1,259,500**

- **\$733,400 for Hardware**—funds CBO’s computer purchases. Based on known requirements, this amount is a \$194,000 decrease from that in fiscal year 2016, because CBO purchased IT storage hardware this year and will not need to do so next year. The requested funding supports the replacement of outdated network equipment located at the Ford House Office Building and the Alternate Computing Facility. The funding also allows for establishing a virtual desktop system to replace existing desktops; such a system improves the function of maintaining desktops, saves money, and makes recovering much easier if a disaster strikes.

- **\$457,100 for Software**—funds various requirements for software. Based on known requirements, the amount is a \$55,700 increase from that in fiscal year 2016. The requested amount covers a Microsoft Software Volume License, Office 365, Trend Antivirus software, GAUSS (a programming language for analysis), STATA (Statistics and Data), Matlab (a computing language), Adobe Professional, SAS, Cisco ISE (for Wifi system), security software, VMWare (virtualization) software, Absolute HelpDesk software, and other software used by CBO analysts.
- **\$50,600 for Office Furniture**—funds the replacement of office furniture. The amount is a \$600 increase from that in fiscal year 2016. Funds are used to replace worn-out office equipment and to purchase ergonomic furniture to maximize employees' productivity. Purchases include some made necessary by requirements to provide reasonable accommodations under the Americans With Disabilities Act.
- **\$13,400 for Office Equipment**—funds requirements for such things as audio/video equipment and shredders. The amount is a \$4,700 decrease from that in fiscal year 2016 because this year CBO made some one-time purchases of equipment. Funding at this level provides for the replacement of equipment that becomes damaged because of normal wear and tear.
- **\$5,000 for Books**—funds the purchase of books used by CBO staff to meet analytical requirements. The amount is the same as that in fiscal year 2016.

## Requested Changes in Administrative Provisions

CBO requests that the following two changes to administrative provisions be made in the fiscal year 2017 appropriation act for the legislative branch, related to hiring and senior positions.

### Hiring Employees With Non-Immigrant Visas

*SEC. 1001. During fiscal year 2017, 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. In the past several years, CBO has struggled to fill crucial Ph.D. economist positions with people having skills in econometrics and financial modeling. However, the agency's options are limited because citizens and permanent residents constitute slightly fewer than half of recent graduates from Ph.D. economics programs in the United States. The agency expects that expanding the pool of candidates to include foreign nationals with non-immigrant visas would help it fill some of those key positions with highly skilled people.

### Authorization for Senior Positions

#### *SEC. 1002. SENIOR POSITIONS.*

*(a) AUTHORIZATION.*—*The Director of the Congressional Budget Office is authorized to establish senior positions to meet critical scientific, technical, professional, and executive needs of the Congressional Budget Office.*

*(b) REGULATIONS.*—*The Director may, by regulation, make applicable such provisions of chapter 53 of title 5, United States Code, as the Director determines necessary to provide for such positions.*

*(c) SELF-CERTIFICATION OF PERFORMANCE APPRAISAL SYSTEM.*—*Notwithstanding any provision of section 5307(d)(3) of title 5, United States Code, any regulations, certifications, or other measures necessary to carry out this section with respect to employees of the Congressional Budget Office, shall be the responsibility of the Director.*

*(d) APPLICABILITY.*—*This section shall apply to fiscal year 2017 and each fiscal year thereafter.*

CBO faces considerable competition in attracting and retaining highly educated and skilled employees. Currently, legislative branch entities, including the Congressional Research Service and the Government Accountability Office, and many executive branch agencies, including the Office of Management and Budget, have senior-level positions, Senior Executive Service positions, or both. This provision would permit CBO to establish positions that are comparable to the positions in those agencies and enhance the agency's ability to attract and retain highly skilled analysts and managers.





Architect of the Capitol  
U.S. Capitol, Room SB-16  
Washington, DC 20515  
202.228.1793  
[www.aoc.gov](http://www.aoc.gov)

We are pleased to present the Architect of the Capitol's (AOC) Fiscal Year (FY) 2017 budget request. The FY 2017 budget was developed through a collaborative and thoughtful process focused on safeguarding the Capitol campus.

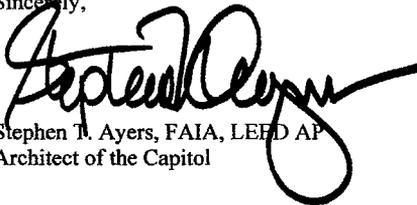
This year will mark the completion of several major restoration projects throughout campus, including the restoration of the Capitol Dome and Rotunda. We are also looking forward to initiating new investments to preserve our facilities and ensure the health and safety of those who work at and visit the Capitol campus each day. And this fall, preparations for the 2017 Presidential Inauguration will begin.

Safety and state-of-good-repair upgrades are the centerpiece of our FY 2017 request. To assure the most beneficial and economical use of funding we emphasize prioritization, effectiveness, efficiency and accountability. To help stretch limited budgetary resources we use proven best practices to leverage staff expertise, collaborate across the agency, and engage in partnerships.

We appreciate your continued support for the AOC and the facilities, art and architecture entrusted to our care. The U.S. Capitol complex is an internationally recognized symbol of our elected government created to *serve* the American people; where representatives from all corners of this great nation gather to *preserve* the ideals and tenants of our constitution; care of these buildings helps to *inspire* pride in our great democracy and American freedom.

Thank you for your consideration of our FY 2017 budget request and your efforts to ensure the agency has the resources needed to address the growing safety and preservation challenges throughout campus.

Sincerely,



Stephen T. Ayers, FAIA, LEED AP  
Architect of the Capitol

Doc. No. 160115-02-01

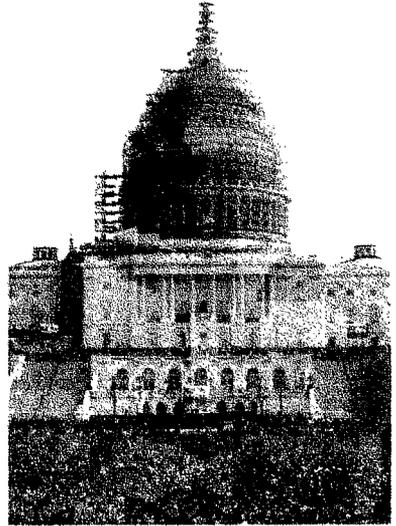


## AOC Executive Summary Fiscal Year 2017 Budget

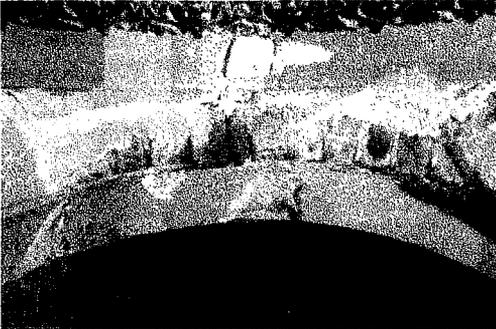
The Architect of the Capitol (AOC) is charged with serving Congress and the Supreme Court, preserving the historic facilities and grounds of the Capitol campus and inspiring generations of American people through art and architecture. This Fiscal Year (FY) 2017 budget request is a thoughtful appeal necessary to carry out that important mission. It also demonstrates the urgent need for strong investments on the Capitol campus.

The AOC cares for facilities that, in some cases, are more than two centuries old. The demands of caring for the buildings and grounds are daunting. The AOC oversees more than 17.4 million square feet of facilities and more than 587 acres of grounds on the Capitol campus and off-site areas. To meet these responsibilities, the AOC focuses on leveraging staff expertise, collaborating across the agency, and engaging in partnerships that will help stretch limited budget dollars.

The Building Research Board at the National Research Council recommends a minimum of 2 – 4 percent of the current value of a building be reinvested on an annual basis to reduce the backlog of deferred maintenance. Unfortunately, less than 1/2 of a percent of the



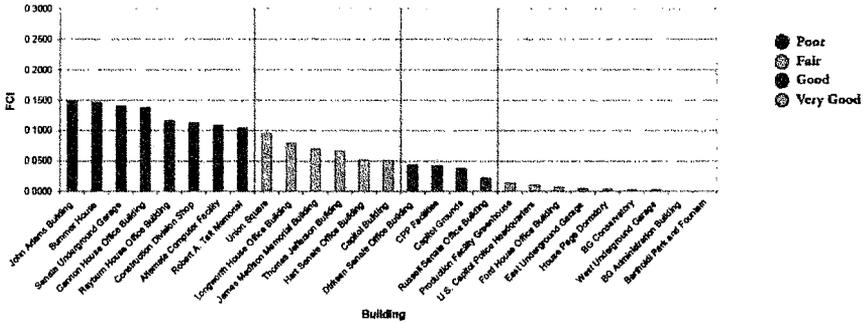
value of the buildings within the AOC purview is currently reinvested in the buildings. Decades of reduced plant investment continues to build on an enormous deferred maintenance and capital renewal backlog estimated at \$1.49 billion at the close of FY 2015. Given the lack of investment, the growing backlog of deferred maintenance, and the fact that the Facility Condition Index indicates more than a quarter of our buildings and grounds are in poor condition, it is vitally important that we secure the necessary resources to preserve and protect the Capitol campus.



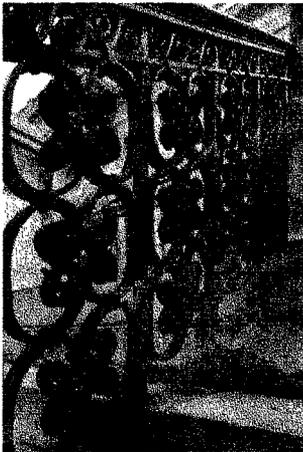


# AOC Executive Summary Fiscal Year 2017 Budget

## Facility Condition Index



## Significant Support Needed



This budget request focuses on critical maintenance requirements throughout the Capitol campus to meet the basic needs of Congress while providing the most effective and economical service possible. Without support for necessary projects identified by the AOC, the U.S. Capitol and the buildings that make up the Capitol campus will lose key elements – such as stone, cast iron, bronze and ornamental details – that define these historic structures. Significant and urgent repairs are needed to support columns, concrete ceilings and emergency life safety systems. These restorations are necessary, not only to preserve the iconic buildings that represent American democracy, but also to ensure the health and safety of those who work at and visit the Capitol campus each day.

### Safeguarding Valued Resources

We take seriously the responsibility to safeguard the rare and invaluable resources entrusted to our care. As a passionate advocate for the Capitol campus, I believe that with Congress’ support, we can be a strong and healthy symbol for America’s growth and prosperity.



## AOC Executive Summary Fiscal Year 2017 Budget

The AOC's most precious resource is its people. With a staff of more than 2,100, AOC employees are regularly sought after by other agencies and from people across the nation and around the world to share their unique expertise and professional knowledge. Imparting best practices in risk assessment and partnering on quality contracting procedures – areas where the U.S. Government Accountability Office highlights the AOC as best-in-class – top notch engineers, architects and tradesmen, planning and design teams strive to meet our goals and performance metrics year-after-year. In fact, we are one of only a few federal agencies to meet the congressionally-mandated ten-year goal of reducing energy use in our facilities by 30 percent.



Today, the AOC is working on a diverse collection of concurrent projects and programs in support of Congress and the Supreme Court. The continued restoration of the U.S. Capitol Dome is the most visible example of our skilled work. In addition to this project, however, we are also working on multi-year restoration projects for the Ulysses S. Grant Memorial and the Cannon House Office Building. As part of our broad mission, we manage the congressional transition moves, host special events like the Pope Francis visit to the U.S. Capitol and support the Presidential Inauguration. The conservation of several irreplaceable works of art and architectural features that beautify the Capitol campus, elimination of accessibility barriers for people with disabilities, and the day-to-day operations on the Capitol campus are also keeping us fully engaged. These examples illustrate the AOC's unique responsibilities and focus on strategic investments in support of a Capitol that works for all Americans.

The Capitol campus includes national treasures of historic, artistic and architectural importance in addition to being active office spaces where the business of the nation is conducted year-round. Time has not been kind to the buildings entrusted to our care. The lack of a sustained, significant investment in our deteriorating infrastructure has resulted in critical damage that, if unaddressed, will only become costlier to repair. We believe that robust funding is needed to slow this deterioration and to ensure the safety and security of those working and visiting the Capitol campus.



## AOC Executive Summary Fiscal Year 2017 Budget

### Growing Urgent Needs

The AOC is keenly aware of how far every taxpayer dollar must go to meet our stewardship responsibilities. Therefore, our budget request emphasizes prioritization, effectiveness, efficiency and accountability.

What's more, in today's challenging budgetary environment, the cost of complying with new requirements related to safety and security, coupled with a large deferred maintenance and capital renewal backlog and the growing cost of day-to-day operations, puts added stress on the agency's limited financial and personnel

resources. Our budget request of \$694.3 million represents a realistic plan to provide the most effective and economical use of resources. These funds are necessary to continue major construction projects; address critical maintenance needs; support mandatory payroll and healthcare costs; provide for acute staff needs in the Offices of the Attending Physician, Inspector General, and Security Programs; and upgrade vital information technology systems.



The projects AOC selected for funding in FY 2017 are those in need of urgent attention. We prioritize them through a rigorous analysis including consultation with industry experts and the utilization of best practices. We recognize that not every project can be funded at the same time and it will be necessary to defer some. We believe that the recommendations in this budget proposal balance our mandate to be both fiscally responsible and trusted stewards of our national treasures.

### Deterioration Threatens the Capitol Campus

We continue to be extremely concerned about the deterioration of the parking garages on the Capitol campus. In the Rayburn House Office Building Garage, engineering studies have identified severe corrosion of the reinforcing steel as well as spalling and delaminating concrete in the ceiling and support columns. The degradation of the Rayburn Garage is threatening its structural stability. In addition, we have identified structural cracks and spalling concrete in the Senate Underground Garage and deficiencies in the fountain and upper plaza. Furthermore, structural decking in the John Adams Building Garage is failing and large portions of concrete have already fallen to the garage floor making portions of the parking garage unusable. The significant and growing safety risks to personnel and property are great and must be addressed.



## AOC Executive Summary Fiscal Year 2017 Budget



Furthermore, water infiltration has stained and damaged the sandstone and marble encompassing the facades of most of our buildings. As a result, the masonry is cracking and spalling and is causing residual damage within the facilities – threatening the health and safety of our building occupants. We request continued support for the phased projects that address stone repair, restoration and metal preservation. Addressing repair and restoration needs of the exterior stone will help us remove dangerous hazards and preserve historic details and the artwork within those facilities. We also are asking for resources to replace water, storm, sanitary and vent piping in the U.S. Capitol Building.

Additional funding is required for the copper roof and skylight replacement at the Thomas Jefferson

Building's East and West Pavilions. Portions of the roof are leaking resulting in damage to the historic fabric and artwork of the Jefferson Building. The compromised roof continues to place valuable and rare library collections at risk. Furthermore, the presence of water often leads to the growth of mold that can potentially put the facility and the health of staff in jeopardy.



The historic clay tile roof of the Capitol Power Plant is structurally-deficient. We identified moisture, broken tiles, corroded steel and spalled concrete. During storms and high winds, the loose elements of the roof are a safety concern. In addition, there is a significant risk of water damaging the offices, and the more than \$700 million worth of equipment – including critical boiler control systems, electrical switchgear, tools and lab equipment – that are housed at the Capitol Power Plant.

To address compliance citations, we are requesting funding for the second phase of the Library of Congress's Thomas Jefferson Building North Exit Stair B, which will provide increased capacity to quickly evacuate the building in an emergency.

### Safety Needs Multiplying

In FY 2015, the AOC welcomed more than 2 million visitors to the U.S. Capitol Visitor Center and more than 1.3 million visitors to the U.S. Botanic Garden. In addition, the Capitol campus is home to thousands of House and Senate employees. Therefore, it is prudent for us to make safety a priority.



## AOC Executive Summary Fiscal Year 2017 Budget

Our FY 2017 budget request reflects that commitment and it includes a number of safety-related projects.

Upgrades to the emergency power equipment in the Rayburn House Office Building and continued need in the House Underground Garages are a necessity that cannot be ignored. In the event of a power outage, the new system and associated fuel tank will allow designated areas of the building and garages to maintain operations.



We are also requesting additional funds to replace aged chillers at the Capitol Power Plant with a new 5,000-ton variable speed chiller and controller and full-funding for the first phase of a replacement of chillers at the Alternate Computer Facility. Continued use of the aged chiller

increases the risk of system failure. A failure effects the chilled water needed for air conditioning distribution to all of the buildings on the Capitol campus and the U.S. Government Publishing Office, the Thurgood Marshall Federal Judiciary Building, the Postal Square Building, Union Station and the Folger Shakespeare Library. The funds requested for upgraded equipment will help the facility to be more environmentally-friendly, as well as increase efficiency and reduce annual maintenance costs.



Several projects in the Library of Congress buildings are also necessary to address urgent life-safety needs. The FY 2017 budget requests funding for an emergency generator in the Thomas Jefferson Building and modernization of elevators in the Adams and James Madison Memorial Buildings.

The U.S. Botanic Garden's Production Facility is the largest greenhouse complex supporting a public garden in the United States. It was completed in 1994 to preserve endangered plant collections. In our FY 2017 budget request we are seeking support for aging infrastructure and to design a new tissue lab and a detached quarantine greenhouse building needed to fulfill the Botanic Garden's mission. Without investment in this facility, priceless one-of-a-kind plants can be lost forever.



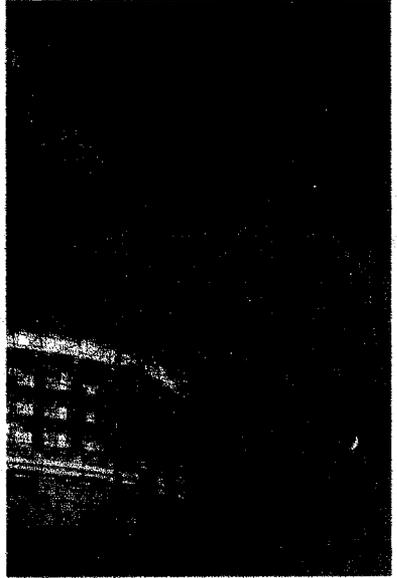
## AOC Executive Summary Fiscal Year 2017 Budget

Finally, the FY 2017 budget request seeks funding for an evaluation of existing utilities, security and lighting, storm water management, and the air intake tunnels encompassing Capitol Square.

### Conclusion

We have prepared the FY 2017 budget request through a deliberative planning process to prioritize the lengthy infrastructure needs of the Capitol campus. We appreciate the support of Congress as we practice fiscal responsibility and determine which projects are most pressing and where limited resources are best invested.

The U.S. Capitol is more than a building. It is a symbol of an elected government created to *serve* the American people. It is a location where representatives from all corners of this great nation gather to *preserve* the ideals and tenants of our constitution. It is a physical structure designed to *inspire* future Americans to take up the mantle of democracy and freedom. Let's make sure that resources afforded to the AOC, stewards of this iconic facility, support this great responsibility.





# AOC Overall FY 2017 Budget

## TOTAL BUDGET REQUEST

The table below identifies the Architect of the Capitol's (AOC) total budget request by appropriation and funding type (Annual, Multi-Year or No-Year). The FY 2017 request reflects a zero-based budgeting approach on the AOC's assessment of the requirements to perform its missions in support of Congress. The FY 2017 budget request of \$694.3 million reflects a 13.3% increase from the FY 2016 enacted of \$612.9 million.

| Agency Funding Summary (\$000)                           |                 |                 |                 |                               |              |
|--|-----------------|-----------------|-----------------|-------------------------------|--------------|
| Appropriation and Funding Type                           | FY 2015 Enacted | FY 2016 Enacted | FY 2017 Request | FY 2016 to FY 2017 Difference |              |
|  |                 |                 |                 | Amount                        | Percent      |
| <b>Capital Construction and Operations</b>               | 91,455          | 91,589          | 98,382          | 6,793                         | 7.4%         |
| Operating Budget   | 91,455          | 91,589          | 98,382          | 6,793                         | 7.4%         |
| Multi-Year Projects                                      | -               | -               | 5,268           | 5,268                         | -            |
| <b>Capital Building</b>                                  | 54,658          | 45,737          | 54,810          | (2,727)                       | -5.9%        |
| Operating Budget   | 24,309          | 24,000          | 25,459          | 1,459                         | 6.1%         |
| Multi-Year Projects                                      | 9,134           | 22,737          | 18,551          | (4,186)                       | -18.4%       |
| No-Year Projects   | 21,222          | -               | -               | -                             | -            |
| <b>Capital Grounds</b>                                   | 11,973          | 11,880          | 13,983          | 2,103                         | 17.7%        |
| Operating Budget   | 9,973           | 9,880           | 10,137          | 257                           | 2.6%         |
| Multi-Year Projects                                      | 2,000           | 2,000           | 2,946           | 946                           | 47.3%        |
| <b>Business Office Buildings</b>                         | 54,213          | 54,221          | 60,462          | 6,241                         | 11.5%        |
| Operating Budget   | 57,825          | 57,938          | 60,462          | 2,524                         | 4.4%         |
| Multi-Year Projects                                      | 36,488          | 26,283          | 27,944          | 1,661                         | 6.3%         |
| <b>House Office Buildings</b>                            | 152,447         | 154,952         | 159,724         | 4,772                         | 3.1%         |
| Operating Budget   | 64,622          | 64,077          | 66,124          | 2,047                         | 3.2%         |
| Multi-Year Projects                                      | 24,825          | 48,885          | 61,404          | 12,519                        | 25.6%        |
| No-Year Projects   | 70,000          | 72,000          | 72,000          | -                             | 0.0%         |
| <b>Capital Power Plant</b>                               | 76,482          | 73,722          | 78,908          | 5,186                         | 7.0%         |
| Operating Budget   | 81,966          | 77,141          | 78,426          | 1,285                         | 1.7%         |
| Multi-Year Projects                                      | 8,686           | 17,581          | 27,339          | 9,758                         | 55.5%        |
| <b>Library Buildings and Grounds</b>                     | 22,180          | 25,689          | 26,719          | 1,030                         | 4.0%         |
| Operating Budget   | 25,138          | 24,943          | 26,719          | 1,776                         | 7.1%         |
| Multi-Year Projects                                      | 17,042          | 15,746          | 39,240          | 23,494                        | 149.2%       |
| <b>Capitol Police Buildings, Grounds, &amp; Security</b> | 18,159          | 22,424          | 37,513          | 15,089                        | 67.3%        |
| Operating Budget   | 18,159          | 17,533          | 20,349          | 2,816                         | 16.1%        |
| Multi-Year Projects                                      | 1,000           | 7,901           | 17,164          | 9,263                         | 117.2%       |
| <b>Botanic Garden</b>                                    | 15,973          | 16,111          | 17,111          | 1,000                         | 6.2%         |
| Operating Budget   | 9,880           | 10,013          | 10,527          | 514                           | 5.1%         |
| Multi-Year Projects                                      | 5,693           | 2,100           | 4,554           | 2,454                         | 116.9%       |
| <b>Capitol Visitor Center</b>                            | 20,844          | 20,557          | 21,306          | 749                           | 3.6%         |
| Operating Budget   | 20,844          | 20,557          | 21,306          | 749                           | 3.6%         |
| Multi-Year Projects                                      | -               | -               | -               | -                             | -            |
| <b>Total Agency Appropriation</b>                        | <b>600,261</b>  | <b>612,904</b>  | <b>694,301</b>  | <b>81,397</b>                 | <b>13.3%</b> |
| Operating Budget   | 404,171         | 397,671         | 417,891         | 20,221                        | 5.1%         |
| Multi-Year Projects                                      | 104,868         | 143,233         | 204,410         | 61,177                        | 42.7%        |
| No-Year Projects   | 91,222          | 72,000          | 72,000          | -                             | 0.0%         |

Note: Due to rounding, numbers may not add up to totals.



# AOC Overall FY 2017 Budget

## ANALYSIS OF CHANGE

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.

The table below identifies Architect of the Capitol changes from the FY 2016 enacted appropriation baseline to account for the AOC FY 2017 budget request of \$694.3 million. Major Operating Budget changes reflected are in Facilities Maintenance for critical maintenance services required; Payroll for mandatory Cost-of-Living Adjustments (COLA), Federal Employee Health Benefit inflation rate increases and additional FTEs required to enable the Office of the Inspector General, the Office Security Programs and the Office of the Attending Physician to meet their mission requirements; Information systems upgrade requirements; and AOC-wide administrative services needed to support AOC's strategic vision and focus.

|   | FY 2017 Agency Request |                  |
|---|------------------------|------------------|
|   | FTE                    | Amount (\$000)   |
| FY 2016 Enacted (FTE reflects Payroll Funded only)      | 2,271                  | 612,904          |
| <b>Non-Recurring Costs</b>                              |                        |                  |
| Multi-Year Projects.....                                |                        | (143,233)        |
| No-Year Projects.....                                   |                        | (72,000)         |
| <b>Total Non-Recurring Costs</b>                        |                        | <b>(215,233)</b> |
| <b>Total Program Decreases</b>                          |                        |                  |
| <b>Mandatory Pay Related Costs:</b>                     |                        |                  |
| FY 2017 FEHB Employer Contribution of 4.0%.....         |                        | 605              |
| FY 2017 Cost-of-Living Adjustment of 2.6%.....          |                        | 3,849            |
| FY 2017 Within Grade Increase.....                      |                        | 1,573            |
| <b>Total Mandatory Pay Related Costs</b>                |                        | <b>6,027</b>     |
| <b>Price Level Changes:</b>                             |                        |                  |
| Annual Operations 2.2% Non-pay Inflation Increases..... |                        | 1,922            |
| <b>Total Price Level Changes</b>                        |                        | <b>1,922</b>     |
| <b>Program Increases:</b>                               |                        |                  |
| Payroll FTE Increase (OAP, OIG, and CPBGs).....         | 9                      | 1,120            |
| Payroll Erosion.....                                    |                        | 5,905            |
| Operating Budget (excluding Payroll).....               |                        | 5,247            |
| Capital (Multi-Year) Projects.....                      |                        | 204,410          |
| Capital (No-Year) Projects.....                         |                        | 72,000           |
| <b>Total Program Increases</b>                          | <b>9</b>               | <b>288,682</b>   |
| <b>Net Increase/Decrease</b>                            | <b>9</b>               | <b>81,397</b>    |
| <b>Total Agency Request</b>                             | <b>2,280</b>           | <b>694,301</b>   |

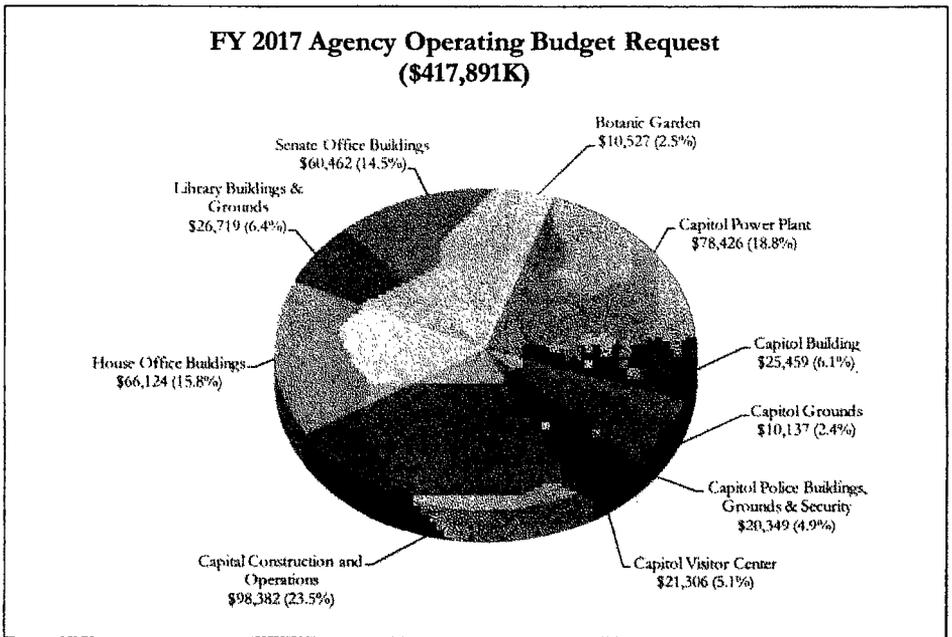


# AOC Overall FY 2017 Budget

## OPERATING BUDGET REQUEST

The Architect of the Capitol is requesting \$417.9 million in operating funds for FY 2017. 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 operations and utilities services; safety, fire and environmental operations; architectural, engineering and construction services; electronic systems such as the Legislative Clocks and audio systems; high voltage maintenance; grounds maintenance; Botanic Garden and Capitol Visitor Center visitor services and operations.

The chart below identifies the Agency's FY 2017 Operating Budget request by appropriation.





# AOC Overall FY 2017 Budget

## *OPERATING BUDGET REQUEST (continued)*

The table below identifies the Agency's funding allocation by Program Group.

| <b>Operating Funds by Program Group (\$000)</b> |                                       |   |                                       |                            |                                    |
|---|---------------------------------------|---|---------------------------------------|----------------------------|------------------------------------|
| <b>Program Group</b>                            | <b>FY 2015<br/>Operating<br/>Plan</b> | <b>FY 2015<br/>Actual<br/>Obligations</b> | <b>FY 2016<br/>Operating<br/>Plan</b> | <b>FY 2017<br/>Request</b> | <b>FY 2016/2017<br/>Difference</b> |
| Administrative                                  | 6,106                                 | 6,373                                     | 6,161                                 | 7,208                      | 1,047                              |
| Architecture and Engineering Services           | 2,215                                 | 2,294                                     | 2,013                                 | 2,576                      | 563                                |
| Curator   | 215                                   | 215                                       | 215                                   | 220                        | 5                                  |
| Construction Services                           | 65                                    | 65  | 65                                    |                            | (65)                               |
| Electronic Systems                              | 805                                   | 850                                       | 805                                   |                            | (805)                              |
| Exhibits  | 814                                   | 793                                       | 902                                   | 611                        | (291)                              |
| Facilities Maintenance                          | 36,998                                | 37,821                                    | 34,137                                | 36,788                     | 2,650                              |
| Furniture Repair                                | 1,507                                 | 1,478                                     | 1,638                                 | 1,662                      | 23                                 |
| Grounds Maintenance                             | 3,062                                 | 3,170                                     | 2,682                                 | 2,745                      | 63                                 |
| Information Resource Management                 | 21,511                                | 20,758                                    | 20,740                                | 22,494                     | 1,754                              |
| Inspector General                               | 847                                   | 579                                       | 958                                   | 978                        | 20                                 |
| Jurisdiction Centralized Activities             | 38,464                                | 37,305                                    | 38,160                                | 39,753                     | 1,594                              |
| Payroll   | 215,247                               | 209,271                                   | 218,259                               | 231,311                    | 13,052                             |
| Power Plant Operations and Maintenance          | 9,712                                 | 10,846                                    | 10,915                                | 11,129                     | 214                                |
| Safety Eng. Ops and Maintenance                 | 2,648                                 | 2,620                                     | 2,567                                 | 2,619                      | 52                                 |
| Visitor Services                                | 2,027                                 | 1,808                                     | 1,409                                 | 1,752                      | 344                                |
| Utilities                                       | 61,926                                | 66,336                                    | 56,046                                | 56,046                     |                                    |
| <b>Total</b>                                    | <b>404,171</b>                        | <b>402,583</b>                            | <b>397,671</b>                        | <b>417,891</b>             | <b>20,221</b>                      |

Program Group major changes reflected in Facilities Maintenance for critical maintenance services required; Payroll for mandatory Cost-of-Living Adjustments (COLA) and Federal Employee Health Benefit inflation rate increases; Information Resource Management requirements; and AOC-wide administrative services needed to support AOC's strategic vision and focus.



# AOC Overall FY 2017 Budget

## PAYROLL SUMMARY

The charts below identify the Agency's FY 2017 Payroll requirements by appropriation.

| Payroll Funding Request (\$000)              |   |              |              |                 |              |                                |                    |                    |
|--|---|--------------|--------------|-----------------|--------------|--------------------------------|--------------------|--------------------|
| Appropriation                                | FY 2016 <sup>1</sup><br>Operating<br>Plan |              |              |                 |              | FTEs <sup>1</sup><br>Increases | Payroll<br>Erosion | FY 2017<br>Request |
|  |   | COLA<br>2.6% | FEHB<br>4.0% | Within<br>Grade | Total        |                                |                    |                    |
| Capital Construction and Operations          | 56,189                                    | 995          | 113          | 408             | 1,515        | 660                            | 1,181              | 59,545             |
| Capitol Building                             | 20,500                                    | 378          | 63           | 152             | 594          | -                              | 646                | 21,740             |
| Capitol Grounds                              | 6,826                                     | 119          | 20           | 47              | 186          | -                              | -                  | 7,012              |
| Senate Office Buildings                      | 41,426                                    | 740          | 136          | 297             | 1,173        | -                              | 1,203              | 43,802             |
| House Office Buildings                       | 42,174                                    | 739          | 131          | 296             | 1,166        | -                              | 500                | 43,840             |
| Capitol Power Plant                          | 9,761                                     | 169          | 24           | 69              | 263          | -                              | 800                | 10,823             |
| Library Buildings & Grounds                  | 15,589                                    | 276          | 49           | 111             | 436          | -                              | 1,151              | 17,176             |
| Capitol Police Buildings, Grounds & Security | 2,140                                     | 36           | 6            | 16              | 57           | 460                            | 142                | 2,800              |
| Botanic Garden                               | 6,353                                     | 108          | 17           | 45              | 170          | -                              | 70                 | 6,593              |
| Capitol Visitor Center                       | 17,300                                    | 291          | 44           | 131             | 466          | -                              | 213                | 17,979             |
| <b>Total</b>                                 | <b>218,258</b>                            | <b>3,849</b> | <b>604</b>   | <b>1,573</b>    | <b>6,026</b> | <b>1,120</b>                   | <b>5,906</b>       | <b>231,310</b>     |

| Payroll FTEs Request                            |                    |                     |                    |
|---|--------------------|---------------------|--------------------|
| Appropriation                                   | FY 2016<br>Ceiling | Change <sup>3</sup> | FY 2017<br>Request |
| Capital Construction and Operations             | 402                | 5                   | 407                |
| Capitol Building                                | 226                | -                   | 226                |
| Capitol Grounds                                 | 73                 | -                   | 73                 |
| Senate Office Buildings                         | 498                | -                   | 498                |
| House Office Buildings                          | 503                | -                   | 503                |
| Capitol Power Plant                             | 85                 | -                   | 85                 |
| Library Buildings & Grounds                     | 160                | -                   | 160                |
| Capitol Police Buildings, Grounds, and Security | 16                 | 4                   | 20                 |
| Botanic Garden                                  | 68                 | -                   | 68                 |
| Capitol Visitor Center                          | 240                | -                   | 240                |
| <b>Total</b>                                    | <b>2,271</b>       | <b>9</b>            | <b>2,280</b>       |

| Cash Awards Summary (\$000)                     |                              |                                  |                                  |                                  |
|---|------------------------------|----------------------------------|----------------------------------|----------------------------------|
| Appropriation                                   | FY 2015<br>Operating<br>Plan | FY 2015<br>Actual<br>Obligations | FY 2016 <sup>4</sup><br>Estimate | FY 2017 <sup>4</sup><br>Estimate |
| Capital Construction and Operations             | 607                          | 604                              | 614                              | 623                              |
| Capitol Building                                | 209                          | 212                              | 217                              | 220                              |
| Capitol Grounds                                 | 69                           | 64                               | 68                               | 69                               |
| Senate Office Buildings                         | 432                          | 508                              | 439                              | 446                              |
| House Office Buildings                          | 428                          | 464                              | 433                              | 439                              |
| Capitol Power Plant                             | 101                          | 105                              | 109                              | 111                              |
| Library Buildings & Grounds                     | 171                          | 182                              | 172                              | 174                              |
| Capitol Police Buildings, Grounds, and Security | 24                           | 28                               | 24                               | 25                               |
| Botanic Garden                                  | 70                           | 82                               | 68                               | 69                               |
| Capitol Visitor Center                          | 202                          | 200                              | 206                              | 209                              |
| <b>Total</b>                                    | <b>2,313</b>                 | <b>2,449</b>                     | <b>2,350</b>                     | <b>2,385</b>                     |

<sup>1</sup> Baseline includes a lapse rate adjustment of 1.4%. Estimated based on 5-year Agency average under utilized FTEs of 32.

<sup>2</sup> Projected CBO Cost-of-Living Adjustment (COLA) and OPM Federal Employee Health Benefit (FEHB) rate increases.

<sup>3</sup> Reflects mission program increase of two FTEs for the Office of the Attending Physician (Occupational Health Nurse and Medical Technician); three FTEs for the AOC Office of the Inspector General for construction and information technology oversight; and four FTEs for the Capitol Police Buildings, Grounds & Security jurisdiction for security related investigations and operations.

<sup>4</sup> AOC cash awards are discretionary funds and determined during the year of execution. Awards reflect performance and on-the-spot awards for exceptional contributions to the AOC mission in support of Congress.



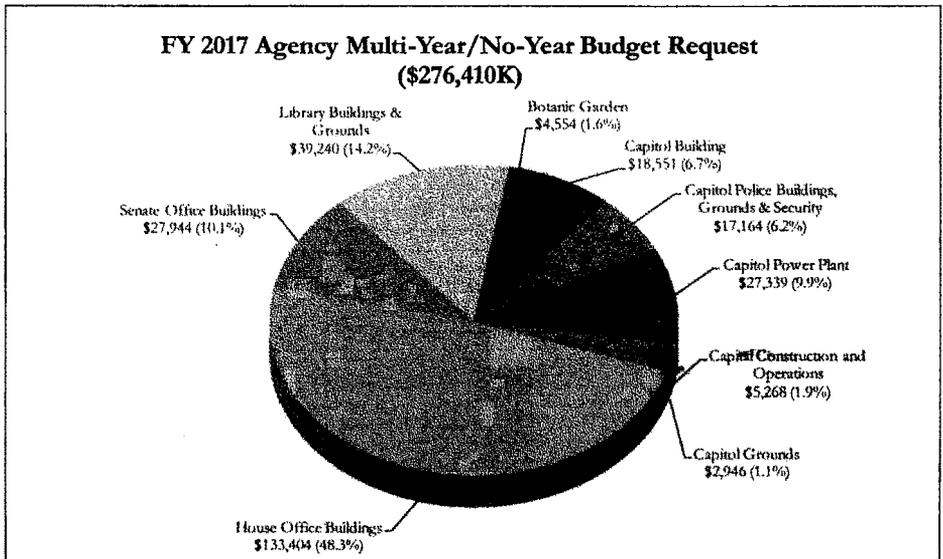
## AOC Overall FY 2017 Budget

### ***MULTI-YEAR/NO-YEAR BUDGET REQUEST***

The Architect of the Capitol's Multi-Year/No-Year request is \$276.4 million. The Multi-Year/No-Year budget includes \$165.5 million in Line Item Construction Program (LICP) projects. In addition, the request includes the following non-LICP Multi-Year/No-Year items:

- House Historic Buildings Revitalization Trust Fund, No-Year (\$10 million);
- Restoration and Renovation of the Cannon House Office Building, No-Year (\$62 million);
- Minor Construction (\$29.1 million);
- House Chief Administrative Officer Projects (\$3.660 million);
- Cogeneration Construction and Contract Management, CPP (\$1.7 million);
- Ford Data Center relocation (\$3.9 million); and
- Conservation of Fine Art and Architecture Art, CB (\$0.599 million).

The chart below identifies the AOC's FY 2017 Multi-Year/No-Year request by appropriation.





# AOC Overall FY 2017 Budget

## RECOMMENDED LICP PROJECTS

The Architect of the Capitol's capital budget request is focused on immediate urgency projects. The table below identifies the \$165.5 million of Line Item Construction Program (LICP) projects that the AOC recommends for FY 2017 funding.

| Priority                               | Project Title  | Appropriation | Project Cost (\$000) | Project Urgency | Project Classification |
|--|--|---------------|----------------------|-----------------|------------------------|
| 1                                      | Garage Rehabilitation, Phase II, RHOB  | HOB           | 30,789               | I               | DM                     |
| 2                                      | Emergency Power Upgrade, RHOB & HUGs   | HOB           | 19,955               | I               | CI                     |
| 3                                      | North Exit Stair B, Phase II, TJB  | LB&G          | 16,603               | I               | CI                     |
| 4                                      | Emergency Generator Replacement, TJB   | LB&G          | 4,901                | I               | CI                     |
| 5                                      | Production Facility Renewal, BG  | BG            | 1,954                | I               | CR                     |
| 6                                      | WRP Chiller System Replacement, RPR, Phase IIIA, CPP                                   | CPP           | 17,834               | I               | DM                     |
| 7                                      | Senate Underground Garage Renovations & Landscape Restoration, Phase II                | SOB           | 8,505                | I               | DM                     |
| 8                                      | East and West Main Pavilion Roof Replacement, TJB                                      | LB&G          | 2,222                | I               | DM                     |
| 9                                      | Chiller Replacement and Chilled Water System Expansion, Phase I, ACF                   | CPBG&S        | 14,664               | I               | CR                     |
| 10                                     | Capitol Square Infrastructure Repair, CG   | CG            | 946                  | I               | DM                     |
| 11                                     | Elevator Modernization, JMMB MC1-MC4; JAB 13-14  | LB&G          | 4,292                | I               | DM                     |
| 12                                     | New Legislative Call System  | CCO           | 1,568                | I               | CR                     |
| 13                                     | Roof Replacement, PPBP & PPGP, CPP   | CPP           | 3,805                | I               | DM                     |
| 14                                     | Exterior Stone & Metal Preservation, West Facade, Phase III, USC                       | CB            | 5,582                | I               | DM                     |
| 15                                     | Exterior Envelope Repair & Restoration, Phases IV & V, South & Southwest Façades, RSOB | SOB           | 14,439               | I               | DM                     |
| 16                                     | Garage Structural Repairs & Entry Improvements, JAB                                    | LB&G          | 8,722                | I               | DM                     |
| 17                                     | Domestic Water, Storm, Sanitary & Vent Piping Replacement, USC                         | CB            | 3,435                | I               | DM                     |
| 18                                     | Brunaldi Corridors Restoration & Conservation Plan, USC                                | CB            | 1,410                | I               | CR                     |
| 19                                     | Senate Reception Room Restoration & Conservation, USC                                  | CB            | 4,025                | I               | CR                     |
| <b>Total Recommended LICP Projects</b> |  |               | <b>165,451</b>       |                 |                        |

Urgency Classification: I = Immediate; H = High; M = Medium; L = Low

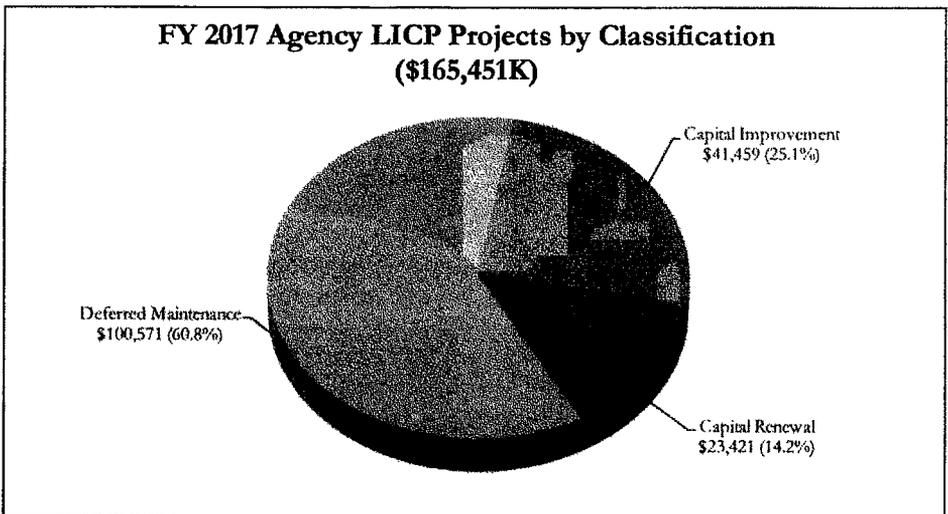
Project Classification: DM = Deferred Maintenance; CR = Capital Renewal; CI = Capital Improvement; CC = Capital Construction



## AOC Overall FY 2017 Budget

### ***RECOMMENDED LICP PROJECTS FUNDING BY PROJECT CLASSIFICATION***

The Architect of the Capitol categorizes major projects, or Line Item Construction Program (LICP) projects into four classifications: Deferred Maintenance (maintenance, repair or replacement past due); 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 2017 budget request into these categories.



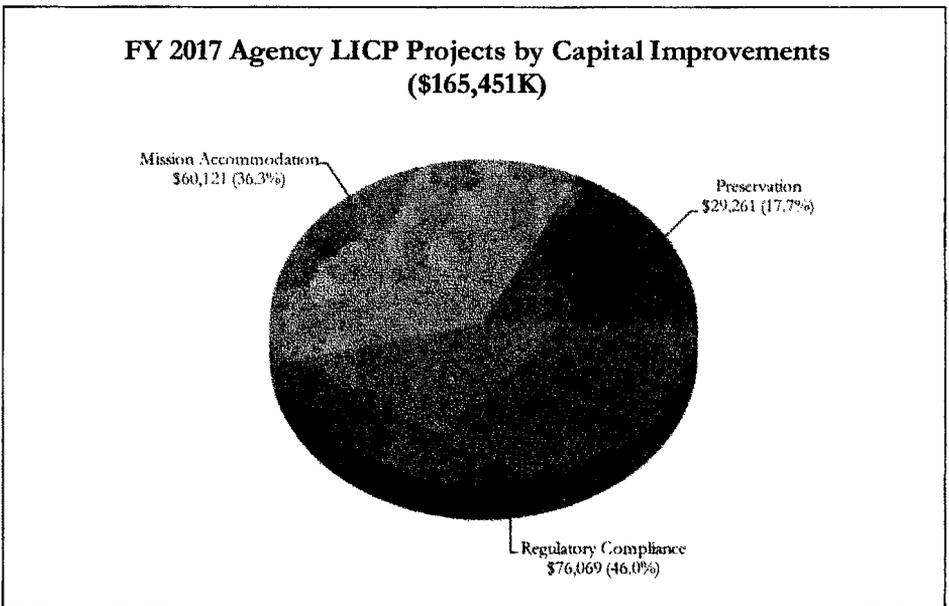
Using the draft Five-Year Capital Improvements Plan, Facility Condition Assessments, and the Capitol Complex Master Planning processes, the AOC identified the highest priority requirements to meet the needs of Congress and other clients. Funding of these projects will enable the AOC to continue to maintain 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. No Capital Construction projects are identified for FY 2017.



## AOC Overall FY 2017 Budget

### ***RECOMMENDED LICP PROJECTS FUNDING BY CAPITAL IMPROVEMENTS PLAN GOALS***

The Architect of the Capitol 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. The following pie chart breaks the AOC's FY 2017 budget request into these categories.



This chart does not depict life safety projects separately; however, many projects have elements of life safety such as: Garage Rehabilitation, Phase II, RHOB; North Exit Stair B, Phase II, TJB; Elevator Modernization, JMMB MC1-MC4; JAB 13-14; Senate Underground Garage Renovations & Landscape Restoration, Phase II; Exterior Envelope Repair & Restoration, Phases IV & V, South & Southwest Façades, RSOB; Garage Structural Repairs & Entry Improvements, JAB; and Emergency Generator Replacement, TJB.



# AOC Overall FY 2017 Budget

## ***LINE ITEM CONSTRUCTION PROGRAM PROJECTS DEFERRED FUNDING LIST***

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 is recommending that the \$118.0 million in Line Item Construction Program projects be deferred to a future year.

| Project Title  | Appropriation | Project Cost<br>(\$000) | Project<br>Urgency | Project<br>Classification |
|--|---------------|-------------------------|--------------------|---------------------------|
| South Stair E, Phase I, Expansion Shelving Renovations, Decks C, D, 37 & 38, TJB | LB&G          | 1,350                   | I                  | CI                        |
| K-12 Fence Replacement, CPBG&S   | CPBG&S        | 4,111                   | I                  | CI                        |
| Copper Roof Replacement & Fall Protection, Phase I, JAB                          | LB&G          | 7,188                   | I                  | DM                        |
| Offsite Delivery Screening Center, Phases 1 & II, CPBG&S                         | CPBG&S        | 1,292                   | I                  | CC                        |
| Roof Replacement, 6th and 7th Floors, JMMB                                       | LB&G          | 500                     | I                  | DM                        |
| Grant Memorial Option 1 Construction, CG   | CG            | 5,800                   | I                  | DM                        |
| Exterior Stone & Metal Preservation, East Facade, Phase III, USC                 | CB            | 10,522                  | I                  | DM                        |
| Summerhouse Restoration, CG  | CG            | 2,298                   | I                  | DM                        |
| Taft Memorial Renewal, SOB   | SOB           | 4,576                   | I                  | DM                        |
| Kitchen Renovation, Senate, USC; Kitchen Exhaust, USC                            | CB            | 14,669                  | I                  | DM                        |
| Air Handling Units & Fans Replacement, Phase 1, USC                              | CB            | 9,847                   | I                  | DM                        |
| Water Infiltration Upgrades, Phase I, JMMB                                       | LB&G          | 18,516                  | I                  | DM                        |
| Domestic Water & Sanitary Piping Replacement, Phase I, RHOB                      | HOB           | 6,753                   | I                  | CR                        |
| Fire Alarm and Audibility Upgrade, JMMB  | LB&G          | 563                     | I                  | CR                        |
| Exterior Masonry and Envelope Repair, RHOB                                       | HOB           | 2,000                   | I                  | DM                        |
| Fire Alarm Replacement, Phase II, HSOB   | SOB           | 300                     | I                  | CR                        |
| USCP Conduit Installation, OSP   | CPBG&S        | 1,600                   | I                  | CI                        |
| New USCP Headquarters Study, CBPG&S  | CPBG&S        | 579                     | I                  | CC                        |
| Uninterruptible Power Supply System, USCP HQ                                     | CPBG&S        | 4,441                   | I                  | CI                        |
| Electrical Grounding System Repairs, SOB   | SOB           | 310                     | I                  | CI                        |
| Fire Damper Smoke Control System Modifications, Atrium, Task 2, JMMB             | LBG           | 590                     | H                  | CI                        |
| Task 3 - Fire Damper & Smoke Control - Main Reading Room, TJB                    | LBG           | 2,800                   | H                  | CI                        |
| Task 4 - Fire Damper & Smoke Control, Great Hall, TJB                            | LBG           | 1,100                   | H                  | CI                        |
| Fireplace Exhaust and Fan Replacement, USC                                       | CB            | 4,039                   | H                  | DM                        |
| Electrical Branch Circuit Wiring Replacement Study, USC                          | CB            | 2,600                   | H                  | CR                        |
| NW Courtyard Renovation, TJB   | LBG           | 1,597                   | H                  | CI                        |
| Reprographics Area Upgrade, DSOB   | SOB           | 2,878                   | M                  | CI                        |
| Senate Hair Care Facility Modernization, RSOB                                    | SOB           | 1,411                   | M                  | CI                        |
| Modular Furniture Renovation, Postal Square                                      | SOB           | 2,000                   | L                  | CI                        |
| Atrium Restoration, JMMB   | LB&G          | 1,800                   | L                  | CI                        |
| <b>Total Deferred LICP Projects</b>  |               | <b>118,030</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



# Legislative Language

## ARCHITECT OF THE CAPITOL WORKING CAPITAL FUND

### Sectional Analysis

This legislation would create a working capital fund (WCF) for the Architect of the Capitol (AOC). The WCF would provide the AOC with an important tool to ensure that its appropriated funds are being used in the most efficient manner possible to support Congress and the Supreme Court. Specifically, the WCF will ensure that the AOC's Construction Division (CD) can continue to operate in the most efficient and economical manner, while maintaining compliance with Federal appropriations law principles.

The AOC's operations are currently funded through eleven separate appropriations accounts (ten accounts within the Legislative Branch Appropriations Act, and the Supreme Court Building and Grounds account). In contrast, the AOC's CD, which fulfills an important role in supporting congressional construction needs, does not receive its own appropriations. Rather, CD's construction services are requested for individual projects by other AOC jurisdictions based on negotiated pricing estimates. These pricing estimates include both the direct costs of the project, and CD's indirect operational costs such as employee leave, benefits, and safety training. The AOC has found that many projects can be performed more efficiently in-house with CD, resulting in significant cost savings and enhanced flexibility.

The proposed WCF would enable the AOC to streamline the administration of CD's operations, particularly the funding source for CD's indirect operational costs. Currently, to comply with the Purpose Statute (31 U.S.C. § 1301(a)), the AOC attempts to match the indirect costs to an applicable AOC appropriations account; this is an imperfect solution and administratively burdensome. The proposed WCF would greatly simplify the funding of CD's operations, ensure AOC and CD operations are performed as efficiently as possible, and maintain fidelity with appropriations law principles.

### Proposed Language

Title 2, United States Code, is hereby amended by adding the following new Section:

*SEC. \_\_\_\_.* *Architect of the Capitol Working Capital Fund.*

*(a) Establishment.—There is hereby established in the Treasury of the United States a working capital fund (hereinafter "Fund") for the Architect of the Capitol.*



## Legislative Language

*(b) Availability of amounts.—Amounts in the Fund shall be available to the Architect of the Capitol for such common agency services, activities, equipment, and other common costs as the Architect determines to be appropriate, efficient, and economical. The Fund shall also be available for construction, capital repairs, renovations, rehabilitation, maintenance of real property, and similar agency expenses, on a reimbursable basis within the Architect of the Capitol.*

*(c) Contents.—The capital of the Fund consists of—*

*(1) amounts appropriated to the Fund;*

*(2) the reasonable value of stocks of supplies, equipment, and other assets and inventories on order that the Architect transfers to the fund, less related liabilities and unpaid obligations;*

*(3) receipts from the sale or exchange of property held in the Fund;*

*(4) all miscellaneous receipts compensating the Architect of the Capitol for loss or damage to any Government property under the Architect's jurisdiction or care, including but not limited to the United States Botanic Garden;*

*(5) reimbursements pursuant to subsection (d); and*

*(6) amounts transferred to the Fund pursuant to subsection (e).*

*(d) Reimbursement.—The Fund shall be reimbursed from available accounts of the Architect of the Capitol for supplies, materials, services, and related expenses, at rates which will approximate the full cost of operations, including accrual of employee leave and benefits; depreciation of plant, property, and equipment; and overhead;*



## Legislative Language

*(e) Transfers from other accounts.—Notwithstanding any other provision of law, the Architect is authorized to transfer amounts from other available Architect of the Capitol accounts to the Fund as the Architect determines to be appropriate, efficient, and economical.*

*(f) Continuing availability of funds.—Amounts in the Fund are available without regard to fiscal year limitation.*

*(g) Effective date.—This section shall apply with respect to fiscal year 2017 and each succeeding fiscal year.*



# Legislative Language

## AUTHORITY FOR A HOUSE OFFICE BUILDINGS SHUTTLE

### Sectional Analysis

This legislation would provide the Architect of the Capitol (AOC) House Office Buildings jurisdiction authority to operate shuttle service between the House Office Buildings. The AOC has similar authority for the Capitol Grounds jurisdiction (2 U.S.C. § 2163); this proposed legislation is modeled on that statute. Currently, the AOC is not operating a shuttle service. Accordingly, this legislation would give the House Office Buildings authority to provide a similar service between the House Office Buildings.

### Proposed Language

Title 2, United States Code, is hereby amended by adding the following new Section:

*SEC. \_\_\_\_.* *House Office Buildings Shuttle Service.*

*For fiscal year 2017 and each fiscal year thereafter, funds appropriated for the House Office Buildings shall be available for the purchase or rental, maintenance and operation of passenger motor vehicles to provide shuttle service for Members and employees of Congress to and from the House Office Buildings.*



## Legislative Language

### USE OF EXPIRED FUNDS FOR UNEMPLOYMENT COMPENSATION PAYMENTS

#### Sectional Analysis

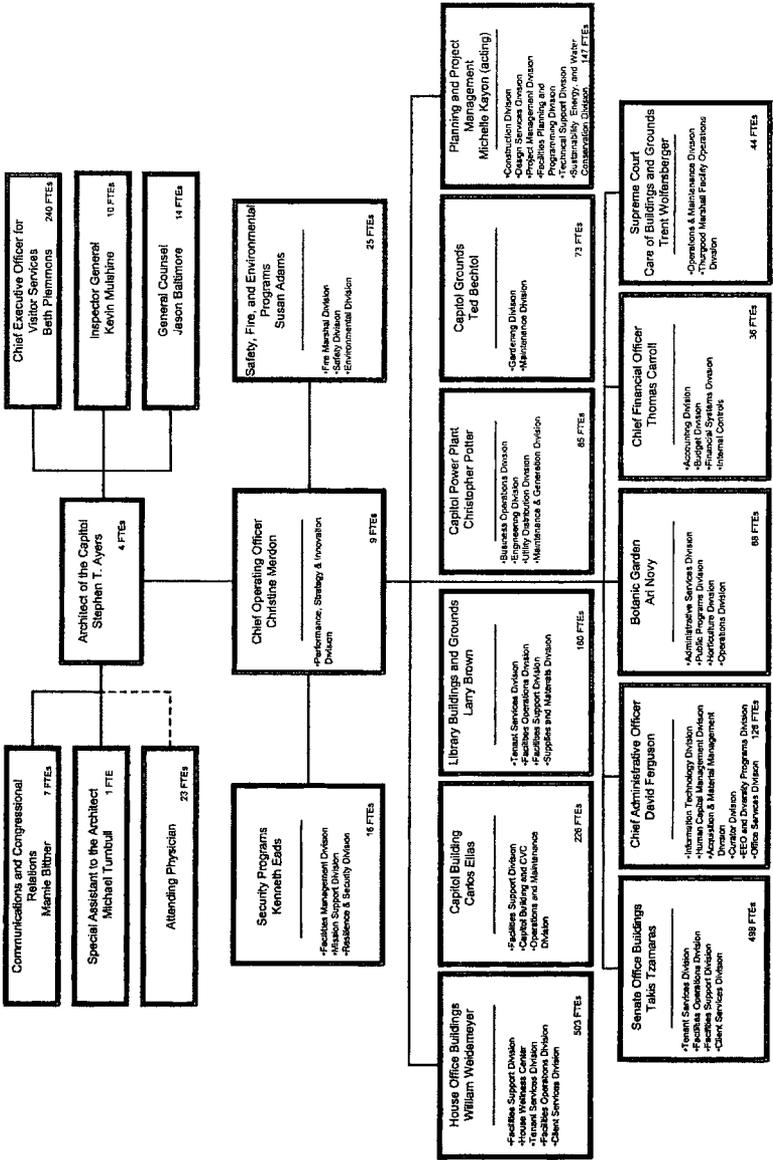
This legislation would provide the Architect of the Capitol (AOC) authority to use its expired funds for unemployment compensation payments to former AOC employees. The AOC currently has similar authority to use its expired funds for workers' compensation (2 U.S.C. § 1871). The proposed language is modeled on similar authority for the House of Representatives covering both workers' compensation and unemployment compensation. (2 U.S.C. § 5508).

#### Proposed Language

*SEC. \_\_\_\_ (a) 2 U.S.C. § 1871(a) is amended by striking the period at the end and inserting the following: ', and for reimbursing the Secretary of Labor for any amounts paid with respect to unemployment compensation payments for former employees of the Architect of the Capitol. Notwithstanding any other provision of law, payments may be made without regard to the fiscal year for which the obligation to make such payments is incurred.'*

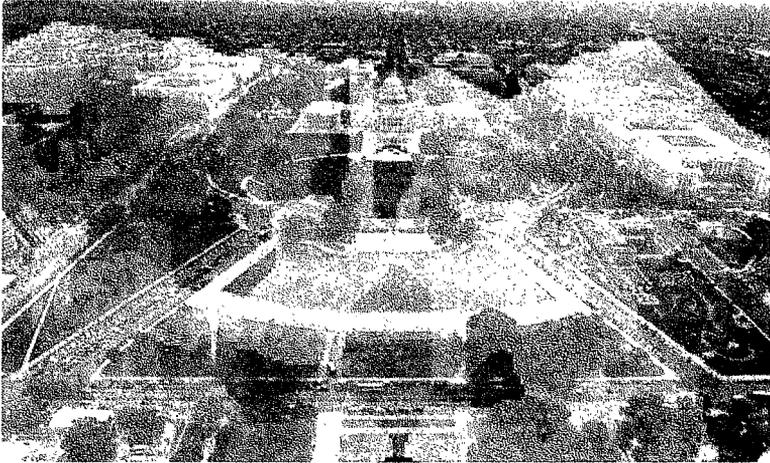


# Architect of the Capitol





## Capital Construction and Operations



### ***AOC MISSION***

To **serve** Congress and the Supreme Court, **preserve** America's Capitol, and **inspire** memorable experiences.

### ***RESPONSIBILITIES IN SUPPORT OF AOC MISSION***

The Capital Construction and Operations (CCO) jurisdiction provides direct support to the organization to ensure that Congress is able to perform its responsibilities to enact legislation for governance of the United States.

The Capital Construction and Operations appropriation is responsible for Capitol campus-wide architectural and engineering design; project, property and construction management; planning and development; Congressional election year move designs; in-house construction efforts for major projects across the Capitol campus; information technology services, systems and tools, including work order management systems; safety, fire and environmental monitoring services and reporting; emergency operations; financial management including budget, accounting, financial systems, and inventory management systems; legal services; human capital management; communications and 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 State of the Union Addresses and Presidential Inaugurations.

Additional leases include warehouses and administrative spaces for the Construction Division Shops.

For a complete list of CCO facilities, please refer to the "Areas of Responsibility Summary" tables in this Budget Request.



## Capital Construction and Operations

The Capital Construction and Operations appropriation includes the following offices:

**Chief Administrative Officer (CAO)** - provides Architect of the Capitol-wide services that include: legal counsel; information technology; human capital management; Equal Employment Opportunity and diversity programs; acquisition and material management, communications and Congressional relations; preservation and documentation of heritage assets, research and curatorial expertise. It includes the Office of the Attending Physician as a service under CAO offering medical surveillance and support of health units.

**Chief Financial Officer (CFO)** - provides management oversight and direction for Architect of the Capitol 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 and programs to promote economy and efficiency, and to detect and prevent fraud, waste and abuse. The OIG reviews existing or proposed laws, regulations, orders and policies for compliance. The Office of Inspector General (OIG), an independent office within the AOC, is responsible for promoting economy and efficiency and to prevent and detect fraud, waste and abuse in AOC operations. The OIG is included in the Capitol Construction and Operations jurisdiction.

**Planning and Project Management (PPM)** - provides long-range facility planning, historic preservation, 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; provides project funded in-house construction services; provides facility management services of large critical campus-wide systems that span across jurisdictions including electrical distribution, emergency generators, cable television and legislative clocks.

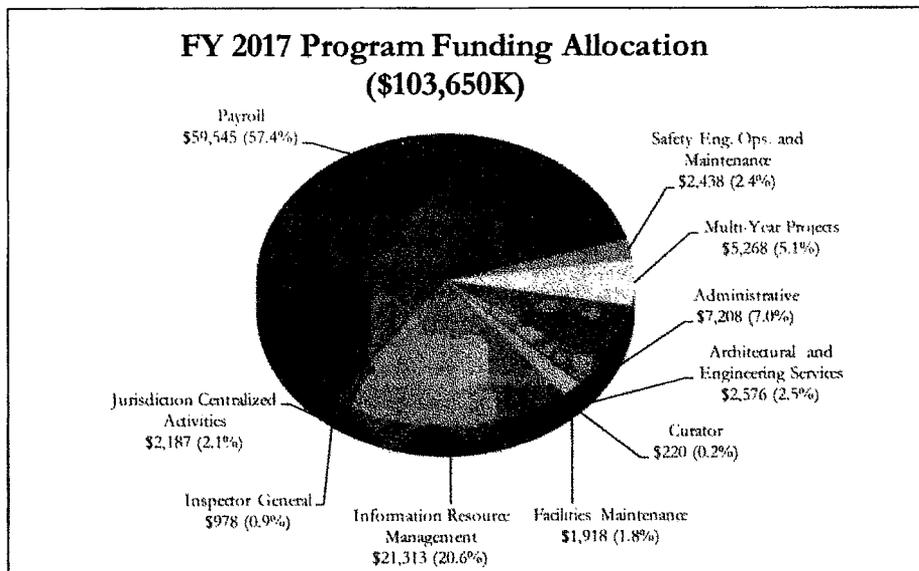
**Safety, Fire and Environmental Programs (SFEP)** manages the AOC's safety, fire, environmental and emergency preparedness programs and activities; provides policy, technical expertise and guidance, and program planning; and serves as the AOC point of contact with external safety and environmental regulatory agencies.



## Capital Construction and Operations

### PROGRAM SUMMARY:

The Capital Construction and Operations (CCO) jurisdiction/appropriation consists of two primary types of funding: Operating Budget (Annual) and Multi-Year Project Budget (5 years).



The **Operating Budget** request (\$98,382K) funds all costs associated with Architect of the Capitol central office salaries, operations, activities, and programs. The budget is divided into functional area Program Groups: Administrative, Architectural and Engineering Services, Curator; Facilities Maintenance, Inspector General; Information Resource Management, Jurisdiction Centralized Activities, Payroll, and Safety Engineering Operations and Maintenance.

- The **Administrative** Program Group request (\$7,208K) 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 request (\$2,576K) 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 Campus Master Plan.



# Capital Construction and Operations

## *PROGRAM SUMMARY (continued)*

- The **Curator Program Group** request (\$220K) provides stewardship of invaluable heritage assets including architectural art such as murals, the Statue of Freedom, and joint fine and decorative art such as the National Statuary Hall statues. 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 contractual projects and congressional events, and supports publications and exhibits.
- The **Facilities Maintenance Program Group** request (\$1,918K) funds the maintenance of 12 high voltage and 37 low voltage electrical substations, 37 emergency generators, and more than 1,500 light poles and 300,000 Building Automation System control devices. This Program Group also funds the indirect cost for the Construction Division, its shops at D.C. Village and leased warehouses.
- The **Information Resource Management Program Group** request (\$21,313K) funds the procurement, operations and maintenance of information technology for computer hardware and 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 communication equipment and services, and funds business modernization projects. Of the requested funds the program accounts are:

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; information Resource Management business modernization efforts.

Information Resource Management communication efforts to provide circuits for connectivity between the buildings on the Capitol campus and the Alternate Computer Facility, and funding enterprise desk and mobile phones, data services, and emergency response coordination.

Computer-Aided Facility Management system licenses and support used for relational databases and electronic representations of facilities to manage, analyze, and control facility data. It also includes planning, oversight, deployment and support of Facility Management tools and business processes including Computerized Maintenance Management Systems, Building Information Modeling, Geographic Information Systems, and the Emergency Operations Center requirements account to maintain the AOC's enterprise-wide emergency response system.



# Capital Construction and Operations

## *PROGRAM SUMMARY (continued)*

- The **Inspector General** Program Group request (\$978K) provides the capability for the Office of the Inspector General to carry out the requirements set forth in the Architect of the Capitol Inspector General Act of 2007 including audits, evaluations and investigations. The AOC financial statement audit is also funded in this program group.
- The **Jurisdiction Centralized Activities** Program Group request (\$2,187K) provides for Architect of the Capitol required training for CCO 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 Congress 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 **Payroll** Program Group request (\$59,545K) 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.
- The **Safety Engineering Operations and Maintenance** Program Group request (\$2,438K) provides sampling and analysis (air, water, waste, storage tanks, etc.); hazardous waste disposal; educational and communication materials; subscriptions and regulatory updates; consultant support for assessments, analysis, inspections, testing, technical reviews and program planning for the AOC's safety, fire, environmental and emergency preparedness programs. It also includes funds for the operations and maintenance of AOC-wide automatic defibrillators to replace units at the end of their service life.

The **Multi-Year Projects Budget** request (\$5,268K) consist of major construction or system replacement requirements to support the USCP and House and Senate Sergeant at Arms' missions; Congressional continuity; 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.

Please refer to "Multi-Year Budget Request – Program Summary" for a detailed list of the requested major construction projects.



# Capital Construction and Operations

## AREAS OF RESPONSIBILITY SUMMARY:

### ASSIGNED FACILITIES

| Facility Name/Type                  | Location       | Year Built or Acquired | Area (square feet) | Deferred Maintenance | Capital Renewal | Backlog   |
|-------------------------------------|----------------|------------------------|--------------------|----------------------|-----------------|-----------|
| Construction Division Shops         | Washington, DC | 1982                   | 15,225             | \$387,000            | \$3,000         | \$390,000 |
| Projects Across Multiple Facilities | Washington, DC | Varies                 | Varies             | \$0                  | \$0             | \$0       |
| Total                               |                |                        | 15,225             | \$387,000            | \$3,000         | \$390,000 |

**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.

### LEASED FACILITIES

| Lease Type                      | Location       | Area (square feet) | Leased from | Contract Award Date | Contract End Date | FY 2017 Total Cost |
|---------------------------------|----------------|--------------------|-------------|---------------------|-------------------|--------------------|
| Construction Division Warehouse | Alexandria, VA | 36,150             | GSA         | Feb 2006            | Dec 2016          | \$807,500          |



# Capital Construction and Operations

## TOTAL BUDGET REQUEST – FUNDING SUMMARY

| Total Budget (\$000) |                 |   |                              |                              |                         |
|----------------------|-----------------|---|------------------------------|------------------------------|-------------------------|
| Appropriation        | FY 2015 Enacted | FY 2015 <sup>1</sup> Actual Obligations | FY 2016 <sup>2</sup> Enacted | FY 2017 <sup>2</sup> Request | FY 2016/2017 Difference |
| Operating Budget     | 91,455          | 89,194                                  | 91,589                       | 98,382                       | 6,793                   |
| Multi-Year Projects  | -               | -                                       | -                            | 5,268                        | 5,268                   |
| <b>Total</b>         | <b>91,455</b>   | <b>89,194</b>                           | <b>91,589</b>                | <b>103,650</b>               | <b>12,061</b>           |

| Operating Budget (\$000)               |                        |   |                                     |                              |                         |
|--|------------------------|---|-------------------------------------|------------------------------|-------------------------|
| Program Groups                         | FY 2015 Operating Plan | FY 2015 <sup>1</sup> Actual Obligations | FY 2016 <sup>2</sup> Operating Plan | FY 2017 <sup>2</sup> Request | FY 2016/2017 Difference |
| Administrative                         | 6,106                  | 6,373                                   | 6,161                               | 7,208                        | 1,047                   |
| Architectural and Engineering Services | 2,215                  | 2,294                                   | 2,013                               | 2,576                        | 563                     |
| Construction Services                  | 65                     | 65                                      | 65                                  | -                            | (65)                    |
| Curator                                | 215                    | 215                                     | 215                                 | 220                          | 5                       |
| Electronic Systems                     | 805                    | 850                                     | 805                                 | -                            | (805)                   |
| Facilities Maintenance                 | 1,023                  | 967                                     | 1,070                               | 1,918                        | 848                     |
| Information Resource Management        | 20,380                 | 19,333                                  | 19,580                              | 21,313                       | 1,733                   |
| Inspector General                      | 847                    | 579                                     | 958                                 | 978                          | 20                      |
| Jurisdiction Centralized Activities    | 2,065                  | 2,216                                   | 2,144                               | 2,187                        | 43                      |
| Payroll                                | 55,259                 | 53,847                                  | 56,189                              | 59,545                       | 3,356                   |
| Safety Eng. Ops. and Maintenance       | 2,475                  | 2,454                                   | 2,390                               | 2,438                        | 48                      |
| <b>Total</b>                           | <b>91,455</b>          | <b>89,194</b>                           | <b>91,589</b>                       | <b>98,382</b>                | <b>6,793</b>            |

| Total Budget by Object Class (\$000) |                        |   |                                     |                              |                         |
|--------------------------------------|------------------------|---|-------------------------------------|------------------------------|-------------------------|
| Object Class Groups                  | FY 2015 Operating Plan | FY 2015 <sup>1</sup> Actual Obligations | FY 2016 <sup>2</sup> Operating Plan | FY 2017 <sup>2</sup> Request | FY 2016/2017 Difference |
| 11 Personnel Compensation            | 40,019                 | 40,307                                  | 40,692                              | 43,123                       | 2,430                   |
| 12 Personnel Benefits                | 15,240                 | 15,350                                  | 15,497                              | 16,423                       | 926                     |
| 21 Travel                            | 170                    | 170                                     | 166                                 | 207                          | 41                      |
| 22 Transportation of Things          | -                      | -                                       | -                                   | -                            | -                       |
| 23 Rent, Communications & Utilities  | 398                    | 327                                     | 320                                 | 399                          | 79                      |
| 24 Printing and Reproduction         | 360                    | 187                                     | 183                                 | 228                          | 45                      |
| 25 Other Contractual Services        | 30,153                 | 29,316                                  | 28,681                              | 35,734                       | 7,053                   |
| 26 Supplies and Materials            | 1,600                  | 2,509                                   | 2,455                               | 3,059                        | 604                     |
| 31 Equipment                         | 3,200                  | 3,232                                   | 3,162                               | 3,940                        | 778                     |
| 32 Land and Structures               | 315                    | 436                                     | 426                                 | 531                          | 105                     |
| 42 Insurance Claims & Indemnities    | -                      | 5                                       | 5                                   | 6                            | 1                       |
| <b>Total</b>                         | <b>91,455</b>          | <b>91,840</b>                           | <b>91,589</b>                       | <b>103,650</b>               | <b>12,061</b>           |

<sup>1</sup> FY 2015 Actuals represent total obligations of funds incurred irrespective of the year of appropriation and can include reprogrammings/transfers from other appropriations. Personnel Compensation and Personnel Benefits include payroll and project-funded obligations.

<sup>2</sup> FY 2016/FY 2017 Personnel Compensation and Personnel Benefits do not include project-funded payroll estimated obligations.



# Capital Construction and Operations

## TOTAL BUDGET REQUEST - ANALYSIS OF CHANGE

|   | FY 2017 Appropriation |                |
|---|-----------------------|----------------|
|   | FTE                   | Amount (\$000) |
| <b>FY 2016 Enacted (FTE reflects Payroll Funded only)</b> | <b>402</b>            | <b>91,589</b>  |
| <b>Mandatory Pay Related Costs:</b>                       |                       |                |
| FY 2017 FEHB Employer Contribution of 4.0%.....           |                       | 113            |
| FY 2017 Cost-of-Living Adjustment of 2.6%.....            |                       | 995            |
| FY 2017 Within Grade Increase.....                        |                       | 408            |
| <b>Total Mandatory Pay Related Costs</b>                  |                       | <b>1,515</b>   |
| <b>Price Level Changes</b>                                |                       |                |
| Administrative.....                                       |                       | 118            |
| Architectural and Engineering Service.....                |                       | 48             |
| Curator.....  |                       | 5              |
| Facilities Maintenance.....                               |                       | 43             |
| Information Resource Management.....                      |                       | 433            |
| Inspector General.....                                    |                       | 20             |
| Jurisdiction Centralized Activities.....                  |                       | 43             |
| Safety Eng. Ops. and Maintenance.....                     |                       | 48             |
| <b>Total Price Level Changes</b>                          |                       | <b>758</b>     |
| <b>Program Increases:</b>                                 |                       |                |
| Administrative.....                                       |                       | 929            |
| Information Resource Management.....                      |                       | 1,300          |
| Architecture and Engineering Services.....                |                       | 450            |
| Payroll Erosion.....                                      |                       | 1,181          |
| Payroll FTE Increase.....                                 | 5                     | 660            |
| Multi-Year Projects:                                      |                       | <b>4,520</b>   |
| New Legislative Call System Installation.....             |                       | 1,368          |
| AOC Backup Data Center, Wise County, VA.....              |                       | 3,900          |
| <b>Total Program Increases</b>                            | <b>5</b>              | <b>5,268</b>   |
| <b>Net Increase/Decrease</b>                              | <b>5</b>              | <b>12,061</b>  |
| <b>Total Appropriation</b>                                | <b>407</b>            | <b>103,650</b> |



# Capital Construction and Operations

## ***OPERATING BUDGET REQUEST - SUMMARY OF CHANGES***

The Operating Budget component of the Capital Construction and Operations appropriation funds all costs associated with the Architect of the Capitol, 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 Budget (\$000)               |                        |                               |                                   |                         |                 |                         |
|--|------------------------|-------------------------------|-----------------------------------|-------------------------|-----------------|-------------------------|
| Program Groups                         | FY 2016 Operating Plan | Program Realignment/Transfers | Mandatory Pay and Price Increases | Other Program Increases | FY 2017 Request | FY 2016/2017 Difference |
| Administrative                         | 6,161                  | -                             | 118                               | 929                     | 7,208           | 1,047                   |
| Architectural and Engineering Services | 2,013                  | 65                            | 48                                | 450                     | 2,576           | 563                     |
| Construction Services                  | 65                     | (65)                          | -                                 | -                       | -               | (65)                    |
| Curator                                | 215                    | -                             | 5                                 | -                       | 220             | 5                       |
| Electronic Systems                     | 805                    | (805)                         | -                                 | -                       | -               | (805)                   |
| Facilities Maintenance                 | 1,070                  | 805                           | 43                                | -                       | 1,918           | 848                     |
| Information Resource Management        | 19,580                 | -                             | 433                               | 1,300                   | 21,313          | 1,733                   |
| Inspector General                      | 958                    | -                             | 20                                | -                       | 978             | 20                      |
| Jurisdiction Centralized Activities    | 2,144                  | -                             | 43                                | -                       | 2,187           | 43                      |
| Payroll                                | 56,189                 | -                             | 1,515                             | 1,841                   | 59,545          | 3,356                   |
| Safety Eng. Ops. and Maintenance       | 2,390                  | -                             | 48                                | -                       | 2,438           | 48                      |
| <b>Total</b>                           | <b>91,589</b>          | <b>-</b>                      | <b>2,273</b>                      | <b>4,520</b>            | <b>98,382</b>   | <b>6,793</b>            |

### **Program Changes Justification**

The FY 2017 Operating Budget Request shows an increase of **\$6,793K** from the FY 2016 estimated level. It includes **\$2,273K** in mandatory pay and price increases plus **\$4,520K** in other program changes.

#### **Program Realignment/Transfers**

The Program Realignment of **\$65K** from Construction Services to Architectural and Engineering Services funded previously budgeted in the Construction Services are being realigned to the Architectural and Engineering Services Program Group to more accurately reflect the nature of the requirement.

The Program Realignment of **\$805K** from Electronic Systems to Facilities Maintenance funded previously budgeted in the Electronic Systems Program Group for preventative maintenance, repairs and replacement of equipment are being realigned to the Facilities Maintenance Program Group to more accurately reflect the nature of the requirement.

#### **Mandatory Pay and Price Increases**

Mandatory Pay and Price Increases requirement of **\$2,273K**, reflects Congressional Budget Office estimated funding of **\$758K** for non-pay 2.2% inflation increases and **\$1,515K** for pay-related inflation increases (2.6% for Cost-of-Living adjustment, 4.0% for the Federal Employee Health Benefits program and Within Grade Increase adjustment).



# Capital Construction and Operations

## ***OPERATING BUDGET REQUEST - SUMMARY OF CHANGES***

***(continued)***

### **Other Program Increases**

The **Administrative** funding increase of **\$929K** provides AOC-wide value by enabling the effective execution of business capabilities, communication and customer service in support of the AOC mission *"To Serve Congress and the Supreme Court, preserve America's Capitol, and inspire memorable experiences."* To do this work, the AOC must be transparent and accountable and exercise the highest degree of professionalism in its human capital and communication resource management tools, such as, graphics and websites. Below are examples of essential AOC-wide efforts.

- Advance Customer Outreach Program
- Expand Employment and Workforce Diversity Plan Products
- Improve Internal and External Communications Graphic Design Support
- Enhance Data-driven Human Capital Programs and Services
- Improve Internal Website Usability Testing and Mobile App Development
- Develop Websites Sustainment

**Impact if not funded:** Without this funding, the AOC will be unable to achieve organization-wide goals to improve and establish a stronger and clearer messaging communication strategy in support of the AOC mission.

The **Architectural and Engineering Services** funding increase of **\$450K** will bring AOC's Facility Condition Assessment (FCA) Program support services back to pre-sequestration funding levels. The FCA Program supports the AOC's Project Prioritization process in formulation of its annual budget request, as well as Congressional operations by reassessing AOC facilities. The objective of the FCA Management Program is to update previously assessed facilities within a five-year reassessment cycle and to add new facilities, such as the Capitol Visitor Center into the assessment rotation. This is critical for understanding AOC's maintenance responsibilities; identify required projects to maintain Congressional operations and AOC's heritage assets; and meet GAO Best Practices guidance for developing and managing Capital Program costs, and Federal Financial Accounting Standards reporting. In addition, in regularly identifying and documenting ongoing Deferred Maintenance, the AOC can better direct limited federal funding to address the worst cases of Deferred Maintenance to prevent costly repairs from becoming even more expensive.

**Impact if not funded:** Not fully funding the FCA Program will result in not adequately identifying building conditions, project criticality, consequence of deficiencies, and impact of system and component failure; not being able to provide facility knowledge critical for project identification, development, and cost estimating; not being able to identify project urgency and risk identified in the Line Item Construction Program; and not meeting reporting requirements for GAO and Federal Financial Accounting Standards (SFFAS) 42, Deferred Maintenance and Repairs (DM&R) reporting. Without relevant and timely information provided by the FCA program, the AOC's Project Prioritization Process, which ranks every necessary project using the conditions of the facilities and the urgency in which any deficiencies need to be addressed as the primary drivers, will be negatively impacted.

The **Information Resource Management** funding increase of **\$1,300K** will bring AOC's IT program back to pre-sequestration funding levels. This funding is necessary for AOC-wide centralized infrastructure technology investment activities related to support systems and modernization as set by the AOC IT Council in support of the AOC's mission. The AOC IT Council is centered on consolidating, leveraging, and optimizing common IT infrastructure services and products; facilitating data sharing; streamlining communications; eliminating duplicative



# Capital Construction and Operations

## ***OPERATING BUDGET REQUEST - SUMMARY OF CHANGES*** ***(continued)***

investments; and providing information systems security. The AOC IT Council provides recommendations to the Architect of the Capitol for the necessary IT investments in the consolidation and modernization of the agency's IT infrastructure and technology. Below are examples of the systems enhancements required.

- Safety & Environment Risk Management System
- United States Botanic Garden Website
- Electronic Records Management System
- Congressional Transition Office Suite Selection Application System
- Project-based Accounting System
- Cybersecurity Program

**Impact if not funded:** It would limit the AOC's ability to drive process and operational improvements thus resulting in a less effective, efficient and secured information system service to our customers and staff alike.

The **Payroll** program increase of **\$1,841K** reflects funding needed of **\$1,181K** to restore our payroll level to the actual requirement and **\$660K** for **five** additional Full Time Equivalent positions. Over the past several years, mandatory payroll cost increases have caused overall personnel costs to increase. The sequestration of FY 2013, along with the desire of Congress to keep budgets flat, have caused an erosion of our buying power.

- The **Office of Inspector General (OIG)** increase of **two** new construction project experts with the technical experience to guide the work of the Office of Inspector General (OIG) in overseeing the AOC major construction projects. For several years, the OIG Audit Division has been participating in oversight of the AOC's major construction projects. Due to high-visibility major construction and repair projects ongoing throughout Capitol complex, the OIG has identified managing AOC construction projects as a top AOC management challenge for this and future years. This challenge will be concerned with the timely completion of these projects, in accordance with quality standards, and within the established budget authority. The current staff includes highly-skilled certified public accountants. Additionally, **one** new Information Technician given the increased need for oversight of the AOC activities in the information technology and cyber-security areas. This position is for an expert with the technical experience to guide the work of the OIG in overseeing the AOC IT and cyber-security programs.

**Impact if not authorized:** Not funding these positions will result in limiting the OIG's capability of overseeing the AOC major construction programs and the AOC IT and cyber-security programs. This may lead to the failure to report cost overruns or time delays, IT security weaknesses or breaches, and other failures in these programs. Without this expertise, the OIG may also cause the AOC to expend additional consultant funds to respond to OIG requests for information and OIG reports that may not be as precise and focused as desired.

- The **Office of the Attending Physician (OAP)** increase of **one** new Occupational Health Nurse. This position will perform work throughout the Capitol complex in various health units or as required during emergency responses. Additionally, **one** new Occupational Health Technician. This position is for technical support to maintain continuity of knowledge and procedures of work and overseeing OAP required mission and programs.

**Impact if not authorized:** The Office of the Attending Physician may not be able to provide the necessary critical services to the members, staff, security forces, and visitors of the U.S. Congress.



# Capital Construction and Operations

## **MULTI-YEAR BUDGET REQUEST - PROGRAM 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.

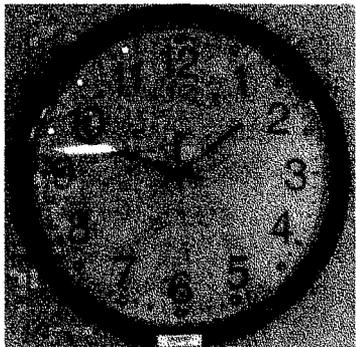
| <b>Multi-Year Budget by Project (\$000)</b>     |                              | <b>Request Amount</b> |
|---|------------------------------|-----------------------|
| <b>Line Item Construction Program Projects:</b> |                              |                       |
| New Legislative Call System Installation.....   |                              | 1,368                 |
|   | <b>Total</b>                 | <b>1,368</b>          |
| <b>Other Projects:</b>                          |                              |                       |
| AOC Backup Data Center, Wise County, VA.....    |                              | 3,900                 |
|   | <b>Total</b>                 | <b>3,900</b>          |
|   | <b>Total Project Request</b> | <b>5,268</b>          |



# Capital Construction and Operations

**Project Title:** New Legislative Call System

**Request:** \$1,368K



**Project Description:** Congress uses a Legislative Call System to inform members and staff of its proceedings that are taking place in each Chamber while Congress is in session. The existing system consists of signal generating equipment that activates lights and buzzers on wall hanging clocks throughout the Capitol complex. The designer/manufacturer of the existing system has informed the AOC that it will no longer manufacture parts for the existing system. The scope of work for this project is to design, build, and install a new Legislative Call System that can be used in conjunction with the existing Legislative Call System and eventually replace the existing system.

**Risk and Impact If Not Funded:** If not funded, there is no other way for the Speaker of House or the Senate President to call Members for votes and advise them of upcoming activities in the respective Chambers. Congress and its staff rely on the signals from the wall hanging clocks to inform them of the operational status of the Chambers.

**Cost of Recurring Operations:** No increase in operational costs are anticipated.

**Citation Driven:** No.                      **Client Request:** No.

**Program Funding Overview (\$000):**

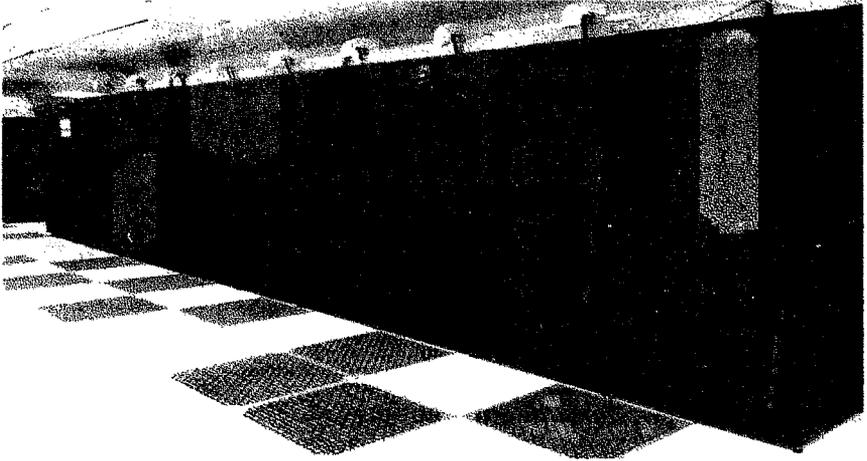
| Item         | FY 2016<br>Funded | FY 2016<br>Planned | FY 2016<br>Total | FY 2017<br>Requested | Future FY<br>Anticipated | Total<br>Requested<br>Amount |
|--------------|-------------------|--------------------|------------------|----------------------|--------------------------|------------------------------|
| Study        | -                 | -                  | -                | -                    | -                        | -                            |
| Design       | -                 | -                  | -                | -                    | -                        | -                            |
| Construction | -                 | -                  | -                | 1,368                | -                        | 1,368                        |
| <b>Total</b> | -                 | -                  | -                | <b>1,368</b>         | -                        | <b>1,368</b>                 |



# Capital Construction and Operations

Project Title: AOC Backup Data Center, Wise County, VA

Request: \$3,900K



**Project Description:** House Information Resource (HIR) plans to build a new data center in Wise County, Virginia, and has given the AOC the option to co-locate with them. AOC's centrally located servers in the HIR Data Center at the Ford House Office Building (FHOB), will move into a state-of-the art Tier III data center with N+1 fault tolerance. The scope of work for this project is to procure new equipment, build, and install infrastructure in the backup data center facility. It will provide fiber cable and all other computer equipment needed to relocate the AOC's Data Center operations to the HIR Data Center colocation facility.

**Risk and Impact If Not Funded:** Without this project, the AOC will be unable to centrally co-locate servers with the HIR Data Center in Wise County thus remaining in the FHOB Data Center location after HIR's departure.

**Cost of Recurring Operations:** After the first year, recurring cost will average \$1,600K.

Citation Driven: No.

Client Request: No.

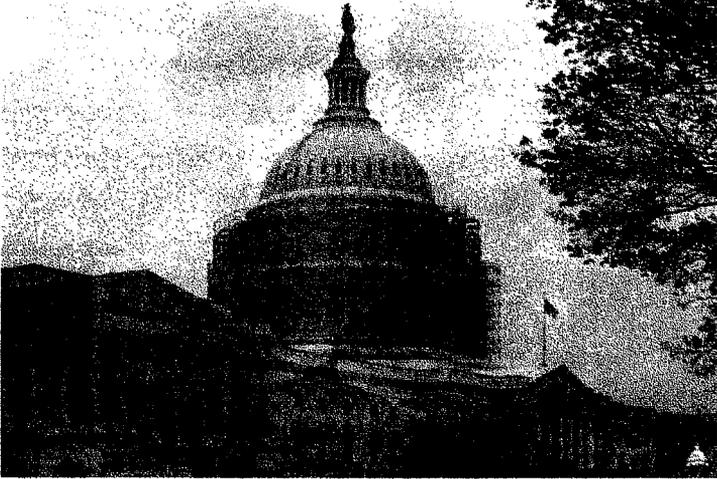
**Program Funding Overview (\$000):**

| Category     | FY 2014<br>Budget | FY 2015<br>Budget | FY 2016<br>Budget | FY 2017<br>Requested | Fiscal FY<br>Assigned | Fiscal<br>Approved |
|--------------|-------------------|-------------------|-------------------|----------------------|-----------------------|--------------------|
| Study        | -                 | -                 | -                 | -                    | -                     | -                  |
| Design       | -                 | -                 | -                 | -                    | -                     | -                  |
| Construction | -                 | -                 | -                 | 3,900                | 1,600                 | 5,500              |
| <b>Total</b> | -                 | -                 | -                 | <b>3,900</b>         | <b>1,600</b>          | <b>5,500</b>       |

<sup>1</sup>\$1,600K will be requested annually for this effort.



## Capitol Building



### ***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 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 and the Capitol Visitor Center (CVC).

The CB jurisdiction:

- Cares for and preserves the structural and architectural elements of the CVC.
- Consistently strives to serve clients, Congress, staff and the general public by managing facilities and operations in the most efficient fashion with the provided resources.
- Implements energy efficiency strategies, maintaining a flat organizational structure, implementation of facility management best practices and internal controls to ensure effective operations.

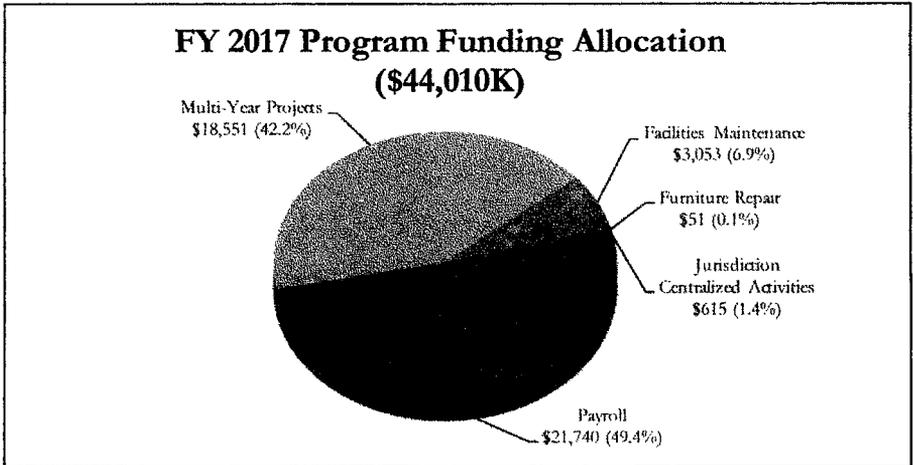
For a complete list of CB facilities, please refer to the "Areas of Responsibility Summary" tables in this Budget Request.



## Capitol Building

### *PROGRAM SUMMARY:*

The Capitol Building (CB) jurisdiction/appropriation consist of two primary types of funding: Operating Budget (annual) and Multi-Year Projects Budget (5 years).



The **Operating Budget** request (\$25,459K) funds all costs associated with the daily care, maintenance and operation of the U.S. Capitol and the Capitol Visitor Center. The budget is divided into functional area Program Groups: Facilities Maintenance, Furniture Repair, Jurisdiction Centralized Activities, and Payroll.

- The **Facilities Maintenance** Program Group request (\$3,053K) provides the capability to deliver exceptional service in caring for the CB and Capitol Visitor Center. The funding requested provides for general maintenance and operations, general repairs, cleaning, and for the Senate, House, and CVC restaurants maintenance.
- The **Furniture Repair** Program Group request (\$51K) funds repairing furniture within the core spaces of the CVC. This provides the capability to procure routine furniture-related minor repairs, materials and supplies.
- The **Jurisdiction Centralized Activities** Program Group request (\$615K) 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 **Payroll Program Group** request (\$21,740K) funds salaries and benefits for employees specifically supporting the appropriation. This includes government staff salaries and other compensation.



# Capitol Building

## *PROGRAM SUMMARY (continued)*

The **Multi-Year Projects Budget** request (\$18,551K) 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 emergencies, the Members, Committees and other Architect of the Capitol clients.

Please refer to "Multi-Year Budget Request – Program Summary" for a detailed list of the requested major construction projects.

## **AREAS OF RESPONSIBILITY SUMMARY:**

### **ASSIGNED FACILITIES**

| Facility Name/Type                  | Location       | Year Built or Acquired | Area (square feet) | Deferred Maintenance | Capital Renewal      | Backlog              |
|-------------------------------------|----------------|------------------------|--------------------|----------------------|----------------------|----------------------|
| Capitol Building                    | Washington, DC | 1793                   | 939,341            | \$88,313,000         | \$183,988,000        | \$272,301,000        |
| Capitol Visitor Center              | Washington, DC | 2008                   | 710,598            | \$0                  | \$0                  | \$0                  |
| Projects Across Multiple Facilities | Washington, DC | Varies                 | Varies             | \$0                  | \$0                  | \$0                  |
| <b>Total</b>                        |                |                        | <b>1,649,939</b>   | <b>\$88,313,000</b>  | <b>\$183,988,000</b> | <b>\$272,301,000</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

## TOTAL BUDGET REQUEST – FUNDING SUMMARY

| Total Budget (\$000) |                    |                                  |                    |                    |                            |
|----------------------|--------------------|----------------------------------|--------------------|--------------------|----------------------------|
| Appropriation        | FY 2015<br>Enacted | FY 2015<br>Actual<br>Obligations | FY 2016<br>Enacted | FY 2017<br>Request | FY 2016/2017<br>Difference |
| Operating Budget     | 24,309             | 24,073                           | 24,000             | 25,459             | 1,459                      |
| Multi-Year Projects  | 9,134              | 1,166                            | 22,737             | 18,551             | (4,186)                    |
| No-Year Projects     | 21,222             | -                                | -                  | -                  | -                          |
| <b>Total</b>         | <b>54,665</b>      | <b>25,239</b>                    | <b>46,737</b>      | <b>44,010</b>      | <b>(2,727)</b>             |

| Operating Budget (\$000)            |                              |                                  |                              |                    |                            |
|-------------------------------------|------------------------------|----------------------------------|------------------------------|--------------------|----------------------------|
| Program Groups                      | FY 2015<br>Operating<br>Plan | FY 2015<br>Actual<br>Obligations | FY 2016<br>Operating<br>Plan | FY 2017<br>Request | FY 2016/2017<br>Difference |
| Facilities Maintenance              | 3,345                        | 3,266                            | 2,996                        | 3,053              | 57                         |
| Furniture Repair                    | 50                           | 14                               | 50                           | 51                 | 1                          |
| Jurisdiction Centralized Activities | 614                          | 545                              | 454                          | 615                | 161                        |
| Payroll                             | 20,300                       | 20,247                           | 20,500                       | 21,740             | 1,240                      |
| Annual-Funded Projects              | -                            | -                                | -                            | -                  | -                          |
| <b>Total</b>                        | <b>24,309</b>                | <b>24,073</b>                    | <b>24,000</b>                | <b>25,459</b>      | <b>1,459</b>               |

| Total Budget by Object Class (\$000) |                              |   |   |                                 |                            |
|--------------------------------------|------------------------------|---|---|---------------------------------|----------------------------|
| Object Class Groups                  | FY 2015<br>Operating<br>Plan | FY 2015 <sup>1</sup><br>Actual<br>Obligations | FY 2016 <sup>2</sup><br>Operating<br>Plan | FY 2017 <sup>2</sup><br>Request | FY 2016/2017<br>Difference |
| 11 Personnel Compensation            | 14,781                       | 15,965  | 14,926                                    | 15,829                          | 903                        |
| 12 Personnel Benefits                | 5,519                        | 5,962   | 5,574                                     | 5,911                           | 337                        |
| 21 Travel                            | 8                            | 20  | 12  | 10                              | (2)                        |
| 22 Transportation of Things          | -                            | -   | -   | -                               | -                          |
| 23 Rent, Communications & Utilities  | -                            | 1   | -   | -                               | -                          |
| 24 Printing and Reproduction         | -                            | -   | -   | -                               | -                          |
| 25 Other Contractual Services        | -                            | 9,015   | 5,209                                     | 4,422                           | (788)                      |
| 26 Supplies and Materials            | 2,497                        | 3,296   | 1,904                                     | 1,616                           | (288)                      |
| 31 Equipment                         | 3,400                        | 92  | 53  | 45                              | (8)                        |
| 32 Land and Structures               | 28,460                       | 32,981  | 19,058                                    | 16,177                          | (2,882)                    |
| 42 Insurance Claims & Indemnities    | -                            | -   | -   | -                               | -                          |
| <b>Total</b>                         | <b>54,665</b>                | <b>67,332</b>                                 | <b>46,737</b>                             | <b>44,010</b>                   | <b>(2,727)</b>             |

<sup>1</sup> FY 2015 Actuals represent total obligations of funds incurred irrespective of the year of appropriation and can include reprogrammings/transfers from other appropriations. Personnel Compensation and Personnel Benefits include payroll and project-funded obligations.

<sup>2</sup> FY 2016/FY 2017 Personnel Compensation and Personnel Benefits do not include project-funded payroll estimated obligations.



# Capitol Building

## TOTAL BUDGET REQUEST - ANALYSIS OF CHANGE

|   | FY 2017 Appropriation |                  |
|---|-----------------------|------------------|
|   | FTE                   | Amount (\$000)   |
| FY 2016 Enacted (FTE reflects Payroll Funded only)                        | 226                   | 46,737           |
| <b>Non-Recurring Costs</b>  |                       |                  |
| Exterior Stone & Metal Preservation, South Extension, Phase IIB, USC..... |                       | (14,287)         |
| FY 2017 Presidential Inaugural Stands & Support Facilities, USC.....      |                       | (4,950)          |
| Minor Construction.....   |                       | (3,500)          |
| <b>Total Program Decreases</b>  |                       | <u>(22,737)</u>  |
| <b>Mandatory Pay Related Costs:</b>                                       |                       |                  |
| FY 2017 FEHB Employer Contribution of 4.0%.....                           |                       | 64               |
| FY 2017 Cost-of-Living Adjustment of 2.6%.....                            |                       | 378              |
| FY 2017 Within Grade Increase.....  |                       | 152              |
| <b>Total Mandatory Pay Related Costs</b>                                  |                       | <u>594</u>       |
| <b>Price Level Changes</b>  |                       |                  |
| Facilities Maintenance.....   |                       | 57               |
| Furniture Repairs.....  |                       | 1                |
| Jurisdiction Centralized Activities.....                                  |                       | 11               |
| <b>Total Price Level Changes</b>  |                       | <u>69</u>        |
| <b>Program Increases:</b>   |                       |                  |
| Jurisdiction Centralized Activities.....                                  |                       | 150              |
| Payroll Erosion.....  |                       | 646              |
| Multi-Year Projects:  |                       |                  |
| Exterior Stone & Metal Preservation, West Facade, Phase III, USC.....     |                       | 5,582            |
| Senate Reception Room Restoration & Conservation, USC.....                |                       | 4,025            |
| Domestic Water, Storm, Sanitary & Vent Piping Replacement, USC.....       |                       | 3,435            |
| Brumidi Corridors Restoration & Conservation Plan, USC.....               |                       | 1,410            |
| Minor Construction.....   |                       | 3,500            |
| Conservation of Fine and Architectural Art.....                           |                       | 599              |
| <b>Total Program Increases</b>  |                       | <u>19,347</u>    |
| <b>Net Increase/Decrease</b>  |                       | <u>- (2,727)</u> |
| <b>Total Appropriation</b>  | <u>226</u>            | <u>44,010</u>    |



# Capitol Building

## OPERATING BUDGET REQUEST - 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. 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 Budget (\$000)            |                        |                                |                                   |                         |                 |                         |
|-------------------------------------|------------------------|--------------------------------|-----------------------------------|-------------------------|-----------------|-------------------------|
| Program Groups                      | FY 2016 Operating Plan | Program Realignment/ Transfers | Mandatory Pay and Price Increases | Other Program Increases | FY 2017 Request | FY 2016/2017 Difference |
| Facilities Maintenance              | 2,996                  | -                              | 57                                | -                       | 3,053           | 57                      |
| Furniture Repair                    | 50                     | -                              | 1                                 | -                       | 51              | 1                       |
| Jurisdiction Centralized Activities | 454                    | -                              | 11                                | 150                     | 615             | 161                     |
| Payroll                             | 20,500                 | -                              | 594                               | 646                     | 21,740          | 1,240                   |
| <b>Total</b>                        | <b>24,000</b>          | <b>-</b>                       | <b>663</b>                        | <b>796</b>              | <b>25,459</b>   | <b>1,459</b>            |

### Program Changes Justification

The FY 2017 Operating Budget Request shows an increase of **\$1,459K** from the FY 2016 operating plan. It includes **\$663K** in mandatory pay and price increases plus **\$796K** in other program changes.

#### Mandatory Pay and Price Increases

Mandatory Pay and Price Increases total requirement of **\$663K** reflects Congressional Budget Office estimated funding of **\$69K** for non-pay 2.2% inflation increases and **\$594K** for pay related inflation increases (2.6% for Cost-of-Living adjustment, 4.0% for the Federal Employee Health Benefits program and Within Grade adjustment).

#### Other Program Increases

The **Jurisdictional Centralized Activities** increase of **\$150K** reflects the bi-annual costs associated with election year moves.

**Impact if not funded:** The costs associated with election year moves such as painting, lighting, carpentry services, and other related items would have to be funded through the already reduced Facilities Maintenance accounts.

The **Payroll** program increase of **\$646K** reflects funding needed to restore our payroll level to the actual requirement. Over the past several years, mandatory payroll cost increases have caused overall personnel costs to increase. The sequestration of FY 2013, along with the desire of Congress to keep budgets flat, have caused an erosion of our buying power.



# Capitol Building

## ***MULTI-YEAR BUDGET REQUEST – PROGRAM SUMMARY***

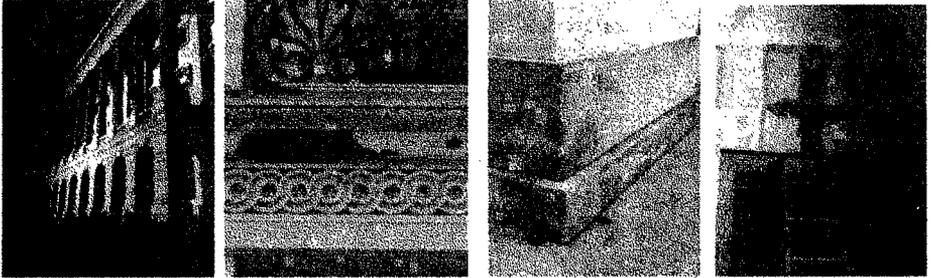
The Capital Budget consists of major construction or systems replacement requirements to address fire, life safety, and security issues; deferred maintenance; capital renewal; capital improvement; construction; and necessary studies and designs. It also includes Minor Construction funds that provide the Capitol Building with the flexibility to respond to unforeseen minor construction requirements as generated from emergencies, the Members, Committees, and other Architect of the Capitol clients.

| <b>Multi-Year Budget by Project (\$000)</b>                           |                       |
|---|-----------------------|
|   | <b>Request Amount</b> |
| <b>Line Item Construction Program Projects:</b>                       |                       |
| Exterior Stone & Metal Preservation, West Facade, Phase III, USC..... | 5,582                 |
| Senate Reception Room Restoration & Conservation, USC.....            | 4,025                 |
| Domestic Water, Storm, Sanitary & Vent Piping Replacement, USC.....   | 3,435                 |
| Brumidi Corridors Restoration & Conservation Plan, USC.....           | 1,410                 |
| <b>Total</b>  | <b>14,452</b>         |
| <b>Other Projects:</b>  |                       |
| Minor Construction.....   | 3,500                 |
| Conservation of Fine and Architectural Art.....                       | 599                   |
| <b>Total</b>  | <b>4,099</b>          |
| <b>Total Project Request</b>  | <b>18,551</b>         |



## Capitol Building

**Project Title:** Exterior Stone & Metal Preservation, West Façade, Phase III, USC **Request:** \$5,582K



**Project Description:** This project is part of a phased rehabilitation of the exterior stone at the U.S. Capitol to prolong the life expectancy and preserve the historic features of this historic building. This project stabilizes, cleans stains, repairs damage and deterioration of the stone and corrosion of the metals, and preserves the exterior historic stone of the west façade.

**Risk and Impact If Not Funded:** If the preservation work is not performed to repair the stone and mitigate water infiltration, stone deterioration continues to pose a life safety risk to members, staff and the general public. Continued deterioration subjects the U.S. Capitol to a loss of historic fabric and increased costs for future stone work and increased damage to interior spaces from water and moisture penetration.

**Cost of Recurring Operations:** Maintenance costs are expected to remain constant as a result of this work.

**Citation Driven:** No. **Client Request:** No.

### Program Funding Overview (\$000):

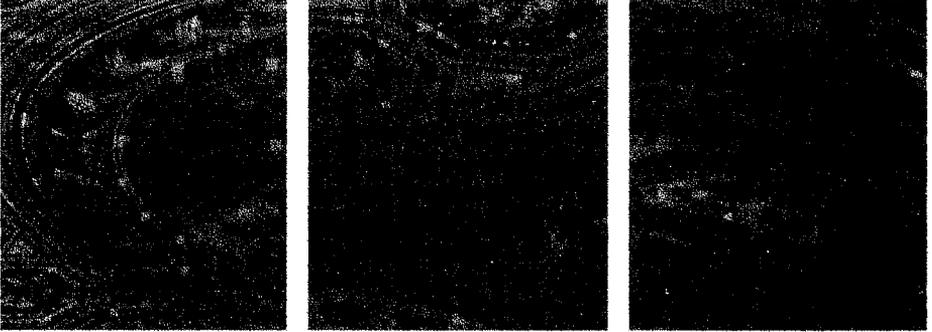
| Task                           | Prior<br>FY 2015<br>Funded | FY 2015<br>Funded | FY 2016<br>Funded | FY 2017<br>Requested | Funding FY<br>Available | Total<br>Requested<br>(in thousands) |
|--------------------------------|----------------------------|-------------------|-------------------|----------------------|-------------------------|--------------------------------------|
| Study                          | -                          | -                 | -                 | -                    | -                       | -                                    |
| Design                         | 260                        | -                 | -                 | -                    | -                       | 260                                  |
| Construction (Phase I) North   | 16,600                     | -                 | -                 | -                    | -                       | 16,600                               |
| Construction (Phase IIA) South | -                          | 2,226             | -                 | -                    | -                       | 2,226                                |
| Construction (Phase IIB) South | -                          | -                 | 13,487            | -                    | -                       | 13,487                               |
| Construction (Phase III) West  | -                          | -                 | -                 | 3,722                | -                       | 3,722                                |
| Construction (Phase III) East  | -                          | -                 | -                 | -                    | 8,663                   | 8,663                                |
| USCP Overtime                  | -                          | 301               | 800               | 1,860                | 1,859                   | 4,820                                |
| <b>Total</b>                   | <b>16,860</b>              | <b>2,527</b>      | <b>14,287</b>     | <b>5,582</b>         | <b>10,522</b>           | <b>49,778</b>                        |



# Capitol Building

Project Title: Senate Reception Room Restoration & Conservation, USC

Request: \$4,025K



**Project Description:** This project completes conservation and restoration of the Senate Reception Room damaged over the past 150 years from pollution, tobacco smoke, fireplace smoke and over painting. The ornately decorated walls, ceilings and enframements were painted under the direction of Constantino Brumidi in the 1860's. Study and testing of the gilding and the feasibility of conserving the decorative painting began in 2009. It was discovered that the burnished water-gilded area could be uncovered, but the oil-gilded areas needed to be cleaned and over-gilded. The decorative painting is recommended to be replicated to match exposed areas.

**Risk and Impact If Not Funded:** Without a financial commitment to complete the multi-year plan, the AOC will not readily retain the expert artisans currently assembled by the contractor, and the conservation and restoration work in the Senate Reception Room will stretch out for years to come. This project seeks to minimize long-term inconvenience to Congressional operations while conserving an important piece of American history.

**Cost of Recurring Operations:** Upon completion of the conservation and restoration efforts, the AOC will need to apply funds to maintain the Senate Reception Room. The AOC has requested \$599K for Conservation of the Fine and Architectural Art since FY 2013.

**Citation Driven:** No.

**Client Request:** There is significant Member interest in this project.

## Program Funding Overview (\$000):

| Task         | Prior<br>FY 2015<br>Funded | FY 2016<br>Funded | FY 2016<br>Funded | FY 2017<br>Requested | Fiscal FY<br>Anticipated | Total<br>Program<br>Requirement |
|--------------|----------------------------|-------------------|-------------------|----------------------|--------------------------|---------------------------------|
| Study        | -                          | -                 | -                 | -                    | -                        | -                               |
| Design       | -                          | -                 | -                 | -                    | -                        | -                               |
| Conservation | 1,214                      | -                 | 350               | 4,025                | -                        | 5,589                           |
| <b>Total</b> | <b>1,214</b>               | <b>-</b>          | <b>350</b>        | <b>4,025</b>         | <b>-</b>                 | <b>5,589</b>                    |

<sup>1</sup> \$350K from FY 2016 CB Minor Construction funding.

# Capitol Building



**Project Title: Domestic Water, Storm, Sanitary & Vent Piping Replacement, USC Request: \$3,435K**



**Project Description (Design):** The domestic water, storm, sanitary and vent piping in the U.S. Capitol Building has deteriorated to the point where frequent repairs are required due to leaks, corrosion and pipe aging. The majority of plumbing piping in the Capitol have reached the end of its useful life. This design project facilitates the replacement of plumbing piping with minimum disruptions to building operations and includes separating the storm sewer from the sanitary sewer system. This project details the recommendations from a previously funded and completed study that evaluated the existing piping in the Capitol, as recommended by the facility condition assessments.

#### Risk and Impact If Not Funded:

- Continued deterioration and leaks may damage historic finishes and contribute to a whole or partial shutdown of the building.
- Increased frequency of calls for service, maintenance and repair of damaged piping leaks and breakdowns may affect operations of building systems and facilities, including kitchens and cafeterias.
- Damage caused by leaks may require costly repair or restoration of historic structures, furniture and finishes.

#### Cost of Recurring Operations:

- Design and implementation of the study's findings and recommendations will eliminate the cost of escalating repairs to water and drainage systems and related water damage, especially to historic finishes.
- If possible, the capture and reuse of clear domestic water waste and stormwater for potential irrigation and grey water uses can result in cost savings.

**Citation Driven: No. Client Request: No.**

#### Program Funding Overview (\$000):

| Task                           | Prior FY 2015 Funded | FY 2015 Funded | FY 2016 Funded | FY 2017 Requested | Future FY Anticipated | Total Projected Requirement |
|--------------------------------|----------------------|----------------|----------------|-------------------|-----------------------|-----------------------------|
| Study                          | 431                  | -              | -              | -                 | -                     | 431                         |
| Design                         | -                    | -              | -              | 3,435             | -                     | 3,435                       |
| Construction (Multiple Phases) | -                    | -              | -              | -                 | 395,000               | 395,000                     |
| <b>Total</b>                   | <b>431</b>           | <b>-</b>       | <b>-</b>       | <b>3,435</b>      | <b>395,000</b>        | <b>398,866</b>              |

<sup>1</sup> Per study completed in November 2011, total construction costs are anticipated to be at approximately \$395M.



## Capitol Building

Project Title: Brumidi Corridors Restoration & Conservation Plan, USC

Request: \$1,410K



**Project Description:** The purpose of the project is to complete conservation and restoration of the Brumidi Corridors damaged from pollution from open windows, tobacco smoke, fireplace smoke and over-painting over the past 150 years. The ornately decorated Senate corridors were painted under the design and direction of Constantino Brumidi in the late 1850's, with additions made in the 1870's. Painting techniques included tempera, oil, and fresco. Between 1985 and 2012, professional fine art mural conservators removed layers of over-paint and uncovered original designs and colors. Phases of this project began in July 2012 resulting in completion of the Trophy Room walls; Refectory Area walls; Zodiac Corridor walls and ceiling; Reception Area walls and ceiling; and Inner Corridor walls.

**Risk and Impact If Not Funded:** Without a financial commitment to complete the multi-year plan, the AOC will not readily retain the expert artisans currently assembled by the contractor, and the conservation and restoration work in the Brumidi Corridors will stretch out for years to come. This project seeks to minimize long-term inconvenience to Congressional operations while conserving an important piece of American history.

**Cost of Recurring Operations:** Upon completion of the conservation and restoration efforts, the AOC will need to apply funds to maintain the Corridors. The AOC has requested \$599K for Conservation of the Fine and Architectural Art since FY 2013.

**Citation Driven:** No.

**Client Request:** There is significant Member interest in this project.

### Program Funding Overview (\$000):

| Title         | Prior FY 2015 Funded | FY 2015 Funded <sup>1</sup> | FY 2016 Funded <sup>2</sup> | FY 2017 Requested | Future FY Anticipated | Total Projected Requirement |
|---------------|----------------------|-----------------------------|-----------------------------|-------------------|-----------------------|-----------------------------|
| Study         | -                    | -                           | -                           | -                 | -                     | -                           |
| Design        | -                    | -                           | -                           | -                 | -                     | -                           |
| Conservation  | 4,480                | 1,340                       | 1,200                       | 1,410             | -                     | 8,430                       |
| <b>Total:</b> | <b>4,480</b>         | <b>1,340</b>                | <b>1,200</b>                | <b>1,410</b>      | -                     | <b>8,430</b>                |

<sup>1</sup> \$548K reprogrammed from SOB funding. Additional 142K from CB Minor Construction funding.

<sup>2</sup> \$3,950K requested in FY 2015 and \$1,340K was funded.

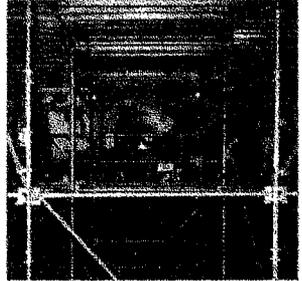
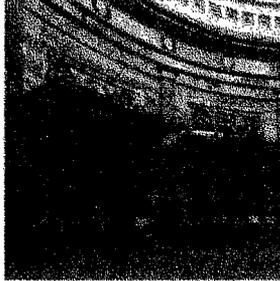
<sup>3</sup> \$1,200K from FY 2016 CB Minor Construction funding.



# Capitol Building

Project Title: Conservation of Fine and Architectural Art

Request: \$599K



**Previously Requested From Congress:** The Architect of the Capitol has requested funds for this effort (previously Conservation of Wall Paintings) since the mural conservation program began in the mid-1980s. It was in the Capitol Building appropriation for annual funding prior to Fiscal Year 2007, when the AOC identified the need for these funds to be appropriated as Multi-Year. It was increased to \$599K in FY 2013.

**Project Description:** This account provides for conservation of murals and other fine and architectural art, including sculpture, with a focus on the U.S. Capitol, including the Rotunda and the House and the Senate wings. The AOC Curator works to keep all fine and architectural art under AOC's care in good condition by prioritizing conservation of art that is most endangered and by regular follow-up conservation maintenance. Professional fine art conservators conduct condition assessments, and the most qualified conservators in each specialty are selected to perform work. Because much of the work can only be performed during recesses or when special access is allowed, and because of the need to have funds available in case emergency treatment is required due to leaks, impact damage, etc., the Multi-Year funding provides this needed flexibility. There will be a special need for this funding for monitoring of conditions and art protection and for conservation maintenance of art in the Rotunda as the Dome Restoration project is completed. Project duration is on-going.

**Risk and Impact If Not Funded:** Historic heritage assets will continue to deteriorate as problems are not addressed and damage is not repaired, leading to the irreparable loss of original material and impacting the integrity and appearance of national treasures. The progress of the mural conservation program will be impeded, and additional high priority conservation projects will need to be deferred.

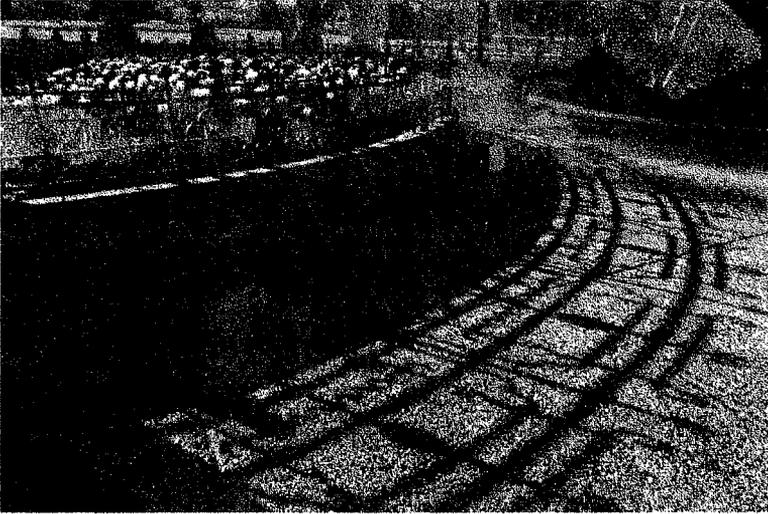
**Program Funding Overview (\$000):**

| Task         | FY 2015<br>Funded | FY 2015<br>Funded | FY 2016<br>Funded | FY 2017<br>Requested | Fiscal FY<br>Anticipated | Total<br>Program<br>Requirement |
|--------------|-------------------|-------------------|-------------------|----------------------|--------------------------|---------------------------------|
| Conservation | 5,047             | 199               | -                 | 599                  | -                        | 5,845                           |

<sup>1</sup>\$599K will be requested annually for this effort.



## 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, including the Capitol, Senate and House Office Buildings, the Capitol Power Plant and Union Square. This area includes lawns; parks; historic, memorial and commemorative trees; horticultural display beds; supporting decorative features such as statuary; and historic fountains and water features providing a safe and awe-inspiring setting for the U.S. Capitol.

The CG jurisdiction:

- Maintains the physical elements such as sidewalks, streets, parking lots, irrigation and drainage systems, as well as campus-wide trash removal and outdoor recycling and snow removal.
- Preserves and maintains historic decorative features such as fountains, boundary walls and stone carvings.
- Supports major events such as the annual Capitol Christmas Tree Lighting Ceremony, State of The Union, Inauguration and Summer Concerts that includes the setup of extensive security fencing.

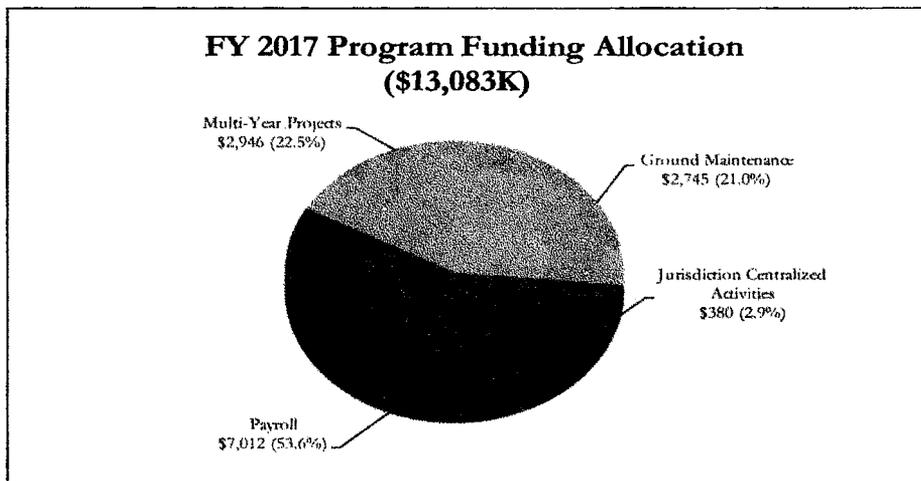
For a complete list of CG facilities, please refer to the "Areas of Responsibility Summary" table in this Budget Request.



# Capitol Grounds

## PROGRAM SUMMARY

The Capitol Grounds (CG) jurisdiction/appropriation consist of two primary types of funding: Operating Budget (annual) and Multi-Year Projects Budget (5 years).



The **Operating Budget** request (\$10,137K) 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 Congress. The budget is divided into functional area Program Groups: Grounds Maintenance, Jurisdiction Centralized Activities and Payroll.

- The **Grounds Maintenance** Program Group funding request (\$2,745K) provides the capability to continue to support existing service levels for comprehensive landscape maintenance and preservation of historic resources. This request for funding will provide for disposal of bulk and solid waste, for pavement and sidewalks, for landscaping maintenance and beautification, for equipment and maintenance, and for infrastructure and historic structures.
- The **Jurisdiction Centralized Activities** Program Group funding request (\$380K) provides for the procurement of motor fuel; emergency preparedness; insurance claims; employee related items such as uniforms and safety apparel for identification, safety and security purposes; and safety, equipment and technical training. This aligns with the historical workload and accomplishes the mission as it has in the past.
- The **Payroll** Program Group funding request (\$7,012K) funds the necessary salaries and benefits for employees specifically supporting the appropriation. This program group provides support for all gardening and landscape maintenance, including snow removal and the care of trees including historic memorial trees; for maintenance of vehicles, equipment and infrastructure; for heritage preservation, jurisdictional support services and sidewalks/pavements maintenance.



# Capitol Grounds

## *PROGRAM SUMMARY (continued)*

The Multi-Year Projects Budget request (\$2,946K) 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 jurisdictions with the flexibility to respond to unforeseen requirements as generated from emergencies, the Members, Committees and other Architect of the Capitol clients.

Please refer to "Multi-Year Budget Request – Program Summary" for a detailed list of the requested major construction projects.

## *AREAS OF RESPONSIBILITY SUMMARY:*

### *ASSIGNED FACILITIES*

| Facility Name/Type                          | Location       | Year Built or Acquired | Area (square feet) | Deferred Maintenance | Capital Renewal     | Backlog             |
|---|----------------|------------------------|--------------------|----------------------|---------------------|---------------------|
| Summer House                                | Washington, DC | 1881                   | 816                | \$498,000            | \$241,000           | \$739,000           |
| Capitol Square                              | Washington, DC | 1894                   | 2,722,500          | \$10,583,000         | \$2,559,000         | \$13,142,000        |
| Union Square                                | Washington DC  | 2011                   | 574,992            | \$14,465,000         | \$1,374,000         | \$15,839,000        |
| Remaining Squares to House and Senate Parks | Washington, DC | Varies                 | 7,265,808          | \$4,965,000          | \$7,120,000         | \$12,085,000        |
| Projects Across Multiple Facilities         | Washington, DC | Varies                 | Varies             | \$0                  | \$0                 | \$0                 |
| <b>Total</b>                                |                |                        | <b>10,564,116</b>  | <b>\$30,511,000</b>  | <b>\$11,294,000</b> | <b>\$41,805,000</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 Grounds

## TOTAL BUDGET REQUEST – FUNDING SUMMARY

| Total Budget (\$000) |                 |                            |                              |                              |                         |
|----------------------|-----------------|----------------------------|------------------------------|------------------------------|-------------------------|
| Appropriation        | FY 2015 Enacted | FY 2015 Actual Obligations | FY 2016 <sup>2</sup> Enacted | FY 2017 <sup>2</sup> Request | FY 2016/2017 Difference |
| Operating Budget     | 9,973           | 9,733                      | 9,880                        | 10,137                       | 257                     |
| Multi-Year Projects  | 2,000           | -                          | 2,000                        | 2,946                        | 946                     |
| <b>Total</b>         | <b>11,973</b>   | <b>9,733</b>               | <b>11,880</b>                | <b>13,083</b>                | <b>1,203</b>            |

| Operating Budget (\$000)            |                        |                            |                                     |                              |                         |
|-------------------------------------|------------------------|----------------------------|-------------------------------------|------------------------------|-------------------------|
| Program Groups                      | FY 2015 Operating Plan | FY 2015 Actual Obligations | FY 2016 <sup>2</sup> Operating Plan | FY 2017 <sup>2</sup> Request | FY 2016/2017 Difference |
| Grounds Maintenance                 | 3,062                  | 3,170                      | 2,682                               | 2,745                        | 63                      |
| Jurisdiction Centralized Activities | 337                    | 285                        | 372                                 | 380                          | 8                       |
| Payroll                             | 6,574                  | 6,278                      | 6,826                               | 7,012                        | 186                     |
| <b>Total</b>                        | <b>9,973</b>           | <b>9,733</b>               | <b>9,880</b>                        | <b>10,137</b>                | <b>257</b>              |

| Total Budget by Object Class (\$000) |                        |   |                                     |                              |                         |
|--------------------------------------|------------------------|---|-------------------------------------|------------------------------|-------------------------|
| Object Class Groups                  | FY 2015 Operating Plan | FY 2015 <sup>1</sup> Actual Obligations | FY 2016 <sup>2</sup> Operating Plan | FY 2017 <sup>2</sup> Request | FY 2016/2017 Difference |
| 11 Personnel Compensation            | 4,866                  | 4,872                                   | 5,052                               | 5,190                        | 138                     |
| 12 Personnel Benefits                | 1,709                  | 1,711                                   | 1,774                               | 1,822                        | 48                      |
| 21 Travel                            | 2                      | 2                                       | 2                                   | 2                            | -                       |
| 22 Transportation of Things          | -                      | -                                       | -                                   | -                            | -                       |
| 23 Rent, Communications & Utilities  | -                      | -                                       | -                                   | -                            | -                       |
| 24 Printing and Reproduction         | -                      | -                                       | -                                   | -                            | -                       |
| 25 Other Contractual Services        | 3,677                  | 2,463                                   | 2,431                               | 2,920                        | 489                     |
| 26 Supplies and Materials            | 900                    | 484                                     | 478                                 | 574                          | 96                      |
| 31 Equipment                         | 320                    | 413                                     | 407                                 | 489                          | 82                      |
| 32 Land and Structures               | 500                    | 1,756                                   | 1,733                               | 2,082                        | 349                     |
| 42 Insurance Claims & Indemnities    | -                      | 3                                       | 3                                   | 4                            | 1                       |
| <b>Total</b>                         | <b>11,973</b>          | <b>11,704</b>                           | <b>11,880</b>                       | <b>13,083</b>                | <b>1,203</b>            |

<sup>1</sup> FY 2015 Personnel Compensation and Personnel Benefits include payroll and project-funded obligations. Actuals represent total obligations of funds incurred irrespective of the year of appropriation and can include reprogrammings/transfers from other appropriations.

<sup>2</sup> FY 2016/FY 2017 Personnel Compensation and Personnel Benefits do not include project-funded payroll estimated obligations.



# Capitol Grounds

## TOTAL BUDGET REQUEST - ANALYSIS OF CHANGE

|   | FY 2017 Appropriation |                |
|---|-----------------------|----------------|
|   | FTE                   | Amount (\$000) |
| <b>FY 2016 Enacted</b> (FTE reflects Payroll Funded only) | 73                    | 11,880         |
| <b>Non-Recurring Costs</b>                                |                       |                |
| Minor Construction.....                                   |                       | (2,000)        |
| <b>Total Program Decreases</b>                            |                       | (2,000)        |
| <b>Mandatory Pay Related Costs:</b>                       |                       |                |
| FY 2017 FEHB Employer Contribution of 4.0%.....           |                       | 20             |
| FY 2017 Cost-of-Living Adjustment of 2.6%.....            |                       | 119            |
| FY 2017 Within Grade Increase.....                        |                       | 47             |
| <b>Total Mandatory Pay Related Costs</b>                  |                       | 186            |
| <b>Price Level Changes</b>                                |                       |                |
| Grounds Maintenance.....                                  |                       | 63             |
| Jurisdiction Centralized Activities.....                  |                       | 8              |
| <b>Total Price Level Changes</b>                          |                       | 71             |
| <b>Program Increases:</b>                                 |                       |                |
| Multi-Year Projects                                       |                       |                |
| Capitol Square Infrastructure Repair, CG.....             |                       | 946            |
| Minor Construction.....                                   |                       | 2,000          |
| <b>Total Program Increases</b>                            |                       | 2,946          |
| <b>Net Increase/Decrease</b>                              |                       | 1,203          |
| <b>Total Appropriation</b>                                | 73                    | 13,083         |



# Capitol Grounds

## ***OPERATING BUDGET REQUEST - SUMMARY OF CHANGES***

The Operating Budget component 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 three 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.

| <b>Operating Program (\$000)</b>    |                                       |   |  |  |                            |                                    |
|-------------------------------------|---------------------------------------|---|--|--|----------------------------|------------------------------------|
| <b>Program Groups</b>               | <b>FY 2016<br/>Operating<br/>Plan</b> | <b>Program<br/>Realignment/<br/>Transfers</b> | <b>Mandatory<br/>Pay and Price<br/>Increases</b> | <b>Other<br/>Program<br/>Increases</b> | <b>FY 2017<br/>Request</b> | <b>FY 2016/2017<br/>Difference</b> |
| Ground Maintenance                  | 2,682                                 | -   | 63   | -                                      | 2,745                      | 63                                 |
| Jurisdiction Centralized Activities | 372                                   | -   | 8  | -                                      | 380                        | 8                                  |
| Payroll                             | 6,826                                 | -   | 186  | -                                      | 7,012                      | 186                                |
| <b>Total</b>                        | <b>9,880</b>                          | <b>-</b>                                      | <b>257</b>                                       | <b>-</b>                               | <b>10,137</b>              | <b>257</b>                         |

### **Program Changes Justification**

#### **Mandatory Pay and Price Increases**

The Mandatory Pay and Price Increases requirement of **\$257K**, reflect Congressional Budget Office estimated funding of **\$71K** for non-pay 2.2% inflation increases and **\$186K** for pay related inflation increases (2.6% for Cost-of-Living adjustment, 4.0% for the Federal Employee Health Benefits program and Within Grade adjustment).



# Capitol Grounds

## ***MULTI-YEAR BUDGET REQUEST - PROGRAM 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 jurisdictions with the flexibility to respond to unforeseen requirements as generated from emergencies, the Members, Committees and other Architect of the Capitol clients.

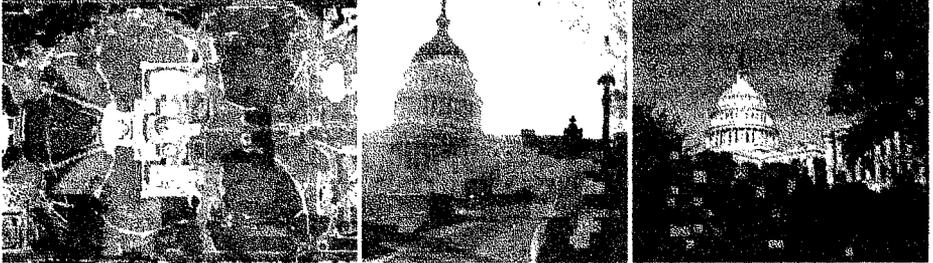
| <b>Multi-Year Budget by Project (\$000)</b>     |                              | <b>Request Amount</b> |
|---|------------------------------|-----------------------|
| <b>Line Item Construction Program Projects:</b> |                              |                       |
| Capitol Square Infrastructure Repair, CG.....   |                              | 946                   |
|   | <b>Total</b>                 | <b>946</b>            |
| <b>Other Projects:</b>                          |                              |                       |
| Minor Construction.....                         |                              | 2,000                 |
|   | <b>Total</b>                 | <b>2,000</b>          |
|   | <b>Total Project Request</b> | <b>2,946</b>          |



# Capitol Grounds

**Project Title:** Capitol Square Infrastructure Repair, CG

**Request:** \$946K



**Project Description (Study):** Designed in 1874 by Frederick Law Olmsted, Capitol Square encompasses the 56 acres of grounds surrounding the U.S. Capitol. The study phase includes a series of investigations to evaluate the existing utilities and infrastructure, security and lighting, provides updates to the existing Air Intake Tunnel study and assesses future storm water management requirements per Department of Energy & Environment (DOEE) regulations. The survey information from the study will assist in preparing a Program of Requirements for the design phase. The design phase will be submitted in a subsequent LICP will include Capitol Square's restoration to the period of significance (1874 to 1894).

**Risk and Impact If Not Funded:** Installations below and above ground resulted in a clutter of various infrastructure systems. Capitol Square restoration cannot proceed without addressing infrastructure needs and repair to avoid potential risks and multiple disturbances to the Capitol Square grounds. Restoration is needed to stabilize and repair deteriorated features to prevent loss of historic fabric.

**Cost of Recurring Operations:**

- Current operational costs are \$1,350,000 annually including landscape maintenance, minor masonry work and ongoing plumbing/fountain servicing.
- Following the restoration, operations and maintenance costs could increase due to the added and required stormwater Best Management Practices (BMPs).

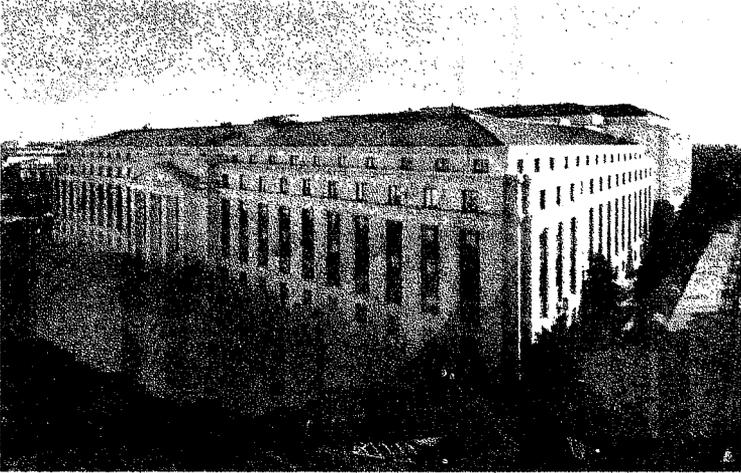
**Citation Driven:** No.    **Client Request:** No.

**Program Funding Overview (\$000):**

| Task                           | Prior FY 2015 Funded | FY 2015 Funded | FY 2016 Funded | FY 2017 Requested | Fiscal FY Anticipated | Total Projected Requirements |
|--------------------------------|----------------------|----------------|----------------|-------------------|-----------------------|------------------------------|
| Study                          | -                    | -              | -              | 946               | -                     | 946                          |
| Design                         | -                    | -              | -              | -                 | -                     | -                            |
| Construction (Multiple Phases) | -                    | -              | -              | -                 | -                     | -                            |
| <b>Total</b>                   | -                    | -              | -              | <b>946</b>        | -                     | <b>946</b>                   |



## Senate 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 Senate Office Buildings (SOB) jurisdiction is responsible for the daily care, maintenance, repair and operations of the Russell, Dirksen and Hart Senate Office Buildings, the Senate Employees Child Care Center, the Daniel Webster Page Dorm, the Robert A. Taft Memorial, 107 D Street Building, the Blue Plains Warehouse, the Senate Long Term Mail Facility and the Senate Underground Garage.

The SOB jurisdiction:

- Provides important client services such as wood crafting, upholstery, painting, garage operations and furniture.
- Manages building infrastructure, including electrical, plumbing, heating, ventilation and air conditioning, fire alarm, subway and elevator systems.
- Performs daily operations, including cleaning, recycling, loading dock operations, Committee hearing room preparations, events coordination and floor care.
- Manages lease operations and maintenance contracts for the Secretary of the Senate and the Senate Sergeant at Arms.
- Manages leases for the Postal Square Building, the Government Printing Office and various locations in Landover, Maryland.

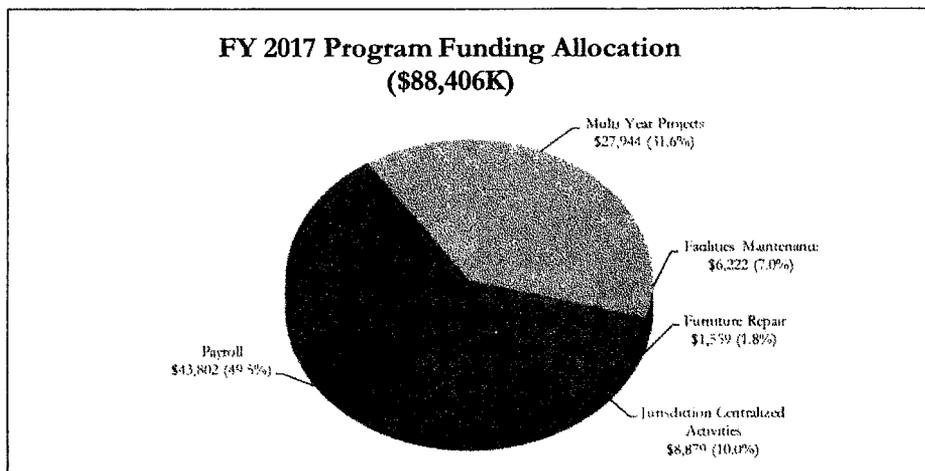
For a complete list of SOB facilities, please refer to the "Areas of Responsibility Summary" tables in this Budget Request.



## Senate Office Buildings

### PROGRAM SUMMARY

The Senate Office Buildings (SOB) jurisdiction/appropriation consists of two primary types of funding: Operating Budget (annual) and Multi-Year Projects Budget (5 years).



The **Operating Budget** request (\$60,462K) funds all costs associated with the daily care, maintenance and operation of its facilities which support Congressional operations. The SOB operating budget is divided into four functional Program Groups: Facilities Maintenance, Furniture Repair, Jurisdiction Centralized Activities and Payroll.

- The **Facilities Maintenance** Program Group funding request (\$6,222K) provides for the procurement of materials, supplies and contracts for essential facility maintenance; mechanical; electrical and building envelope repair; legislative clocks; building preservation; and cleaning and recycling operations. This request also provides for client services, such as garage operations; elevator and subway systems; hearing room set-up; painting, upholstery and custom millwork; and off-site mail facility maintenance services. Other critical functions provided by this funding request include hazardous materials abatement, physical security support and historic preservation. In addition, this request supports the Senate Restaurant operations and facilities in the Senate Buildings.
- The **Furniture Repair** Program Group funding request (\$1,559K) provides furniture and furnishings to all offices in the Senate Office Buildings jurisdiction. This request includes supplies, material, equipment and contracted services for new furniture and furnishings and for refinishing existing furniture. The request also supports ergonomics assessments, inventory, care and preservation of historic furniture and furnishings in the Senate Buildings.



## Senate Office Buildings

### *PROGRAM SUMMARY (continued)*

- The **Jurisdiction Centralized Activities** Program Group funding request (\$8,879K) supports leasing, contract maintenance and cleaning operations for off-site Senate support functions, including administrative, production and warehouse leasing operations at the Postal Square Building and the Government Publishing Office building, and the facilities in Landover, Maryland, for the Senate Sergeant at Arms and the Secretary of the Senate. The remaining funds support activities, such as training, emergency preparedness and employee safety, that directly contribute to the AOC's ability to support Congressional operations.
- The **Payroll** Program Group funding request (\$43,802K) funds the necessary salaries and benefits for employees specifically supporting the Senate Buildings jurisdiction. The SOB workforce consists of a diverse group of project managers, custodians, electricians, engineers, mechanics, painters, plumbers, upholsterers, wood crafters and other laborers who execute the jurisdiction's critical Client Services, Facilities Maintenance, Facility Operations, Project Delivery, Jurisdictional Support Services and Heritage Asset Preservation functions.

The **Multi-Year Projects Budget** request (\$27,944K) consists of major construction or system replacement projects 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 jurisdictions with the flexibility to respond to unforeseen requirements arising from emergencies, Members, Committees and other Architect of the Capitol clients.

Please refer to "Multi-Year Budget Request - Program Summary" for a detailed list of the requested major construction projects.



## Senate Office Buildings

### AREAS OF RESPONSIBILITY SUMMARY:

#### ASSIGNED FACILITIES

| Facility Name/Type                  | Location       | Year Built or Acquired | Area (square feet) | Deferred Maintenance | Capital Renewal     | Backlog              |
|-------------------------------------|----------------|------------------------|--------------------|----------------------|---------------------|----------------------|
| Dirksen Senate Office Building *    | Washington, DC | 1958                   | 752,963            | \$21,292,000         | \$68,354,000        | \$89,646,000         |
| Hart Senate Office Building         | Washington, DC | 1982                   | 1,271,030          | \$20,877,000         | \$20,070,000        | \$40,947,000         |
| Russell Senate Office Building      | Washington, DC | 1909                   | 698,921            | \$17,590,000         | \$8,131,000         | \$25,721,000         |
| Robert A. Taft Memorial             | Washington, DC | 1959                   | 1,700              | \$398,000            | \$1,000             | \$399,000            |
| Senate Day Care Center              | Washington, DC | 1998                   | 9,978              | \$3,000              | \$183,000           | \$186,000            |
| Senate Mail Handling Facility       | Landover, MD   | 2008                   | 52,500             | \$472,000            | \$322,000           | \$794,000            |
| Senate Storage Building             | Washington, DC | 1993                   | 20,921             | \$0                  | \$323,000           | \$323,000            |
| Senate Underground Garage           | Washington, DC | 1932                   | 85,284             | \$9,179,000          | \$469,000           | \$9,648,000          |
| Webster Hall Page Dormitory         | Washington, DC | 1930                   | 20,870             | \$0                  | \$84,000            | \$84,000             |
| 107 D Street Northeast              | Washington, DC | 1885                   | 7,764              | \$1,029,000          | \$14,000            | \$1,043,000          |
| Projects Across Multiple Facilities | Washington, DC | Varies                 | Varies             | \$0                  | \$0                 | \$0                  |
| <b>Total</b>                        |                |                        | <b>2,921,931</b>   | <b>\$70,840,000</b>  | <b>\$97,951,000</b> | <b>\$168,791,000</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.

\* FY 2015 Facility Condition Assessment in Progress.

#### LEASED FACILITIES

| Lease Type  | Location       | Area (square feet) | Leased from    | Contract Award Date | Contract End Date | FY 2017 Total Cost |
|---|----------------|--------------------|----------------|---------------------|-------------------|--------------------|
| SSAA/SecSen Warehouse Facility <sup>1</sup>                 | Landover, MD   | 100,000            | Private Sector | Oct 2005            | Sep 2025          | \$1,083,000        |
| SSAA Printing, Graphics & Direct Mail Facility <sup>1</sup> | Landover, MD   | 90,000             | Private Sector | Mar 2011            | Mar 2016          | \$1,240,000        |
| SSAA Office Support (Postal Square) <sup>1</sup>            | Washington, DC | 120,911            | GSA            | May 1992            | May 2022          | \$5,144,000        |
| GPO - SSAA Admin  | Washington, DC | 5,450              | GPO            | Oct 2010            | Sep 2016          | \$204,375          |
| GPO - SSAA Cabinet  | Washington, DC | 13,752             | GPO            | Oct 2012            | Sep 2016          | \$182,000          |
| GPO - Senate Furniture/Refinishing                          | Washington, DC | 44,700             | GPO            | Oct 2007            | Sep 2016          | \$381,113          |
| <b>Total</b>  |                |                    |                |                     |                   | <b>\$8,234,488</b> |

<sup>1</sup>Total cost include all operation and maintenance charges.



# Senate Office Buildings

## TOTAL BUDGET REQUEST - FUNDING SUMMARY

| Total Budget (\$000) |                 |                            |                 |                 |                         |
|----------------------|-----------------|----------------------------|-----------------|-----------------|-------------------------|
| Appropriation        | FY 2015 Enacted | FY 2015 Actual Obligations | FY 2016 Enacted | FY 2017 Request | FY 2016/2017 Difference |
| Operating Budget     | 57,825          | 56,787                     | 57,938          | 60,462          | 2,524                   |
| Multi-Year Projects  | 38,220          | 1,732                      | 26,283          | 27,944          | 1,661                   |
| <b>Total</b>         | <b>96,045</b>   | <b>58,519</b>              | <b>84,221</b>   | <b>88,406</b>   | <b>4,185</b>            |

| Operating Budget (\$000)            |                        |                            |                        |                 |                         |
|-------------------------------------|------------------------|----------------------------|------------------------|-----------------|-------------------------|
| Program Groups                      | FY 2015 Operating Plan | FY 2015 Actual Obligations | FY 2016 Operating Plan | FY 2017 Request | FY 2016/2017 Difference |
| Facilities Maintenance              | 6,973                  | 6,744                      | 6,107                  | 6,222           | 115                     |
| Furniture Repair                    | 1,382                  | 1,382                      | 1,538                  | 1,559           | 21                      |
| Jurisdiction Centralized Activities | 8,799                  | 8,538                      | 8,867                  | 8,879           | 12                      |
| Payroll                             | 40,670                 | 40,122                     | 41,426                 | 43,802          | 2,376                   |
| <b>Total</b>                        | <b>57,825</b>          | <b>56,787</b>              | <b>57,938</b>          | <b>60,462</b>   | <b>2,524</b>            |

FY 2015 Actuals can include reprogrammings/transfers from other appropriations.

| Total Budget by Object Class (\$000) |                        |   |                                     |                              |                         |
|--------------------------------------|------------------------|---|-------------------------------------|------------------------------|-------------------------|
| Object Class Groups                  | FY 2015 Operating Plan | FY 2015 <sup>1</sup> Actual Obligations | FY 2016 <sup>2</sup> Operating Plan | FY 2017 <sup>2</sup> Request | FY 2016/2017 Difference |
| 11 Personnel Compensation            | 29,417                 | 31,976                                  | 29,964                              | 31,683                       | 1,719                   |
| 12 Personnel Benefits                | 11,253                 | 12,231                                  | 11,462                              | 12,119                       | 657                     |
| 21 Travel                            | 5                      | 5                                       | 10                                  | 10                           | -                       |
| 22 Transportation of Things          | -                      | -                                       | -                                   | -                            | -                       |
| 23 Rent, Communications & Utilities  | 7,330                  | 7,000                                   | 4,253                               | 4,313                        | 60                      |
| 24 Printing and Reproduction         | -                      | -                                       | -                                   | -                            | -                       |
| 25 Other Contractual Services        | 6,356                  | 5,360                                   | 8,148                               | 8,578                        | 430                     |
| 26 Supplies and Materials            | 3,221                  | 4,147                                   | 7,851                               | 7,852                        | 1                       |
| 31 Equipment                         | 1,300                  | 1,237                                   | 2,341                               | 2,422                        | 81                      |
| 32 Land and Structures               | 35,428                 | 4,854                                   | 20,189                              | 21,426                       | 1,236                   |
| 42 Insurance Claims & Indemnities    | 3                      | 1                                       | 2                                   | 2                            | -                       |
| <b>Total</b>                         | <b>94,313</b>          | <b>66,811</b>                           | <b>84,221</b>                       | <b>88,406</b>                | <b>4,185</b>            |

<sup>1</sup> FY 2015 Actuals represent total obligations of funds incurred irrespective of the year of appropriation and can include reprogrammings/transfers from other appropriations. Personnel Compensation and Personnel Benefits include payroll and project-funded obligations.

<sup>2</sup> FY 2016/FY 2017 Personnel Compensation and Benefits do not include project-funded estimated obligations.



# Senate Office Buildings

## TOTAL BUDGET REQUEST - ANALYSIS OF CHANGE

|   | FY 2017 Appropriation |                |
|---|-----------------------|----------------|
|   | FTE                   | Amount (\$000) |
| <b>FY 2016 Enacted (FTE reflects Payroll Funded only)</b>                                   | 498                   | 84,221         |
| <b>Non-Recurring Costs</b>  |                       |                |
| Exterior Envelope Repair & Restoration, Phase II, West Facade, RSOB.....                    |                       | (10,182)       |
| Senate Underground Garage Renovations & Landscape Restoration, Phase IB.....                |                       | (8,200)        |
| Exterior Envelope Rehabilitation, HSOB.....   |                       | (1,169)        |
| Kitchen Exhaust System Upgrade, Phase III, DSOB & RSOB.....                                 |                       | (1,732)        |
| Minor Construction.....   |                       | (5,000)        |
| <b>Other Decreases</b>  |                       |                |
| <b>Total Program Decreases</b>  |                       | (26,283)       |
| <b>Mandatory Pay Related Costs:</b>   |                       |                |
| FY 2017 FEHB Employer Contribution of 4.0%.....   |                       | 136            |
| FY 2017 Cost-of-Living Adjustment of 2.6%.....  |                       | 740            |
| FY 2017 Within Grade Increase.....  |                       | 297            |
| <b>Total Mandatory Pay Related Costs</b>  | -                     | 1,173          |
| <b>Price Level Changes</b>  |                       |                |
| Facilities Maintenance.....   |                       | 115            |
| Furniture Repairs.....  |                       | 21             |
| Jurisdiction Centralized Activities.....  |                       | 12             |
| <b>Total Price Level Changes</b>  | -                     | 148            |
| <b>Program Increases:</b>   |                       |                |
| Payroll Erosion.....  |                       | 1,203          |
| Multi-Year Projects:  |                       |                |
| Exterior Envelope Repair & Restoration, Phases IV & V, South & Southwest Facades, RSOB..... |                       | 14,439         |
| Senate Underground Garage Renovations & Landscape Restoration, Phase II.....                |                       | 8,505          |
| Minor Construction.....   |                       | 5,000          |
| <b>Total Program Increases</b>  | -                     | 29,147         |
| <b>Net Increase/Decrease</b>  | -                     | 4,185          |
| <b>Total Appropriation</b>  | <b>498</b>            | <b>88,406</b>  |



## Senate Office Buildings

### *OPERATING BUDGET REQUEST - SUMMARY OF CHANGES*

The Operating Budget component of the Senate Office Buildings appropriation funds all costs associated with SOB central office salaries, operations, activities and programs. The budget is divided into four 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 Budget (\$000)            |                        |                               |                                   |                         |                 |                         |
|-------------------------------------|------------------------|-------------------------------|-----------------------------------|-------------------------|-----------------|-------------------------|
| Program Groups                      | FY 2016 Operating Plan | Program Realignment/Transfers | Mandatory Pay and Price Increases | Other Program Increases | FY 2017 Request | FY 2016/2017 Difference |
| Facilities Maintenance              | 6,107                  | -                             | 115                               | -                       | 6,222           | 115                     |
| Furniture Repair                    | 1,538                  | -                             | 21                                | -                       | 1,559           | 21                      |
| Jurisdiction Centralized Activities | 8,867                  | -                             | 12                                | -                       | 8,879           | 12                      |
| Payroll                             | 41,426                 | -                             | 1,173                             | 1,203                   | 43,802          | 2,376                   |
| <b>Total</b>                        | <b>57,938</b>          | <b>-</b>                      | <b>1,321</b>                      | <b>1,203</b>            | <b>60,462</b>   | <b>2,524</b>            |

### Program Changes Justification

The FY 2017 Operating Budget Request shows an increase of **\$2,524K** from the FY 2016 estimated level. It includes **\$1,321K** in mandatory pay and price increases plus **\$1,203K** in other program changes.

#### Mandatory Pay and Price Increases

The Mandatory Pay and Price Increases requirement of **\$1,321K** reflects Congressional Budget Office estimated funding of **\$148K** for non-pay 2.2% inflation increases and **\$1,173K** for pay-related inflation increases (2.6% for Cost-of-Living adjustment, 4.0% for the Federal Employee Health Benefits program and Within Grade adjustment).

#### Other Program Increases

The Payroll program increase of **\$1,203K** reflects funding needed to restore our payroll level to the actual requirement. Over the past several years, mandatory payroll cost increases have caused overall personnel costs to increase. The sequestration of FY 2013, along with the desire of Congress to keep budgets flat, have caused an erosion of our buying power.



# Senate Office Buildings

## ***MULTI-YEAR BUDGET REQUEST - PROGRAM 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 jurisdictions with the flexibility to respond to unforeseen requirements as generated from emergencies, Members, Committees and other Architect of the Capitol clients.

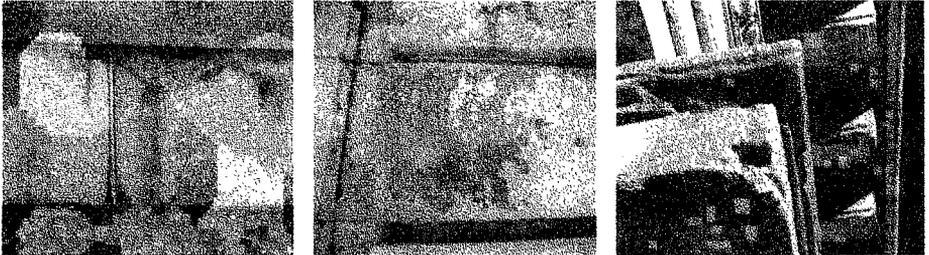
| <b>Multi-Year Budget by Project (\$000)</b>   |                       |
|---|-----------------------|
|   | <b>Request Amount</b> |
| <b>Line Item Construction Program Projects:</b>   |                       |
| Exterior Envelope Repair & Restoration, Phases IV & V, South & Southwest Facades, RSOB..... | 14,439                |
| Senate Underground Garage Renovations & Landscape Restoration, Phase II.....                | 8,505                 |
| <b>Total</b>  | <b>22,944</b>         |
| <b>Other Projects:</b>  |                       |
| Minor Construction.....   | 5,000                 |
| <b>Total</b>  | <b>5,000</b>          |
| <b>Total Project Request</b>  | <b>27,944</b>         |



# Senate Office Buildings

**Project Title:** Exterior Envelope Repair & Restoration, Phases IV & V, South & Southwest Façades, RSOB

**Request:** \$14,439K



**Project Description:** Phases IV & V address repair and restoration of the south and southwest segments of the exterior envelope which completes this five-phase program. The Russell Senate Office Building (RSOB) recently passed its 100<sup>th</sup> anniversary and is showing its age. This project mitigates life safety hazards, improves energy efficiency of the building envelope and meets AOC's Strategic Vision for the preservation of historic buildings.

**Risk and Impact if Not Funded:** The RSOB façade will continue to deteriorate; resulting in increased loss of historic fabric, increased risks associated with falling stone due to the accelerating failure of the modillions and stone cornices; and increased energy costs resulting from air infiltration at existing windows and doors. Existing hazardous materials in the windows (lead paint and asbestos-containing material in the glazing putty) will remain as a life-safety issue.

**Cost of Recurring Operations:**

- Pointing and caulking annual costs for the RSOB is \$150K. Upon completion of the projects, these annual costs will be reduced and additional funds will be used for pointing and caulking issues on the Hart and Dirksen Senate Office Buildings.
- Restoring the windows and doors improves window operability and reduces current maintenance and energy costs. Cost savings will be applied to other critical deferred maintenance projects.

**Citation Driven:** No.      **Client Request:** No.

**Program Funding Overview (\$000):**

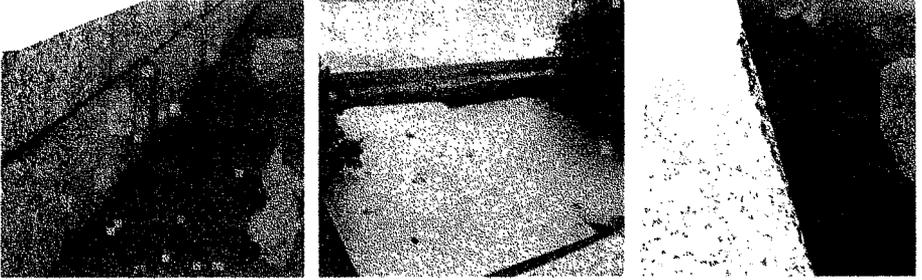
| Task                                | Prior FY 2015 Funded | FY 2015 Funded | FY 2016 Funded | FY 2017 Requested | Future FY Anticipated | Total Projected Requirement |
|-------------------------------------|----------------------|----------------|----------------|-------------------|-----------------------|-----------------------------|
| Study                               | 236                  |                |                |                   |                       | 236                         |
| Design                              | 1,113                |                |                |                   |                       | 1,113                       |
| Construction (Phase I, North)       | 8,700                |                |                |                   |                       | 8,700                       |
| Construction (Phase II, East)       |                      | 12,188         |                |                   |                       | 12,188                      |
| Construction (Phase III, West)      |                      |                | 10,182         |                   |                       | 10,182                      |
| Construction (Phase IV & V, S & SW) |                      |                |                | 14,139            |                       | 14,139                      |
| USCP Overtime                       |                      |                |                | 300               |                       | 300                         |
| <b>Total</b>                        | <b>10,049</b>        | <b>12,188</b>  | <b>10,182</b>  | <b>14,439</b>     |                       | <b>46,858</b>               |



## Senate Office Buildings

**Project Title: Senate Underground Garage Renovations & Landscape Restoration, Phase II**

**Request: \$8,505K**



**Project Description (Design-Build):** The Senate Underground Garage was constructed in 1932. The overall program restores the upper, middle and lower plazas and fountains; waterproofs the garage deck and pedestrian tunnel; replaces drainage systems, repairs structural cracks and spalling concrete; provides new plumbing, electrical, and HVAC systems in the garage; and refurbishes all occupied spaces and the parking garage interior surfaces. Phase II restores the lower plaza and reflecting pool, surrounding sidewalks and associated stonework.

**Risk and Impact If Not Funded:** The Senate Underground Garage, fountains, reflecting pool and associated systems have exceeded their life expectancy and are in need of renovation and restoration.

- New filtration and recirculation systems result in operational and water cost savings.
- Senate Park is identified as a Heritage Asset and Cultural Landscape. This project addresses the deteriorated conditions at the fountains and seeks to preserve their historic importance.

**Cost of Recurring Operations:** Accomplishing this project increases water efficiency for the lower plaza reflecting pool.

**Citation Driven:** No.

**Client Request:** There is significant Committee support for this request.

### Program Funding Overview (\$000):

| Task                     | Prior FY 2015 Funded | FY 2015 Funded <sup>1</sup> | FY 2016 Funded | FY 2017 Requested | Future FY Anticipated | Total Projected Requirement |
|--------------------------|----------------------|-----------------------------|----------------|-------------------|-----------------------|-----------------------------|
| Study                    |                      |                             |                |                   |                       | -                           |
| Design                   | 1,000                |                             |                |                   |                       | 1,000                       |
| Construction (Phase IA)  |                      | 19,300                      |                |                   |                       | 19,300                      |
| Construction (Phase IB)  |                      |                             | 8,200          |                   |                       | 8,200                       |
| Construction (Phase II)  |                      |                             |                | 8,505             |                       | 8,505                       |
| Construction (Phase III) |                      |                             |                |                   | 18,680                | 18,680                      |
| USCP Overtime            |                      |                             |                |                   |                       | -                           |
| <b>Total</b>             | <b>1,000</b>         | <b>19,300</b>               | <b>8,200</b>   | <b>8,505</b>      | <b>18,680</b>         | <b>55,685</b>               |

<sup>1</sup>\$30,596 was requested for Phase I in FY 2015 and \$19,300 for Phase IA was funded.



## 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 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:

- Provides quality performance and responsiveness by ensuring uninterrupted and efficient operations for Members and staff working within the facilities that fall under the responsibility of the jurisdiction.
- Provides maintenance of facilities that include the Longworth (LHOB), Rayburn (RHOB), Cannon (CHOB), and Ford (FHOB) House Office Buildings; the former House Page Dormitory; and the House underground garages.
- Provides cleaning services for the House Office Buildings' restaurant maintenance, and delivery of all facility and infrastructure projects (including studies, designs and construction).

Additional leases includes space for the Office of Congressional Ethics in the Capitol View Building and administrative spaces at the Thomas P. O'Neill, Jr. Federal Building.

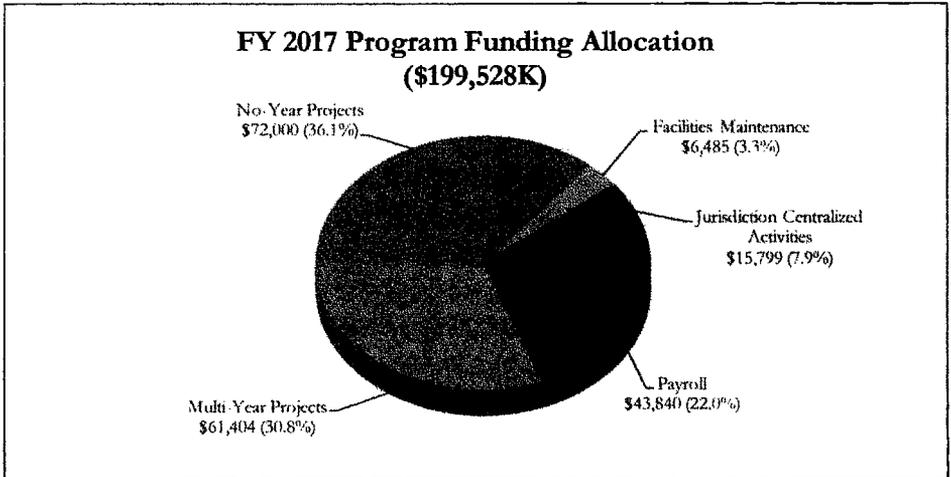
For a complete list of HOB facilities, please refer to the "Areas of Responsibility Summary" tables in this Budget Request.



## House Office Buildings

### PROGRAM SUMMARY:

The House Office Buildings (HOB) jurisdiction/appropriation consists of three primary types of funding: Operating Budget (annual), Multi-Year Projects Budget (5 years) and No-Year Projects Budget.



The **Operating Budget** request (\$66,124K) 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 **Facilities Maintenance Program Group** request (\$6,485K) 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 funding request will also provide for the ongoing operational support to clean and perform custodial work and requested customer services of all spaces within the HOB facilities.
- The **Jurisdiction Centralized Activities Program Group** request (\$15,799K) funds continuing education of the HOB workforce, uniform allowances, safety apparel, emergency preparedness and gasoline. In addition, this funding level provides for the lease of facilities including the Thomas P. O'Neill, Jr. Federal Building and space for the Office of Congressional Ethics in the Capitol View Building.



## House Office Buildings

### *PROGRAM SUMMARY (continued)*

- The **Payroll Program Group** request (\$43,840K) 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 such as painting and carpentry in all spaces within the HOB.

The **Multi-Year Projects Budget** request (\$61,404K) 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 jurisdictions with the flexibility to respond to unforeseen requirements as generated from emergencies, the Members, Committees and other Architect of the Capitol clients.

The **No-Year Projects Budget** request (\$72,000K) consists of funding for the restoration and renovation of the Cannon House Office Building (\$62,000K) and for the House Historic Buildings Revitalization Trust Fund (\$10,000K).

Please refer to “Multi-Year Budget Request – Program Summary” for a detailed list of the requested major construction projects.



## House Office Buildings

### AREAS OF RESPONSIBILITY SUMMARY:

#### ASSIGNED FACILITIES

| Facility Name/Type                  | Location       | Year Built or Acquired | Area (square feet) | Deferred Maintenance | Capital Renewal      | Backlog              |
|-------------------------------------|----------------|------------------------|--------------------|----------------------|----------------------|----------------------|
| Cannon House Office Building        | Washington, DC | 1908                   | 826,465            | \$83,029,000         | \$54,614,000         | \$137,643,000        |
| Ford House Office Building          | Washington, DC | 1939                   | 594,966            | \$1,874,000          | \$12,694,000         | \$14,568,000         |
| House Page Dormitory                | Washington, DC | 1940                   | 35,317             | \$36,000             | \$840,000            | \$876,000            |
| Longworth House Office Building     | Washington, DC | 1933                   | 702,608            | \$42,809,000         | \$43,840,000         | \$86,649,000         |
| Rayburn House Office Building       | Washington, DC | 1965                   | 2,395,914          | \$120,445,000        | \$99,472,000         | \$219,917,000        |
| Underground Garage (East)           | Washington, DC | 1968                   | 287,931            | \$386,000            | \$0                  | \$386,000            |
| Underground Garage (West)           | Washington, DC | 1968                   | 287,477            | \$245,000            | \$23,000             | \$268,000            |
| Projects Across Multiple Facilities | Washington, DC | Varies                 | Varies             | \$0                  | \$0                  | \$0                  |
| <b>Total</b>                        |                |                        | <b>5,130,678</b>   | <b>\$248,824,000</b> | <b>\$211,483,000</b> | <b>\$460,307,000</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.

#### LEASED FACILITIES

| Lease Type   | Location       | Area (square feet) | Leased from    | Contract Award Date | Contract End Date | FY 2017 Total Cost  |
|--|----------------|--------------------|----------------|---------------------|-------------------|---------------------|
| Capitol View Building - Office of Congressional Ethics | Washington, DC | 4,644              | Private Sector | Sep 2009            | Feb 2015          | \$312,000           |
| Thomas P. O'Neill, Jr. Federal Building                | Washington, DC | 257,346            | GSA            | Feb 2013            | Feb 2023          | \$15,000,000        |
| <b>Total</b>   |                |                    |                |                     |                   | <b>\$15,312,000</b> |



# House Office Buildings

## TOTAL BUDGET REQUEST – FUNDING SUMMARY

| Total Budget (\$000) |                 |   |                              |                              |                         |
|----------------------|-----------------|---|------------------------------|------------------------------|-------------------------|
| Appropriation        | FY 2015 Enacted | FY 2015 <sup>1</sup> Actual Obligations | FY 2016 <sup>2</sup> Enacted | FY 2017 <sup>2</sup> Request | FY 2016/2017 Difference |
| Operating Budget     | 64,622          | 62,521                                  | 64,077                       | 66,124                       | 2,047                   |
| Multi-Year Projects  | 24,825          | 10,678                                  | 48,885                       | 61,404                       | 12,519                  |
| No-Year Projects     | 70,000          | 90,724                                  | 72,000                       | 72,000                       | -                       |
| <b>Total</b>         | <b>159,447</b>  | <b>163,923</b>                          | <b>184,962</b>               | <b>199,528</b>               | <b>14,566</b>           |

| Operating Budget (\$000)            |                        |   |                                     |                              |                         |
|-------------------------------------|------------------------|---|-------------------------------------|------------------------------|-------------------------|
| Program Groups                      | FY 2015 Operating Plan | FY 2015 <sup>1</sup> Actual Obligations | FY 2016 <sup>2</sup> Operating Plan | FY 2017 <sup>2</sup> Request | FY 2016/2017 Difference |
| Facilities Maintenance              | 5,620                  | 7,302                                   | 6,121                               | 6,485                        | 363                     |
| Jurisdiction Centralized Activities | 16,952                 | 15,583                                  | 15,782                              | 15,799                       | 17                      |
| Payroll                             | 42,050                 | 39,636                                  | 42,174                              | 43,840                       | 1,666                   |
| <b>Total</b>                        | <b>64,622</b>          | <b>62,521</b>                           | <b>64,077</b>                       | <b>66,124</b>                | <b>2,047</b>            |

| Total Budget by Object Class (\$000) |                        |   |                                     |                              |                         |
|--------------------------------------|------------------------|---|-------------------------------------|------------------------------|-------------------------|
| Object Class Groups                  | FY 2015 Operating Plan | FY 2015 <sup>1</sup> Actual Obligations | FY 2016 <sup>2</sup> Operating Plan | FY 2017 <sup>2</sup> Request | FY 2016/2017 Difference |
| 11 Personnel Compensation            | 30,954                 | 36,690                                  | 31,045                              | 32,272                       | 1,227                   |
| 12 Personnel Benefits                | 11,095                 | 13,152                                  | 11,128                              | 11,568                       | 440                     |
| 21 Travel                            | 24                     | 11                                      | 14                                  | 15                           | 1                       |
| 23 Rent, Communications & Utilities  | 16,584                 | 13,410                                  | 16,198                              | 17,661                       | 1,463                   |
| 24 Printing and Reproduction         | -                      | -                                       | -                                   | -                            | -                       |
| 25 Other Contractual Services        | 9,700                  | 30,342                                  | 36,649                              | 39,960                       | 3,311                   |
| 26 Supplies and Materials            | 4,500                  | 5,458                                   | 10,092                              | 12,188                       | 2,096                   |
| 31 Equipment                         | 520                    | 1,066                                   | 1,288                               | 1,404                        | 116                     |
| 32 Land and Structures               | 86,066                 | 67,928                                  | 78,548                              | 84,460                       | 5,912                   |
| 42 Insurance Claims & Indemnities    | 3                      | 1                                       | 1                                   | 1                            | -                       |
| <b>Total</b>                         | <b>159,447</b>         | <b>168,058</b>                          | <b>184,962</b>                      | <b>199,528</b>               | <b>14,566</b>           |

<sup>1</sup> FY 2015 Personnel Compensation and Personnel Benefits include payroll and project-funded obligations. Actuals represent total obligations of funds incurred irrespective of the year of appropriation and can include reprogrammings/transfers from other appropriations.

<sup>2</sup> FY 2016/2017 Personnel Compensation and Personnel Benefits do not include project-funded payroll estimated obligations.



# House Office Buildings

## TOTAL BUDGET REQUEST - ANALYSIS OF CHANGE

| FY 2016 Enacted (FTE reflects Payroll Funded only)         | FY 2017 Appropriation |                  |
|--|-----------------------|------------------|
|  | FTE                   | Amount (\$000)   |
|  | 503                   | 184,962          |
| <b>Non-Recurring Costs</b>                                 |                       |                  |
| Garage Rehabilitation, Phase I, RHOB.....                  |                       | (17,825)         |
| House Office Buildings Security Improvements, Phase 1..... |                       | (20,400)         |
| Minor Construction.....                                    |                       | (7,000)          |
| CAO Project Support.....                                   |                       | (3,660)          |
| House Historic Buildings Revitalization Trust Fund.....    |                       | (10,000)         |
| Restoration and Renovation, CHOB.....                      |                       | (62,000)         |
| <b>Total Program Decreases</b>                             |                       | <b>(120,885)</b> |
| <b>Mandatory Pay Related Costs:</b>                        |                       |                  |
| FY 2017 FEHB Employer Contribution of 4.0%.....            |                       | 131              |
| FY 2017 Cost-of-Living Adjustment of 2.6%.....             |                       | 739              |
| FY 2017 Within Grade Increase.....                         |                       | 296              |
| <b>Total Mandatory Pay Related Costs</b>                   |                       | <b>1,166</b>     |
| <b>Total Price Level Changes</b>                           |                       |                  |
| Facilities Maintenance.....                                |                       | 115              |
| Jurisdiction Centralized Activities.....                   |                       | 17               |
| <b>Total Price Increases</b>                               |                       | <b>132</b>       |
| <b>Program Increases:</b>                                  |                       |                  |
| Facilities Maintenance.....                                |                       | 248              |
| Payroll Erosion.....                                       |                       | 500              |
| <b>Multi-Year Projects:</b>                                |                       |                  |
| Garage Rehabilitation, Phase II, RHOB.....                 |                       | 30,789           |
| Emergency Power Upgrade, RHOB & HUGs.....                  |                       | 19,955           |
| Minor Construction.....                                    |                       | 7,000            |
| CAO Project Support.....                                   |                       | 3,660            |
| <b>No-Year Projects:</b>                                   |                       |                  |
| House Historic Buildings Revitalization Trust Fund.....    |                       | 10,000           |
| Restoration and Renovation, CHOB.....                      |                       | 62,000           |
| <b>Total Program Increases</b>                             | -                     | <b>134,152</b>   |
| <b>Net Increase/Decrease</b>                               | -                     | <b>14,566</b>    |
| <b>Total Appropriation</b>                                 | <b>503</b>            | <b>199,528</b>   |



# House Office Buildings

## ***OPERATING BUDGET REQUEST - SUMMARY OF CHANGES***

The Operating Budget component of the House Office Buildings appropriation funds all costs associated with HOB central office salaries, operations, activities and programs. The budget is divided into three 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.

| <b>Operating Budget (\$000)</b>     |   |   |  |  |                            |                                    |
|-------------------------------------|---|---|--|--|----------------------------|------------------------------------|
| <b>Program Groups</b>               | <b>FY 2016<sup>2</sup><br/>Operating<br/>Plan</b> | <b>Program<br/>Realignment/<br/>Transfers</b> | <b>Mandatory Pay<br/>and Price<br/>Increases</b> | <b>Other<br/>Program<br/>Increases</b> | <b>FY 2017<br/>Request</b> | <b>FY 2016/2017<br/>Difference</b> |
| Facilities Maintenance              | 6,121   | -   | 115  | 248                                    | 6,485                      | 363                                |
| Jurisdiction Centralized Activities | 15,782  | -   | 17   | -                                      | 15,799                     | 17                                 |
| Payroll                             | 42,174  | -   | 1,666  | 500                                    | 43,840                     | 1,666                              |
| <b>Total</b>                        | <b>64,077</b>                                     | <b>-</b>                                      | <b>1,799</b>                                     | <b>748</b>                             | <b>66,124</b>              | <b>2,047</b>                       |

### **Program Changes Justification**

The FY 2017 Operating Budget Request shows an increase of **\$2,047K** from the FY 2016 estimated level. It includes **\$1,799K** in mandatory pay and price increases plus **\$748K** in other program changes.

#### **Mandatory Pay and Price Increases**

The Mandatory Pay and Price Increases requirement of **\$1,799K** reflects Congressional Budget Office estimated funding of **\$132K** for non-pay 2.2% inflation increases and **\$1,666K** for pay-related inflation increases (2.6% for Cost-of-Living adjustment, 4.0% for the Federal Employee Health Benefits program and Within Grade adjustment).

#### **Other Program Increases**

The **Facilities Maintenance** program increase of **\$248K** reflects funding requirements needed to support and restore critical maintenance needs as it relates to the increased costs of supplies and materials to maintain the House Office Buildings. This includes unforeseen maintenance costs related to aging buildings as well as recurring maintenance programs for exterior stone and windows, and a re-lamping program for all House Office Buildings.

**Impact if not Funded:** This would result in a significant impact to our facility maintenance, and will cause facility damage if certain maintenance is not performed as a result of the reduction. Service interruptions will be expected, and client services will be impacted.

The **Payroll** program increase of **\$500K** reflects funding needed to restore our payroll level to the actual requirement. Over the past several years, mandatory payroll cost increases have caused overall personnel costs to increase. The sequestration of FY 2013, along with the desire of Congress to keep budgets flat, have caused an erosion of our buying power.



# House Office Buildings

## **MULTI-YEAR BUDGET REQUEST - PROGRAM 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. It also includes Minor Construction funds that provide jurisdictions with the flexibility to respond to unforeseen requirements as generated from emergencies, the Members, Committees, and other Architect of the Capitol clients.

| <b>Multi-Year Budget by Project (\$000)</b>     |                              | <b>Request Amount</b> |
|---|------------------------------|-----------------------|
| <b>Line Item Construction Program Projects:</b> |                              |                       |
| Garage Rehabilitation, Phase II, RHOB.....      |                              | 30,789                |
| Emergency Power Upgrade, RHOB & HUGs.....       |                              | 19,955                |
|   | <b>Total</b>                 | <b>50,744</b>         |
| <b>Other Projects:</b>                          |                              |                       |
| Minor Construction.....                         |                              | 7,000                 |
| CAO Project Support.....                        |                              | 3,660                 |
|   | <b>Total</b>                 | <b>10,660</b>         |
|   | <b>Total Project Request</b> | <b>61,404</b>         |



## House Office Buildings

### ***MULTI-YEAR BUDGET REQUEST - PROGRAM SUMMARY*** *(continued)*

#### **CAO Project Support**

**\$3,660K**

Support for U.S. House of Representatives Chief Administrative Officer requests:

- The **Committee Hearing Room Renovations** increase of **\$1,940K** will consist of renovating two main hearing rooms per year. Full renovations of major hearing rooms including AV systems, drapes, carpet, cooling, ADA dais work and rack room infrastructure.  
**Impact if Not Funded:** The hearing rooms will not be able to be renovated with new systems and made ADA compliant.
- The **Food Service Equipment Replacement Infrastructure Upgrades** increase of **\$600K** will consist of replacing existing equipment as needed. Much of the food service equipment is beyond its normal life cycle replacement date. There are numerous infrastructure upgrades that are required to bring the kitchen operations up to current building and health codes. Additionally, much of the equipment is not energy efficient resulting in a significant waste of energy. AOC will develop an equipment replacement schedule to assist with infrastructure and equipment upgrades.  
**Impact if Not Funded:** A continuing deterioration of the equipment and infrastructure will have a detrimental effect on the overall ability of the contractor to meet service requirements. The breakdown of the equipment and infrastructure can lead to a potential outbreak of food borne illnesses if products are not stored, prepared and served properly.
- The **Longworth Fire Door Pathway Installation** increase of **\$650K** will provide a permanent cable pathway in the form of six 2-inch conduits above each of the 34 fire-rated enclosures and eight cross corridor doors.  
**Impact if Not Funded:** There will not be cable access from the data closets to the hallways.
- The **Cannon to Capitol Tunnel Pathway** increase of **\$470K** will allow for the installation of a new basket tray in the tunnel from Cannon B4 to HB-12 in the U.S. Capitol. The current pathway in the tunnel to the House Information Network is full.  
**Impact if Not Funded:** No new infrastructure cables can be installed between the new Cannon switch room and the U.S. Capitol.



# House Office Buildings

## *CAPITAL NO-YEAR PROJECTS*

No-year funding (\$10,000K) is requested for the House Historic Buildings Revitalization Trust Fund. 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 House of Representatives Committee on Appropriations. 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.

No-year funding (\$62,000K) is requested for the Restoration and Renovation of the Cannon House Office Building. The Cannon House Office Building (CHOB) is undergoing major renovation work to address the deferred maintenance liabilities, capital renewal, capital improvements, and citation abatement items identified by a Facility Conditions Assessment that was completed in 2004 and revalidated in 2008.

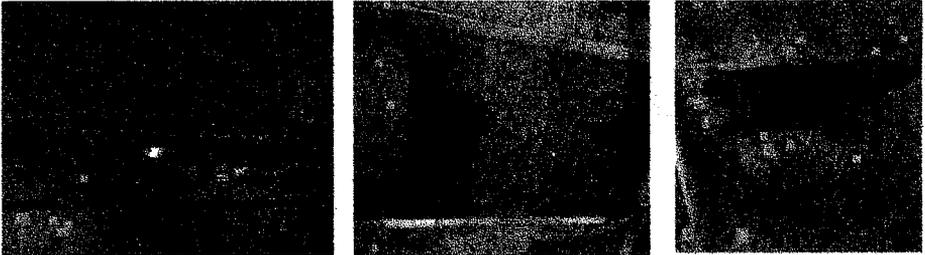
| <b>No-Year Projects (\$000)</b>                         |                       |
|---|-----------------------|
|   | <u>Request Amount</u> |
| <b>No-Year Construction Projects:</b>                   |                       |
| House Historic Buildings Revitalization Trust Fund..... | 10,000                |
| Restoration and Renovation, CHOB.....                   | 62,000                |
| <b>Total Project Request</b>                            | <b>72,000</b>         |



# House Office Buildings

**Project Title:** Garage Rehabilitation, Phase II, RHOB

**Request:** \$30,789K



**Project Description:** This is the second phase of a four phased rehabilitation program for the Rayburn House Office Building garage. An engineering study from February 2000 identified severe corrosion of the reinforcing steel and spalling and delaminating of the concrete slabs and columns. The study confirmed rapid corrosion of reinforcing steel at the decks from application of de-icing salts. This project provides structural and architectural modifications for life safety, accessibility, lighting, electrical, mechanical, plumbing, fire protection, and security systems upgrades.

**Risk and Impact If Not Funded:** The garage is in need of a comprehensive project to address the concrete delamination. If not funded, continued deterioration will jeopardize the garage structure resulting in increased localized slab failures, unsafe conditions for personnel and property and increased rehabilitation costs. Interim thru-slab replacement program established to keep pace with localized failures is no longer a viable option. The concrete failures have become larger and can no longer be replaced due to the size of the failure and the location of the concrete expansion joints. Temporary safety measures are in place to prevent the deteriorated concrete from falling on cars and pedestrians in the garage.

**Cost of Recurring Operations:** From 2004 to 2015, nearly \$1,011,000 in operational funding has been invested in localized slab replacement and concrete repairs. Operation costs of the Rayburn House Office Building will decrease due to new energy savings systems.

**Citation Driven:** No. **Client Request:** No.

**Program Funding Overview (\$000):**

| Task                               | Prior FY 2015 Funded | FY 2015 Funded | FY 2016 Funded | FY 2017 Requested | Future FY Anticipated | Total Projected Requirement |
|------------------------------------|----------------------|----------------|----------------|-------------------|-----------------------|-----------------------------|
| Study                              | 497                  |                |                |                   |                       | 497                         |
| Design                             | 1,059                |                |                |                   |                       | 1,059                       |
| Construction, Phase I <sup>1</sup> |                      | 17,825         | 17,825         |                   |                       | 35,650                      |
| Construction, Phase II             |                      |                |                | 30,789            |                       | 30,789                      |
| Construction, Phase III            |                      |                |                |                   | 32,602                | 32,602                      |
| Construction, Phase IV             |                      |                |                |                   | 35,542                | 35,542                      |
| <b>Total</b>                       | <b>1,556</b>         | <b>17,825</b>  | <b>17,825</b>  | <b>30,789</b>     | <b>68,144</b>         | <b>136,139</b>              |

<sup>1</sup> \$30,497K was requested in FY15 & \$17,825K was funded. \$13,226K requested in FY16 and \$17,825 was funded.



## House Office Buildings

Project Title: Emergency Power Upgrade, RHOB & HUGs

Request: \$19,955K



**Project Description:** The existing emergency power system of the Rayburn House Office Building (RHOB) cannot support all identified existing and planned emergency loads. Additionally, the existing generators fail opacity tests and are not in compliance with current environmental codes. This project provides a new emergency power system and associated fuel tank which will allow designated areas and systems in the RHOB and the House Underground Garages (HUGs) to continue operations in the event of a power outage.

**Risk and Impact If Not Funded:** If not funded, building emergency functions including life safety, essential and continuity of operations loads will be restricted during a utility power outage.

**Cost of Recurring Operations:**

- Oil leaks from the old generators contribute to clean up costs and issues with environmental protection. Potential risk of fines from Department of Energy and Environment (DOBE) for failed opacity tests.

Citation Driven: No.

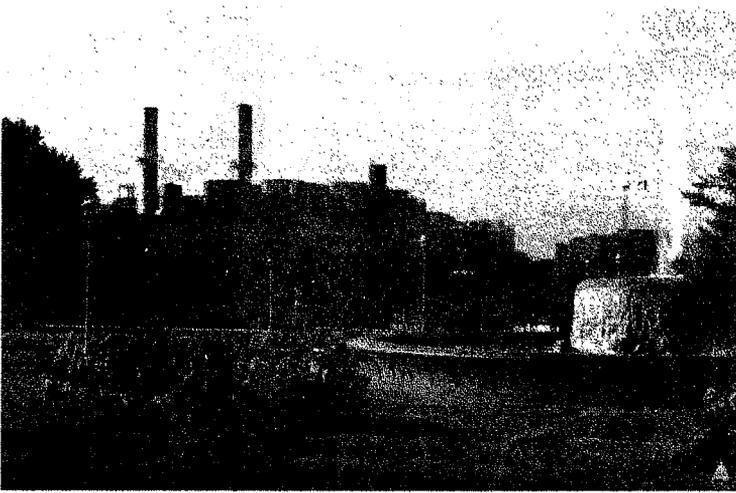
Client Request: No.

**Program Funding Overview (\$000):**

| Task          | Prior FY 2015 Funded | FY 2015 Funded | FY 2016 Funded | FY 2017 Requested | Future FY Anticipated | Total Projected Requirement |
|---------------|----------------------|----------------|----------------|-------------------|-----------------------|-----------------------------|
| Study         | -                    | -              | -              | -                 | -                     | -                           |
| Design        | 570                  | -              | -              | -                 | -                     | 570                         |
| Construction  | -                    | -              | -              | 19,955            | -                     | 19,955                      |
| USCP Overtime | -                    | -              | -              | -                 | -                     | -                           |
| <b>Total</b>  | <b>570</b>           | <b>-</b>       | <b>-</b>       | <b>19,955</b>     | <b>-</b>              | <b>20,525</b>               |



## 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. It 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 jurisdiction:

- Provides steam and chilled water for the U.S. Capitol, Senate and House office buildings and garages, Library of Congress buildings, the U.S. Supreme Court, and the U.S. Botanic Garden.
- 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.
- CPP lease for the Rail Road Track services is for material used to support the Capitol campus areas.

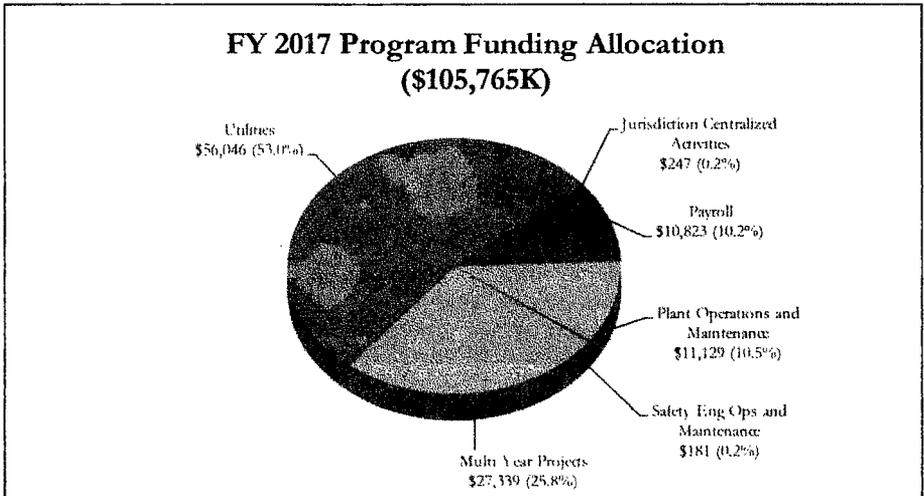
For a complete list of CPP facilities, please refer to the "Areas of Responsibility Summary" tables in this Budget Request.



# Capitol Power Plant

## PROGRAM SUMMARY

The Capitol Power Plant jurisdiction appropriation consists of two primary types of funding: Operating Budget (Annual) and Multi-Year Project Budget (5 years).



The **Operating Budget** request (\$78,426K) funds all costs associated with the Capitol Power Plant appropriation: daily care, maintenance and operation of its facility. The budget is divided into five functional area Program Groups: Jurisdiction Centralized Activities, Payroll, Plant Operations and Maintenance, Safety Engineering Operations and Maintenance.

- The **Jurisdiction Centralized Activities** Program Group request (\$247K) funds primarily safety training, emergency preparedness and employee uniforms. Training and travel are used primarily for required Architect of the Capitol and safety training. The Emergency Preparedness accounts cover costs associated with program review and support in emergency preparedness exercises, and updating current emergency preparedness plans and policies. Employee uniforms are funded with the remaining funds, which provide clothing in accordance with the AOC uniform policy.
- The **Payroll** Program Group request (\$10,823K) funds salaries and benefits for employees specifically supporting the appropriation. 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. Client services work provides operation and maintenance within the utility distribution system to all customer buildings. Associated work with project delivery accounts provides for planning, scope preparation, project review, contract administration, and client coordination. Work associated with support services accounts provides inventory, human resources, financial and procurement support.



## Capitol Power Plant

### *PROGRAM SUMMARY (continued)*

- The **Plant Operations and Maintenance** Program Group request (\$11,129K) 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 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 accounts provide repairs, maintenance, and chemicals to boiler and refrigeration equipment.
- The **Safety Engineering Operations and Maintenance** Program Group request (\$181K) funds personal protective equipment, safety supplies, equipment, inspections and certifications. Personal protective equipment and safety supplies accounts provide equipment such as specialized safety clothing (arc flash protection apparel, safety shoes, safety glasses, confined space entry meters, fall protection devices and ear protection). Safety inspections and certifications accounts provide fire system inspections, boiler and refrigeration plant inspections.
- The **Utilities** Program Group request (\$55,046K) funds all utilities including steam and chilled water 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, Library of Congress facilities at Ft. Meade, the Alternate Computing Facility, the Senate Sergeant at Arms Mail Facility and payment for the Energy Savings Performance Contracts (ESPC) for the Senate office buildings, House office buildings and U.S. Capitol. The funds requested will be used for the costs of electricity, natural gas, ESPC payment, fuel oil, water and sewer services, steam, chilled water, and related utility studies and energy reduction services.

| <b>Utilities Funding Allocation (\$000)</b> |                                       |                    |                            |
|---|---------------------------------------|--------------------|----------------------------|
| <b>Utilities</b>                            | <b>FY 2016<br/>Operating<br/>Plan</b> | <b>Adjustments</b> | <b>FY 2017<br/>Request</b> |
| Gas Service                                 | 12,500                                | -                  | 12,500                     |
| Electrical Energy                           | 31,000                                | -                  | 31,000                     |
| Steam                                       | 750                                   | -                  | 750                        |
| Chilled Water                               | 717                                   | -                  | 717                        |
| Water & Sewer                               | 7,500                                 | -                  | 7,500                      |
| Fuel-Oil                                    | 1,477                                 | -                  | 1,477                      |
| Postal Square                               | 725                                   | -                  | 725                        |
| Solid Fuel                                  | 500                                   | -                  | 500                        |
| Energy Saving Performance Contracts         | 9,270                                 | -                  | 9,270                      |
| Utility Studies/Energy Reduction Services   | 607                                   | -                  | 607                        |
| Reimbursement, Steam & Chilled Water        | (9,000)                               | -                  | (9,000)                    |
| <b>Total</b>                                | <b>56,046</b>                         | <b>-</b>           | <b>56,046</b>              |



# Capitol Power Plant

## PROGRAM SUMMARY (continued)

The Multi-Year Projects Budget request (\$27,339K) 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 emergencies, the Members, Committees and other Architect of the Capitol clients.

Please refer to "Multi-Year Budget Request - Program Summary" for a detailed list of the requested major construction projects.

## AREAS OF RESPONSIBILITY SUMMARY:

### ASSIGNED FACILITIES

| Facility Name/Type                  | Location       | Year Built or Acquired | Area (square feet) | Deferred Maintenance | Capital Renewal     | Backlog              |
|-------------------------------------|----------------|------------------------|--------------------|----------------------|---------------------|----------------------|
| Administration Building             | Washington, DC | 1978                   | 19,085             | \$55,000             | \$639,000           | \$694,000            |
| Coal Facilities                     | Washington, DC | 1990                   | 126,487            | \$33,000             | \$0                 | \$33,000             |
| Generator Building                  | Washington, DC | 1909                   | 30,542             | \$2,871,000          | \$761,000           | \$3,632,000          |
| Main Boiler Plant                   | Washington, DC | 1909                   | 74,820             | \$12,919,000         | \$30,836,000        | \$43,755,000         |
| East Refrigeration Plant            | Washington, DC | 1937                   | 22,696             | \$87,000             | \$15,000            | \$102,000            |
| West Refrigeration Plant            | Washington, DC | 1978                   | 122,917            | \$589,000            | \$12,517,000        | \$13,106,000         |
| Storage Building                    | Washington, DC | 2003                   | 2,400              | \$0                  | \$0                 | \$0                  |
| East Tower Load Center              | Washington, DC | 1964                   | 1,190              | \$74,000             | \$0                 | \$74,000             |
| Utility Tunnels                     | Washington, DC | Varies                 | 123,267            | \$12,704,000         | \$29,187,000        | \$41,891,000         |
| Projects Across Multiple Facilities | Washington, DC | Varies                 | Varies             | \$412,000            | \$4,207,000         | \$4,619,000          |
| <b>Total</b>                        |                |                        | <b>523,404</b>     | <b>\$29,744,000</b>  | <b>\$78,162,000</b> | <b>\$107,906,000</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.

Projects Across Multiple Facilities include the Ash House, Coal Unloading, General Area, Bulk Oil Storage, and the White Building.

### LEASED FACILITIES

| Lease Type     | Location       | Area            | Leased from    | Contract Award Date | Contract End Date | FY 2017 Total Cost |
|----------------|----------------|-----------------|----------------|---------------------|-------------------|--------------------|
| Railroad Track | Washington, DC | 748 ft of track | Private Sector | Jan 2003            | May 2024          | \$58,610           |



# Capitol Power Plant

## TOTAL BUDGET REQUEST – FUNDING SUMMARY

| Total Budget (\$000) |                 |   |                              |                              |                         |
|----------------------|-----------------|---|------------------------------|------------------------------|-------------------------|
| Appropriation        | FY 2015 Enacted | FY 2015 <sup>1</sup> Actual Obligations | FY 2016 <sup>2</sup> Enacted | FY 2017 <sup>2</sup> Request | FY 2016/2017 Difference |
| Operating Budget     | 81,966          | 92,169                                  | 77,141                       | 78,426                       | 1,285                   |
| Multi-Year Projects  | 8,686           | 2,361                                   | 17,581                       | 27,339                       | 9,758                   |
| <b>Total</b>         | <b>90,652</b>   | <b>94,530</b>                           | <b>94,722</b>                | <b>105,765</b>               | <b>11,043</b>           |

| Operating Budget (\$000)            |                        |   |                                     |                              |                         |
|-------------------------------------|------------------------|---|-------------------------------------|------------------------------|-------------------------|
| Program Groups                      | FY 2015 Operating Plan | FY 2015 <sup>1</sup> Actual Obligations | FY 2016 <sup>2</sup> Operating Plan | FY 2017 <sup>2</sup> Request | FY 2016/2017 Difference |
| Jurisdiction Centralized Activities | 237                    | 224                                     | 242                                 | 247                          | 5                       |
| Payroll                             | 9,917                  | 9,066                                   | 9,761                               | 10,823                       | 1,062                   |
| Plant Operations and Maintenance    | 9,712                  | 10,846                                  | 10,915                              | 11,129                       | 214                     |
| Safety Eng Ops and Maintenance      | 174                    | 165                                     | 177                                 | 181                          | 4                       |
| Utilities <sup>3</sup>              | 61,926                 | 66,336                                  | 56,046                              | 56,046                       | -                       |
| Annual-Funded Projects              | -                      | 5,531                                   | -                                   | -                            | -                       |
| <b>Total</b>                        | <b>81,966</b>          | <b>92,169</b>                           | <b>77,141</b>                       | <b>78,426</b>                | <b>1,285</b>            |

| Total Budget by Object Class (\$000) |                        |   |                                     |                              |                         |
|--------------------------------------|------------------------|---|-------------------------------------|------------------------------|-------------------------|
| Object Class Groups                  | FY 2015 Operating Plan | FY 2015 <sup>1</sup> Actual Obligations | FY 2016 <sup>2</sup> Operating Plan | FY 2017 <sup>2</sup> Request | FY 2016/2017 Difference |
| 11 Personnel Compensation            | 6,031                  | 7,897                                   | 5,936                               | 6,582                        | 646                     |
| 12 Personnel Benefits                | 3,886                  | 5,089                                   | 3,825                               | 4,241                        | 416                     |
| 21 Travel                            | 10                     | 43                                      | 42                                  | 47                           | 5                       |
| 22 Transportation of Things          | -                      | -                                       | -                                   | -                            | -                       |
| 23 Rent, Communications & Utilities  | 47,400                 | 56,217                                  | 54,859                              | 58,304                       | 3,444                   |
| 24 Printing and Reproduction         | -                      | -                                       | -                                   | -                            | -                       |
| 25 Other Contractual Services        | 14,308                 | 28,811                                  | 28,115                              | 34,418                       | 6,303                   |
| 26 Supplies and Materials            | 2,500                  | 1,746                                   | 1,704                               | 1,904                        | 200                     |
| 31 Equipment                         | 40                     | 97                                      | 95                                  | 106                          | 11                      |
| 32 Land and Structures               | 16,476                 | 150                                     | 146                                 | 163                          | 17                      |
| 42 Insurance Claims & Indemnities    | 1                      | -                                       | -                                   | -                            | -                       |
| <b>Total</b>                         | <b>90,652</b>          | <b>100,050</b>                          | <b>94,722</b>                       | <b>105,765</b>               | <b>11,043</b>           |

<sup>1</sup> FY 2015 Actual obligations can include reprogrammings/transfers from other appropriations. Its also includes reimbursable utilities.

<sup>2</sup> FY 2015 Actuals represent total obligations of funds incurred irrespective of the year of appropriation. FY 2016/FY 2017 Personnel Compensation and Personnel Benefits do not include payroll and project-funded obligations. Also it excludes reimbursable utilities.

<sup>3</sup> FY 2016 Operating Plan and FY 2017 Request exclude reimbursable utilities.



# Capitol Power Plant

## TOTAL BUDGET REQUEST - ANALYSIS OF CHANGE

|   | FY 2017 Appropriation |                 |
|---|-----------------------|-----------------|
|   | FTE                   | Amount (\$000)  |
| <b>FY 2016 Enacted (FTE reflects Payroll Funded only)</b> | <b>85</b>             | <b>94,722</b>   |
| Offsetting Collections .....                              |                       | 9,000           |
| Adjusted, Appropriation, FY 2016.....                     |                       | <b>103,722</b>  |
| <b>Non-Recurring Costs</b>                                |                       |                 |
| WRP Chiller System Replacement, RPR, Phase IIIA, CPP..... |                       | (11,956)        |
| Cogeneration Management Program, CPP.....                 |                       | (1,625)         |
| Minor Construction.....                                   |                       | (4,000)         |
| <b>Total Program Decreases</b>                            |                       | <b>(17,581)</b> |
| <b>Mandatory Pay Related Costs:</b>                       |                       |                 |
| FY 2017 FEHB Employer Contribution of 4.0%.....           |                       | 25              |
| FY 2017 Cost-of-Living Adjustment of 2.6%.....            |                       | 169             |
| FY 2017 Within Grade Increase.....                        |                       | 69              |
| <b>Total Mandatory Pay Related Costs</b>                  |                       | <b>263</b>      |
| <b>Total Price Level Changes</b>                          |                       |                 |
| Jurisdiction Centralized Activities.....                  |                       | 5               |
| Plant Operations and Maintenance.....                     |                       | 214             |
| Safety Eng Ops and Maintenance.....                       |                       | 4               |
| <b>Total Price Level Changes</b>                          |                       | <b>223</b>      |
| <b>Program Increases:</b>                                 |                       |                 |
| Payroll Erosion.....                                      |                       | 800             |
| Multi-Year Projects:                                      |                       |                 |
| WRP Chiller System Replacement, RPR, Phase IIIA, CPP..... |                       | 17,834          |
| Roof Replacement, PPBP & PPGP, CPP.....                   |                       | 3,805           |
| Cogeneration Management Program, CPP.....                 |                       | 1,700           |
| Minor Construction.....                                   |                       | 4,000           |
| <b>Total Program Increases</b>                            |                       | <b>28,139</b>   |
| <b>Net Increase/Decrease</b>                              |                       | <b>11,043</b>   |
| Offsetting Collections.....                               |                       | <b>(9,000)</b>  |
| <b>Total Appropriation</b>                                | <b>85</b>             | <b>105,765</b>  |



# Capitol Power Plant

## ***OPERATING BUDGET REQUEST - SUMMARY OF CHANGES***

The Operating Budget of the Capitol Power Plant 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 Budget (\$000)            |                        |                                |                                   |                         |                 |                         |
|-------------------------------------|------------------------|--------------------------------|-----------------------------------|-------------------------|-----------------|-------------------------|
| Program Groups                      | FY 2016 Operating Plan | Program Realignment/ Transfers | Mandatory Pay and Price Increases | Other Program Increases | FY 2017 Request | FY 2016/2017 Difference |
| Jurisdiction Centralized Activities | 242                    | -                              | 5                                 | -                       | 247             | 5                       |
| Payroll                             | 9,761                  | -                              | 263                               | 800                     | 10,823          | 1,062                   |
| Plant Operations and Maintenance    | 10,915                 | -                              | 214                               | -                       | 11,129          | 214                     |
| Safety Eng Ops and Maintenance      | 177                    | -                              | 4                                 | -                       | 181             | 4                       |
| Utilities                           | 56,046                 | -                              | -                                 | -                       | 56,046          | -                       |
| <b>Total</b>                        | <b>77,141</b>          | <b>-</b>                       | <b>486</b>                        | <b>800</b>              | <b>78,426</b>   | <b>1,285</b>            |

### **Program Changes Justification**

The FY 2017 Operating Budget Request shows an increase of **\$1,285K** from the FY 2016 estimated level.

#### **Mandatory Pay and Price Increases**

Mandatory Pay and Price Increases requirement of **\$486K**, reflects Congressional Budget Office estimated funding of **\$223K** for non-pay 2.2% inflation increases and **\$263K** for pay related inflation increases (2.6% for Cost-of-Living adjustment, 4.0% for the Federal Employee Health Benefits program and Within Grade Increase adjustment).

#### **Other Program Increases**

The **Payroll** program increase of **\$800K** reflects funding needed to restore our payroll level to the actual requirement. Over the past several years, mandatory payroll cost increases have caused overall personnel costs to increase. The sequestration of FY 2013, along with the desire of Congress to keep budgets flat, have caused an erosion of our buying power.



# Capitol Power Plant

## ***MULTI-YEAR BUDGET REQUEST – PROGRAM 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.

| <b>Multi-Year Budget by Project (\$000)</b>               |                              | <b>Request Amount</b> |
|---|------------------------------|-----------------------|
| <b>Line Item Construction Program Projects:</b>           |                              |                       |
| WRP Chiller System Replacement, RPR, Phase IIIA, CPP..... |                              | 17,834                |
| Roof Replacement, PPBP & PPGP, CPP.....                   |                              | 3,805                 |
|   | <b>Total</b>                 | <b>21,639</b>         |
| <b>Other Projects:</b>                                    |                              |                       |
| Cogeneration Management Program, CPP.....                 |                              | 1,700                 |
| Minor Construction.....                                   |                              | 4,000                 |
|   | <b>Total</b>                 | <b>5,700</b>          |
|   | <b>Total Project Request</b> | <b>27,339</b>         |



## Capitol Power Plant

**Project Title:** WRP Chiller System Replacement, RPR, Phase IIIA, CPP

**Request:** \$17,834K



**Project Description:** The existing 6,000-ton centrifugal chillers located in the West Refrigeration Plant (WRP) are more than 35 years old and utilize a Chlorofluorocarbon (CFC) refrigerant. The age and poor efficiency of the existing chillers are producing a significant cost impact to the chilled water generation system and the use of a CFC refrigerant (R-22) results in adverse environmental conditions. The risk of a catastrophic chiller failure increases as we continue to rely on these chillers to provide environmental control beyond their useful life expectancy. Phase III of the Refrigeration Plant Revitalization (RPR) program is divided into sub phases. Sub phase IIIA replaces cooling towers CT- 3 & 4 and provides new fill, supports, division valve, and basin repairs; removes two existing chillers (Ex. CH-5 and Ex. CH-6) located in the West Refrigeration Plant (WRP) and adds a new 5,000 ton variable speed chiller and the associated Variable Frequency Drive (VFD) controller.

**Risk and Impact If Not Funded:** The risk of a catastrophic chiller failure increases with continued reliance on these chillers to provide environmental control beyond their useful life expectancy.

- Increased difficulty in obtaining spare parts required for chiller maintenance and repair.
- Interruption of chilled water to the Capitol campus will result in compromised environmental conditions in buildings and will impact occupant comfort, IT equipment, and curatorial preservation.

**Cost of Recurring Operations:** This project will result in a significant increase in chilled water generation efficiency over the replaced 1970s chillers, providing a significant electrical cost savings for the CPP. The implementation of multiple VFD chillers will provide even more energy reduction, above and beyond the simple increase in efficiency of individual chillers. In addition, replacement prior to failure will ensure no emergency cooling expenditures (temporary cooling) are required to maintain chilled water distribution to the Capitol campus.

**Citation Driven:** No.      **Client Request:** No.



# Capitol Power Plant

## Program Funding Overview (\$000):

| Task                                   | Prior<br>FY 2015<br>Funded | FY 2015<br>Funded | FY 2016<br>Funded | FY 2017<br>Requested | Future FY<br>Anticipated | Total<br>Projected<br>Requirement |
|--|----------------------------|-------------------|-------------------|----------------------|--------------------------|-----------------------------------|
| Design                                 | 7,442                      |                   |                   |                      |                          | -                                 |
| Construction (Phase I)                 | 16,411                     |                   |                   |                      |                          | 16,411                            |
| Construction (Phase IIA)               | 26,000                     |                   |                   |                      |                          | 26,000                            |
| Construction (Phase IIB)               | 15,694                     |                   |                   |                      |                          | 15,694                            |
| Construction (Phase IIIS)              |                            | 4,686             |                   |                      |                          | 4,686                             |
| Construction (Phase IIIA) <sup>2</sup> | 6,400                      |                   | 11,956            | 17,634               |                          | 29,590                            |
| Future Phases <sup>3</sup>             |                            |                   |                   |                      | 112,200                  | 112,200                           |
| USCP Overtime                          | 200                        |                   |                   | 200                  | 600                      | 800                               |
| <b>Total</b>                           | <b>72,147</b>              | <b>4,686</b>      | <b>11,956</b>     | <b>17,834</b>        | <b>112,800</b>           | <b>205,381</b>                    |

<sup>1</sup>Design and construction costs include program management fees.

<sup>2</sup>FY 2017 request is the unfunded balance of the FY 2016 request.

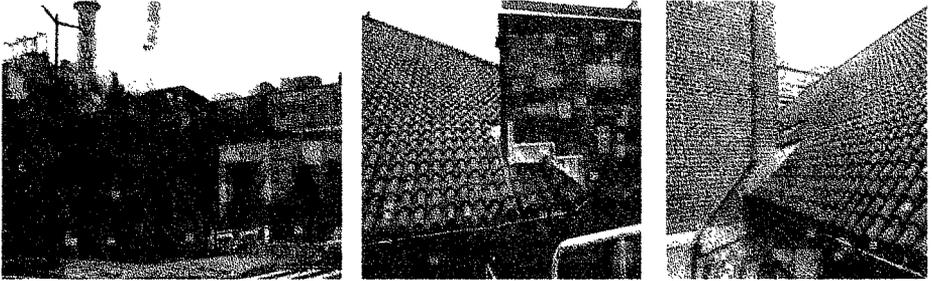
<sup>3</sup>Costs are currently being updated for future phases.



# Capitol Power Plant

Project Title: Roof Replacement, PPBP & PGP, CPP

Request: \$3,805K



**Project Description:** This project restores and repairs the Capitol Power Plant's historic clay tile roof. The roof is supported by steel framing and cast-in-place concrete roof panels including one localized area that is uniquely supported by wood framing. The roof over the office areas and the two canopy roofs are in very poor condition and should be replaced. During the structural investigation, moisture based deterioration was observed, stained wood where existing broken tiles were identified, and corroded steel and spalled concrete slab edges were noted. Additionally, signs of previous moisture infiltration were noted along joints between the precast concrete planks. The new roof has been designed to maximize longevity while minimizing maintenance.

**Risk and Impact If Not Funded:**

- Tiles on the roof over the office area on the north side of the building are cracked and loose and pose a potential life safety concern especially during storms and strong winds.
- Offices, tools, expensive boiler control systems equipment, electrical switchgear, and lab equipment housed under this roof are at risk of becoming damaged from water penetration.

**Cost of Recurring Operations:**

- Corrective maintenance costs for roof and interior repairs from water infiltration amount to \$20,000 annually.
- Completion of this project will protect \$700,000K worth of equipment, and reduce the risk of emergency costs from equipment damage in the event of major roof leaks or structural failure of the roof.

Citation Driven: No.

Client Request: No.

**Program Funding Overview (\$000):**

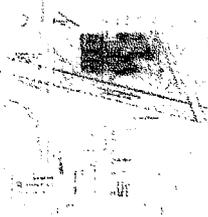
| Item          | FY 2016<br>Funded | FY 2017<br>Funded | FY 2018<br>Funded | FY 2019<br>Requested | Fiscal FY<br>Anticipated | Total<br>Program<br>Requestment |
|---------------|-------------------|-------------------|-------------------|----------------------|--------------------------|---------------------------------|
| Study         |                   |                   |                   |                      |                          | -                               |
| Design        | 320               |                   |                   |                      |                          | 320                             |
| Construction  |                   |                   |                   | 3,805                |                          | 3,805                           |
| USCP Overtime |                   |                   |                   |                      |                          | -                               |
| <b>Total</b>  | <b>320</b>        | <b>-</b>          | <b>-</b>          | <b>3,805</b>         | <b>-</b>                 | <b>4,125</b>                    |



# Capitol Power Plant

**Project Title: Cogeneration Management Program, CPP**

**Request: \$1,700K**



**Project Description:** The project will provide for temporary contractor assistance with project management, construction management, and review and commissioning services. The planned Cogeneration project includes the installation of a gas-fired Cogeneration unit at the CPP's East Refrigeration Plant with all associated required equipment and infrastructure to generate electricity and steam. The East Refrigeration Plant will house the new equipment and other site changes will be made at the CPP to accommodate this new system. Some preparatory work in advance of the new construction contract has already been completed such as demolition of equipment in and adjacent to the East Refrigeration Plant, removal of the existing abandoned cooling towers, remediation of some unforeseen hazardous materials and activities related to obtaining permits. The design and construction work will be accomplished through a Utility Energy Services Contract and 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 campus while enhancing the energy efficiency of the Capitol Power Plant. AOC must ensure the construction is properly managed and will thereby 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.

**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 as well as minimize the government's overall risk from the financing arrangement. The Cogeneration Project is critical to reducing the AOC's reliance on the aging infrastructure at the Capitol Power Plant. Without proper execution and quality assurance of the Cogeneration Project, there is an increased likelihood of steam system failure and a campus-wide reduction in building operations.

**Citation Driven:** No.

**Client Request:** No.



## Capitol Power Plant

### Program Funding Overview (\$000):

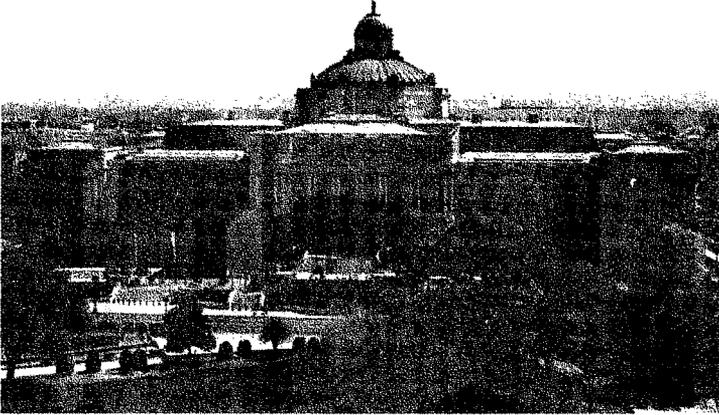
| Task                            | Prior<br>FY 2015<br>Funded | FY 2015<br>Funded | FY 2016<br>Funded | FY 2017<br>Requested | Future FY<br>Anticipated | Total<br>Requested<br>Requirement |
|---------------------------------|----------------------------|-------------------|-------------------|----------------------|--------------------------|-----------------------------------|
| Pre-Design / Design             | 6,510                      |                   |                   |                      |                          | 6,510                             |
| Construction - Demolition       | 3,719                      |                   |                   |                      |                          | 3,719                             |
| Project Management              | 1,317                      |                   | 523               | 478                  | 114                      | 2,432                             |
| Construction Mgmt / Consultants | 4,949                      |                   | 902               | 1,022                | 700                      | 7,573                             |
| USCP Overtime                   |                            |                   | 200               | 200                  |                          | 400                               |
| <b>Total</b>                    | <b>16,495</b>              | <b>-</b>          | <b>1,625</b>      | <b>1,700</b>         | <b>814</b>               | <b>20,634</b>                     |

<sup>1</sup>Contract award was delayed because of: 1) additional technical evaluation, validation and analysis; and 2) revised procurement strategy for the project. Consequently construction will now extend into FY 2018 and will require funding in FY 2016, FY 2017 and FY 2018 for necessary construction management support.

<sup>4</sup>Funding in FY 2019 to FY 2022 will not be needed.



## 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 the 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, which include four collection storage modules that house the LOC collections in environmentally-controlled conditions.
- Manages the 45-acre Packard Campus of the National Audio-Visual Conservation Center located in Culpeper, Virginia, which is the nation's centralized facility for acquisition, cataloging, storage and preservation of moving images and recorded sound.

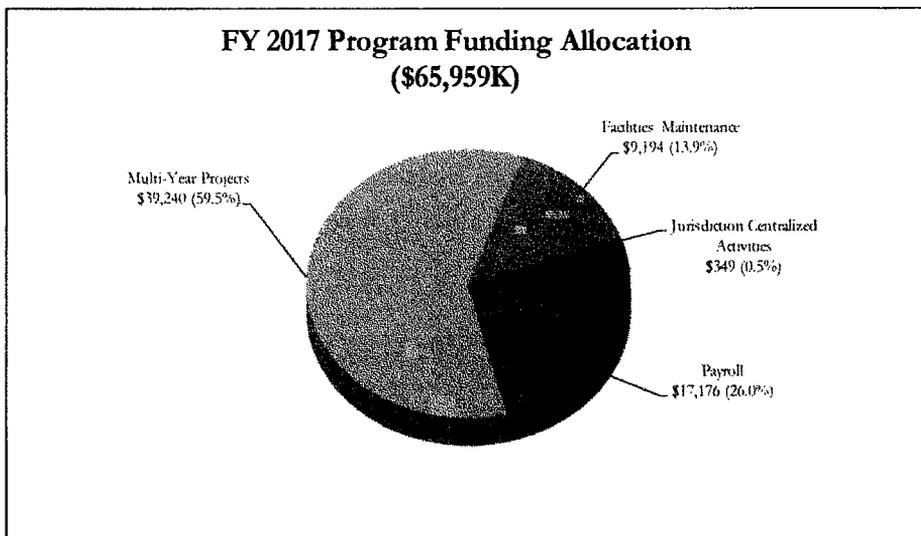
For a complete list of LB&G facilities, please refer to the "Areas of Responsibility Summary" tables in this Budget Request.



## Library Buildings and Grounds

### PROGRAM SUMMARY

The Library Buildings and Grounds (LBG) jurisdiction/appropriation consist of two primary types of funding: Operating Budget (annual) and Multi-Year Projects Budget (5 years).



The **Operating Budget** request (\$26,719K) funds all costs associated with the care, maintenance and operation of the 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 **Facilities Maintenance** Program Group funding request (\$9,194K) provides building maintenance services for daily 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 a large portion of the Facilities Maintenance request. This funding provides 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 included as part 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 included as part of the Facilities Maintenance request. It includes materials and parts for plumbing, electrical, masonry, carpentry, elevators, sheet metal, painting of public spaces, re-lamping, pointing and caulking.



## Library Buildings and Grounds

### *PROGRAM SUMMARY (continued)*

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 that are served by the Capitol Grounds jurisdiction, the LB&G is responsible for the LOC campus grounds, including landscape maintenance and snow removal. This includes purchases of salt, snowmelt, snow blowers, spreaders and other snow removal items. Fire alarm systems and testing maintenance (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 correct deficiencies and hazards identified in fire and life safety inspections. The hazardous materials abatement covers costs associated with the removal of asbestos, lead, mold, and other hazardous materials. Book storage facility support is used for the contract of the daily maintenance and care of the Collections Storage Modules and warehouses at Fort Meade.

- The **Jurisdiction Centralized Activities** Program Group funding request (\$349K) funds training and travel, uniform allowances, safety apparel, gasoline and oil, vehicle maintenance, and emergency preparedness. Training and travel requirements are utilized to meet Occupational Safety and Health Administration (OSHA) requirements for safety training and related certification for shop personnel. This funds emergency preparedness drills and exercises, updates and verifies 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 and other related items. Safety apparel and 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's uniform policy. The safety apparel line provides funding for safety shoes, safety glasses, and specialized safety clothing such as arc flash protection apparel. Funding for gas and oil is 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.
- The **Payroll** Program Group funding request (\$17,176K) funds salaries and benefits for employees specifically supporting this appropriation. Project delivery includes planning, preparing scopes of work, designing and reviewing projects; administering contracts; coordinating with clients; and startup and commissioning of new systems. Facilities maintenance and client services 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 provide for management, oversight and guidance to ensure LB&G operations are carried out efficiently and effectively. A portion of the payroll covers the planning management and oversight of maintenance for historic artwork in the Thomas Jefferson Building to ensure they are preserved for future generations.



# Library Buildings and Grounds

## *PROGRAM SUMMARY (continued)*

The **Multi-Year Projects Budget** request (\$39,240K) 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 emergencies, the Members, Committees and other Architect of the Capitol clients.

Please refer to "Multi-Year Budget Request – Program Summary" for a detailed list of the requested major construction projects.

## ***AREAS OF RESPONSIBILITY SUMMARY:***

### ***ASSIGNED FACILITIES***

| Facility Name/Type                              | Location       | Year Built or Acquired | Area (square feet) | Deferred Maintenance | Capital Renewal      | Backlog              |                      |
|---|----------------|------------------------|--------------------|----------------------|----------------------|----------------------|----------------------|
| Ft. Meade Collection Storage Modules            | Columbia, MD   | 2002                   | 169,543            | \$0                  | \$18,000             | \$18,000             |                      |
| James Madison Memorial Building                 | Washington, DC | 1980                   | 2,084,576          | \$33,336,000         | \$90,086,000         | \$123,422,000        |                      |
| John Adams Building*                            | Washington, DC | 1938                   | 765,931            | \$66,386,000         | \$61,818,000         | \$128,204,000        |                      |
| Packard Campus                                  | Culpeper, VA   | 2007                   | 426,266            | \$4,326,000          | \$0                  | \$4,326,000          |                      |
| St. Cecilia Special Services Facilities Center* | Washington, DC | 1990                   | 42,654             | \$0                  | \$0                  | \$0                  |                      |
| Thomas Jefferson Building                       | Washington, DC | 1897                   | 635,144            | \$76,236,000         | \$25,810,000         | \$102,046,000        |                      |
| Ft. Meade Warehouse Buildings                   | Columbia, MD   | 1942                   | 187,143            | \$18,321,000         | \$603,000            | \$18,924,000         |                      |
| Projects Across Multiple Facilities             | Washington, DC | Varies                 | Varies             | \$0                  | \$0                  | \$0                  |                      |
| <b>Total</b>                                    |                |                        |                    | <b>4,311,257</b>     | <b>\$198,605,000</b> | <b>\$178,335,000</b> | <b>\$376,940,000</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.

\* FY 2015 Facility Condition Assessment in Progress.



# Library Buildings and Grounds

## TOTAL BUDGET REQUEST – FUNDING SUMMARY

| Total Budget (\$000) |                 |                            |                 |                 |                         |
|----------------------|-----------------|----------------------------|-----------------|-----------------|-------------------------|
| Appropriation        | FY 2015 Enacted | FY 2015 Actual Obligations | FY 2016 Enacted | FY 2017 Request | FY 2016/2017 Difference |
| Operating Budget     | 25,138          | 25,015                     | 24,943          | 26,719          | 1,776                   |
| Multi-Year Projects  | 17,042          | 275                        | 15,746          | 39,240          | 23,494                  |
| <b>Total</b>         | <b>42,180</b>   | <b>25,290</b>              | <b>40,689</b>   | <b>65,959</b>   | <b>25,270</b>           |

| Operating Budget (\$000)            |                        |                            |                        |                 |                         |
|-------------------------------------|------------------------|----------------------------|------------------------|-----------------|-------------------------|
| Program Groups                      | FY 2015 Operating Plan | FY 2015 Actual Obligations | FY 2016 Operating Plan | FY 2017 Request | FY 2016/2017 Difference |
| Facilities Maintenance              | 9,996                  | 9,753                      | 9,012                  | 9,194           | 182                     |
| Jurisdiction Centralized Activities | 342                    | 319                        | 342                    | 349             | 7                       |
| Payroll                             | 14,800                 | 14,943                     | 15,589                 | 17,176          | 1,587                   |
| Annual-Funded Projects              | -                      | -                          | -                      | -               | -                       |
| <b>Total</b>                        | <b>25,138</b>          | <b>25,015</b>              | <b>24,943</b>          | <b>26,719</b>   | <b>1,776</b>            |

| Total Budget by Object Class (\$000)             |                        |   |                                     |                              |                         |
|--|------------------------|---|-------------------------------------|------------------------------|-------------------------|
| Object Class Groups                              | FY 2015 Operating Plan | FY 2015 <sup>1</sup> Actual Obligations | FY 2016 <sup>2</sup> Operating Plan | FY 2017 <sup>2</sup> Request | FY 2016/2017 Difference |
| 11 Personnel Compensation                        | 10,861                 | 15,142                                  | 11,440                              | 12,604                       | 1,164                   |
| 12 Personnel Benefits                            | 3,939                  | 5,492                                   | 4,149                               | 4,572                        | 422                     |
| 21 Travel  | 6                      | 6                                       | 4                                   | 8                            | 4                       |
| 22 Transportation of Things                      | -                      | -                                       | -                                   | -                            | -                       |
| 23 Rent, Communications & Utilities <sup>3</sup> | 8                      | 8,171                                   | -                                   | -                            | -                       |
| 24 Printing and Reproduction                     | -                      | -                                       | -                                   | -                            | -                       |
| 25 Other Contractual Services                    | 8,361                  | 8,101                                   | 5,953                               | 11,571                       | 5,617                   |
| 26 Supplies and Materials                        | 2,204                  | 2,076                                   | 1,526                               | 2,965                        | 1,440                   |
| 31 Equipment                                     | 91                     | 157                                     | 116                                 | 225                          | 109                     |
| 32 Land and Structures                           | 16,708                 | 15,644                                  | 17,501                              | 34,014                       | 16,513                  |
| 42 Insurance Claims & Indemnities                | 2                      | -                                       | -                                   | -                            | -                       |
| <b>Total</b>                                     | <b>42,180</b>          | <b>54,789</b>                           | <b>40,689</b>                       | <b>65,959</b>                | <b>25,270</b>           |

<sup>1</sup> FY 2015 Personnel Compensation and Personnel Benefits include payroll and project-funded obligations. Actuals represent total obligations of funds incurred irrespective of the year of appropriation and can include reprogrammings/transfers from other appropriations.

<sup>2</sup> FY 2016/FY 2017 Personnel Compensation and Personnel Benefits do not include project-funded payroll estimated obligations.

<sup>3</sup> FY 2015 Actual Obligations for Object Class Group 23 includes \$8.171 million transferred from the Library of Congress for the lease of temporary storage space.



# Library Buildings and Grounds

## TOTAL BUDGET REQUEST - ANALYSIS OF CHANGE

|   | FY 2017 Appropriation |                 |
|---|-----------------------|-----------------|
|   | FTE                   | Amount (\$000)  |
| <b>FY 2016 Enacted (FTE reflects Payroll Funded only)</b> | <b>160</b>            | <b>40,689</b>   |
| <b>Non-Recurring Costs</b>                                |                       |                 |
| Direct Digital Controls Upgrade, Phase III, JMMB.....     |                       | (4,321)         |
| East and West Main Pavilion Roof Replacement, TJB.....    |                       | (4,100)         |
| Emergency Lighting System Upgrade, JAB.....               |                       | (3,331)         |
| Collection Storage Module 6 & 7, Ft. Meade, LOC.....      |                       | (1,994)         |
| Minor Construction.....                                   |                       | (2,000)         |
| <b>Total Program Decreases</b>                            |                       | <b>(15,746)</b> |
| <b>Mandatory Pay Related Costs:</b>                       |                       |                 |
| FY 2017 FEHB Employer Contribution of 4.0%.....           |                       | 49              |
| FY 2017 Within Grade Increase.....                        |                       | 111             |
| FY 2017 Cost-of-Living Adjustment of 2.6%.....            |                       | 276             |
| <b>Total Mandatory Pay Related Costs</b>                  |                       | <b>436</b>      |
| <b>Price Level Changes</b>                                |                       |                 |
| Facilities Maintenance.....                               |                       | 182             |
| Jurisdiction Centralized Activities.....                  |                       | 7               |
| <b>Total Price Level Changes</b>                          |                       | <b>189</b>      |
| <b>Program Increases:</b>                                 |                       |                 |
| Payroll Erosion.....                                      |                       | 1,151           |
| Multi-Year Projects:                                      |                       |                 |
| North Exit Stair B, Phase II, TJB.....                    |                       | 16,603          |
| Garage Structural Repairs & Entry Improvements, JAB.....  |                       | 8,722           |
| Emergency Generator Replacement, TJB.....                 |                       | 4,901           |
| Elevator Modernization, JMMB MC1-MC4, JAB 13-14.....      |                       | 4,292           |
| East and West Main Pavilion Roof Replacement, TJB.....    |                       | 2,222           |
| Minor Construction.....                                   |                       | 2,500           |
| <b>Total Program Increases</b>                            |                       | <b>40,391</b>   |
| <b>Net Increase/Decrease</b>                              |                       | <b>25,270</b>   |
| <b>Total Appropriation</b>                                | <b>160</b>            | <b>65,959</b>   |



## Library Buildings and Grounds

### *OPERATING BUDGET REQUEST - 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 Budget (\$000)            |                        |                                |                                   |                         |                 |                         |
|-------------------------------------|------------------------|--------------------------------|-----------------------------------|-------------------------|-----------------|-------------------------|
| Program Groups                      | FY 2016 Operating Plan | Program Realignment/ Transfers | Mandatory Pay and Price Increases | Other Program Increases | FY 2017 Request | FY 2016/2017 Difference |
| Facilities Maintenance              | 9,012                  | -                              | 182                               | -                       | 9,194           | 182                     |
| Jurisdiction Centralized Activities | 342                    | -                              | 7                                 | -                       | 349             | 7                       |
| Payroll                             | 15,589                 | -                              | 436                               | 1,151                   | 17,176          | 1,587                   |
| <b>Total</b>                        | <b>24,943</b>          | <b>-</b>                       | <b>625</b>                        | <b>1,151</b>            | <b>26,719</b>   | <b>1,776</b>            |

### Program Changes Justification

The FY 2017 Operating Budget Request shows an increase of **\$1,776K** from the FY 2016 estimated level.

#### Mandatory Pay and Price Increases

The Mandatory Pay and Price Increases requirement of **\$625K** reflects Congressional Budget Office estimated funding of **\$189K** for non-pay 2.2% inflation increases and **\$436K** for pay-related inflation increases (2.6% for Cost-of-Living adjustment, 4.0% for the Federal Employee Health Benefits program and Within Grade adjustment).

#### Other Program Increases

The **Payroll** program increase of **\$1,151K** reflects funding needed to restore our payroll level to the actual requirement. Over the past several years, mandatory payroll cost increases have caused overall personnel costs to increase. The sequestration of FY 2013, along with the desire of Congress to keep budgets flat, have caused an erosion of our buying power.



# Library Buildings and Grounds

## ***MULTI-YEAR BUDGET REQUEST - PROGRAM 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 jurisdictions with the flexibility to respond to unforeseen requirements as generated from emergencies, the Members, Committees, and other Architect of the Capitol clients.

| <b>Multi-Year Budget by Project (\$000)</b>              |                       |
|--|-----------------------|
|  | <b>Request Amount</b> |
| <b>Line Item Construction Program Projects:</b>          |                       |
| North Exit Stair B, Phase II, TJB.....                   | 16,603                |
| Garage Structural Repairs & Entry Improvements, JAB..... | 8,722                 |
| Emergency Generator Replacement, TJB.....                | 4,901                 |
| Elevator Modernization, JMMB MC1-MC4, JAB 13-14.....     | 4,292                 |
| East and West Main Pavilion Roof Replacement, TJB.....   | 2,222                 |
| <b>Total</b>   | <b>36,740</b>         |
| <b>Other Projects:</b>                                   |                       |
| Minor Construction.....                                  | 2,500                 |
| <b>Total</b>   | <b>2,500</b>          |
| <b>Total Project Request</b>                             | <b>39,240</b>         |

### **Minor Construction**

**\$2,500K**

An additional \$500K is being requested from the previous year to better manage deferred maintenance and meet the unforeseen architectural needs that arise over the course of a year. Having the funding and flexibility to manage small phases of the deteriorating or failing conditions identified in the Facility Condition Assessment of the Library of Congress Buildings will allow corrective actions to continue to maintain and repair building conditions. The Facility Condition Assessment has identified millions of dollars of deferred maintenance that individually do not meet the criteria for the Capital Improvement Program; however, Minor Construction funding would provide the means to plan corrective actions over future years.

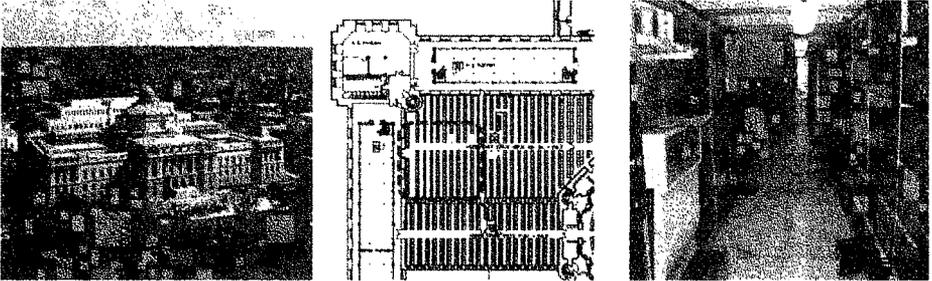
**Impact if not funded:** These current conditions will continue to allow water infiltration, which damages the interior and exterior of the building and continues to put invaluable collections at risk of damage or loss. Additionally, the deferred maintenance backlog will continue to increase. If a systematic and sustainable approach is not taken, the building conditions will continue to degrade and put at risk the building structure, interior architectural/historic elements, and invaluable LOC collections. Further degradation of the buildings' stone façade will result in the failing of the stone-façade, pointing and caulking, and exterior windows, and will diminish other features of the buildings.



# Library Buildings and Grounds

Project Title: North Exit Stair B, Phase II, TJB

Request: \$16,603K



**Project Description:** This project is an integral part of the approved abatement plan to address the Office of Compliance Citation #31-2 regarding Library of Congress egress deficiencies. The citation covers a requirement for increased exiting capacity and improvements to passive fire protection systems. In the event of fire or other emergencies, the current conditions create an unsafe environment for building occupants due to lack of egress exits from the Thomas Jefferson Building and its stacks. The project constructs a new exit stair in the Northeast stacks extending from the cellar to the top floor of the building and corrects common paths of travel violations and dead-end conditions to ensure that occupants are able to exit the building in an efficient and rapid manner.

## Risk and Impact If Not Funded:

- If the deficient egress capacity is not corrected, the building occupants (including staff, the public and Members of Congress) will not have the number of available exits required by code for the building.
- Funding this project will keep the abatement plan on schedule and demonstrate progress toward abating the full citation.

**Cost of Recurring Operations:** Additional routine maintenance costs can be expected such as checking and replacing fan belts, maintenance of heat coils and replacement light fixtures. These costs will be absorbed in the AOC's Library Buildings and Grounds Facilities Maintenance account.

Citation Driven: Yes.

Client Request: No.

## Program Funding Overview (\$000):

| Task                                   | FY 2015 Funded | FY 2015 Requested | FY 2016 Funded | FY 2016 Requested | FY 2017 Funded | FY 2017 Requested | FY 2018 Funded | FY 2018 Requested | Total Projected Requirements |
|--|----------------|-------------------|----------------|-------------------|----------------|-------------------|----------------|-------------------|------------------------------|
| Study                                  | 118            | -                 | -              | -                 | -              | -                 | -              | -                 | 118                          |
| Design <sup>1</sup>                    | 1,198          | -                 | -              | -                 | -              | -                 | -              | -                 | 1,198                        |
| Construction (North Stair, all phases) | 5,350          | -                 | -              | -                 | 16,228         | -                 | -              | -                 | 21,578                       |
| Construction (West Main Pavilion)      | -              | -                 | -              | -                 | -              | -                 | 11,000         | -                 | 11,000                       |
| Construction (Expansion Shelving)      | -              | -                 | -              | -                 | -              | -                 | 1,350          | -                 | 1,350                        |
| Construction (South West Stair)        | -              | -                 | -              | -                 | -              | -                 | 10,000         | -                 | 10,000                       |
| Construction (South Stair)             | -              | -                 | -              | -                 | -              | -                 | 12,000         | -                 | 12,000                       |
| USCP OT Costs                          | -              | -                 | -              | -                 | -              | 375               | -              | -                 | 375                          |
| <b>Total</b>                           | <b>6,666</b>   | <b>-</b>          | <b>-</b>       | <b>-</b>          | <b>16,603</b>  | <b>-</b>          | <b>34,350</b>  | <b>-</b>          | <b>57,619</b>                |

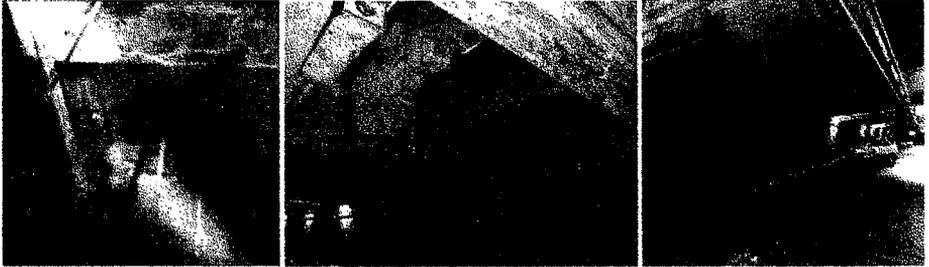
<sup>1</sup> Appropriated design funding was supplemented with reprogrammed funding.



# Library Buildings and Grounds

**Project Title:** Garage Structural Repairs & Entry Improvements, JAB

**Request:** \$8,722K



**Project Description:** This project repairs the east and west sides of the John Adams Building (JAB) entry plazas. The underside of the horseshoe entry plazas have significant structural deterioration. The structural concrete decking shows substantial delamination with large portions of the concrete having fallen to the garage floor. This project replaces the concrete decks, the existing plazas, sidewalks, ramps, drive way, installs new exterior waterproofing at the garage walls and repairs the concrete beams. This project returns the garage to a fully operational status and provides ADA code compliant access to the building.

**Risk and Impact If Not Funded:** Excessive water penetration has caused the concrete structure to delaminate and has rendered parts of the garage unusable and unsafe resulting in a loss of parking spaces. The AOC has banned machinery on the west entry plaza due to safety concerns. Continued deterioration and failing of the garage structural concrete roof may require complete closure of the west entrance and plaza. Additionally, the deterioration may expand to affect the pedestrian tunnels below that lead to the Thomas Jefferson Building. Office of Compliance ADA findings will not be addressed if this project is not funded.

**Cost of Recurring Operations:** This project reduces repair and maintenance costs and meets current life safety and accessibility code requirements.

**Citation Driven:** No. **Client Request:** Yes.

**Program Funding Overview (\$000):**

| Task         | FY 2016<br>Funded | FY 2017<br>Funded | FY 2018<br>Funded | FY 2017<br>Requested | Future FY<br>Anticipated | Total<br>Program<br>Requirement |
|--------------|-------------------|-------------------|-------------------|----------------------|--------------------------|---------------------------------|
| Study        |                   |                   |                   |                      |                          | -                               |
| Design       | 814               |                   |                   |                      |                          | 814                             |
| Construction |                   |                   |                   | 8,722                |                          | 8,722                           |
| <b>Total</b> | <b>814</b>        | <b>-</b>          | <b>-</b>          | <b>8,722</b>         | <b>-</b>                 | <b>9,536</b>                    |



## Library Buildings and Grounds

Project Title: Emergency Generator Replacement, TJB

Request: \$4,901K



**Project Description:** The previously completed Emergency Generator Study for the Library of Congress determined that in order to meet current and future emergency electrical loads, the existing emergency generator and associated distribution systems need to be replaced within the Thomas Jefferson Building. The existing generators do not have sufficient capacity to accommodate existing life safety loads and additional loads associated with ongoing fire and life safety projects. This project installs a new, code compliant generator to address current deficiencies and provide spare capacity for future loads and incorporates a load back connection point to allow for code required testing to ensure system reliability.

**Risk and Impact If Not Funded:** Failure to upgrade the generator system will result in the inability to support proposed life safety upgrades. The generator was installed in 1989 and has reached the end of serviceable life. There are significant operational risks associated with a generator failure for the Thomas Jefferson Building due to the high visitor numbers. A generator of similar age experienced a failure in spring of 2015 in the James Madison Memorial Building.

**Cost of Recurring Operations:** Replacement of the generator offers required capacity and lower maintenance costs due to enhanced system reliability.

Citation Driven: No. Client Request: No.

### Program Funding Overview (\$000):

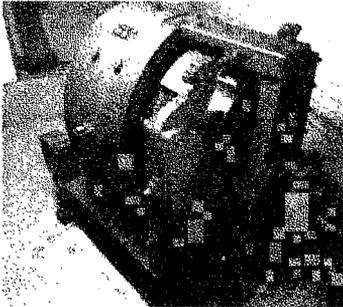
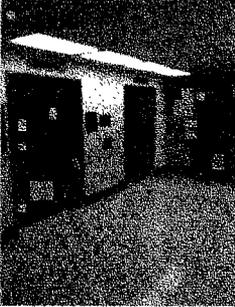
| Task         | Fiscal<br>FY 2017<br>Funding | FY 2015<br>Funding | FY 2016<br>Funding | FY 2017<br>Request | Future FY<br>Anticipated | Total<br>Fiscal<br>Requirement |
|--------------|------------------------------|--------------------|--------------------|--------------------|--------------------------|--------------------------------|
| Study        | -                            | -                  | -                  | -                  | -                        | -                              |
| Design       | 241                          | -                  | -                  | -                  | -                        | 241                            |
| Construction | -                            | -                  | -                  | 4,901              | -                        | 4,901                          |
| <b>Total</b> | <b>241</b>                   | <b>-</b>           | <b>-</b>           | <b>4,901</b>       | <b>-</b>                 | <b>5,142</b>                   |



# Library Buildings and Grounds

**Project Title:** Elevator Modernization, JMMB MC1-MC4; JAB 13-14

**Request:** \$4,292K



**Project Description:** This project upgrades the elevators and controls to current accessibility and life-safety standards and increases overall reliability. The John Adams Building (JAB) elevators, installed in the 1930s and original to the building have outdated technology and obsolete parts that are no longer manufactured. The James Madison Memorial Building (JMMB) elevators are also passed their useful life. When performing maintenance or troubleshooting, additional faults are introduced into the system due to the age of wiring and components. Elevators frequently breakdown causing passengers to be trapped and cars being taken out of service for extended periods of time.

**Risk and Impact If Not Funded:** If these elevators are not renovated, continued deterioration will require significant maintenance to keep them running efficiently.

- Increased risk of passenger and personnel injury due to code violations and inadequate safety mechanisms.
- Dramatic savings for maintenance and energy costs as the new drive systems are 30% more efficient than the existing technology.

**Cost of Recurring Operations:** Current annual maintenance costs include 2,804 hours at JMMB and 2,664 hours at the JAB at a total cost of \$102K. Reduced annual maintenance costs are anticipated with the new systems.

**Citation Driven:** No.                      **Client Request:** Yes.

**Program Funding Overview (\$000):**

| Task                        | Prior FY 2015 Funded | FY 2015 Funded | FY 2016 Funded | FY 2017 Requested | Future FY Anticipated | Total Projected Requirement |
|-----------------------------|----------------------|----------------|----------------|-------------------|-----------------------|-----------------------------|
| Study                       |                      |                |                |                   |                       |                             |
| Design                      |                      |                |                |                   |                       |                             |
| Construction (A Core)       |                      | 3,590          |                |                   |                       | 3,590                       |
| Construction (C Core) & JAB |                      |                |                | 4,292             |                       | 4,292                       |
| Construction (E Core)       |                      |                |                |                   | 2,577                 | 2,577                       |
| <b>Total</b>                |                      | <b>3,590</b>   | <b>-</b>       | <b>4,292</b>      | <b>2,577</b>          | <b>10,459</b>               |

Note: This is an ongoing program to renovate the elevators.



## Library Buildings and Grounds

Project Title: East and West Main Pavilion Roof Replacement, TJB

Request: \$2,222K



**Project Description:** The installation of the copper roof in 1998 was done with lower than acceptable quality standards. The copper roofs on the east and west pavilions have failed, requiring an ad hoc and expensive fix, which had an approximate 10 year life span, the end of which is past. The roof failures are allowing water to enter the building. Significant leaks at the West Main Pavilion and East Main Pavilion have been reported. This project replaces the copper roof with proper detailing and flashing at the stone balustrades to prevent further water infiltration and replaces the deteriorated skylight system with a new, energy efficient skylight installation.

### Risk and Impact If Not Funded:

- These leaks have caused damage to the historic fabric and artwork of the building, and continue to place valuable and rare Library of Congress collections at risk.
- Water penetration often leads to the growth of mold which has a negative impact on the indoor air quality of the facility and the health of the staff and public.

### Cost of Recurring Operations:

- The AOC is currently expending funds on inefficient maintenance methods such as temporary patching to stem water infiltration.
- Recent damage from rainwater has impacted architecturally sensitive interior locations, such as the Great Hall and hence increased costs to the AOC and LOC.

Citation Driven: No. Client Request: No.

### Program Funding Overview (\$000):

| Task  | Price<br>FY 2015<br>Funded | FY 2015<br>Funded | FY 2016<br>Funded | FY 2017<br>Requested | Future FY<br>Anticipated | Total<br>Proposed<br>Requirements |
|---|----------------------------|-------------------|-------------------|----------------------|--------------------------|-----------------------------------|
| Study   | 92                         |                   |                   |                      |                          | 92                                |
| Design (East & West Pavilions)                    | 309                        |                   |                   |                      |                          | 309                               |
| Design (remaining roof)                           |                            |                   |                   |                      | 887                      | 887                               |
| Construction (East & West Pavilions) <sup>1</sup> |                            |                   | 4,100             | 2,222                |                          | 6,322                             |
| Construction (remaining roof) <sup>2</sup>        |                            |                   |                   |                      | 10,000                   | 10,000                            |
| <b>Total</b>                                      | <b>401</b>                 | <b>-</b>          | <b>4,100</b>      | <b>2,222</b>         | <b>10,887</b>            | <b>17,610</b>                     |

<sup>1</sup>\$6,119K was requested in FY 2016 and \$4,100 was funded. \$2,222 represents the unfunded balance for the FY 2017 requirement.

<sup>2</sup>Construction costs are anticipated to be approximately \$10M.



## 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 and is responsible for the maintenance, care and operation of buildings, grounds and security enhancements of the United States Capitol Police (USCP) and Architect of the Capitol security operations. Jurisdiction facilities include the USCP Headquarters; Courier Acceptance Site; Vehicle Maintenance/Hazardous Device Unit Facility, 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 the Fairchild Building; a 12-acre site; and leased space within the Fairchild Building, the Government Printing Office, the Verizon Building, and the lease of equipment space for four USCP Radio repeater towers.

The CPBGS jurisdiction:

- Develops and manages AOC security policies and procedures.
- Leads AOC-wide resilience programs such as critical infrastructure, protective programs, Congressional continuity and emergency management.
- Liaises with the USCP Command Center during emergency and security incidents.
- Supports the Capitol Police Board and Joint Congressional Continuity Board.

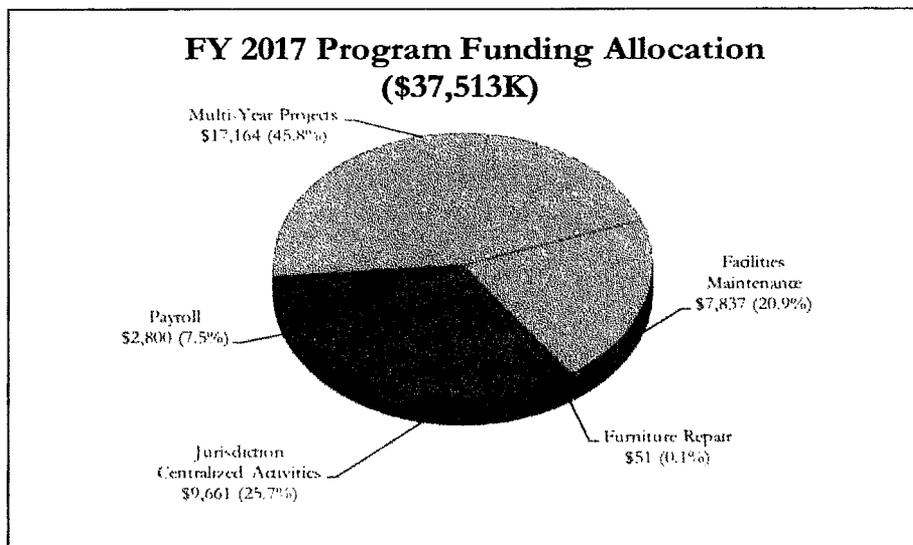
For a complete list of CPBGS facilities, please refer to the "Areas of Responsibility Summary" tables in this Budget Request.



## Capitol Police Buildings, Grounds and Security

### PROGRAM SUMMARY

The Capitol Police Buildings, Grounds and Security (CPBG&S) jurisdiction/appropriation consist of two primary types of funding: Operating Budget (annual) and Multi-Year Projects Budget (5 years).



The **Operating Budget** request (\$20,349K) funds all costs associated with the daily care, maintenance and operation of its grounds and facilities, as well as various continuity, emergency administrative, safety, technical, planning, resilience and security functions. The budget is divided into four 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 funding request (\$7,837K) funds annual building maintenance and operations services required throughout the buildings. Services unique to CPBG&S include repair and preventive maintenance tasks for perimeter security elements such as kiosks (63), bollards (5,000); security fencing, walls and planters, maintenance of USCP radio repeater sites and uninterruptible power supply units, security infrastructure support and life-cycle replacement of barriers, and support of all special events across the Capitol complex such as concerts, the State of the Union, public demonstrations, and marches. All maintenance tasks are initiated and assigned through the work order system with an annual issuance of more than 11,920 scheduled preventive maintenance tasks and 3,028 corrective maintenance and service request work orders.



## Capitol Police Buildings, Grounds and Security

### *PROGRAM SUMMARY (continued)*

Additionally, the Facility Maintenance program group includes cleaning services for all facilities, including interior offices, restrooms, data centers, locker rooms, shower facilities, prisoner detention areas, inspection areas, dog kennels, and security kiosks. The CPBG&S maintenance budget is evaluated against the industry standard cost per square foot based on the facility type and function of the space, and then tailored to meet the mission requirements of the jurisdiction. The funding level requested is below the industry standard required to cover operations and maintenance of the facilities, and does not cover the life-cycle replacement of non-standard facility items, such as replacement of kiosk ballistic glass and HVAC systems, and locker replacement in USCP locker rooms. Overall, the budget is aligned to support the Strategic Vision of AOC; as well as the mission objectives of the USCP, U.S. Senate, House of Representatives, and other Legislative Branch agencies.

- The **Furniture Repair** Program Group funding request (\$51K) involves furniture repairs and small purchases of new furniture. This program funds the installation, replacement, relocation, and/or repair of existing furniture, including procurement of routine materials and supplies, work, and annual inventory of furniture items in support of the USCP, Office of Security Programs (OSP) personnel, the Alternate Facility and Continuity sites, as required. Furthermore, it provides for furniture replacement, relocation services and repair parts at a reduced level.
- The **Jurisdiction Centralized Activities** Program Group funding request (\$9,661K) supports mandatory lease payments, training, uniform allowances, safety apparel, energy management, Computer Aided Drafting services, facility planning, resilience, security and emergency preparedness. Additionally, this funding level supports the continuation of the Resilience and Security contract, which assists in the AOC's continuity, critical infrastructure and other planning and prepares the jurisdiction in case of an emergency by maintaining the Emergency Action Response Plan and performing tabletop exercises against the plan.
- The **Payroll** Program Group funding request (\$2,800K) funds the necessary salaries and benefits for employees specifically supporting the appropriation. This funding includes the four additional FTEs requested, which will enable the AOC to continue comparable service levels of past years in direct support to Congress, USCP and AOC. This provides the capability to minimally staff at 20 permanent FTEs. Facilities Management requires seven FTEs to plan, manage, and oversee maintenance requirements and capital projects. Resilience and Security requires seven FTEs to centrally plan, coordinate and manage the execution of jurisdiction energy management, facility physical security projects and requirements across the Capitol complex, as well as lead the AOC critical infrastructure program, Congressional continuity programs, implement and oversee internal security policies and procedures, and support USCP security and emergency incidents. Mission Support requires five FTEs including 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.

The **Multi-Year Projects Budget** request (\$17,164K) consist of major construction or system replacement requirements to support the USCP and House and Senate Sergeant at Arms' mission; Congressional continuity; 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 provides the flexibility to respond to unforeseen requirements as generated from emergencies, the Members, Committees and other Architect of the Capitol clients.

Please refer to "Multi-Year Budget Request – Program Summary" for a detailed list of the requested major construction projects.



# Capitol Police Buildings, Grounds and Security

## AREAS OF RESPONSIBILITY SUMMARY:

### ASSIGNED FACILITIES

| Facility Name/Type                  | Location       | Year Built or Acquired | Area (square feet) | Deferred Maintenance | Capital Renewal     | Backlog             |
|-------------------------------------|----------------|------------------------|--------------------|----------------------|---------------------|---------------------|
| Alternate Computer Facility (ACF)   | Manassas, VA   | 1983                   | 345,282            | \$8,061,000          | \$23,497,000        | \$31,558,000        |
| Canine Facility                     | Washington, DC | 1996                   | 4,272              | \$16,000             | \$117,000           | \$133,000           |
| Courier Acceptance                  | Washington, DC | 1996                   | 5,229              | \$0                  | \$0                 | \$0                 |
| Fairchild Building                  | Washington, DC | 2008                   | 166,507            | \$0                  | \$170,000           | \$170,000           |
| Interim Off Site Delivery           | Washington, DC | 2006                   | 8,820              | \$79,000             | \$220,000           | \$299,000           |
| Headquarters Building               | Washington, DC | 1930                   | 85,382             | \$403,000            | \$6,299,000         | \$6,702,000         |
| Security Kiosks                     | Washington, DC | Varies                 | 846                | \$0                  | \$7,399,000         | \$7,399,000         |
| Vehicle Maintenance Facility        | Washington, DC | 1930                   | 23,842             | \$4,533,000          | \$294,000           | \$4,827,000         |
| Projects Across Multiple Facilities | Washington, DC | Varies                 |                    | \$0                  | \$236,000           | \$236,000           |
| <b>Total</b>                        |                |                        | <b>640,180</b>     | <b>\$13,092,000</b>  | <b>\$38,232,000</b> | <b>\$51,324,000</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.

Projects Across Multiple Facilities include the Verizon SW Communication Center.

### LEASED FACILITIES

| Lease Type   | Location       | Area (square feet) | Leased from    | Contract Award Date | Contract End Date | FY 2016 Request    | FY 2017 Total Cost |
|--|----------------|--------------------|----------------|---------------------|-------------------|--------------------|--------------------|
| Fairchild Building (office & parking) <sup>1</sup> | Washington, DC | 120,655            | Private Sector | Feb 2004            | Feb 2019          | \$5,431,093        | \$5,802,132        |
| Government Printing Office <sup>2</sup>            | Washington, DC | 36,561             | Federal Gov't  | Oct 2005            | Annually          | \$540,000          | \$857,892          |
| Verizon Building                                   | Washington, DC | 6,085              | Private Sector | Jul 2011            | Jul 2016          | \$167,399          | \$170,441          |
| Radio Tower Repeater Sites                         | DC Metro Area  | 1,000              | Private Sector | Aug 2012            | Jul 2017          | \$580,169          | \$591,584          |
| <b>Total</b>                                       |                |                    |                |                     |                   | <b>\$7,326,830</b> | <b>\$7,422,048</b> |

#### Notes

<sup>1</sup> FY16 - Fairchild tax amount increased from \$280K to approximately \$599K, however it is not reflected in the FY16 baseline as the increase was not known until FY15.

<sup>2</sup> An additional 10,800 sq/ft of space is needed for USCP at GPO

<sup>3</sup> One of the Radio Tower Repeater Site is leased from DC Gov't.



# Capitol Police Buildings, Grounds and Security

## TOTAL BUDGET REQUEST – FUNDING SUMMARY

| Total Budget (\$000) |                 |                            |                              |                              |                         |
|----------------------|-----------------|----------------------------|------------------------------|------------------------------|-------------------------|
| Appropriation        | FY 2015 Enacted | FY 2015 Actual Obligations | FY 2016 <sup>2</sup> Enacted | FY 2017 <sup>2</sup> Request | FY 2016/2017 Difference |
| Operating Budget     | 18,159          | 18,087                     | 17,533                       | 20,349                       | 2,816                   |
| Multi-Year Projects  | 1,000           | 496                        | 7,901                        | 17,164                       | 9,263                   |
| <b>Total</b>         | <b>19,159</b>   | <b>18,584</b>              | <b>25,434</b>                | <b>37,513</b>                | <b>12,079</b>           |

| Operating Budget (\$000)            |                        |                            |                                     |                              |                         |
|-------------------------------------|------------------------|----------------------------|-------------------------------------|------------------------------|-------------------------|
| Program Groups                      | FY 2015 Operating Plan | FY 2015 Actual Obligations | FY 2016 <sup>2</sup> Operating Plan | FY 2017 <sup>2</sup> Request | FY 2016/2017 Difference |
| Facilities Maintenance              | 8,095                  | 7,688                      | 6,794                               | 7,837                        | 1,043                   |
| Furniture Repair                    | 75                     | 82                         | 50                                  | 51                           | 1                       |
| Jurisdiction Centralized Activities | 7,746                  | 8,221                      | 8,549                               | 9,661                        | 1,112                   |
| Payroll                             | 2,243                  | 2,095                      | 2,140                               | 2,800                        | 660                     |
| <b>Total</b>                        | <b>18,159</b>          | <b>18,087</b>              | <b>17,533</b>                       | <b>20,349</b>                | <b>2,816</b>            |

| Total Budget by Object Class (\$000) |                        |   |                                     |                              |                         |
|--------------------------------------|------------------------|---|-------------------------------------|------------------------------|-------------------------|
| Object Class Groups                  | FY 2015 Operating Plan | FY 2015 <sup>1</sup> Actual Obligations | FY 2016 <sup>2</sup> Operating Plan | FY 2017 <sup>2</sup> Request | FY 2016/2017 Difference |
| 11 Personnel Compensation            | 1,654                  | 1,971                                   | 1,578                               | 2,064                        | 486                     |
| 12 Personnel Benefits                | 589                    | 702                                     | 562                                 | 736                          | 173                     |
| 21 Travel                            | 10                     | 9                                       | 13                                  | 14                           | 1                       |
| 22 Transportation of Things          | -                      | -                                       | -                                   | -                            | -                       |
| 23 Rent, Communications & Utilities  | 7,200                  | 7,466                                   | 7,983                               | 8,877                        | 894                     |
| 24 Printing and Reproduction         | -                      | -                                       | -                                   | -                            | -                       |
| 25 Other Contractual Services        | 9,453                  | 9,640                                   | 14,889                              | 15,008                       | 119                     |
| 26 Supplies and Materials            | 30                     | 150                                     | 201                                 | 299                          | 98                      |
| 31 Equipment                         | 23                     | 62                                      | 83                                  | 124                          | 41                      |
| 32 Land and Structures               | 200                    | 94                                      | 125                                 | 10,392                       | 10,266                  |
| 42 Insurance Claims & Indemnities    | -                      | -                                       | -                                   | -                            | -                       |
| <b>Total</b>                         | <b>19,159</b>          | <b>20,094</b>                           | <b>25,434</b>                       | <b>37,513</b>                | <b>12,079</b>           |

<sup>1</sup> FY 2015 Personnel Compensation and Personnel Benefits include payroll and project-funded obligations. Actuals represent total obligations of funds incurred irrespective of the year of appropriation and can include reprogrammings/transfers from other appropriations.

<sup>2</sup> FY 2016/FY 2017 Personnel Compensation and Personnel Benefits do not include project-funded payroll estimated obligations.



# Capitol Police Buildings, Grounds and Security

## TOTAL BUDGET REQUEST - ANALYSIS OF CHANGE

|  | FY 2017 Appropriation |                |
|--|-----------------------|----------------|
|  | FTE                   | Amount (\$000) |
| <b>FY 2016 Enacted</b> (FTE reflects Payroll Funded only)            | 16                    | 25,434         |
| <b>Non-Recurring Costs</b>   |                       |                |
| Power Switchgear Replacement, USCP HQ                                |                       | (3,525)        |
| Critical Electrical Infrastructure Upgrade, ACF                      |                       | (3,376)        |
| Minor Construction.....  |                       | (1,000)        |
| <b>Total Program Decreases</b>                                       |                       | <b>(7,901)</b> |
| <b>Mandatory Pay Related Costs:</b>                                  |                       |                |
| FY 2017 FEHB Employer Contribution of 4.0%.....                      |                       | 5              |
| FY 2017 Cost-of-Living Adjustment of 2.6%.....                       |                       | 36             |
| FY 2017 Within Grade Increase.....                                   |                       | 16             |
| <b>Total Mandatory Pay Related Costs</b>                             |                       | <b>57</b>      |
| <b>Price Level Changes</b>   |                       |                |
| Facilities Maintenance.....  |                       | 180            |
| Furniture Repair.....  |                       | 1              |
| Jurisdiction Centralized Activities.....                             |                       | 6              |
| <b>Total Price Level Changes</b>                                     |                       | <b>187</b>     |
| <b>Program Increases:</b>  |                       |                |
| Facilities Maintenance.....  |                       | 863            |
| Jurisdiction Centralized Activities.....                             |                       | 1,107          |
| Payroll FTE Increase.....  | 4                     | 460            |
| Payroll Erosion.....   |                       | 142            |
| Multi-Year Projects:   |                       |                |
| Chiller Replacement and Chilled Water System Expansion, Phase I, ACF |                       | 14,664         |
| Minor Construction.....  |                       | 2,500          |
| <b>Total Program Increases</b>                                       |                       | <b>19,736</b>  |
| <b>Net Increase/Decrease</b>   |                       | <b>12,079</b>  |
| <b>Total Appropriation</b>   | <b>20</b>             | <b>37,513</b>  |



## Capitol Police Buildings, Grounds and Security

### *OPERATING BUDGET REQUEST - SUMMARY OF CHANGES*

The Operating Budget component of the Capitol Police Buildings, Grounds & Security appropriation funds all costs associated with the daily care, maintenance and operation of its grounds and facilities. The budget is divided into four 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 Budget (\$000)            |                              |                                      |   |                               |                    |                            |
|-------------------------------------|------------------------------|--------------------------------------|---|-------------------------------|--------------------|----------------------------|
| Program Groups                      | FY 2016<br>Operating<br>Plan | Program<br>Realignment/<br>Transfers | Mandatory<br>Pay and Price<br>Increases | Other<br>Program<br>Increases | FY 2017<br>Request | FY 2016/2017<br>Difference |
| Facilities Maintenance              | 6,794                        | -                                    | 180                                     | 863                           | 7,837              | 1,043                      |
| Furniture Repair                    | 50                           | -                                    | 1                                       | -                             | 51                 | 1                          |
| Jurisdiction Centralized Activities | 8,549                        | -                                    | 6                                       | 1,107                         | 9,661              | 1,112                      |
| Payroll                             | 2,140                        | -                                    | 57                                      | 602                           | 2,800              | 660                        |
| <b>Total</b>                        | <b>17,533</b>                | <b>-</b>                             | <b>244</b>                              | <b>2,572</b>                  | <b>20,349</b>      | <b>2,816</b>               |

### Program Changes Justification

The FY 2017 Operating Budget Request shows an increase of **\$2,816K** from the FY 2016 estimated level. It includes **\$244K** in mandatory pay and price increases plus **\$2,572K** in other program changes.

#### Mandatory Pay and Price Increases

The Mandatory Pay and Price Increases requirement of **\$244K** reflects Congressional Budget Office estimated funding of **\$187K** for non-pay 2.2% inflation increases and **\$57K** for pay related inflation increases (2.6% for Cost-of-Living adjustment, 4.0% for the Federal Employee Health Benefits program and Within Grade adjustment).

#### Other Program Increases

The **Facilities Maintenance** funding increase of **\$863K** reflect mission requirements:

- **(\$655K)Kiosks Infrastructure Updates:** To fund annual system upgrades of the aging security kiosks in order to extend the life of these structures until lifecycle replacement can take place. OSP has approximately 63 perimeter security kiosks across the Capitol complex to include off-site locations, many of which have exceeded their life cycle and are in need of replacement as identified in the 2014 Facility Condition Assessment. Some of the key elements of concerns with the current kiosk structures include metal corrosion, inadequate air conditioning, deterioration of flooring, and ballistic glass issues. This funding will allow OSP to address these issues in approximately 11 percent per year on an ongoing basis until lifecycle replacement is funded. These funds will be used to specifically focus on HVAC and flooring upgrades, as well as ballistic glass replacement. Kiosk lifecycle replacement, as identified in the 2014 Facility Condition Assessment, will be deferred until funding is approved in the Line Item Construction Project (LICP) program.

**Impact if not funded:** The failure rate of infrastructure systems will continue to increase at a level that is unsustainable through the OSP maintenance budget. Furthermore, if funding is not approved for these upgrades, the kiosks will continue to deteriorate potentially causing a vulnerability in the perimeter security of the Capitol Complex.



## Capitol Police Buildings, Grounds and Security

### *OPERATING BUDGET REQUEST - SUMMARY OF CHANGES (CONTINUED)*

- **(\$87K) Special Event Support:** The cost to support events around Capitol Hill has increased due to a change in USCP security requirements. This change includes an upgrade in the USCP's security plan to strengthen perimeter security, specifically for the summer concerts on the West Front, as well as additional elements needed to protect the Botanic Garden and Capitol Grounds. This increase also includes an inflationary adjustment for rental fees. The strengthening of the perimeter security is expected to increase by approximately 20 additional jersey barriers and 100 additional bike racks per event. The additional elements needed to protect AOC facilities will be approximately 350 bike racks to protect the Botanic Garden ornamental plantings and the Garfield and Peace Circle statutory and plantings.

**Impact if not funded:** If the increase for Special Event funding is not approved, OSP will provide support for concerts and events at a 2013 service level, which will require a reduction of the USCP security plan.
- **(\$61K) Client Services:** To support increased client service requests as a result of new use of vacant space and higher occupancy rate at the ACF. The data centers have also had a significant increase for electrical work to support new server racks as it has become more of a primary data center for the Legislative Branch. Other requirements include ongoing testing for the Data Center backup generator and escalation in fuel prices. With these increases, additional employees are now spending more time at the facility which has also added to employee requests for service.

**Impact if not funded:** If not funded client requests may not be able to be accepted or completed, which could impact critical data center operations for Congress.
- **(\$60K) Senate and House Program Centers:** The use of approximately 20,000 square feet of unoccupied space has been requested to accommodate two new programs at the ACF. These program centers have been requested by the House and Senate for testing trainings, exercises and operations of certain critical functions. The spaces being requested are currently vacant, thus requiring minimal maintenance and housekeeping tasks. The funding requested will be used to provide regular routine maintenance for the heating, cooling, electrical and lighting systems as well as an increase in custodial services due to their potential for immediate use operations.

**Impact if not funded:** If not funded the program centers may not be able to be cleaned or maintained on a monthly basis.

The **Jurisdiction Centralized Activities** funding increase of **\$1,107K** reflect must-pay and new mission requirements:

- **(\$543K) Annual Lease Requirements:** To fund annual lease escalations costs (\$232K) for office space leased within the Fairchild, Verizon, and GPO buildings. The Fairchild Building property taxes increased significantly in FY 2015, causing an approximately 213 percent increase in OSP's portion over the FY 2014 tax amount. Space has also been requested by the USCP at the GPO to accommodate programmatic requirements (\$311K) which includes an additional 6,950 square feet of space to house the USCP Radio Shop for 18 employees and contractors, as well as warehouse storage. Also, an additional 3,850 square feet of storage space for the Property and Asset Management Division (PAMD) is needed to assist with the extended time required to store lost and found items, plus consolidation of Ft. Meade storage into PAMD's GPO storage space.

**Impact if not funded:** Leases are must-pay requirements, so other programs will be reduced or cut to ensure that leases are fully funded. In addition, USCP will not be able to meet their programmed mission requirements.



## Capitol Police Buildings, Grounds and Security

### *OPERATING BUDGET REQUEST - SUMMARY OF CHANGES (CONTINUED)*

- **(\$188K) Resilience and Security Support Services:** To support several resilience functions such as: external emergency management, critical infrastructure management and Congressional Continuity programs. The AOC is embarking upon a concerted effort to identify and assess the critical infrastructure supporting Congressional essential functions, which will ensure future campus and building upgrades meet Congressional operational requirements. The AOC is becoming more involved in Congressional continuity planning and trainings such as maintenance and ownership of portable legislative clocks; facilities management liaison and oversight of selected off-campus facilities; and facility acquisition and logistics support for selected continuity exercises. In addition, this request supports AOC internal requests for security education, training and awareness associated with policies and procedures, such as documentation control, mail screening, operational security, special event support and other security functions.

**Impact if not funded:** AOC will not be able to support Congressional operations as expected by the Joint Continuity Office and the U.S. Capitol Police Board. This includes the support to the 640 mobile legislative clocks, transmitters and associated equipment. Additionally, AOC will not be able to investigate and develop replacement parts should any part of the legislative clock system fail as the current parts are no longer manufactured or supported by the manufacturer. Moreover the AOC will not be able to provide education and awareness training to its staff associated with the implementation of various security policies and procedures such as documentation control and operational security.
- **(\$165K) Suitability Software Program:** To fund an annual license fee for system updates, security patches, and licenses for the AOC's new suitability management software suite. This software provides a secure management tool for handling and tracking the personnel information associated with the adjudication process for all of AOC's employees and contractors. This software is a critical key element of our suitability process as it interfaces with OPM to provide a secure portal for information sharing.

**Impact if not funded:** The ability of the AOC to accurately account for all investigative expenditures, adjudicative outcomes, and AOC's compliance with Federal Personnel Security Mandates will be impacted. The AOC will also not be able to process adjudications securely through OPM and will not meet the requirements of the adjudication policy.
- **(\$150K) Continuity of Government and Reconstitution Services:** To support the increasing requirements for AOC to support of Continuity of Government and Reconstitution, in furtherance of Congressional national and mission essential functions. This increase is to support the growing number of exercises and initiatives related to planning and preparedness and other resilience support functions. Some essential equipment to support Congressional continuity has not been updated or maintained and is obsolete.

**Impact if not funded:** The AOC will not be able to meet the request for exercise support from the House and Senate. Equipment essential for Congressional Continuity will not receive the needed updates and maintenance and obsolete equipment will not be replaced with current equipment to ensure Congress can continue to function during a continuity event.
- **(\$61K) Joint Emergency Messaging and Notification System (JEMN) Annual License.** This is a joint effort with the House, Senate and USCP to ensure consistent communications are sent across the campus to provide situational awareness of emergency alerts and notifications such as active shooter, unauthorized aircraft, suspicious packages and other similar events. This funding requirement is being shared by the House, Senate, USCP and AOC as all are primary users.



## Capitol Police Buildings, Grounds and Security

### **OPERATING BUDGET REQUEST - SUMMARY OF CHANGES (CONTINUED)**

**Impact if not funded:** AOC will not be able to fund its portion of the system requiring the other agencies to cover the gap. Additionally, AOC will not be able to utilize the JEMNS to send notifications and alerts to its employees and to partner Legislative agencies to make them aware of issues impacting the campus.

The **Payroll** program increase of **\$602K** reflects funding needed of **\$142K** to restore our payroll level to the actual requirement and **\$460K** for four additional Full Time Equivalent positions. Over the past several years, mandatory payroll cost increases have caused overall personnel costs to increase. The sequestration of FY 2013, along with the desire of Congress to keep budgets flat, have caused an erosion of our buying power.

- **(\$365K)** Three **Suitability** professionals to fulfill the requirements under the new AOC suitability process. Currently the suitability process reviews only applicant's recent history, which creates a security vulnerability as it allows for the employment of persons who, despite a history of criminal activity or a track record of crimes of trust, to be acceptable to work for the AOC. The new process includes a comprehensive review of applicant's full history, background investigation and improved database records.

**Suitability Adjudicator:** This position will review and evaluate suitability investigations on all AOC employees, potential employees and contractors. The Adjudicator will review new applications, appeals and reconsideration requests; inquire additional information and Letters of Interrogatory from applicants, employees and other sources as need it to resolve issues, and provide a comprehensive adjudicative analytical summary recommending courses of action (to grant or deny employment) based on background investigations, supporting documentation, and any relevant laws, regulations and policies.

**Suitability Specialist:** Two positions to perform a wide variety of tasks associated with personnel security investigations including collecting, arranging and reviewing SF-85s and SF-86s and other background investigation documentation, as well as assisting applicants, AOC federal employees and contractors with corrective action concerning completion and submission of documents. Additional responsibilities include tracking documents to ensure accurate processing, review investigative service provider documents, access investigative service provider portal for form review processing and run management reports from data as requested.

**Impact if not funded:** If these positions are not supported, AOC will not be able to support the new process that will correct current suitability shortcomings and bring the Agency up to the same security standards as other federal agencies. In addition, AOC will not meet the suitability regulations in title 5, Code of Federal Regulation, part 302 and 202 and 5 U.S.C 301 and 302.

- **(\$95K)** One **Facility Operation Specialist** to support the incremental Facility Management (FM) workload, serve as focal point for agency and inter-agency coordination of services and communication, and monitor and maintain the new computer-based systems in OSP facilities. Since 2010, the workload in FM has increased at an unsustainable rate due to the addition of new mission elements, such as the acquisition of the Verizon building and the five offsite USCP radio repeater sites. Additionally, several building system upgrades have introduced "Smart Technology" to OSP facilities, from intelligent lighting and advanced key access systems to new building automation and global information systems, creating a need for additional attention and management of the systems to ensure optimal operation for client comfort and satisfaction. This proposed position will track the quality assurance and the quality controls inspection results for improvement, provide support to the FM team during special events and inclement weather situations, and assist in meeting the agency energy and strategic targets.

**Impact of not funded:** If this position is not funded, the new mission elements described above will be actioned as peripheral tasks ranked below other priority assignments. Information updates will be delayed.



# Capitol Police Buildings, Grounds and Security

## *MULTI-YEAR BUDGET REQUEST – PROGRAM 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 jurisdictions with the flexibility to respond to unforeseen requirements as generated from emergencies, the Members, Committees and other Architect of the Capitol clients.

| <b>Multi-Year Budget by Project (\$000)</b>                          |                       |
|--|-----------------------|
|  | <b>Request Amount</b> |
| <b>Line Item Construction Program Projects:</b>                      |                       |
| Chiller Replacement and Chilled Water System Expansion, Phase I, ACF | 14,664                |
| <b>Total</b>   | <b>14,664</b>         |
| <b>Other Projects:</b>   |                       |
| Minor Construction.....  | 2,500                 |
| <b>Total</b>   | <b>2,500</b>          |
| <b>Total Project Request</b>   | <b>17,164</b>         |

### **Minor Construction**

**\$2,500K**

The program increase of **\$1,500K** reflects the backlog of security projects for the United States Capitol Police (USCP), and the House and Senate Sergeant at Arms; the construction/modification of security planters; the installation of infrastructure to provide security pathways for access control; the facility modification to off-site continuity locations; and cameras, alarms and other monitoring devices at Union Square, Capitol utility tunnels, Congressional buildings and grounds, and other locations across the Capitol complex. Below are examples of projects that require AOC support:

- Critical Infrastructure Access Control
- Critical Infrastructure to support additional cameras and access point alarms
- Installation of Building Perimeter Security Devices
- Ballistic Police Podiums at Entrances
- Upgrades to the Russell Tunnel Terminal Room to meet USCP requirements
- Roof Access Control for Congressional Buildings
- Alternate Command Center for USCP

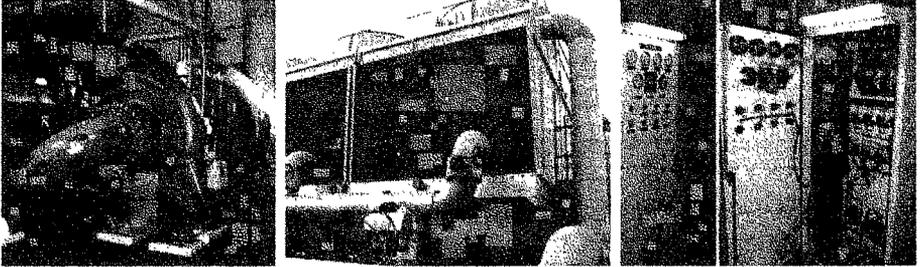
**Impact if not funded:** If not fully funded, the OSP will not be able to support the USCP, House and Senate Sergeant at Arms and other Legislative Branch agencies requests and requirements to prepare for and respond to the constant evolving security threats. AOC will not be able to develop and implement the backlog of projects that have been critical to address urgent single points of failure in the campus critical infrastructure and security vulnerabilities.



# Capitol Police Buildings, Grounds and Security

**Project Title:** Chiller Replacement and Chilled Water System Expansion,  
Phase I, ACF

**Request:** \$14,664K



**Project Description:** This project is the first phase of a multi-phase project to replace all chillers and associated distribution piping within the ACF chiller plant facility. The existing units are original 1970s equipment, deteriorated and at or near the end of their useful lives. Additionally, the units use R-11 refrigerant which is not environmentally friendly and is being phased out. The system is obsolete and maintenance intensive. Phase I replaces one of the aging chillers and associated equipment with two new smaller units and upgrades the system from pneumatic to digital.

**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 most critical facility. The lack of a proper tier 3 chilled water infrastructure risks building's ability to carry out its mission during disaster scenarios. The current system uses R-11 refrigerant which contains CFCs that are harmful to the environment, are no longer manufactured and difficult to obtain.

**Cost of Recurring Operations:** Energy, operational and maintenance costs will be reduced with the installation of new, energy efficient chillers.

**Citation Driven:** No.

**Client Request:** No.

**Program Funding Overview (\$000):**

| Task                     | Firm FY 2015 Funded | FY 2015 Funded | FY 2016 Funded | FY 2017 Requested | Future FY Anticipated | Total Projected Requirement |
|--------------------------|---------------------|----------------|----------------|-------------------|-----------------------|-----------------------------|
| Study                    |                     |                |                |                   |                       |                             |
| Design (Phase I)         | 814                 |                |                |                   |                       | 814                         |
| Construction (Phase I)   |                     |                |                | 14,664            |                       | 14,664                      |
| Construction (Phase II)  |                     |                |                |                   | 12,000                | 12,000                      |
| Construction (Phase III) |                     |                |                |                   | 8,000                 | 8,000                       |
| <b>Total</b>             | <b>814</b>          | <b>-</b>       | <b>-</b>       | <b>14,664</b>     | <b>20,000</b>         | <b>35,478</b>               |

<sup>1</sup>Construction costs for future phases are being updated.

# 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 is one of the leading botanic gardens worldwide that actively participates in the conservation of endangered species by maintaining live species in their collection, sharing specimens with other collection and research institutions, collecting and studying wild plants, and introducing rare plants to the horticultural trade.

The USBG jurisdiction:

- Provides Congress, the nation, and the public with a wide range of unique and key professional expertise.
- Provides educational services; botanical and horticulture expertise; plant conservation; and sustainability initiatives.
- Provides Global-public outreach to include: educational collaborative exhibits and publications; public/private partnerships to preserve plants, gardens and landscapes; and educational efforts regarding horticulture, sustainability and conservation.

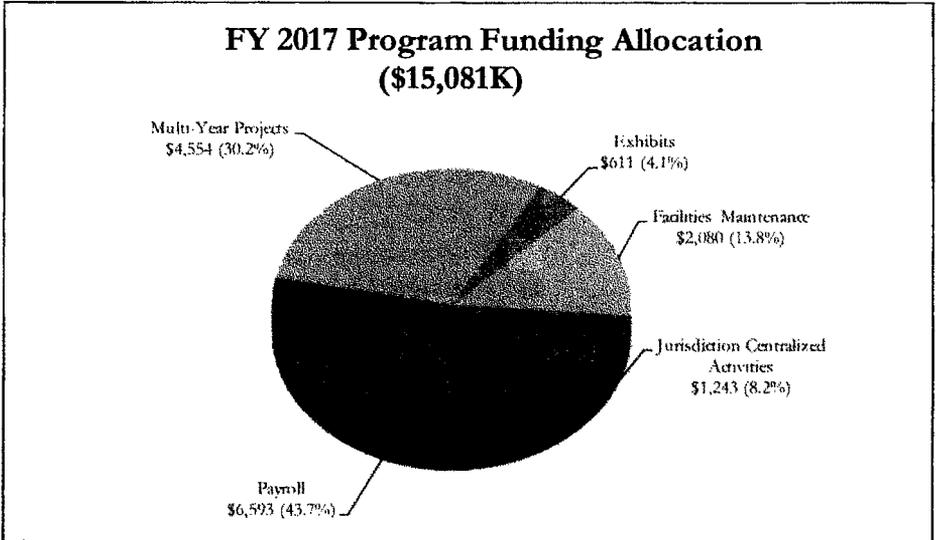
For a complete list of USBG facilities, please refer to the "Areas of Responsibility Summary" table in this Budget Request.



# Botanic Garden

## PROGRAM SUMMARY

The Botanic Garden (BG) jurisdiction/appropriation consists of two primary types of funding: Operating Budget (annual) and Multi-Year Projects Budget (5 years).



The **Operating Budget** request (\$10,527K) funds all costs associated with the daily care, maintenance and operation of its facilities. The BG 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 **Exhibits Program Group** funding request (\$611K) funds the fabrication, installation and purchase of supplies for public displays such as botany and plants exhibits, the holiday “trains” exhibit, orchid exhibits, terrace exhibits, and other temporary exhibits. Funding supports 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. Exhibit improvements in the West and East Galleries will begin to rejuvenate aging exhibits and maximize use of existing spaces. The terrace exhibit runs from late spring to early fall. It provides educational programs and horticultural exhibits such as living walls, green roofs, botanical displays, pollinator demonstrations, and gardens for the health and well being of visitors of all ages. The remaining funds are for the popular Orchids exhibit and other special exhibitions and displays.



# Botanic Garden

## *PROGRAM SUMMARY (continued)*

- The **Facilities Maintenance** Program Group funding request (\$2,080K) includes supplies, materials, maintenance contracts, safety and security system maintenance, and cleaning contracts. This enables the performance of year-round and cyclical maintenance required of the Conservatory and Production Facility greenhouses. The Facilities Maintenance Program Group will continue to allow for the care and improvement of the outdoor gardens including those surrounding the Conservatory, the National Garden, Children's Garden, the Bartholdi Park Gardens, and the Production Facility outdoor spaces. This program group also provides funds for the plants and horticultural material for displays, exhibits, shows, Congressional events and educational programs; as well as pest management, and grounds maintenance such as lawn care and snow removal. This Facilities Maintenance funding provides for improvements in the irrigation systems, such as repair, maintenance and upgrades to ensure better functioning with lower labor costs. These irrigations systems are in the Conservatory, outdoor gardens, and greenhouses. The Botanic Garden also must contract for the disposal of bulk and solid waste associated with the care of the gardens, plants and greenhouses. The continued popularity of the Botanic Garden as a destination place in Washington, D.C. adds to our annual number of visitors which requires increased expenses for cleaning and maintenance. Funds in this group are also used to update and maintain the physical safety and security of all USBG facilities for both visitors and staff, for example through the installation and maintenance of improved fall protection security systems.
- The **Jurisdiction Centralized Activities** Program Group request (\$1,243K) encompasses non-discretionary costs such as vehicle maintenance, training and uniforms, personal safety equipment, as well as costs for fulfillment of its mission to demonstrate and educate the critical importance of plants. These funds include personal protective equipment (PPE), which allow USBG employees to complete their duties safely and without injury. Funds are included for education and outreach to teachers, students, garden clubs and the general public including printing educational and outreach materials and contracted visitor services. In a successful partnership program, the Botanic Garden works with nationally-recognized collaborators to address urgent areas of national significance, including caring for wild and cultivated plant resources, agricultural and food education, sustainable horticulture, landscaping and other innovative educational programs. Partnerships allow the Botanic Garden to have national impact through collaborations. The Botanic Garden will continue to develop collaboration for achieving goals in plant science education through artistic and theatrical partnerships.
- The **Payroll** Program Group request (\$6,593K) 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 constant need of repairs due to weather-related issues, aging facilities, extremely high visitor numbers 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. Horticulture employees are specialists in science, research, plant conservation, botany, taxonomy and plant care and culture. The public programs' staff provides expertise in areas such as signage, interpretation, communication, outreach, exhibits, displays and education.



## Botanic Garden

### PROGRAM SUMMARY (continued)

The **Multi-Year Projects Budget** request (\$4,554K) consist of major construction or system replacement requirements to address fire, life-safety, security issues, ADA and other accessibility requirements; deferred maintenance; capital renewal; capital improvement; and capital construction. The Multi-Year budgets allows for all necessary studies and designs, with a focus on energy savings, plant health and display, and accessibility. It includes Minor Construction funds that provide jurisdictions with the flexibility to respond to unforeseen requirements as generated from emergencies, special events or demonstrations, Member requests, Committee directives and other Architect of the Capitol clients.

Please refer to "Multi-Year Budget Request - Program Summary" for a detailed list of the requested major construction projects.

### AREAS OF RESPONSIBILITY SUMMARY:

#### ASSIGNED FACILITIES

| Facility Name/Type                           | Location       | Year Built or Acquired | Area (square feet) | Deferred Maintenance | Capital Renewal     | Backlog             |
|--|----------------|------------------------|--------------------|----------------------|---------------------|---------------------|
| Administration Building                      | Washington, DC | 1931                   | 3,788              | \$0                  | \$0                 | \$0                 |
| Bartholdi Park and Fountain                  | Washington, DC | 1932                   | 96,726             | \$0                  | \$48,000            | \$48,000            |
| Conservatory                                 | Washington, DC | 1933                   | 106,335            | \$200,000            | \$4,454,000         | \$4,654,000         |
| Production Facility Greenhouse and Headhouse | Washington, DC | 1993                   | 117,930            | \$384,000            | \$8,830,000         | \$9,214,000         |
| Production Facility Lath House               | Washington, DC | 1994                   | 4,760              | \$0                  | \$0                 | \$0                 |
| Production Facility Pesticide Storage        | Washington, DC | 1994                   | 450                | \$3,000              | \$0                 | \$3,000             |
| Production Facility Temporary Structures     | Washington, DC | 2000                   | 5,500              | \$0                  | \$288,000           | \$288,000           |
| Production Facility Grounds                  | Washington, DC | 2000                   | Varies             | \$31,000             | \$150,000           | \$181,000           |
| Projects Across Multiple Facilities          | Washington, DC | Varies                 | Varies             | \$0                  | \$0                 | \$0                 |
| <b>Total</b>                                 |                |                        | <b>335,489</b>     | <b>\$618,000</b>     | <b>\$13,770,000</b> | <b>\$14,388,000</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

## TOTAL BUDGET REQUEST – FUNDING SUMMARY

| Total Budget (\$000) |                 |                            |                 |                 |                         |
|----------------------|-----------------|----------------------------|-----------------|-----------------|-------------------------|
| Appropriation        | FY 2015 Enacted | FY 2015 Actual Obligations | FY 2016 Enacted | FY 2017 Request | FY 2016/2017 Difference |
| Operating Budget     | 9,880           | 9,812                      | 10,013          | 10,527          | 514                     |
| Multi-Year Projects  | 5,693           | 202                        | 2,100           | 4,554           | 2,454                   |
| <b>Total</b>         | <b>15,573</b>   | <b>10,014</b>              | <b>12,113</b>   | <b>15,081</b>   | <b>2,968</b>            |

| Operating Budget (\$000)            |                        |                            |                        |                 |                         |
|-------------------------------------|------------------------|----------------------------|------------------------|-----------------|-------------------------|
| Program Groups                      | FY 2015 Operating Plan | FY 2015 Actual Obligations | FY 2016 Operating Plan | FY 2017 Request | FY 2016/2017 Difference |
| Exhibits                            | 609                    | 604                        | 599                    | 611             | 12                      |
| Facilities Maintenance              | 1,945                  | 2,101                      | 2,038                  | 2,080           | 42                      |
| Jurisdiction Centralized Activities | 981                    | 1,073                      | 1,023                  | 1,243           | 220                     |
| Payroll                             | 6,344                  | 6,033                      | 6,353                  | 6,593           | 240                     |
| <b>Total</b>                        | <b>9,880</b>           | <b>9,812</b>               | <b>10,013</b>          | <b>10,527</b>   | <b>514</b>              |

| Total Budget by Object Class (\$000) |                        |   |                                     |                              |                         |
|--------------------------------------|------------------------|---|-------------------------------------|------------------------------|-------------------------|
| Object Class Groups                  | FY 2015 Operating Plan | FY 2015 <sup>1</sup> Actual Obligations | FY 2016 <sup>2</sup> Operating Plan | FY 2017 <sup>2</sup> Request | FY 2016/2017 Difference |
| 11 Personnel Compensation            | 4,531                  | 4,524                                   | 4,537                               | 4,708                        | 171                     |
| 12 Personnel Benefits                | 1,814                  | 1,811                                   | 1,816                               | 1,885                        | 69                      |
| 21 Travel                            | 42                     | 48                                      | 20                                  | 49                           | 29                      |
| 22 Transportation of Things          | -                      | -                                       | -                                   | -                            | -                       |
| 23 Rent, Communications & Utilities  | -                      | -                                       | -                                   | -                            | -                       |
| 24 Printing and Reproduction         | 40                     | 58                                      | 23                                  | 56                           | 32                      |
| 25 Other Contractual Services        | 2,767                  | 2,828                                   | 1,056                               | 2,804                        | 1,748                   |
| 26 Supplies and Materials            | 650                    | 812                                     | 278                                 | 694                          | 416                     |
| 31 Equipment                         | 93                     | 58                                      | 63                                  | 92                           | 30                      |
| 32 Land and Structures               | 5,637                  | 1,526                                   | 4,320                               | 4,793                        | 473                     |
| 42 Insurance Claims & Indemnities    | -                      | -                                       | -                                   | -                            | -                       |
| <b>Total</b>                         | <b>15,573</b>          | <b>11,665</b>                           | <b>12,113</b>                       | <b>15,081</b>                | <b>2,968</b>            |

<sup>1</sup> FY 2015 Actuals represent total obligations of funds incurred irrespective of the year of appropriation and can include reprogrammings/transfers from other appropriations. Personnel Compensation and Personnel Benefits include payroll and project-funded obligations.

<sup>2</sup> FY 2016/FY 2017 Personnel Compensation and Personnel Benefits do not include project-funded payroll estimated obligations.



# Botanic Garden

## ***TOTAL BUDGET REQUEST - ANALYSIS OF CHANGE***

|   | FY 2017 Appropriation |                |
|---|-----------------------|----------------|
|   | FTE                   | Amount (\$000) |
| <b>FY 2016 Enacted (FTE reflects Payroll Funded only)</b> | 68                    | 12,113         |
| <b>Non-Recurring Costs</b>                                |                       |                |
| Minor Construction.....                                   |                       | (2,100)        |
| <b>Other Decreases</b>                                    |                       |                |
| <b>Total Program Decreases</b>                            |                       | (2,100)        |
| <b>Mandatory Pay Related Costs:</b>                       |                       |                |
| FY 2017 FEHB Employer Contribution of 4.0%.....           |                       | 17             |
| FY 2017 Cost-of-Living Adjustment of 2.6%.....            |                       | 108            |
| FY 2017 Within Grade Increase.....                        |                       | 45             |
| <b>Total Mandatory Pay Related Costs</b>                  |                       | 170            |
| <b>Price Level Changes</b>                                |                       |                |
| Exhibits.....   |                       | 12             |
| Facilities Maintenance.....                               |                       | 42             |
| Jurisdiction Centralized Activities.....                  |                       | 20             |
| <b>Total Price Level Changes</b>                          |                       | 74             |
| <b>Program Increases</b>                                  |                       |                |
| Jurisdiction Centralized Activities.....                  |                       | 200            |
| Payroll Erosion.....                                      |                       | 70             |
| Multi-Year Projects                                       |                       |                |
| Production Facility Renewal, BG.....                      |                       | 1,954          |
| Minor Construction.....                                   |                       | 2,600          |
| <b>Total Program Increases</b>                            | -                     | 4,824          |
| <b>Net Increase/Decrease</b>                              | -                     | 2,968          |
| <b>Total Appropriation</b>                                | <b>68</b>             | <b>15,081</b>  |

# Botanic Garden



## ***OPERATING BUDGET REQUEST - 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 2016 Operating Plan | Program Realignment/ Transfers | Mandatory Pay and Price Increases | Other Program Increases | FY 2017 Request | FY 2016/2017 Difference |
| Exhibits                            | 549                    | -                              | 12                                | -                       | 611             | 62                      |
| Facilities Maintenance              | 1,893                  | -                              | 42                                | -                       | 2,080           | 187                     |
| Jurisdiction Centralized Activities | 942                    | -                              | 20                                | 200                     | 1,243           | 300                     |
| Payroll                             | 6,495                  | -                              | 170                               | 70                      | 6,593           | 98                      |
| <b>Total</b>                        | <b>9,880</b>           | <b>-</b>                       | <b>244</b>                        | <b>270</b>              | <b>10,527</b>   | <b>647</b>              |

### **Program Changes Justification**

The FY 2017 Operating Budget Request shows an increase of **\$647K** from the FY 2016 estimated level.

#### **Mandatory Pay and Price Increases**

The Mandatory Pay and Price Increases requirement of **\$244K** reflects Congressional Budget Office estimated funding of **\$74K** for non-pay 2.2% inflation increases and **\$170K** for pay-related inflation increases (2.6% for Cost-of-Living adjustment, 4.0% for the Federal Employee Health Benefits program and Within Grade adjustment).

#### **Other Program Increases**

The **Payroll** program increase of **\$70K** reflects funding needed to restore our payroll level to the actual requirement. Over the past several years, mandatory payroll cost increases have caused overall personnel costs to increase. The sequestration of FY 2013, along with the desire of Congress to keep budgets flat, have caused an erosion of our buying power.

The **Jurisdiction Centralized Activities** funding increase of **\$200K** reflect new mission requirements:

**(\$145K) The U.S. Botanic Garden (USBG) Partnership with National Center for Appropriate Technology (NCAT).** The USBG has entered into a cooperative agreement with the NCAT with the goal of teaching veterans, educators, and the public about agriculture and horticulture. Currently, the USBG is working through this collaboration to develop and disseminate a manual on greenhouse management in urban educational settings. Through this project, the Garden will serve some of the most at-need youth in D.C. and provide a much needed reference manual for urban greenhouse operators nationwide. In order to take full advantage of this cooperative agreement, additional resources are required to develop components that will specifically serve our American veterans' community. The USBG has worked with NCAT to frame

# Botanic Garden



## *SUMMARY OF CHANGES (continued)*

an urban agriculture workshop for American veterans that will teach central aspects of professional agriculture including plant cultivation, crop and site selection, and farm management in order to provide job skills and horticultural therapy to veterans. This program is tentatively titled Battlefield to Farmfield. This outreach work with veterans would also include developing joint programs between the USBG and the adjacent American Veterans Disabled for Life Memorial, which already has developed a network of hundreds of disabled veterans, many of whom are interested in horticulture and therapeutic gardening. When the renovated Bartholdi Park reopens in the summer of 2016, programs such as these and many more will also be possible in the new accessible gardening areas. Additional funds are required in order to develop hands-on therapeutic horticulture and other accessible gardening programming in Bartholdi Park to serve veterans and people with disabilities as an integrated component of USBG programming each year.

**Impact if not funded:** The USBG will not be able to take advantage of established partnerships and new infrastructure in Bartholdi Park and the American Veterans Disabled for Life Memorial to develop educational, job training and therapeutic horticultural and agricultural programming for disabled veterans and other audiences with accessibility needs.

- **(\$55K) The U.S. Botanic Garden (USBG) Orchid Collection Health Project.** The U.S. Botanic Garden has over 11,000 accessioned plants in its collections, the jewel of which are its almost 3,000 plant orchid collection. Orchids account for 30% of the Garden's accessioned plants and represent one of the most scientifically significant components of the collection and one of the most important orchid collections in the country. Unfortunately, prevailing orchid maintenance techniques over the last several decades have led to viruses and other diseases harming, and killing, many of the plants in the collection. The USBG has already founded a crucial national effort to study, cultivate, and safeguard native orchids, called the National Orchid Conservation Center, and the Garden is increasingly looked to by nationally leading stakeholders for expertise to expand orchid conservation efforts to include increased national and international collaboration. Partnering in such efforts will allow the USBG access to orchid collections worldwide, and thus provide opportunities to obtain a greater diversity of orchid species and grow the USBG orchid collection into the most important collection in the United States.

**Impact if not funded:** Without this funding, the Orchid collection health at the USBG could continue to decline due to disease pressures and failure to leverage advanced management technologies. The USBG orchid collection will not continue on its current trajectory of becoming the premiere orchid collection in the country, which will have negative impacts on the capabilities of the greater scientific and conservation communities, especially relating to work to preserve the highly at-risk native orchids of the United States.



# Botanic Garden

## *MULTI-YEAR BUDGET REQUEST – PROGRAM 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 Botanic Garden with the flexibility to respond to unforeseen requirements as generated from emergencies, the Members, Committees and other Architect of the Capitol clients.

| <b>Multi-Year Budget by Project (\$000)</b>     |                              | <b>Request Amount</b> |
|---|------------------------------|-----------------------|
| <b>Line Item Construction Program Projects:</b> |                              |                       |
| Production Facility Renewal, BG.....            |                              | 1,954                 |
|   | <b>Total</b>                 | <b>1,954</b>          |
| <b>Other Projects:</b>                          |                              |                       |
| Minor Construction.....                         |                              | 2,600                 |
|   | <b>Total</b>                 | <b>2,600</b>          |
|   | <b>Total Project Request</b> | <b>4,554</b>          |

### **Minor Construction**

**\$2,600K**

The program increase of **\$500K** reflects the required amount to sustain the necessary level of service for unforeseen construction and repair projects of the Botanic Garden appropriation. Below are examples of projects that require AOC support:

- Repair backflow valves systems at the Production Facilities and Conservatory.
- Replace circulating pump systems associated with hot water and other water systems at the Production Facilities, Conservatory and Administration Building.
- Replace rollup doors at the West Potting Hall and Production Facilities.
- Repair concrete floors at Production Facilities and Conservatory.

**Impact if not funded:**

- Significant risk to stability of internal water systems, including the failure of valves that keep non-potable water from irrigation and fertilizer systems from entering potable water system. Failure of these systems could lead to a complete lack of potable water in several of our facilities, which would violate health codes.
- Significant risk of heating system failure leading to catastrophic loss of irreplaceable plant collections at both the Conservatory and Production Facility.
- Degradation or inoperability of loading doors leading to significant hazards for worker safety and inability to move plants in certain weather conditions, which could lead to loss of irreplaceable plant specimens.
- Flooring surfaces will be below required standards for proper horticultural facility hygiene which will lead to lack of proper cleanliness for a living plant collections facility and in the event of hazardous material release would lead to unacceptable risk to employees during cleanup and increased cost of cleanup operations.



# Botanic Garden

**Project Title: Production Facility Renewal, BG**

**Request: \$1,954K**



**Project Description (Design):** The production facility is the largest greenhouse complex supporting a public garden in the United States. It was completed in 1994 to grow plants for display and to preserve endangered and unique plant collections, including living specimens collected during the U.S. Exploring Expedition (1838-42) and acquired over the 160 year history of the institution. Continued deterioration of the facility does not support the existing or expected requirements of the USBG mission. The glasshouse superstructure is reaching the end of its 30-year life and many of the support systems are outdated and failing. Additional support facilities required are a designated space for a tissue/diagnostics lab for growing specialty plants such as Native-American orchids and diagnosis of damaging plant diseases, and a detached quarantine greenhouse building for pest control. Lack of fall protection exposes AOC employees to fall hazards while maintaining the roof especially during inclement weather when glass tends to break and must be immediately replaced to avoid catastrophic damage to plant collections. This design provides a comprehensive solution for fall protection, mission requirements, emergency preparedness and energy and operational improvements.

### **Risk and Impact If Not Funded:**

- Employee safety is in jeopardy with the existing fall protection deficiencies. A fall from the greenhouse roof could be fatal. Retrofits to the existing structure require building a new costly substructure within the existing greenhouse. New greenhouses would provide adequate structural support to accommodate fall protection requirements.
- Continued deterioration of the greenhouse superstructure does not support the current and expected mission requirements of the USBG's world renowned and rare plant collections.
- Without a quarantine facility, the USBG runs the risk of introducing a pest or disease which could be catastrophic to the broader collection.

### **Cost of Recurring Operations:**

- Provides 20% to 30% projected savings in energy, water and natural gas, within a 10 year payback period.
- Additional labor savings realized as a result of not providing hazard pay for individuals maintaining the roof because of a non-existent fall protection system.

**Citation Driven:** No.

**Client Request:** No.



# Botanic Garden

## Program Funding Overview (\$000):

| Task                  | Prior<br>FY 2015<br>Funded | FY 2015<br>Funded | FY 2016<br>Funded | FY 2017<br>Requested | Future FY<br>Anticipated | Total<br>Projected<br>Requirement |
|-----------------------|----------------------------|-------------------|-------------------|----------------------|--------------------------|-----------------------------------|
| Study                 |                            |                   |                   | -                    |                          | -                                 |
| Design                |                            | -                 | -                 | 1,954                |                          | 1,954                             |
| Construction (Phased) | -                          | -                 | -                 | -                    | 25,000                   | 25,000                            |
| <b>Total</b>          | -                          | -                 | -                 | <b>1,954</b>         | <b>25,000</b>            | <b>26,954</b>                     |

<sup>1</sup>The Program of Requirements will determine construction costs. A range of \$15M to \$25M are anticipated construction costs.



## 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. Congress directed the Architect of the Capitol to design and construct the CVC to provide a secure public environment to welcome and manage a large number of visitors and to protect the Capitol, its occupants, and guests in an atmosphere of open access. Further, Congress also wanted to establish and present informative programs on the workings and history of the Congress and the art and architecture of the Capitol. Congress also wanted to provide the amenities, comfort, convenience, and accessibility for visitors appropriate to one of the nations most visited tourist destinations. On December 02, 2008, the CVC officially opened its doors to the public. Nearly seven years later, the CVC has welcomed 15 million visitors.

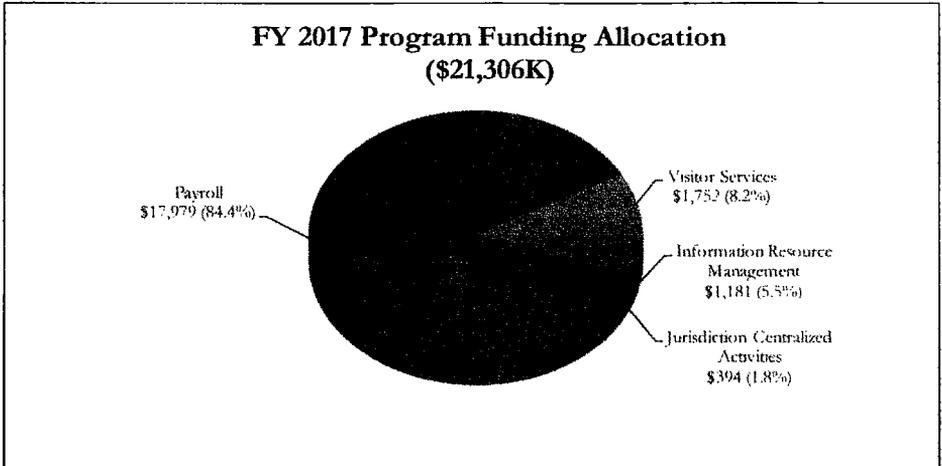
While designed as the visitor's gateway to the historic Capitol, the CVC also offers convenient amenities including a Restaurant, two Gift Shops, and Information Desks, all of which are managed by a well-trained staff of visitor service professionals who are dedicated to fulfilling their mission of "Working together for Congress to inform, involve and inspire every visitor to the United States Capitol."



## Capitol Visitor Center

### **PROGRAM SUMMARY:**

The Operating Budget for the Capitol Visitor Center appropriation funds all costs associated with the daily operation of its facilities. The budget is divided into functional area Program Groups: Information Resource Management, Jurisdiction Centralized Activities, Payroll, and Visitor Services.



The **Operating Budget** request (\$21,306K) funds all costs associated with the daily care, maintenance and operation of its facilities in support of congressional operations. The CVC provides direct support to ensure efficient operations and maintenance of its facilities. The CVC operating budget is divided into four functional area Program Groups: Information Resource Management, Jurisdiction Centralized Activities, Payroll, and Visitor Services.

- The **Information Resource Management Program Group** request (\$1,181K) provides the funds for information technology software, hardware and services specific to the CVC. This request includes funding for the Advanced Reservation System used by Congress and the public to book tours. The CVC also manages reservations for the two Congressional Meeting Rooms, the Congressional Auditorium and other event space in the CVC.
- The **Jurisdiction Centralized Activities Program Group** request (\$394K) provides funding for training needed to maintain the required level of technical expertise and world-class customer service. This request also includes funding for uniforms for front-line staff, Capitol Tour Training and emergency preparedness.



## Capitol Visitor Center

### *PROGRAM SUMMARY (continued)*

- The **Payroll Program Group** request (\$17,979K) funds salaries and benefits for employees specifically supporting the appropriation. The funding requested pays for Congressional Support Services (including normal and special request services provided to Congress, their staff and the public), Leadership, Central Jurisdiction Support Services which provides the labor integral to CVC operations, such as CVC-unique human capital management, and CVC-unique legal support. The CVC payroll request also includes funding 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: 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); Exhibit Services (activities associated with public exhibits, events, education and public programs, and related visitor services); 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 Visitor Services (activities associated with tours, special events, and visitor assistance provided by the guides, visitor assistants, schedulers and visitor services management staff).
- The **Visitor Services Program Group** request (\$1,752K) funds CVC Operations Support. This request includes funding for general operations support; to provide 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 shuttles. This request also includes funding 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 and other public spaces. This request also includes funding for public awareness to include graphic design support and the printing of visitor brochures and educational materials. Finally, the request includes funding for planning and evaluation activities to include resources needed to monitor visitor satisfaction.



# Capitol Visitor Center

## TOTAL BUDGET REQUEST – FUNDING SUMMARY

| Total Budget (\$000) |                    |   |                                 |                                 |                            |
|----------------------|--------------------|---|---------------------------------|---------------------------------|----------------------------|
| Appropriation        | FY 2015<br>Enacted | FY 2015 <sup>1</sup><br>Actual<br>Obligations | FY 2016 <sup>2</sup><br>Enacted | FY 2017 <sup>2</sup><br>Request | FY 2016/2017<br>Difference |
| Operating Budget     | 20,844             | 20,724  | 20,557                          | 21,306                          | 749                        |
| Multi-Year Projects  | -                  | -   | -                               | -                               | -                          |
| <b>Total</b>         | <b>20,844</b>      | <b>20,724</b>                                 | <b>20,557</b>                   | <b>21,306</b>                   | <b>749</b>                 |

| Operating Budget (\$000)            |                              |   |   |                                 |                            |
|-------------------------------------|------------------------------|---|---|---------------------------------|----------------------------|
| Program Groups                      | FY 2015<br>Operating<br>Plan | FY 2015 <sup>1</sup><br>Actual<br>Obligations | FY 2016 <sup>2</sup><br>Operating<br>Plan | FY 2017 <sup>2</sup><br>Request | FY 2016/2017<br>Difference |
| Exhibits                            | 205                          | 188   | 303                                       | -                               | (303)                      |
| Information Resource Management     | 1,131                        | 1,426   | 1,160                                     | 1,181                           | 21                         |
| Jurisdiction Centralized Activities | 391                          | 299   | 385                                       | 394                             | 8                          |
| Payroll                             | 17,090                       | 17,003  | 17,300                                    | 17,979                          | 679                        |
| Visitor Services                    | 2,027                        | 1,808   | 1,409                                     | 1,752                           | 344                        |
| <b>Total</b>                        | <b>20,844</b>                | <b>20,724</b>                                 | <b>20,557</b>                             | <b>21,306</b>                   | <b>749</b>                 |

| Total Budget by Object Class (\$000) |                              |   |   |                                 |                            |
|--------------------------------------|------------------------------|---|---|---------------------------------|----------------------------|
| Object Class Groups                  | FY 2015<br>Operating<br>Plan | FY 2015 <sup>1</sup><br>Actual<br>Obligations | FY 2016 <sup>2</sup><br>Operating<br>Plan | FY 2017 <sup>2</sup><br>Request | FY 2016/2017<br>Difference |
| 11 Personnel Compensation            | 12,618                       | 12,651  | 12,773                                    | 13,274                          | 501                        |
| 12 Personnel Benefits                | 4,472                        | 4,484   | 4,527                                     | 4,705                           | 178                        |
| 21 Travel                            | 40                           | 25  | 15  | 16                              | 1                          |
| 22 Transportation of Things          | -                            | -   | -   | -                               | -                          |
| 23 Rent, Communications & Utilities  | -                            | -   | -   | -                               | -                          |
| 24 Printing and Reproduction         | 325                          | -   | -   | -                               | -                          |
| 25 Other Contractual Services        | 2,533                        | 4,586   | 2,823                                     | 2,883                           | 61                         |
| 26 Supplies and Materials            | 500                          | 45  | 28  | 29                              | 1                          |
| 31 Equipment                         | 356                          | 635   | 391                                       | 399                             | 8                          |
| 32 Land and Structures               | -                            | -   | -   | -                               | -                          |
| 42 Insurance Claims & Indemnities    | -                            | -   | -   | -                               | -                          |
| <b>Total</b>                         | <b>20,844</b>                | <b>22,427</b>                                 | <b>20,557</b>                             | <b>21,306</b>                   | <b>749</b>                 |

<sup>1</sup> FY 2015 Personnel Compensation and Personnel Benefits include payroll and project-funded obligations. Actuals represent total obligations of funds incurred irrespective of the year of appropriation and can include reprogramming/transfers from other appropriations.

<sup>2</sup> FY 2016/2017 Personnel Compensation and Personnel Benefits do not include project-funded payroll estimated obligations.



# Capitol Visitor Center

## *TOTAL BUDGET REQUEST - ANALYSIS OF CHANGE*

|   | FY 2017 Appropriation |                |
|---|-----------------------|----------------|
|   | FTE                   | Amount (\$000) |
| FY 2016 Estimate (FTE reflects Payroll Funded only) | 240                   | 20,557         |
| <b>Mandatory Pay Related Costs:</b>                 |                       |                |
| FY 2017 FEHB Employer Contribution of 4.0%.....     |                       | 44             |
| FY 2017 Cost-of-Living Adjustment of 2.6%.....      |                       | 291            |
| FY 2017 Within Grade Increase.....                  |                       | 131            |
| <b>Total Mandatory Pay Related Costs</b>            |                       | <b>466</b>     |
| <b>Price Level Changes</b>                          |                       |                |
| Information Resource Management.....                |                       | 21             |
| Jurisdiction Centralized Activities.....            |                       | 8              |
| Visitor Services.....                               |                       | 41             |
| <b>Total Price Level Changes</b>                    |                       | <b>70</b>      |
| <b>Program Increases:</b>                           |                       |                |
| Payroll Erosion.....                                |                       | 213            |
| <b>Total Program Increases</b>                      |                       | <b>213</b>     |
| <b>Net Increase/Decrease</b>                        |                       | <b>749</b>     |
| <b>Total Appropriation</b>                          | <b>240</b>            | <b>21,306</b>  |



# Capitol Visitor Center

## ***OPERATING BUDGET REQUEST - SUMMARY OF CHANGES***

The Operating Budget of the Capitol Visitor Center 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 Budget (\$000)            |   |                                      |   |                               |                    |                            |
|-------------------------------------|---|--------------------------------------|---|-------------------------------|--------------------|----------------------------|
| Program Groups                      | FY 2016 <sup>2</sup><br>Operating<br>Plan | Program<br>Realignment/<br>Transfers | Mandatory<br>Pay and Price<br>Increases | Other<br>Program<br>Increases | FY 2017<br>Request | FY 2016/2017<br>Difference |
| Exhibits                            | 303                                       | (303)                                | -                                       | -                             | -                  | (303)                      |
| Information Resource Management     | 1,160                                     | -                                    | 21                                      | -                             | 1,181              | 21                         |
| Jurisdiction Centralized Activities | 385                                       | -                                    | 8                                       | -                             | 394                | 8                          |
| Payroll                             | 17,300                                    | -                                    | 466                                     | 213                           | 17,979             | 679                        |
| Visitor Services                    | 1,409                                     | 303                                  | 41                                      | -                             | 1,752              | 344                        |
| <b>Total</b>                        | <b>20,557</b>                             | <b>-</b>                             | <b>536</b>                              | <b>213</b>                    | <b>21,306</b>      | <b>749</b>                 |

### **Program Changes Justification**

The FY 2017 Operating Budget Request shows an increase of **\$749K** from the FY 2016 estimated level.

#### **Mandatory Pay and Price Increases**

The Mandatory Pay and Price Increases requirement of **\$536K** reflects Congressional Budget Office estimated funding of **\$70K** for non-pay 2.2% inflation increases and **\$466K** for pay-related inflation increases (2.6% for Cost-of-Living adjustment, 4.0% for the Federal Employee Health Benefits program and Within Grade adjustment).

#### **Program Realignment/Transfers**

##### **Program realignment from Exhibit Conservation to Visitor Services (\$303K)**

Funds previously budgeted in the Exhibit Conservation Program Group which funded exhibit supplies; documentation rotation; online exhibition; education and public programs has been realigned to the Visitor Services program group to more accurately reflect the nature of the requirement.

#### **Other Program Increases**

The Payroll program increase of **\$213K** reflects funding needed to restore our payroll level to the actual requirement. Over the past several years, mandatory payroll cost increases have caused overall personnel costs to increase. The sequestration of FY 2013, along with the desire of Congress to keep budgets flat, have caused an erosion of our buying power.





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# LIBRARY OF CONGRESS OVERVIEW

## FISCAL 2017

The Library of Congress is submitting its fiscal 2017 appropriations request to the Congress with a focus on making infrastructure enhancements as it positions the Library for future service to the Congress and the American people by:

- Implementing critical Information Technology (IT) improvements;
- Protecting and making available the cultural heritage uniquely embodied in the Library's collections, in digital as well as physical form;
- Developing a workforce with the skills needed to take the Library into the future, and ensuring an environment that facilitates a results-oriented, high-performance culture; and
- Preparing the Library for new leadership.

### Positioning the Library for the Future

The major organizational realignment announced on May 18, 2015, and implemented on October 1, 2015, is providing an updated foundation for moving the Library forward during a time of transition to new leadership.

The realignment involved three main elements: the reassignment of many of the Office of Strategic Initiatives functions to the newly created Office of the Chief Information Officer (OCIO); the establishment of a new National and International Outreach (NIO) service unit; and the alignment of support services in a new Office of the Chief Operating Officer (OCOO).

In fiscal 2015, the Library made three critical leadership appointments to head the realigned units. First, a new, permanent chief information officer was selected to oversee IT operations, investments, and planning, and to focus on implementing recommendations from the March 2015 Government Accountability Office (GAO) report on the Library's management of IT, as well as the findings from several reports by the Library's Office of the Inspector General (OIG). Second, a new, permanent Chief Operating Officer was appointed to oversee a consolidated operations infrastructure. Third, a director was appointed to head NIO, a new service unit that consolidates the outward-facing activities and programming of the Library, including collaborations with other institutions.

The Library has also announced a new, dynamic five-year Strategic Plan for 2016-2020 that positions the institution for the future. A key achievement of fiscal 2015, the new strategic plan was developed in conjunction with the realignment and is geared toward the new organizational structure. It is purposely flexible to accommodate the initiatives of the next Librarian of Congress. The Library's Strategic Plan for 2016-2020 is centered around seven primary strategies:

1. **Service:** Deliver authoritative, authentic and nonpartisan research, analysis and information, first and foremost, to the Congress, to the federal government, and to the American people.
2. **Collections:** Acquire, describe, preserve, secure and provide access to a universal collection of knowledge and the record of America's creativity.
3. **Creativity:** Work with the U.S. Copyright Office to develop modernized copyright systems and practices, in accordance with copyright laws and public objectives.
4. **Collaboration:** Stimulate and support research, innovation, and life-long learning through direct outreach and through national and global collaborations.
5. **Empowerment:** Empower the workforce for maximum performance.
6. **Technology:** Deploy a dynamic, state-of-the-industry technology infrastructure that follows best practices and standards.
7. **Organizational structure:** Organize and manage the Library to facilitate change and adopt new methods to fulfill its mission.

From fiscal year 2016 through fiscal year 2020, the Library of Congress will continue to serve Members of Congress, all other Americans, and researchers worldwide by providing access to its collections, staff expertise, programs and other resources that will assist their decision making and enrich their lives in a variety of ways. With a new senior executive team and organizational alignment, an updated strategic plan, and increased focus on knowledge-based and data-driven management, the Library is moving forward to address current challenges.

### **Implementing Critical IT Improvements**

The Library's IT infrastructure and governance play a critical role in the Library's mission and enterprise performance in the 21<sup>st</sup> century. The goal is to optimize the institution's existing resources and integrate advanced technology to support the work done every day for the Congress, Library service units, staff, and the public. The strategies and outcomes contained in the Library's Strategic Plan for 2016-2020 rely on the Library's IT environment to share knowledge and meet the growing demand for collaboration, accessing information globally, easily, and in real time.

The newly released IT Strategic Plan for 2016-2020 includes strategic goals and objectives intended to ensure close alignment with the strategies articulated in the Library's Strategic Plan, establish the Library's IT investment priorities, and guide the allocation of the Library's IT resources. This approach also supports Library service units as they focus on achieving their core missions. The IT Strategic Plan reflects the fact that IT infrastructure at the Library will be driven by business capability and data requirements. Services will be customer-focused, adaptable and designed to grow at a customer-requested scale to the extent that IT resources, infrastructure capacity and security constraints allow.

The OCIO is taking a new, collaborative approach to working with the service units based on clear governance processes. Support for the U.S. Copyright Office's technology-related initiatives is a particular focus in fiscal 2016.

New IT funding requests fall within the framework of the Strategic Plan for 2016-2020:

#### **Hosting Facilities Challenge, Office of the Chief Operating Officer/OCIO (\$24.575 million, in the first year of a three-year investment)**

- Prepare for and begin migration of the Library's Primary Computing Facility (PCF) in the James Madison Memorial Building (JMMB) to an alternate PCF at a site off Capitol Hill, optimally in a new shared facility for the Legislative Branch that mitigates current reliability risks and location vulnerabilities. Funds will be used to procure and install core data systems and networking infrastructure capability at the shared facility.

#### **Information Technology Security Enhancements, Office of the Chief Operating Officer/OCIO (\$6.563 million/5 FTE)**

- Strengthen security protections of the Library's information technology network and resources to better position the Library for response to cybersecurity threats. The request supports the centralization of dedicated Information System Security Officers roles and enhancing network access protection to two-factor authentication.

#### **Data Management Initiative, Copyright Office (appropriated funding and offsetting collections authority/prior year balance – \$1.757 million/4 FTE)**

- Begin an effort to develop a comprehensive data management plan and strategy to include the adoption of data standards and formats in wide use within the digital economy. The request will also support creation of a program road map and timeline to include future budgetary needs.

#### **Software and Hardware Upgrades and Oversight, Copyright Office (appropriated funding and offsetting collections authority/prior year balance – \$1.981 million/2 FTE)**

- Implement hardware and software upgrades to increase the efficiency of the Copyright Office IT system testing capability and to increase system reliability.
- To provide monitoring and diagnostic tools to alert staff to system problems before they become failures.

### **Protecting and making available the cultural heritage uniquely embodied in the Library's collections, in digital as well as physical form**

The Library is the chief steward of the nation's cultural heritage, a responsibility it approaches with dedication and innovation. The Library continually seeks effective, efficient solutions for the proper management of all its rich resources – those that are physical, those that are converted from physical to digital, and those that are born-digital.

The issue of storage space for its critical collections continues to be a high priority. Beginning construction on a fifth preservation and storage module at Ft. Meade, is a tremendous step forward, and the Library appreciates the support of Congress in getting the project underway with an expected availability date of 2018. Ft. Meade modules reduce deterioration of the Library's collections, provide for better access, and help alleviate an urgent situation with the management of physical materials. The Library also appreciates the funding the Congress gave to the Library in fiscal 2016 for it to start the design of modules 6 and 7. However, delays in executing the Ft. Meade Master Plan have left the Library's existing facilities functionally beyond capacity. To address urgent storage needs while waiting for the fifth storage module, significant internal resources were reprogrammed in fiscal 2015 to allow the Library to lease and outfit an interim collection storage facility in Cabin Branch, Maryland with an environment comparable to the Library's Capitol Hill facilities.

The Library must also responsibly care for collections materials in new formats while it collects in existing formats. Moving services and collections online for greater access began at the Library more than two decades ago. As technology evolves the Library must also evolve so it can provide the best possible customer service, and also ensure the nation's library is equipped to procure and preserve America's creativity regardless of format. The expansion rate of digital collections now rivals that of physical collections and the pace of digital collecting at the Library has accelerated beyond current capabilities. Last year, the size of the Library's web archives was more than triple its size in 2010, with the amount of harvested content increasing by an average of 32 percent each year during that period. Electronic serials received through mandatory deposit now number more than 1,400 titles, comprising over 2 million files, compared to the 79 titles and 91,000 files received as of the end of 2011. Over 4,200 e-Books were added to the collections through the Cataloging in Publication program in fiscal 2015, compared to 67 in the previous year, representing an increase of more than 6,200 percent.

New collections-related funding requests fall within the framework of the Library's Strategic Plan for 2016-2020:

#### **Digital Collections Management, Library Services (\$1.348 million/11 FTE)**

- Provide staffing for a new division to expand the Library's acquisition, management, and preservation of digital collections.

#### **Next Generation Integrated Library System Project, Library Services (\$0.521 million/4 FTE)**

- Develop the next generation integrated library system, including adding staff and minor support to inventory metadata, developing Library-wide stakeholder requirements, and preparing a phase 1 migration plan.

#### **Law Compact Shelving Replacement, 2017–18, Law Library (\$4.039 million)**

- Provide shelving, equipment, and collection maintenance services to replace compact shelving in one of four quadrants in the James Madison Memorial Building that is well beyond its useful life, thereby causing safety concerns and rendering some materials inaccessible.

#### **Access to Law Library Collections, Law Library (\$1.255 million/5 FTE)**

- Add staffing and contractor support to complete classification of all Law volumes to Class K, under full Library subject and classification control, in order to significantly shorten retrieval times, reduce reliance on specialized language staff expertise, and make more widely known certain collection materials.

#### **Searchable Historic Copyright Records, Copyright Office (\$3.440 million)**

- Provide contractual funding required to begin the process of converting digitized records into searchable text using Optical Character Recognition (OCR) software. This initiative, which supplements smaller OCR efforts in fiscal years 2014 – 2016, will contribute to the creation of an online searchable index of pre-1978 copyright records, which will be a significant benefit to users of Copyright Office records.

### **Developing a workforce with the skills needed take the Library into the future, and ensuring an environment that facilitates a results-oriented, high-performance culture**

A skilled and diverse workforce is the foundation of the Library of Congress. To successfully execute the varied responsibilities entrusted to it by the Congress, the Library must recruit, hire, develop, manage and retain a skilled and diverse workforce and provide the proper equipment, environment, training and support to enable staff to perform at the highest levels. Succession planning is a major focus. As such, the Library was the first government agency successfully to implement a phased retirement program to formalize knowledge transfer and assure preservation of institutional memory.

In fiscal 2016, the Library will initiate a Senior Leadership Development Program (SLDP) to provide continuous learning and development opportunities for the Library's current and future senior leaders. The SDLP is one of the Library's succession management strategies for staff at the GS-14, GS-15, and Senior Levels. Although the Library has already offered successful development programs (a Career Development Program for GS-2 through GS-9 staff, a Leadership Development Program for GS-11 through GS-13 staff, and a Supervisor Development Program for managers and supervisors), senior leadership development remains a gap. Cultivation of a pool of successors for the Library's leadership positions is critical to sustained mission accomplishment in the face of high retirement eligibility at the senior level – 63 percent are eligible for retirement in 2018. The SLDP will also support resolution of IT management issues resulting from leadership gaps as identified by the March 2015 GAO report.

Staff members with cutting-edge technology skills are needed throughout the Library. IT skills to meet future needs remain a concern and a challenge. The IT Strategic Plan for 2016-2020 identifies a strong and well trained IT workforce as the most critical factor in meeting the range of challenges the Library faces from IT security to rapidly changing technologies to shrinking budgets. By proactively managing, monitoring, and sustaining IT resources, the IT Strategic Plan supports empowering staff and users with reliable services and innovative opportunities to leverage new technologies. The OCIO will focus on offering training opportunities, strengthening existing IT workforce skills and encouraging the building of new skills to maintain relevancy in a constantly and rapidly changing industry.

The Congressional Research Service (CRS) has been proactive in ensuring that its workforce has the appropriate capabilities, including the most current analytical techniques and methodologies, to respond to congressional inquiries. To ensure the most effective service to the Congress, recruitment has been targeted to critical positions, staff members have been reassigned, and their portfolios broadened. CRS has, for the past several years, focused on cost containment and operational efficiencies to maximize service with reduced staffing resources. CRS has also identified not only the capacity it needs to meet today's heavy demand, but also the skill sets and expertise it will need to serve the Congress on new and emerging issues in the future. CRS' new funding requests fall within the framework of the Strategic Plan for 2016-2020:

#### **Strengthen Capacity in Areas of Heavy Congressional Demand, Congressional Research Service (\$1.693 million/12 FTE)**

- Add analytic capacity in defense, healthcare, education, and federal budget and appropriations process policy areas, where congressional demand for analytic services is strong.

#### **Enhancing Capacity to Meet New Emerging Issues, Congressional Research Service (\$0.975 million/7 FTE)**

- Enhance research capacity in areas of technology policy, data management, and data visualization to keep CRS on the cutting edge with respect to conducting and presenting research to the Congress.

#### **Constitution Annotated (CONAN) Project Support, Congressional Research Service (\$0.438/3 FTE)**

- Provide staff support to CRS attorneys to transition the legally mandated CONAN system, an essential legal resource that documents how constitutional interpretations and applications have evolved over time, to a more flexible web-based platform to better serve internet users.

The Copyright Office Strategic Plan 2016-2020 calls for recruitment of a diverse pool of legal, technology, and business experts, including a dedicated career staff, non-career professionals, contractors, and advisory committees. The following funding requests position the workforce for the future and relate to this and all strategic goals in the Copyright Office Strategic Plan:

**Technology Staffing, Copyright Office (\$3.359 million/20 FTE)**

- Add staffing to assist the Copyright Office's Chief Information Officer with ongoing technology planning essential to modernization. The additional resources will enable the Copyright Office to manage more efficient software design and development and implementation cycles; achieve a higher degree of system performance and reliability; and begin to establish an overall IT presence appropriate for the digital economy.

**Supervision and Staffing for Emerging Registration Policies, Copyright Office (\$0.752 million/5 FTE)**

- Provide staffing to strengthen program management and analytical capabilities in the Office of Registration Policy and Practice, and to focus on supervision and analysis of ongoing and emerging policy challenges that affect authorship in the modern era (e.g., software and frequent revisions to software, website updates, e-books, regulations for large numbers of photographs).

**Legal Staffing, Copyright Office (\$0.642 million/4 FTE)**

- Bolster the Copyright Office's small team of legal professionals responsible for interpreting the Copyright Act and other matters of Title 17 for the Register of Copyrights, writing legal briefs, conducting hearings, drafting policy reports, attending international meetings, and participating on U.S. delegations on intellectual property.

**Public Records and Repositories Staffing, Copyright Office (\$0.517 million/6 FTE)**

- Provide staffing to help manage services mandated under section 705 of the Copyright Act that support business transactions large and small as well as court proceedings involving the legal rights of copyright owners.

**Public Information Staffing, Copyright Office (\$0.986 million/9 FTE)**

- Add staff to provide better program management and technical support to improve the [copyright.gov](http://copyright.gov) user experience and strengthen the provision of direct information assistance to the public, including allowing the Public Information Office to permanently expand hours of service to better serve the large copyright stakeholder community on the West Coast.

**Staffing to Facilitate Legal Demand for Published Works, Copyright Office (\$0.200 million/2 FTE)**

- Add staffing to help manage the staff and workload, including the increasing volume and workload associated with current and expected digital acquisitions of the Copyright Acquisitions Division, which administers the "mandatory deposit" provisions of the copyright law.



Office of the  
Inspector General  
Kurt W. Hyde

**OFFICE OF THE LIBRARIAN**

Copyright Royalty Judges

Office of the Chief of Staff  
Robert R. Newlen\*

**David S. Mao\***  
Acting Librarian of Congress

Office of the  
Chief Operating Officer  
Edward R. Jablonski\*

- Administration
- Communications
- Congressional Relations
- Development
- General Counsel
- Equal Employment Opportunity & Diversity
- Records Management
- Strategic Planning & Performance Management

- Chief Financial Officer
- Chief Information Officer\*
- Contracts & Grants Management
- Human Resources Services
- Integrated Support Services
- Security & Emergency Preparation

**CONGRESSIONAL  
RESEARCH SERVICE**  
Mary B. Mazanec\*

**U.S.  
COPYRIGHT OFFICE**  
Maria A. Pallante\*

**LAW LIBRARY**  
Roberta I. Shaffer, Acting\*\*

**LIBRARY SERVICES**  
J. Mark Sweeney\*

**NATIONAL &  
INTERNATIONAL  
OUTREACH**  
Jane D. McAuliffe\*

- Office of Deputy Director
- American Law
- Counselor to the Director
- Domestic Social Policy
- Finances & Administration
- Foreign Affairs, Defense & Trade
- Government and Finance
- Congressional Information & Publishing
- Information Management & Technology
- Resources, Science and Industry
- Workforce Management & Technology
- Knowledge Services Group

- Operations
- Chief Information Officer
- General Counsel
- Policy & International Affairs
- Registration Policy & Practice
- Public Records & Repositories
- Public Information & Education

- Operations
- Global Legal Collection
- Global Legal Research
- Legislative & External Relations

- Operations
- Acquisitions & Bibliographic Access
- Collections & Services
- Preservation
- Technology Policy

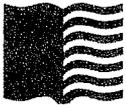
- Operations
- National Programs
- National Enterprises
- Scholarly & Educational Programs

- National Library Service for the Blind and Physically Handicapped

| Fiscal 2016 Appropriation                           | FTE          |
|---|--------------|
| Library of Congress, S&E                            | 2,501        |
| Congressional Research Service, S&E                 | 651          |
| Copyright, S&E                                      | 500          |
| Books for the Blind and Physically Handicapped, S&E | 128          |
| <b>TOTAL</b>  | <b>3,780</b> |

\* Executive Committee

\*\* Permanent Law Librarian effective February 21, 2016



# SUMMARY TABLES

LIBRARY OF CONGRESS

## Library of Congress Resource Summary (Dollars in Thousands)

| Appropriation/PPA  | Fiscal 2016       |                  |                       |                  | Fiscal 2016<br>Operating Plan | Fiscal 2017<br>Request |              | Fiscal<br>2016/2017<br>Net Change |           | Percent<br>Change<br>% |              |
|--|-------------------|------------------|-----------------------|------------------|-------------------------------|------------------------|--------------|-----------------------------------|-----------|------------------------|--------------|
|  | Operating<br>Plan |                  | Actual<br>Obligations |                  |                               | FTE                    | \$           | FTE                               | \$        |                        |              |
|  | FTE               | \$               | FTE                   | \$               |                               |                        |              |                                   |           |                        |              |
| <b>Library of Congress, S&amp;E</b>                            |                   |                  |                       |                  |                               |                        |              |                                   |           |                        |              |
| Office of the Librarian  | 675               | \$ 73,389        | 345                   | \$ 79,125        | 946                           | \$162,979              | 951          | \$199,978                         | 5         | \$ 36,999              | 22.7%        |
| Library Services   | 1,328             | 209,952          | 1,246                 | 206,879          | 1,315                         | 213,884                | 1,330        | 223,342                           | 15        | 9,458                  | 4.4%         |
| National and International Outreach                            | 29                | 14,231           | 26                    | 9,585            | 132                           | 29,860                 | 132          | 30,664                            | 0         | 804                    | 2.7%         |
| Office of Strategic Initiatives                                | 342               | 99,072           | 326                   | 97,339           | 0                             | 0                      | 0            | 0                                 | 0         | 0                      | 0.0%         |
| Law Library  | 94                | 16,283           | 87                    | 16,070           | 94                            | 16,254                 | 99           | 22,148                            | 5         | 5,894                  | 36.3%        |
| Office of Support Operations                                   | 10                | 3,433            | 8                     | 2,285            | 0                             | 0                      | 0            | 0                                 | 0         | 0                      | 0.0%         |
| Office of Inspector General                                    | 14                | 2,997            | 12                    | 2,918            | 14                            | 2,994                  | 14           | 3,103                             | 0         | 109                    | 3.6%         |
| <b>Total Budget, LC, S&amp;E</b>                               | <b>2,492</b>      | <b>\$419,357</b> | <b>2,050</b>          | <b>\$414,201</b> | <b>2,501</b>                  | <b>\$425,971</b>       | <b>2,526</b> | <b>\$479,235</b>                  | <b>25</b> | <b>\$ 53,264</b>       | <b>12.6%</b> |
| CDS & LAW Offsetting Collections                               |                   | - 6,350          |                       |                  |                               | - 6,350                |              | - 6,350                           | 0         |                        | 0.0%         |
| <b>Total, Approp, LC, S&amp;E</b>                              | <b>2,492</b>      | <b>\$413,007</b> | <b>2,050</b>          | <b>\$414,201</b> | <b>2,501</b>                  | <b>\$419,621</b>       | <b>2,526</b> | <b>\$472,885</b>                  | <b>25</b> | <b>\$ 53,264</b>       | <b>12.7%</b> |
| <b>Copyright Office, S&amp;E</b>                               |                   |                  |                       |                  |                               |                        |              |                                   |           |                        |              |
| COP Basic  | 439               | \$ 47,541        | 364                   | \$ 46,986        | 464                           | \$ 51,903              | 516          | \$ 66,870                         | 52        | \$ 14,967              | 28.8%        |
| COP Licensing  | 30                | 5,230            | 22                    | 4,960            | 30                            | 5,388                  | 30           | 5,531                             | 0         | 143                    | 2.7%         |
| COP Royalty Judges   | 6                 | 1,532            | 6                     | 1,156            | 6                             | 1,584                  | 6            | 1,625                             | 0         | 41                     | 2.6%         |
| <b>Total Budget, CO, S&amp;E</b>                               | <b>475</b>        | <b>\$ 54,303</b> | <b>392</b>            | <b>\$ 53,102</b> | <b>500</b>                    | <b>\$ 58,875</b>       | <b>552</b>   | <b>\$ 74,026</b>                  | <b>52</b> | <b>\$ 15,151</b>       | <b>25.7%</b> |
| Basic Offsetting Collections                                   |                   | - 27,971         |                       | 0                |                               | - 30,000               |              | - 33,619                          |           | - 3,619                | 12.1%        |
| Basic Prior Year Unobligated                                   |                   | 0                |                       | 0                |                               | 0                      |              | 6,147                             |           | - 6,147                | 0.0%         |
| Licensing Offsetting Collections                               |                   | 5,230            |                       | 0                |                               | 5,388                  |              | 5,531                             |           | 143                    | 2.7%         |
| CRJ Offsetting Collections                                     |                   | - 381            |                       | 0                |                               | - 389                  |              | - 398                             |           | - 9                    | 2.3%         |
| <b>Total, Approp, CO, S&amp;E</b>                              | <b>475</b>        | <b>\$ 20,721</b> | <b>392</b>            | <b>\$ 53,102</b> | <b>500</b>                    | <b>\$ 23,098</b>       | <b>552</b>   | <b>\$ 28,331</b>                  | <b>52</b> | <b>\$ 5,233</b>        | <b>22.7%</b> |
| <b>Congressional Research Service, S&amp;E</b>                 |                   |                  |                       |                  |                               |                        |              |                                   |           |                        |              |
| CRS, S&E   | 651               | \$106,945        | 609                   | \$106,848        | 651                           | \$106,945              | 673          | \$114,408                         | 22        | \$ 7,463               | 7.0%         |
| <b>Books for the Blind and Physically Handicapped, S&amp;E</b> |                   |                  |                       |                  |                               |                        |              |                                   |           |                        |              |
| BBPH, S&E  | 128               | \$ 50,248        | 109                   | \$ 47,897        | 128                           | \$ 50,248              | 128          | \$ 51,591                         | 0         | \$ 1,343               | 2.7%         |
| <b>Total Resource Summary, LC</b>                              |                   |                  |                       |                  |                               |                        |              |                                   |           |                        |              |
| <b>Total Budget</b>  | <b>3,746</b>      | <b>\$630,853</b> | <b>3,160</b>          | <b>\$622,048</b> | <b>3,780</b>                  | <b>\$642,039</b>       | <b>3,879</b> | <b>\$719,260</b>                  | <b>99</b> | <b>\$77,221</b>        | <b>12.0%</b> |
| <b>Total Offsetting Collections</b>                            |                   | <b>- 39,932</b>  |                       | <b>0</b>         |                               | <b>- 42,127</b>        |              | <b>- 52,045</b>                   |           | <b>- 9,918</b>         | <b>23.5%</b> |
| <b>Total Appropriations, LC</b>                                | <b>3,746</b>      | <b>\$590,921</b> | <b>3,160</b>          | <b>\$622,048</b> | <b>3,780</b>                  | <b>\$599,912</b>       | <b>3,879</b> | <b>\$667,215</b>                  | <b>99</b> | <b>\$67,303</b>        | <b>11.2%</b> |

**Library of Congress  
Resource Summary  
Analysis of Change**  
(Dollars in Thousands)

| Appropriation/PPA  | Fiscal 2016<br>Operating<br>Plan | Fiscal 2017                   |                |                 |                 |                                |                      |                        | Fiscal<br>2017<br>Total<br>Request |
|--|----------------------------------|-------------------------------|----------------|-----------------|-----------------|--------------------------------|----------------------|------------------------|------------------------------------|
|  |                                  | Mandatory<br>Pay<br>Increases | Price<br>Level | Sub-total       | Non-<br>Recur   | 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  | \$ 162,979                       | \$ 3,590                      | \$ 2,771       | \$ 6,361        | -\$ 500         | \$ 168,840                     | \$ 31,138            | \$ 36,999              | \$ 199,978                         |
| Library Services   | 213,884                          | 6,485                         | 1,756          | 8,241           | 652             | 221,473                        | 1,869                | 9,458                  | 223,342                            |
| National & International Outreach                              | 29,860                           | 620                           | 184            | 804             | 0               | 30,664                         | 0                    | 804                    | 30,664                             |
| Law Library  | 16,254                           | 472                           | 128            | 600             | 0               | 16,854                         | 5,294                | 5,894                  | 22,148                             |
| Office of Inspector General                                    | 2,994                            | 89                            | 20             | 109             | 0               | 3,103                          | 0                    | 109                    | 3,103                              |
| <b>Total Budget, LC, S&amp;E</b>                               | <b>\$425,971</b>                 | <b>\$ 11,256</b>              | <b>\$4,859</b> | <b>\$16,115</b> | <b>-\$1,152</b> | <b>\$440,934</b>               | <b>\$38,301</b>      | <b>\$53,264</b>        | <b>\$479,235</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>\$419,621</b>                 | <b>\$ 11,256</b>              | <b>\$4,859</b> | <b>\$16,115</b> | <b>-\$1,152</b> | <b>\$434,584</b>               | <b>\$38,301</b>      | <b>\$53,264</b>        | <b>\$472,885</b>                   |
| <b>Copyright Office, S&amp;E</b>                               |                                  |                               |                |                 |                 |                                |                      |                        |                                    |
| COP Basic  | \$ 51,903                        | \$ 1,070                      | \$ 263         | \$ 1,333        | \$ 0            | \$ 53,236                      | \$ 13,634            | \$ 14,967              | \$ 66,870                          |
| COP Licensing  | 5,388                            | 62                            | 81             | 143             | 0               | 5,531                          | 0                    | 143                    | 5,531                              |
| COP Royalty Judges   | 1,584                            | 32                            | 9              | 41              | 0               | 1,625                          | 0                    | 41                     | 1,625                              |
| <b>Total, Budget, CO, S&amp;E</b>                              | <b>\$ 58,875</b>                 | <b>\$ 1,164</b>               | <b>\$ 353</b>  | <b>\$ 1,517</b> | <b>\$ 0</b>     | <b>\$ 60,392</b>               | <b>\$ 13,634</b>     | <b>\$ 15,151</b>       | <b>\$ 74,026</b>                   |
| Basic Offsetting Collections                                   | - 30,000                         | 0                             | 0              | 0               | 0               | - 30,000                       | - 3,619              | - 3,619                | - 33,619                           |
| Basic Prior Year Unobligated Balance                           | 0                                | 0                             | 0              | 0               | 0               | 0                              | - 6,147              | - 6,147                | 6,147                              |
| Licensing Offsetting Collections                               | 5,388                            | 62                            | 81             | 143             | 0               | 5,531                          | 0                    | 143                    | 5,531                              |
| CRJ Offsetting Collections                                     | 389                              | 0                             | 9              | 9               | 0               | 398                            | 0                    | 9                      | 398                                |
| <b>Total, Approp, CO, S&amp;E</b>                              | <b>\$ 23,098</b>                 | <b>\$ 1,102</b>               | <b>\$ 263</b>  | <b>\$ 1,365</b> | <b>\$ 0</b>     | <b>\$ 24,463</b>               | <b>\$ 3,868</b>      | <b>\$ 5,233</b>        | <b>\$ 28,331</b>                   |
| <b>Congressional Research Service, S&amp;E</b>                 |                                  |                               |                |                 |                 |                                |                      |                        |                                    |
| CRS, S&E   | \$106,945                        | \$ 3,997                      | \$ 360         | \$ 4,357        | \$ 0            | \$111,302                      | \$ 3,106             | \$ 7,463               | \$114,408                          |
| <b>Books for the Blind and Physically Handicapped, S&amp;E</b> |                                  |                               |                |                 |                 |                                |                      |                        |                                    |
| BBPH, S&E  | \$ 50,248                        | \$ 520                        | \$ 823         | \$ 1,343        | \$ 0            | \$ 51,591                      | \$ 0                 | \$ 1,343               | \$ 51,591                          |
| <b>Total, Library of Congress</b>                              |                                  |                               |                |                 |                 |                                |                      |                        |                                    |
| <b>Total Budget</b>  | <b>\$642,039</b>                 | <b>\$16,937</b>               | <b>\$6,395</b> | <b>\$23,332</b> | <b>-\$1,152</b> | <b>\$664,219</b>               | <b>\$55,041</b>      | <b>\$77,221</b>        | <b>\$719,260</b>                   |
| <b>Total Offsetting Collections</b>                            | <b>- 42,127</b>                  | <b>- 62</b>                   | <b>- 90</b>    | <b>- 152</b>    | <b>0</b>        | <b>- 42,279</b>                | <b>- 9,766</b>       | <b>9,918</b>           | <b>- 52,045</b>                    |
| <b>Total Appropriations</b>                                    | <b>\$599,912</b>                 | <b>\$16,875</b>               | <b>\$6,305</b> | <b>\$23,180</b> | <b>-\$1,152</b> | <b>\$621,940</b>               | <b>\$45,275</b>      | <b>\$67,303</b>        | <b>\$667,215</b>                   |

**Library of Congress**  
**Summary by Object Class**

(Dollars in Thousands)

| Object Class                                    | Fiscal 2015       |                       | Fiscal 2016<br>Operating<br>Plan | Fiscal<br>2017<br>Request | Fiscal<br>2016/2017<br>Net Change | Percent<br>Change |
|---|-------------------|-----------------------|----------------------------------|---------------------------|-----------------------------------|-------------------|
|   | Operating<br>Plan | Actual<br>Obligations |                                  |                           |                                   |                   |
| 00.0 Lapse Reserve                              | \$ 500            | \$ 0                  | \$ 500                           | \$ 511                    | +\$ 11                            | 2.2%              |
| <b>Total, Lapse Reserve</b>                     | <b>\$ 500</b>     | <b>\$ 0</b>           | <b>\$ 500</b>                    | <b>\$ 511</b>             | <b>+\$ 11</b>                     | <b>2.2%</b>       |
| 11.1 Full-time permanent                        | \$311,912         | \$302,297             | \$313,221                        | \$332,059                 | +\$18,838                         | 6.0%              |
| 11.3 Other than full-time permanent             | 6,017             | 6,610                 | 7,647                            | 7,859                     | + 212                             | 2.8%              |
| 11.5 Other personnel compensation               | 1,029             | 1,640                 | 1,915                            | 1,967                     | + 52                              | 2.7%              |
| 11.5A Staff Awards <sup>1</sup>                 | 2,540             | 2,485                 | 2,576                            | 2,646                     | + 70                              | 2.7%              |
| 11.8 Special personal services payment          | 410               | 435                   | 439                              | 445                       | + 6                               | 1.4%              |
| 12.1 Civilian personnel benefits                | 92,511            | 92,493                | 96,563                           | 107,618                   | + 11,055                          | 11.4%             |
| 13.0 Benefits for former personnel              | 145               | 91                    | 140                              | 140                       | 0                                 | 0.0%              |
| <b>Total, Pay</b>                               | <b>\$414,564</b>  | <b>\$406,051</b>      | <b>\$422,501</b>                 | <b>\$452,734</b>          | <b>+\$30,233</b>                  | <b>7.2%</b>       |
| 21.0 Travel & transportation of persons         | 1,599             | 1,295                 | 1,825                            | 1,887                     | + 62                              | 3.4%              |
| 22.0 Transportation of things                   | 619               | 249                   | 443                              | 455                       | + 12                              | 2.7%              |
| 23.1 Rental payments to GSA                     | 5,947             | 5,844                 | 8,376                            | 8,568                     | + 192                             | 2.3%              |
| 23.2 Rental payments to others                  | 571               | 603                   | 846                              | 3,217                     | + 2,371                           | 280.3%            |
| 23.3 Communication, utilities & misc charges    | 7,978             | 6,790                 | 10,276                           | 10,988                    | + 712                             | 6.9%              |
| 24.0 Printing & reproduction                    | 3,510             | 3,218                 | 3,584                            | 3,665                     | + 81                              | 2.3%              |
| 25.1 Advisory & assistance services             | 25,451            | 27,220                | 30,773                           | 38,891                    | + 8,118                           | 26.4%             |
| 25.2 Other services                             | 46,369            | 41,020                | 46,250                           | 54,530                    | + 8,280                           | 17.9%             |
| 25.3 Other purch of gds & services from gov acc | 8,385             | 16,623                | 11,410                           | 11,643                    | + 233                             | 2.0%              |
| 25.4 Operation & maintenance of facilities      | 6,828             | 9,314                 | 7,383                            | 7,546                     | + 163                             | 2.2%              |
| 25.5 Research & development contracts           | 310               | 29                    | 710                              | 725                       | + 15                              | 2.1%              |
| 25.6 Medical care                               | 11                | 11                    | 1                                | 1                         | 0                                 | 0.0%              |
| 25.7 Operation & maintenance of equipment       | 22,169            | 20,526                | 24,718                           | 26,807                    | + 2,089                           | 8.5%              |
| 25.8 Subsistence & support of persons           | 137               | 42                    | 215                              | 220                       | + 5                               | 2.3%              |
| 26.0 Supplies & materials                       | 6,742             | 6,715                 | 6,434                            | 6,611                     | + 177                             | 2.8%              |
| 31.0 Equipment                                  | 71,665            | 70,330                | 58,374                           | 82,682                    | + 24,308                          | 41.6%             |
| 41.0 Grants, subsidies & contributions          | 7,339             | 5,798                 | 6,838                            | 6,977                     | + 139                             | 2.0%              |
| 42.0 Insurance claims & indemnities             | 3                 | 228                   | 3                                | 3                         | 0                                 | 0.0%              |
| 44.0 Refunds                                    | 20                | 0                     | 249                              | 249                       | 0                                 | 0.0%              |
| 94.0 Financial Transfers                        | 136               | 142                   | 330                              | 350                       | + 20                              | 6.1%              |
| <b>Total, Non-Pay</b>                           | <b>\$215,789</b>  | <b>\$215,997</b>      | <b>\$219,038</b>                 | <b>\$266,015</b>          | <b>+\$46,977</b>                  | <b>21.4%</b>      |
| <b>Total, Library of Congress</b>               | <b>\$630,853</b>  | <b>\$622,048</b>      | <b>\$642,039</b>                 | <b>\$719,260</b>          | <b>+\$77,221</b>                  | <b>12.0%</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 2017<br>Agency Request |                  |
|--|-------------------------------|------------------|
|  | FTE                           | Amount           |
| <b>Fiscal 2016 Operating Plan</b>  | <b>3,780</b>                  | <b>\$642,039</b> |
| <b>Non-recurring Costs:</b>  |                               |                  |
| One time costs for Financial Management System Study                       |                               | 500              |
| Start-up equipment for the National Collection Stewardship Program         |                               | - 652            |
| <b>Total, Non-recurring Costs</b>  | <b>0</b>                      | <b>1,152</b>     |
| <b>Mandatory Pay and Related Costs:</b>                                    |                               |                  |
| Locality-based comparability pay raise January 2017 @ 2.6%                 |                               | 8,342            |
| Annualization of January 2016 pay raise @ 1.46%                            |                               | 1,554            |
| Within-grade increases   |                               | 1,886            |
| Foreign Service Nationals (FSN) pay adjustment                             |                               | 375              |
| FERS agency rate adjustment from 11.9% to 13.7%                            |                               | 4,626            |
| Transit Subsidy Increase from \$230 to \$255                               |                               | 325              |
| One Less Day   |                               | - 171            |
| <b>Total, Mandatory Pay and Related Costs</b>                              | <b>0</b>                      | <b>16,937</b>    |
| <b>Price Level Changes</b>   |                               | <b>6,395</b>     |
| <b>Program Increases:</b>  |                               |                  |
| OCIO Hosting Facilities Challenge  |                               | 24,575           |
| OCIO Information Technology Security Enhancements                          | 5                             | 6,563            |
| Library Services Digital Collections Management                            | 11                            | 1,348            |
| Lib Serv Next Generation Integrated Library Management System Project      | 4                             | 521              |
| Law Library Compact Shelving Replacement                                   |                               | 4,039            |
| Access to Law Library's Collections  | 5                             | 1,255            |
| Copyright Office Technology Staffing                                       | 20                            | 3,359            |
| Copyright Office Supervision & Staffing for Emerging Registration Policies | 5                             | 752              |
| Copyright Office Legal Staffing  | 4                             | 642              |
| Copyright Office Public Records and Repositories Staffing                  | 6                             | 517              |
| Copyright Office Public Information Staffing                               | 9                             | 986              |
| Copyright Office Staff to Facilitate Legal Demand for Published Works      | 2                             | 200              |
| Copyright Office Data Management Initiative                                | 4                             | 1,757            |
| Copyright Office Searchable Historic Copyright Records                     |                               | 3,440            |
| Copyright Office Software and Hardware Upgrades and Oversight              | 2                             | 1,981            |
| CRS Strengthening Capacity in Areas of Heavy Congressional Demand          | 12                            | 1,693            |
| CRS Enhancing Capacity to Meet New and Emerging Issues                     | 7                             | 975              |
| CRS Constitution Annotated (CONAN) Project Support                         | 3                             | 438              |
| <b>Total, Program Increases</b>  | <b>99</b>                     | <b>55,041</b>    |
| <b>Net Increase/Decrease</b>   | <b>99</b>                     | <b>\$ 77,221</b> |
| <b>Total Budget</b>  | <b>3,879</b>                  | <b>\$719,260</b> |
| <b>Total Offsetting Collections and CO Prior Year Unobligated Balances</b> | <b>0</b>                      | <b>- 52,045</b>  |
| <b>Total Appropriation</b>   | <b>3,879</b>                  | <b>\$667,215</b> |

**Library of Congress**  
**Staffing Summary - On-Board/FTEs**

| Direct Funded by<br>Appropriation/PPA                          | On-Board                                | FTEs                               |                                  |                                       |                                     |           | Change |
|--|---|------------------------------------|----------------------------------|---------------------------------------|-------------------------------------|-----------|--------|
|  | Fiscal 2015<br>Year-end<br>Actual Staff | Fiscal 2015<br>Actual FTE<br>Usage | Fiscal 2016<br>Operating<br>Plan | Fiscal 2017<br>Program<br>FTE Request | Fiscal 2017<br>Total FTE<br>Request |           |        |
| <b>Library of Congress, S&amp;E</b>                            |   |                                    |                                  |                                       |                                     |           |        |
| Office of the Librarian  | 343                                     | 345                                | 678                              | 5                                     | 683                                 | 5         |        |
| Library Services   | 1,274                                   | 1,246                              | 1,315                            | 15                                    | 1,330                               | 15        |        |
| National and International Outreach                            | 25                                      | 26                                 | 132                              | 0                                     | 132                                 | 0         |        |
| Office of Strategic Initiatives                                | 329                                     | 326                                | 0                                | 0                                     | 0                                   | 0         |        |
| Law Library  | 86                                      | 87                                 | 94                               | 5                                     | 99                                  | 5         |        |
| Office of Support Operations                                   | 7                                       | 8                                  | 0                                | 0                                     | 0                                   | 0         |        |
| Office of the Inspector General                                | 10                                      | 12                                 | 14                               | 0                                     | 14                                  | 0         |        |
| Unfunded LC, S&E FTE Reserve                                   | 0                                       | 0                                  | 268                              | 0                                     | 268                                 | 0         |        |
| <b>Total, Library of Congress, S&amp;E</b>                     | <b>2,074</b>                            | <b>2,050</b>                       | <b>2,501</b>                     | <b>25</b>                             | <b>2,526</b>                        | <b>25</b> |        |
| <b>Copyright Office, S&amp;E</b>                               |   |                                    |                                  |                                       |                                     |           |        |
| COP Basic  | 378                                     | 364                                | 464                              | 52                                    | 516                                 | 52        |        |
| COP Licensing  | 23                                      | 22                                 | 30                               | 0                                     | 30                                  | 0         |        |
| COP CRJ  | 6                                       | 6                                  | 6                                | 0                                     | 6                                   | 0         |        |
| <b>Total, Copyright Office, S&amp;E</b>                        | <b>407</b>                              | <b>392</b>                         | <b>500</b>                       | <b>52</b>                             | <b>552</b>                          | <b>52</b> |        |
| <b>Congressional Research Service, S&amp;E</b>                 |   |                                    |                                  |                                       |                                     |           |        |
| CRS, S&E   | 614                                     | 609                                | 651                              | 22                                    | 673                                 | 22        |        |
| <b>Books for the Blind and Physically Handicapped, S&amp;E</b> |   |                                    |                                  |                                       |                                     |           |        |
| BBPH, S&E  | 124                                     | 109                                | 128                              | 0                                     | 128                                 | 0         |        |
| <b>Total, Library of Congress</b>                              |   |                                    |                                  |                                       |                                     |           |        |
| <b>Total, Library of Congress</b>                              | <b>3,219</b>                            | <b>3,160</b>                       | <b>3,780</b>                     | <b>99</b>                             | <b>3,879</b>                        | <b>99</b> |        |

**Library of Congress**  
**Fiscal 2017 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                     | \$ 1,234        | \$ 204         | \$ 396         | \$ 52        | \$ 1,886        |
| 2. Jan. 2017 Locality-based Comparability Pay Raise | 5,235           | 920            | 1,932          | 255          | 8,342           |
| 3. Annualization of January 2016 Pay Raise          | 975             | 171            | 360            | 48           | 1,554           |
| 4. Foreign Service Nationals (FSN) Pay Adjustment   | 375             | 0              | 0              | 0            | 375             |
| 5. FERS agency rate adjustment                      | 3,220           | 0              | 1,245          | 161          | 4,626           |
| 6. Transit Subsidy Increase                         | 217             | 40             | 64             | 4            | 325             |
| 7. One Less Day                                     | 0               | - 171          | 0              | 0            | - 171           |
| <b>Total Mandatory Pay Increases</b>                | <b>\$11,256</b> | <b>\$1,164</b> | <b>\$3,997</b> | <b>\$520</b> | <b>\$16,937</b> |

**Explanation of Calculations**

1. Within-grade (WIG) increases calculated against current on-board staff eligible for WIGs during fiscal 2017.
2. January 2017 pay raise calculated at 1.95% of pay base. (Congressional Budget Office Pay Rate of 2.6% for 9 months or 75%).
3. Annualization of January 2016 pay raise calculated at 0.365% of pay base. (Actual rate of 1.46% X 3 months or 25%).
4. Pay adjustment for overseas foreign service nationals. Computation based on individual country inflation rates, provided by the International Monetary Fund, World Economic Outlook Database, applied to the pay base. Country rates used for fiscal 2017 are as follows: Brazil - 5.186%; Egypt - 10.325%; Kenya - 5.06%; India - 5.424%; Pakistan - 5.50%; and Indonesia - 4.65%.
5. Effective October 1, 2014, FERS agency contribution rates increased from 11.9% to 13.2% due to changes in assumptions about demographics of participants and interest rates, as announced by the Board of Actuaries. Effective October 1, 2015, FERS agency contribution rates increased from 13.2% to 13.7%. The requested increase was calculated at 1.8% (13.7% - 11.9%) of the pay base. The Library estimates agency FERS participation level in fiscal 2017 to be 88%.
6. Increase in transit subsidy monthly maximum to \$255, which represents a monthly maximum increase of \$25, or a 10.87% increase over the Library's current transit subsidy base funding at a monthly maximum of \$230.
7. Fiscal 2017 has one less day – 261 vs. 262 days. The enacted fiscal 2016 budget for Copyright Office included \$171,000 funding for the extra day.

**Library of Congress**  
**Fiscal 2017 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               | \$2,432        | \$278        | \$189        | \$823        | \$3,722        |
| 2. Field Office inflationary increase          | 273            | 0            | 0            | 0            | 273            |
| 3. Acquisitions of library materials inflation | 592            | 0            | 0            | 0            | 592            |
| 4. Software maintenance                        | 1466           | 75           | 171          | 0            | 1,712          |
| 5. GSA Space Rental adjustment                 | 96             | 0            | 0            | 0            | 96             |
| <b>Total Price Level Increases</b>             | <b>\$4,859</b> | <b>\$353</b> | <b>\$360</b> | <b>\$823</b> | <b>\$6,395</b> |

**Explanation of Calculations**

1. General inflationary increase calculated using the Congressional Budget Office rate of 2.2% of non-pay base for fiscal 2016 (except as noted below).
2. Non-Pay adjustment for overseas Foreign Service nationals. Computation based on individual country inflation rates, provided by the International Monetary Fund, World Economic Outlook Database, applied to the non-pay base. Country rates used for fiscal 2016 are as follows: Brazil - 5.62%; Egypt - 12.01%; Kenya - 5.08%; India - 6.73%; Pakistan - 6.75%; and Indonesia - 6.08%.
3. Inflationary rate for acquisition of library materials determined by annual study and/or actual historical rates. Rates used for fiscal 2017 are as follows: Books for the Law Library - 3.12%; Books for the General Collections (GENPAC) - 3.23%.
4. Software maintenance inflationary increase calculated using actual historical rate of 15% of software maintenance base.
5. GSA-managed leased space increase based on occupancy agreement estimates provided by GSA for fiscal 2017.

**Library of Congress**  
**Total Funds Available - All Sources**  
(Dollars in Thousands)

|  | Fiscal 2015<br>Actual | Fiscal 2016<br>Budget | Fiscal 2017<br>Request |
|--|-----------------------|-----------------------|------------------------|
| <b>Total Appropriations</b>                      |                       |                       |                        |
| Library of Congress                              | \$622,048             | \$599,912             | \$667,215              |
| AOC - Library Buildings and Grounds              | 50,767                | 40,689                | 65,959                 |
| <b>Subtotal, Appropriations</b>                  | <b>\$672,815</b>      | <b>\$640,601</b>      | <b>\$733,174</b>       |
| <b>Receipts (Actual Collected and Estimated)</b> |                       |                       |                        |
| Sales of Catalog Cards and Publications          | \$ 2,623              | \$ 6,000              | \$ 6,000               |
| Collections to Global Legal Information Network  | 0                     | 350                   | 350                    |
| Copyright Fees                                   | 33,207                | 30,000                | 33,619                 |
| Copyright Basic Prior Year Unobligated Balances  | 0                     | 0                     | 6,147                  |
| Licensing and CRJ Fees                           | 5,611                 | 5,777                 | 5,929                  |
| <b>Subtotal, Receipts</b>                        | <b>\$ 41,441</b>      | <b>\$ 42,127</b>      | <b>\$ 52,045</b>       |
| <b>Non-Appropriated Funds</b>                    |                       |                       |                        |
| Gift and Trust Funds <sup>1</sup>                | \$ 10,051             | \$ 12,290             | \$ 12,211              |
| Revolving Fund Revenue (Actual & Estimated)      | 95,688                | 90,905                | 91,686                 |
| Reimbursable Activities (Actual & Estimated)     | 3,129                 | 2,600                 | 2,800                  |
| <b>Subtotal, Non-Appropriated Funds</b>          | <b>\$108,868</b>      | <b>\$105,795</b>      | <b>\$106,697</b>       |
| <b>Total Funds Available</b>                     |                       |                       |                        |
| <b>Total</b>                                     | <b>\$823,124</b>      | <b>\$788,523</b>      | <b>\$891,916</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 2015<br>Actual | Fiscal 2016<br>Estimate | Fiscal 2017<br>Estimate |
|--|-----------------------|-------------------------|-------------------------|
| <b>Statement of Receipts, Treasury Department General Fund Account</b> |                       |                         |                         |
| Other miscellaneous receipts   | \$ 138                | \$ 250                  | \$ 250                  |
| <b>Total Receipts into General Fund Account</b>                        | <b>\$ 138</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)   | \$ 316                | \$ 329                  | \$ 342                  |
| Receipts from interest on investments in public debt securities (DART) | 0                     | 1                       | 5                       |
| <b>Total Receipts into Special Fund Account</b>                        | <b>\$ 316</b>         | <b>\$ 330</b>           | <b>\$ 347</b>           |



# LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## Library of Congress, S&E Resource Summary (Dollars in Thousands)

| Appropriation/PPA                       | Fiscal 2015    |                  |                    |                  | Fiscal 2016    |                  | Fiscal 2017  |                  | Fiscal 2016/2017 |                 | Percent Change |
|---|----------------|------------------|--------------------|------------------|----------------|------------------|--------------|------------------|------------------|-----------------|----------------|
|   | Operating Plan |                  | Actual Obligations |                  | Operating Plan |                  | Request      |                  | Net Change       |                 |                |
|   | FTE            | \$               | FTE                | \$               | FTE            | \$               | FTE          | \$               | FTE              | \$              |                |
| Office of the Librarian                 | 675            | \$ 73,389        | 345                | \$ 79,125        | 946            | \$ 162,979       | 951          | \$ 199,978       | 5                | \$ 36,999       | 22.7%          |
| Library Services                        | 1,328          | 209,952          | 1,246              | 206,879          | 1,315          | 213,884          | 1,330        | 223,342          | 15               | 9,458           | 4.4%           |
| National and International Outreach     | 29             | 14,231           | 26                 | 9,585            | 132            | 29,860           | 132          | 30,664           | 0                | 804             | 2.7%           |
| Office of Strategic Initiatives         | 342            | 99,072           | 328                | 97,339           | 0              | 0                | 0            | 0                | 0                | 0               | 0.0%           |
| Law Library                             | 94             | 16,283           | 87                 | 16,070           | 94             | 16,254           | 99           | 22,148           | 5                | 5,894           | 36.3%          |
| Office of Support Operations            | 10             | 3,433            | 8                  | 2,285            | 0              | 0                | 0            | 0                | 0                | 0               | 0.0%           |
| Office of the Inspector General         | 14             | 2,997            | 12                 | 2,918            | 14             | 2,994            | 14           | 3,103            | 0                | 109             | 3.6%           |
| <b>Total Budget, LC, S&amp;E</b>        | <b>2,492</b>   | <b>\$419,357</b> | <b>2,050</b>       | <b>\$414,201</b> | <b>2,501</b>   | <b>\$425,971</b> | <b>2,526</b> | <b>\$479,235</b> | <b>25</b>        | <b>\$53,264</b> | <b>12.5%</b>   |
| CDS & Law Offsetting Collections        |                | -6,350           |                    |                  |                | -6,350           |              | -6,350           |                  | 0               | 0.0%           |
| <b>Total Appropriation, LC, S&amp;E</b> | <b>2,492</b>   | <b>\$413,007</b> | <b>2,050</b>       | <b>\$414,201</b> | <b>2,501</b>   | <b>\$419,621</b> | <b>2,526</b> | <b>\$472,885</b> | <b>25</b>        | <b>\$53,264</b> | <b>12.7%</b>   |

**Library of Congress, Salaries and Expenses**  
**Summary By Object Class**  
(Dollars in Thousands)

| Object Class                                    | Fiscal 2015       |                       | Fiscal 2016<br>Operating<br>Plan | Fiscal<br>2017<br>Request | Fiscal<br>2016/2017<br>Net Change | Percent<br>Change |
|---|-------------------|-----------------------|----------------------------------|---------------------------|-----------------------------------|-------------------|
|   | Operating<br>Plan | Actual<br>Obligations |                                  |                           |                                   |                   |
| 00.0 Lapse Reserve                              | \$ 500            | \$ 0                  | \$ 500                           | \$ 511                    | +\$ 11                            | 2.2%              |
| <b>Total, Lapse Reserve</b>                     | <b>\$ 500</b>     | <b>\$ 0</b>           | <b>\$ 500</b>                    | <b>\$ 511</b>             | <b>+\$ 11</b>                     | <b>2.2%</b>       |
| 11.1 Full-time permanent                        | \$196,747         | \$190,100             | \$196,914                        | \$204,837                 | +\$ 7,923                         | 4.0%              |
| 11.3 Other than full-time permanent             | 4,112             | 4,254                 | 5,572                            | 5,728                     | + 156                             | 2.8%              |
| 11.5 Other personnel compensation               | 667               | 1,361                 | 1,599                            | 1,643                     | + 44                              | 2.8%              |
| 11.5A Staff Awards <sup>1</sup>                 | 1,541             | 1,557                 | 1,424                            | 1,464                     | + 40                              | 0.0%              |
| 11.8 Special personal services payment          | 355               | 402                   | 417                              | 422                       | + 5                               | 1.2%              |
| 12.1 Civilian personnel benefits                | 58,586            | 58,698                | 60,550                           | 66,615                    | + 6,065                           | 10.0%             |
| 13.0 Benefits for former personnel              | 100               | 47                    | 100                              | 100                       | 0                                 | 0.0%              |
| <b>Total, Pay</b>                               | <b>\$262,108</b>  | <b>\$256,419</b>      | <b>\$266,576</b>                 | <b>\$280,809</b>          | <b>+\$14,233</b>                  | <b>5.3%</b>       |
| 21.0 Travel & transportation of persons         | 1,052             | 898                   | 1,224                            | 1,267                     | + 43                              | 3.5%              |
| 22.0 Transportation of things                   | 564               | 203                   | 358                              | 369                       | + 11                              | 3.1%              |
| 23.1 Rental payments to GSA                     | 3,620             | 3,652                 | 4,324                            | 4,426                     | + 102                             | 2.4%              |
| 23.2 Rental payments to others                  | 261               | 302                   | 538                              | 2,902                     | + 2,364                           | 439.4%            |
| 23.3 Communication, utilities & misc charges    | 6,674             | 5,482                 | 8,952                            | 9,636                     | + 684                             | 7.6%              |
| 24.0 Printing & reproduction                    | 2,029             | 2,021                 | 2,323                            | 2,376                     | + 53                              | 2.3%              |
| 25.1 Advisory & assistance services             | 23,931            | 24,729                | 27,227                           | 35,267                    | + 8,040                           | 29.5%             |
| 25.2 Other services                             | 29,557            | 25,228                | 26,001                           | 28,045                    | + 2,044                           | 7.9%              |
| 25.3 Other purch of gds & services from gov acc | 7,384             | 15,714                | 10,288                           | 10,477                    | + 189                             | 1.8%              |
| 25.4 Operation & maintenance of facilities      | 6,665             | 9,293                 | 7,018                            | 7,172                     | + 154                             | 2.2%              |
| 25.6 Medical care                               | 11                | 11                    | 1                                | 1                         | 0                                 | 0.0%              |
| 25.7 Operation & maintenance of equipment       | 19,801            | 18,342                | 22,379                           | 24,132                    | + 1,753                           | 7.8%              |
| 25.8 Subsistence & support of persons           | 9                 | 5                     | 12                               | 12                        | 0                                 | 0.0%              |
| 26.0 Supplies & materials                       | 2,553             | 2,212                 | 2,384                            | 2,448                     | + 64                              | 2.7%              |
| 31.0 Equipment                                  | 45,140            | 43,523                | 38,446                           | 61,806                    | + 23,360                          | 60.8%             |
| 41.0 Grants, subsidies & contributions          | 7,339             | 5,798                 | 6,838                            | 6,877                     | + 139                             | 2.0%              |
| 42.0 Insurance claims & indemnities             | 3                 | 227                   | 3                                | 3                         | 0                                 | 0.0%              |
| 44.0 Refunds                                    | 20                | 0                     | 249                              | 249                       | 0                                 | 0.0%              |
| 94.0 Financial transfers                        | 136               | 142                   | 330                              | 350                       | + 20                              | 6.1%              |
| <b>Total, Non-Pay</b>                           | <b>\$156,749</b>  | <b>\$157,782</b>      | <b>\$158,895</b>                 | <b>\$187,915</b>          | <b>+\$39,020</b>                  | <b>24.6%</b>      |
| <b>Total, Library of Congress, S&amp;E</b>      | <b>\$419,357</b>  | <b>\$414,201</b>      | <b>\$425,971</b>                 | <b>\$479,236</b>          | <b>+\$53,264</b>                  | <b>12.5%</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, S&E  
Analysis of Change  
(Dollars in Thousands)**

|   | Fiscal 2017<br>Agency Request |                  |
|---|-------------------------------|------------------|
|   | FTE                           | Amount           |
| <b>Fiscal 2016 Operating Plan</b>                                     | <b>2,501</b>                  | <b>\$425,971</b> |
| <b>Non-recurring Costs:</b>   |                               |                  |
| One time costs for Financial Management System Study                  |                               | 500              |
| Start-up equipment for the National Collection Stewardship Program    |                               | - 652            |
| <b>Total, Non-recurring Costs</b>                                     | <b>0</b>                      | <b>1,152</b>     |
| <b>Mandatory Pay and Related Costs:</b>                               |                               |                  |
| Locality-based comparability pay raise January 2017 @ 2.6%            |                               | 5,235            |
| Annualization of January 2016 pay raise @ 1.46%                       |                               | 975              |
| Within-grade increases  |                               | 1,234            |
| Foreign Service Nationals (FSN) pay adjustment                        |                               | 375              |
| FERS agency rate adjustment from 11.9% to 13.7%                       |                               | 3,220            |
| Transit Subsidy Increase from \$230 to \$255                          |                               | 216              |
| <b>Total, Mandatory Pay and Related Costs</b>                         | <b>0</b>                      | <b>11,255</b>    |
| <b>Price Level Changes</b>  |                               | <b>4,860</b>     |
| <b>Program Increases:</b>   |                               |                  |
| OCIO Hosting Facilities Challenge                                     |                               | 24,575           |
| OCIO Information Technology Security Enhancements                     | 5                             | 6,563            |
| Library Services Digital Collections Management                       | 11                            | 1,348            |
| Lib Serv Next Generation Integrated Library Management System Project | 4                             | 521              |
| Law Library Compact Shelving Replacement                              |                               | 4,039            |
| Access to Law Library's Collections                                   | 5                             | 1,255            |
| <b>Total Program Increases</b>  | <b>25</b>                     | <b>38,301</b>    |
| <b>Net Increase/Decrease</b>  | <b>25</b>                     | <b>\$ 53,264</b> |
| <b>Total Budget</b>   | <b>2,526</b>                  | <b>\$479,235</b> |
| <b>Total Offsetting Collections</b>                                   | <b>0</b>                      | <b>- 6,350</b>   |
| <b>Total Appropriation</b>  | <b>2,526</b>                  | <b>\$472,885</b> |



# Office of the Librarian

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## Office of the Librarian Resource Summary (Dollars in Thousands)

| Appropriation/PPA                     | Fiscal 2015       |                 |                       |                 | Fiscal 2016<br>Operating Plan |                  | Fiscal<br>2017<br>Request |                  | Fiscal<br>2016/2017<br>Net Change |                 | Percent<br>Change |
|---------------------------------------|-------------------|-----------------|-----------------------|-----------------|-------------------------------|------------------|---------------------------|------------------|-----------------------------------|-----------------|-------------------|
|                                       | Operating<br>Plan |                 | Actual<br>Obligations |                 |                               |                  |                           |                  |                                   |                 |                   |
|                                       | FTE               | \$              | FTE                   | \$              | FTE                           | \$               | FTE                       | \$               | FTE                               | \$              |                   |
| Librarian                             | 479               | \$34,282        | 164                   | \$30,183        | 459                           | \$35,422         | 459                       | \$36,675         | 0                                 | \$ 1,253        | 3.5%              |
| OCIO                                  | 0                 | 0               | 0                     | 0               | 296                           | 85,074           | 301                       | 119,876          | 5                                 | 34,802          | 40.9%             |
| ISS                                   | 136               | 27,959          | 126                   | 38,441          | 136                           | 30,089           | 136                       | 31,039           | 0                                 | 950             | 3.2%              |
| OCFO                                  | 60                | 11,148          | 55                    | 10,501          | 55                            | 12,394           | 55                        | 12,388           | 0                                 | -6              | -0.0%             |
| <b>Total, Office of the Librarian</b> | <b>675</b>        | <b>\$73,389</b> | <b>345</b>            | <b>\$79,125</b> | <b>946</b>                    | <b>\$162,979</b> | <b>951</b>                | <b>\$199,978</b> | <b>5</b>                          | <b>\$36,999</b> | <b>22.7%</b>      |

**Office of the Librarian**  
**Summary By Object Class**  
(Dollars in Thousands)

| Object Class                                    | Fiscal 2015       |                       | Fiscal 2016<br>Operating<br>Plan | Fiscal<br>2017<br>Request | Fiscal<br>2016/2017<br>Net Change | Percent<br>Change |
|---|-------------------|-----------------------|----------------------------------|---------------------------|-----------------------------------|-------------------|
|   | Operating<br>Plan | Actual<br>Obligations |                                  |                           |                                   |                   |
| 00.0 Lapse Reserve                              | \$ 500            | \$ 0                  | \$ 500                           | \$ 511                    | +\$ 11                            | 2.2%              |
| <b>Total, Lapse Reserve</b>                     | <b>\$ 500</b>     | <b>\$ 0</b>           | <b>\$ 500</b>                    | <b>\$ 511</b>             | <b>+\$ 11</b>                     | <b>2.2%</b>       |
| 11.1 Full-time permanent                        | 33,064            | 32,048                | 64,565                           | 66,988                    | + 2,423                           | 3.8%              |
| 11.3 Other than full-time permanent             | 465               | 590                   | 629                              | 647                       | + 18                              | 2.9%              |
| 11.5 Other personnel compensation               | 280               | 510                   | 622                              | 640                       | + 18                              | 2.9%              |
| 11.8 Special personnel services payment         | 0                 | 0                     | 42                               | 43                        | + 1                               | 2.4%              |
| 12.1 Civilian personnel benefits                | 10,651            | 10,209                | 20,792                           | 22,737                    | + 1,945                           | 9.4%              |
| 13.0 Benefits for former personnel              | 100               | 47                    | 100                              | 100                       | 0                                 | 0.0%              |
| <b>Total, Pay</b>                               | <b>\$44,560</b>   | <b>\$43,404</b>       | <b>\$ 86,750</b>                 | <b>\$ 91,155</b>          | <b>+\$ 4,405</b>                  | <b>5.1%</b>       |
| 21.0 Travel & transportation of persons         | 87                | 40                    | 149                              | 152                       | + 3                               | 2.0%              |
| 22.0 Transportation of things                   | 36                | 11                    | 34                               | 35                        | + 1                               | 2.9%              |
| 23.1 Rental payments to GSA                     | 3,564             | 3,612                 | 4,308                            | 4,409                     | + 101                             | 2.3%              |
| 23.2 Rental payments to others                  | 0                 | 0                     | 260                              | 2,608                     | + 2,348                           | 903.1%            |
| 23.3 Communication, utilities & misc charges    | 377               | 273                   | 8,330                            | 8,994                     | + 664                             | 8.0%              |
| 24.0 Printing & reproduction                    | 230               | 299                   | 364                              | 371                       | + 7                               | 1.9%              |
| 25.1 Advisory & assistance services             | 2,551             | 2,473                 | 17,191                           | 25,043                    | + 7,852                           | 45.7%             |
| 25.2 Other services                             | 9,045             | 7,213                 | 11,246                           | 11,158                    | 88                                | -0.8%             |
| 25.3 Other purch of gds & services from gov acc | 1,363             | 9,646                 | 1,664                            | 1,692                     | + 28                              | 1.7%              |
| 25.4 Operation & maintenance of facilities      | 6,627             | 9,256                 | 7,012                            | 7,166                     | + 154                             | 2.2%              |
| 25.6 Medical care                               | 11                | 11                    | 1                                | 1                         | 0                                 | 0.0%              |
| 25.7 Operation & maintenance of equipment       | 1,798             | 1,824                 | 18,947                           | 20,473                    | + 1,526                           | 8.1%              |
| 26.0 Supplies & materials                       | 267               | 240                   | 519                              | 530                       | + 11                              | 2.1%              |
| 31.0 Equipment                                  | 2,370             | 823                   | 5,701                            | 25,677                    | + 19,976                          | 350.4%            |
| 42.0 Insurance claims & indemnities             | 3                 | 0                     | 3                                | 3                         | 0                                 | 0.0%              |
| <b>Total, Non-Pay</b>                           | <b>\$28,329</b>   | <b>\$35,721</b>       | <b>\$ 75,729</b>                 | <b>\$108,312</b>          | <b>+\$32,583</b>                  | <b>43.0%</b>      |
| <b>Total, Office of the Librarian</b>           | <b>\$73,389</b>   | <b>\$79,125</b>       | <b>\$162,979</b>                 | <b>\$199,978</b>          | <b>+\$36,999</b>                  | <b>22.7%</b>      |

**Office of the Librarian**  
**Analysis of Change**  
(Dollars in Thousands)

|  | Fiscal 2017<br>Agency Request |                  |
|--|-------------------------------|------------------|
|  | FTE                           | Amount           |
| <b>Fiscal 2016 Operating Plan</b>                          | <b>946</b>                    | <b>\$162,979</b> |
| <b>Non-recurring Costs:</b>                                |                               |                  |
| One time costs for Financial Management System Study       |                               | - 500            |
| <b>Total, Non-recurring Costs</b>                          | <b>0</b>                      | <b>500</b>       |
| <b>Mandatory Pay and Related Costs:</b>                    |                               |                  |
| Locality-based comparability pay raise January 2017 @ 2.6% |                               | 1,731            |
| Annualization of January 2016 pay raise @ 1.46%            |                               | 322              |
| Within-grade increases                                     |                               | 407              |
| FERS agency rate adjustment from 11.9% to 13.7%            |                               | 1,061            |
| Transit Subsidy Increase from \$230 to \$255               |                               | 69               |
| <b>Total, Mandatory Pay and Related Costs</b>              | <b>0</b>                      | <b>3,590</b>     |
| <b>Price Level Changes</b>                                 |                               | <b>2,771</b>     |
| <b>Program Increases:</b>                                  |                               |                  |
| OCIO Hosting Facilities Challenge                          |                               | 24,575           |
| OCIO Information Technology Security Enhancements          | 5                             | 6,563            |
| <b>Total, Program Increases</b>                            | <b>5</b>                      | <b>31,138</b>    |
| <b>Net Increase/Decrease</b>                               | <b>5</b>                      | <b>\$ 36,999</b> |
| <b>Total Budget</b>  | <b>951</b>                    | <b>\$199,978</b> |
| <b>Total Offsetting Collections</b>                        | <b>0</b>                      | <b>0</b>         |
| <b>Total Appropriation</b>                                 | <b>951</b>                    | <b>\$199,978</b> |

## Fiscal 2017 Program Changes: \$31 138 million

### Hosting Facilities Challenge:

**\$24.575 million**

In fiscal 2017, the Library is requesting \$24.575 million and three-year funding authority for the first year of a three-year investment of \$57.7 million to migrate the Library's Primary Computing Facility (PCF) in the James Madison Memorial Building (JMMB) to an alternate PCF. The Library's current PCF, built in the late 1970's, can no longer provide the level of data center reliability and availability that Library business customers now expect. The funding requested will support the Library's most fundamental information technology requirements and mitigate location vulnerabilities.

The PCF currently is located in the JMMB on Capitol Hill, a site vulnerable in general to environmental threats such as weather and earthquakes, but more critically, a prime target in the region for physical acts of terrorism. The Library's Alternate Computing Facility (ACF), which holds a backup of the Library's business and digital collection data, also is located in a geographic area that could be impacted by foreseeable threats to Washington, DC.

The JMMB and PCF are also vulnerable in another way. They cannot provide the level of data center reliability that mission-critical programs and constituents now require. Facility power and cooling infrastructure to provide uninterrupted services are lacking. The PCF is an "Uptime Institute Tier 1" facility. This means that we have an Uninterrupted Power Supply (UPS) for power conditioning, dedicated cooling and a backup generator for power outages, but no power or cooling redundancy. Redundancy of these critical facility components would allow facility maintenance, repair, and testing events to occur without shutting down any data center services. The current PCF has to be shut down annually during a fire and safety check by the Architect of the Capitol (AOC), a practice required because of the threat that the building generators, 35 years beyond their service life, will not be able to handle the full Data Center power demand during the required electrical power shutdown. Hardware failure is experienced each time such an electrical power shutdown is done; during the August 2014 shutdown, \$60,000 worth of equipment failed and had to be replaced, and the August 2015 shutdown and subsequent recovery was the cause of the costly nine-day Copyright outage recently addressed in a congressional hearing. The desired rating for the PCF is "Uptime Institute Tier

3", which would have redundant power and cooling components and a redundant delivery path for power and cooling, so every power and cooling component needed to support the IT environment can be shut down and maintained without impact on the overall IT operation. There is no feasible cost-effective mitigation of the reliability and location risks of the current PCF.

The Library's infrastructure at the JMMB PCF consists of over 9.0 petabytes of spinning disk, 16 petabyte of tape storage and over 1,500 servers (physical and virtual nodes). The PCF hosts critical applications that provide unique research and reference services to the Congress and to users who visit the Library in person and via the Internet; [Congress.gov](http://Congress.gov) which is used to track legislation for the public and the Congress and [CRS.gov](http://CRS.gov) which provides research products and services to the Congress; services that are used to acquire, describe, make accessible, secure and preserve a universal collection of knowledge in physical and electronic formats; and services that support the statutory responsibilities of the U.S. Copyright Office in administering the copyright laws, providing expertise on questions of law and policy, and serving the public good. The approximately 3,500 Library staff members rely on the PCF to support the IT systems required for them to perform their daily work.

The funding requested for fiscal years 2017-2019 is essential to maintaining a reliable, secure, and high-performance data communications and information processing infrastructure for the Library, its Legislative Branch partners, and virtually all external customers. Funds will support the planning and initial phases of build-out of the Library's IT infrastructure at a site off Capitol Hill, optimally in a new shared facility for the Legislative Branch beginning in fiscal 2017. The Library already has started the planning phase to define business requirements for its applications and data, and to transition data center assets to the proposed shared data center facility and/or other externally-hosted environments based on requirements assessment criteria.

The Library's plan for a new PCF includes a multi-year phased approach to the build-out, development and occupancy of a new PCF. The first phase would be an initial stable platform at a new PCF, to include Wide Area and Long Haul Network design, Data Center

Layout designs, Data Center Core Network designs, and IT security requirements for operating the initial stable platform.

Phased planning for migration will include:

- Requirements to continue operating all PCF and ACF services while migration occurs;
- Identification of migration alternatives and associated cost-benefit analyses;
- Identification of risks, assumptions and dependencies, as well as plans for managing these; and
- Identification of opportunities to improve the efficiency and effectiveness of IT services for both production and disaster recovery requirements.

In fiscal 2017, the Office of the Chief Information Officer (OCIO) plans to begin the initial Data Center build out and networking. The funds requested in fiscal 2017 will begin procurement and installation of Data Center Core Rack, Network, Server, and Storage capability. At least 50 racks are required for Data Center Core Network and critical infrastructure capabilities and initial migration testing. The basic infrastructure and security components need to be operational before the first application can be migrated. These basic components include:

- Design, installation, and implementation of Long Haul transmission lines between the new hosting site, the JMMB PCF and the Alternate Computing Center (ACF);
- Increased bandwidth between the JMMB PCF and the ACF, to support data migration requirements;
- A high speed Data Center Core Network at the new hosting site consisting of high speed core network switches and cabling, Storage Area Network (SAN) and ancillary network switches, Domain Name Server (DNS) appliances, firewalls, taps for the security appliances and other infrastructure equipment;
- Mandatory network security appliances and processes;
- Server and storage components to handle the monitoring, diagnostic and security requirements of the environment; and
- Upon completion of the basic build out of the data center infrastructure, a testing environment will be established to test and refine capabilities for secure and efficient migration of selected systems, applications and data.

In fiscal 2018 the OCIO will begin migration of Data Center Systems, applications and data to the new hosting environment, and in fiscal 2019 the Library will complete the migration and retirement of JMMB Data Center as PCF.

With the requested funding, the Library's OCIO will begin executing in fiscal 2017 the basic build out of a hosting environment and testing the new hosting environment under multiple operational scenarios; and the migration of current PCF assets, applications and content in fiscal 2018, with an expansion of rack space that will continue until most data center migration is completed in fiscal 2019. Lower amounts are expected to be required as work proceeds in fiscal years 2018 and 2019 - currently estimated at \$17.6 and \$15.5 million, respectively. Funding will be non-recurred in fiscal years 2018 and 2019 - currently estimated \$7 million and \$8.4 million, respectively - providing ongoing base fund of \$7.1 million.

The ongoing base additive of \$7.1 million will provide for facility occupancy costs, operations and management of the new Primary data center. The facility occupancy costs include the monthly rack rental and other associated occupancy fees that are expected to be chargeable to the Library by the external facility operator (based on the current contract for the shared legislative data center). At the JMMB PCF these costs historically have been absorbed by the Architect of the Capitol and have never been included in the Library's IT budget.

If the Library cannot migrate computing and data resources to shared facilities or externally-hosted services away from the JMMB PCF, the Library's IT capabilities will continue to be at risk from aging and inadequate data center facilities, including:

- Failure of the Capitol Hill Cooling facility to supply adequate cold air to the JMMB Data Center and related failure of the aging Computer Room Air Conditioning (CRAC) units;
- The Primary Data Center will continue to need to be shut down for the yearly JMMB Life and Safety check putting all Data Center equipment at higher risk of failure and closing the Library, except the Thomas Jefferson Building, for an entire weekend;
- Generator failure during a general Capitol Hill electrical brown or black out;
- Lack of cost-effective capacity growth for power and cooling requirements;
- Damage to equipment;

Downtime due to inadequate capacity for complete redundancy for all infrastructure services in the current facility; and

Annual planning by Library staff for six months prior to a yearly planned shutdown coordinating and preparing for the event, and performing recovery tasks subsequent to a shutdown.

### **Information Technology Security Enhancements: \$6.563 million/5 FTEs**

The Library is requesting \$6.563 million to support the Library's Information Technology (IT) security protection capabilities. This includes \$2.134 million to fund the design and installation of 6,000 Personal Identity Verification (PIV) Cards and Readers and 1,500 RSA SecurID tokens to enable two-factor authentication across the Library's workstation and networked laptop systems.

Of this request \$4.504 million is ongoing funding, which includes \$4.429 million for 5 FTEs to support oversight across the Library's five service units, including related training, 15 security consultants to support Information System Security Officers (ISSO) system monitoring roles and provide backup coverage for centralized ISSO functions; and \$75,000 for the RSA SecurID token renewals. A total of \$2.059 million will be non-recurred in fiscal 2018.

The Library's IT infrastructure is increasingly exposed to cybersecurity threats. The Library's move to modernize and provide continuous coverage and high availability solutions for its customers requires essential upgrades in its infrastructure protection capabilities. The request supports the centralization of dedicated ISSO roles and enhancing network access protection to two-factor authentication. Funding for these security enhancements will enable the Library to better respond to security threats and respond to weaknesses identified in several Government Accountability Office and Inspector General audit findings.

The Library has conducted a review of how IT security is handled across its service units and system levels and determined that the security posture across the Library will be improved by centralizing the ISSO roles, reporting to the Chief Information Security Officer in the Office of the Chief Information Officer to assure sufficient focus on the security mission and impartiality in role assignments.

RSA SecurID token is a password authentication method of protecting network resources typically used for remote access. The Library's security posture will be enhanced by requiring an RSA SecurID token or PIV card in addition to the user passwords. The envisioned two-factor authentication implementation would cover all Library users, including users with remote networked access, thus providing enhanced level of access protection to Library IT systems and networked resources

Without requested funding for these IT security improvements, the Library will be unable to strengthen the critical security protection of the Library's information technology network and resources as cybersecurity threats continue to grow exponentially. In addition, the Library will be unable to address the Government Accountability Office's recommendation . . . "to develop and implement a plan for deploying multifactor authentication to access Library systems including remote access for Library users", in their March 2015 report (GAO-15-575SU Library of Congress Information Security).



# Librarian's Office

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## Librarian's Office Summary By Object Class (Dollars in Thousands)

| Object Class                                    | Fiscal 2015       |                       | Fiscal 2016<br>Operating<br>Plan | Fiscal<br>2017<br>Request | Fiscal<br>2016/2017<br>Net Change | Percent<br>Change |
|---|-------------------|-----------------------|----------------------------------|---------------------------|-----------------------------------|-------------------|
|   | Operating<br>Plan | Actual<br>Obligations |                                  |                           |                                   |                   |
| 00.0 Lapse Reserve                              | \$ 500            | \$ 0                  | \$ 500                           | \$ 511                    | +\$ 11                            | 2.2%              |
| <b>Total, Lapse Reserve</b>                     | <b>\$ 500</b>     | <b>\$ 0</b>           | <b>\$ 500</b>                    | <b>\$ 511</b>             | <b>+\$ 11</b>                     | <b>2.2%</b>       |
| 11.1 Full-time permanent                        | 18,891            | 16,565                | 17,738                           | 18,234                    | + 496                             | 2.8%              |
| 11.3 Other than full-time permanent             | 228               | 389                   | 440                              | 452                       | + 12                              | 2.7%              |
| 11.5 Other personnel compensation               | 139               | 325                   | 255                              | 263                       | + 8                               | 3.1%              |
| 12.1 Civilian personnel benefits                | 5,701             | 5,339                 | 6,161                            | 6,658                     | + 497                             | 8.1%              |
| <b>Total, Pay</b>                               | <b>\$22,959</b>   | <b>\$22,618</b>       | <b>\$24,594</b>                  | <b>\$25,607</b>           | <b>+\$1,013</b>                   | <b>4.1%</b>       |
| 21.0 Travel & transportation of persons         | 72                | 37                    | 89                               | 91                        | + 2                               | 2.2%              |
| 22.0 Transportation of things                   | 35                | 10                    | 32                               | 33                        | + 1                               | 3.1%              |
| 23.3 Communication, utilities & misc charges    | 206               | 137                   | 188                              | 192                       | + 4                               | 2.1%              |
| 24.0 Printing & reproduction                    | 145               | 219                   | 199                              | 203                       | + 4                               | 2.0%              |
| 25.1 Advisory & assistance services             | 804               | 381                   | 767                              | 784                       | + 17                              | 2.2%              |
| 25.2 Other services                             | 4,836             | 3,547                 | 5,439                            | 5,559                     | + 120                             | 2.2%              |
| 25.3 Other purch of gds & services from gov acc | 1,143             | 1,273                 | 1,439                            | 1,471                     | + 32                              | 2.2%              |
| 25.7 Operation & maintenance of equipment       | 1,104             | 1,155                 | 1,402                            | 1,434                     | + 32                              | 2.3%              |
| 26.0 Supplies & materials                       | 138               | 116                   | 245                              | 251                       | + 6                               | 2.4%              |
| 31.0 Equipment                                  | 2,337             | 690                   | 525                              | 538                       | + 11                              | 2.1%              |
| 42.0 Insurance claims & indemnities             | 3                 | 0                     | 3                                | 3                         | 0                                 | 0.0%              |
| <b>Total, Non-Pay</b>                           | <b>\$10,823</b>   | <b>\$ 7,565</b>       | <b>\$10,328</b>                  | <b>\$10,557</b>           | <b>+\$ 229</b>                    | <b>2.2%</b>       |
| <b>Total, Office of the Librarian</b>           | <b>\$34,282</b>   | <b>\$30,183</b>       | <b>\$35,422</b>                  | <b>\$36,675</b>           | <b>+\$1,253</b>                   | <b>3.5%</b>       |

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**Librarian's Office  
Analysis of Change**  
(Dollars in Thousands)

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|  | <b>Fiscal 2017<br/>Agency Request</b> |                 |
|--|---------------------------------------|-----------------|
|  | <b>FTE</b>                            | <b>Amount</b>   |
| <b>Fiscal 2016 Operating Plan</b>                          | <b>459</b>                            | <b>\$35,422</b> |
| <b>Non-recurring Costs:</b>                                |                                       |                 |
| <b>Mandatory Pay and Related Costs:</b>                    |                                       |                 |
| Locality-based comparability pay raise January 2017 @ 2.6% |                                       | 490             |
| Annualization of January 2016 pay raise @ 1.46%            |                                       | 90              |
| Within-grade increases                                     |                                       | 114             |
| FERS agency rate adjustment from 11.9% to 13.7%            |                                       | 297             |
| Transit Subsidy Increase from \$230 to \$255               |                                       | 23              |
| <b>Total, Mandatory Pay and Related Costs</b>              | <b>0</b>                              | <b>1,014</b>    |
| <b>Price Level Changes</b>                                 |                                       | <b>239</b>      |
| <b>Program Increases:</b>                                  | <b>0</b>                              | <b>0</b>        |
| <b>Net Increase/Decrease</b>                               | <b>0</b>                              | <b>\$ 1,253</b> |
| <b>Total Budget</b>  | <b>459</b>                            | <b>\$36,675</b> |
| <b>Total Offsetting Collections</b>                        | <b>0</b>                              | <b>0</b>        |
| <b>Total Appropriation</b>                                 | <b>459</b>                            | <b>\$36,675</b> |

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# Librarian's Office

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## FISCAL 2017 BUDGET REQUEST

The Library is requesting a total of **\$36.675 million** in fiscal 2017 for the Librarian's Office and the Office of the Chief Operating Officer. This is an increase of \$1.253 million, or 3.5 percent, over fiscal 2016 supporting mandatory pay related and price level increases.

Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2015       |          |                       |          | Fiscal 2016<br>Operating Plan |          | Fiscal<br>2017<br>Request |          | Fiscal<br>2016/2017<br>Net Change |         | Percent<br>Change |
|-------------------|-------------------|----------|-----------------------|----------|-------------------------------|----------|---------------------------|----------|-----------------------------------|---------|-------------------|
|                   | Operating<br>Plan |          | Actual<br>Obligations |          |                               |          |                           |          |                                   |         |                   |
|                   | FTE               | \$       | FTE                   | \$       | FTE                           | \$       | FTE                       | \$       | FTE                               | \$      | %                 |
| LIBN              | 479               | \$34,282 | 164                   | \$30,183 | 459                           | \$35,422 | 459                       | \$36,675 | 0                                 | \$1,253 | 3.5%              |

## PROGRAM OVERVIEW

The Office of the Librarian provides leadership and policy direction 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, Chief of Staff, and Chief Operating Officer provide executive management to all Library service units. The Librarian of Congress chairs the Library's Executive Committee (EC).

The Chief of Staff oversees the following offices:

**Chief of Staff (COS):** Library-wide programmatic and management responsibilities for congressional relations, development, communications, diversity programs, legal counsel, strategic planning, and performance management.

**Congressional Relations Office (CRO):** Develops and implements the Library's legislative and congressional outreach strategies for a majority of Library operations and events and coordinates a variety of services for the Congress. CRO serves as the Library's communications point of contact for congressional oversight committees.

**Development Office (DEV/O):** Conducts, coordinates, and tracks fundraising activities to support the Librarian's priorities, including acquisitions, cultural programs, educational outreach activities, and events.

**Office of Communications (OC):** Maintains, develops, enhances, and expands the Library's communications and public affairs functions with the Congress, the American public, news media, and Library employees.

**Office of Equal Employment Opportunity and Diversity Programs (EEO/Diversity Programs):**

Promotes an environment of fairness and inclusion in the workplace by providing Library-wide leadership and guidance on the implementation of equal employment opportunity (EEO), diversity management, and employee related disability accommodations. The Office also ensures access to Library training and programs by coordinating interpreting services for Library employees and patrons. EEO/Diversity Programs, previously the Office of Opportunity, Inclusiveness and Compliance, was renamed and moved from the former Office of Support Operations to the Office of the Librarian/COS as part of the realignment initiated in fiscal 2015 and implemented on October 1, 2015.

**Office of the General Counsel (OGC):** Provides legal counsel to Library management on operations, programs, 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 Strategic Planning and Performance Management (SPPM):** Facilitates Library-wide strategic planning, annual planning, performance management and assessment, and risk management activities. SPPM is the former Strategic Planning Office, which was renamed and moved from the Office of the Chief Financial Officer to the Office of the Librarian/COS as part of the realignment initiated in fiscal 2015 and implemented on October 1, 2015.

The Chief Operating Officer oversees the Library's infrastructure support through the following offices:

**Office of the Chief Operating Officer (OCCO):** Ensures that the Library's infrastructure provides the necessary services and compliance with statutory and regulatory requirements in the areas of human capital, budget and finance, contracts and grants, information technology, facilities, logistics, asset management and

protection, emergency preparedness, and personnel security, health, and safety. The office is a new entity within the Office of the Librarian, announced in fiscal 2015 and fully implemented on October 1, 2015 with the realignment.

**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 publications, data subscriptions, library services, and information retrieval services on behalf of the Library and other Federal agencies pursuant to the Federal Strategic Sourcing Initiative under the Library's Federal Library and Information Network (FEDLINK) Program; and supports placement of foreign scholars in Library program offices. The OCGM moved from the Office of the Librarian/COS to the Office of the Librarian/OCOO in the realignment initiated in fiscal 2015 and implemented on October 1, 2015.

**Human Resources Services (HRS):** Develops, implements, and evaluates workforce management policies, procedures, and systems in support of the Library's mission and priorities. Leads the efforts to plan, recruit, manage, and retain a talented and diverse workforce. HRS also administers the Library's pay, leave, and benefits programs; provides retirement and employee assistance consultation; offers centralized training, staff development, and coaching support; provides the full scope of employee relations advice and assistance; 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. HRS was realigned from the former Office of Support Operations to the Office of the Librarian/OCOO as part of the realignment initiated in fiscal 2015 and implemented on October 1, 2015.

**Office of Security and Emergency Preparedness**

**(OSEP):** Safeguards the Library's collections, facilities, staff, visitors, and other assets; manages personnel security and employment suitability; and leads the coordination of emergency preparedness and Continuity of Operations Plan (COOP) programs. The OSEP was also moved from the former Office of Support Operations to the Office of the Librarian/OCOO as part of the realignment initiated in fiscal 2015 and implemented on October 1, 2015.

In addition, the **Office of the Chief Information Officer (OCIO)**, **Integrated Support Services (ISS)**, and **Office of the Chief Financial Officer (OCFO)** reside, organizationally, within the Office of the Librarian/OCOO.

**Fiscal 2015 Accomplishments**

The Office of the Librarian's senior management worked collaboratively with the Library's Executive Committee members and senior staff to propose, develop, and execute a major realignment, which included consolidating the Library-wide infrastructure units under a Chief Operating Officer in the Office of the Librarian; establishing the Office of the Chief Information Officer (CIO) to manage the Library's IT programs and initiatives; and establishing the National and International Outreach service unit to manage the scholarly, education and interpretive programs and national and international outreach programs. During the fourth quarter of fiscal 2015, management and staff worked together to establish the technical and administrative operations of the new service units. While the work necessary to implement the realignment was performed in fiscal 2015, full implementation occurred on October 1, 2015.

**CRO** engaged in numerous activities supporting the new 114th Congress. The Library's updated "Guide to Resources" and Services Card was provided to all Members of Congress, and CRO contacted all new Members to offer briefings on Library services and programs that could assist them in their constitutional and representational responsibilities. The office maintained effective relationships between Congress and the Library through the Congressional Dialogues dinner series discussions, the Library of Congress Caucus, and enhanced outreach about Library programming. It presented legislative proposals and requests for approvals to the Committee on House Administration, the Senate Rules and Administration Committee, and the Joint Committee on the Library, and met and communicated with oversight committee staff on issues of interest, including providing briefings and site visits to Library facilities. CRO assisted with preparations for the budget hearings; kept congressional offices and committees informed about Library programs, resources, services, and events; and provided thorough and timely responses to congressional inquiries. CRO continued to coordinate use of Library space by congressional offices for meetings and social events. The office increased its use of email templates for Members' offices to easily communicate with their constituents about Library programs and resources using social media. It also continued to inform senior managers about legislative issues and congressional activities affecting the Library and consulted about projects affecting the Library's service to the Congress. CRO maintained an updated intranet site (LCnet) available exclusively to Members of Congress and their staff for obtaining information and services from the Library.

**DEVO** provided support to the Librarian's efforts to raise funds for a broad range of programs, including the National Book Festival; literacy initiatives, including the Letters About Literature program; digitization of the Freud Archives; the Congressional Dialogues series; the Bay Psalm Book exhibition; and the Jacob Riis exhibition. The Office worked to further internal coordination of fundraising activities within the institution and strengthened the James Madison Council in addition to fostering support for the Library among foundations, corporations, and individuals.

**OC** provided public relations and media support to more than forty Library initiatives, including major exhibitions, high-profile acquisitions, and annual announcements and events such as the acquisition of the Rosa Parks Collection, Poet Laureate activities, the Gershwin Prize for Popular Song, the Veterans History Project 15th anniversary, and the National Book Festival. The office issued approximately 200 news releases, published approximately 140 blog posts, grew existing social media accounts and added two new channels, developed and executed paid media campaigns, and published the Librarian's Annual Report and the Library of Congress Magazine. Examples of the extensive earned media stories this year included a page-one story in the Los Angeles Times about the Packard Campus for AudioVisual conservation, a page-one story in the Washington Post on the Rosa Parks Collection, a feature on NPR's Morning Edition about the Grand Illusion exhibit, and a CBS Sunday Morning feature on the Packard Campus. The office also managed internal communications efforts including publishing 48 issues of the weekly staff Gazette and managing plans for communicating to staff about the Library's realignment and retirement of the Librarian of Congress.

**OGC** provided legal guidance on budget and fiscal matters, human capital management, ethics, contracting, privacy, records management, legislation and regulations, digital collections, collection acquisitions, and Library initiatives. OGC continued to defend the Library in federal court litigation, employment discrimination cases, and contract protests and disputes. In addition, OGC played an instrumental advisory role in a major Library realignment from concept to implementation, and was also a key advisor on the transition of new Library leadership.

**OCGM** supported the Library's programs, initiatives, technology infrastructure, facility projects and collection management performing 2,133 contracting actions totaling \$203.4 million. Approximately 500 federal offices transferred funds to FEDLINK, completing 3,132 actions valued at \$81.7 million. Grants, awards and fellowship actions for a variety of scholarly purposes totaled 141 awards valued at \$9.6 million. OCGM implemented tools and initiatives

to improve the quality of contracts, the expertise of contracting staff, the measurement of performance, the effectiveness of acquisition policies, and the outreach and communications to service units. With support from the Office of General Council, OCGM published the Library of Congress Federal Acquisition Regulations Supplement, implemented a holistic acquisition information system, and delivered crucial training to Library staff.

## Fiscal 2016 Priority Activities

The Librarian's Office will continue to oversee Library management, programs, and activities throughout the service units, providing guidance and support to the newly established service unit operations which will serve to strengthen the Library's information technology (IT) and other support functions; elevate outreach work; integrate digital and analog collection management; and ultimately bring about better service to the Library's customers.

**CRO** will continue to strengthen relationships between the Congress and the Library through the Congressional Dialogues dinner discussions, the Library of Congress Caucus, and outreach about Library programming. CRO will continue discussions about legislative proposals and forward requests for approvals to the Committee on House Administration, the Senate Rules and Administration Committee, and the Joint Committee on the Library, and meet with oversight committee staff on issues of interest, including providing briefings and site visits to Library facilities. The office will assist with preparations for the fiscal 2017 budget hearings; keep congressional offices and committees informed about Library programs, resources, services, and events; and provide thorough and timely responses to congressional inquiries. CRO will continue to coordinate use of Library space by congressional offices for meetings and social events. The office will use email templates for Members' offices to easily communicate with their constituents about Library programs and resources using social media. Senior managers will continue to be informed and consulted about legislative issues, congressional activities, and projects affecting the Library and its service to Congress. CRO will maintain an updated intranet site (LCnet) available exclusively to Members of Congress and their staff for obtaining information and services from the Library.

**DEVO** 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, internships, symposia, conferences, and scholarly programs. The Office will work to further internal coordination of fundraising activities within the institution and will seek to strengthen the James Madison Council as well as foster support for the Library among foundations, corporations, and individuals.

**OC** will continue to provide public relations and media support to Library programs and initiatives, with special emphasis on original content that promotes accessibility of Library collections and services, and outreach to third parties. The office also will continue managing internal communications and will establish a baseline of staff satisfaction and engagement with existing internal communications tools to inform future planning.

**OGC** will continue to provide legal guidance on budget and fiscal matters, human capital management, ethics, contracting, privacy, records management, legislation and regulations, digital collections, collection acquisitions, and Library initiatives and will continue to defend the Library in federal court litigation, employment discrimination cases, and contract protests and disputes. OGC will also continue to advise on the transition to new Library leadership.

**EEO/Diversity Programs** will continue to coordinate diversity programming events and learning sessions to promote a workplace environment of fairness and inclusion. EEO/Diversity Programs will issue a multi-year Strategic Diversity Plan to achieve and preserve workforce diversity at the Library and will continue to serve as a non-adversarial forum to address workplace issues by providing alternative dispute resolution and EEO counseling services. The unit will continue to make Library programs and events accessible to employees and members of the public through its Interpreting Services Program

**SPPM** will facilitate implementation of the Library of Congress Fiscal 2016 – 2020 Strategic Plan. The office will facilitate a review and integration of Library-wide planning, performance, and risk management processes in order to support effective management decision making.

**OCGM** will focus on contract execution, workload assignment, procurement lead time, risk mitigation, customer feedback, and customer satisfaction. Efforts will continue to streamline and improve policies, procedures, and internal controls related to acquisition planning, business processes, procurement information, professional development, and performance. With the Office of the Chief Financial Officer, OCGM will continue to enhance the Momentum Acquisition Module to improve contract structure and content, information availability and data integrity, workflow and logic, and accountability for contracts. Professional development and outreach training will be delivered that focuses on contract planning and administration to achieve improvements across the Library.

**HRS** will support the Human Capital Planning Board's priorities of developing and implementing the Library's succession management strategies through a multifaceted plan that will focus on all aspects of the full employment lifecycle to ensure that the Library can attract and engage a diverse and skilled workforce for

the 21<sup>st</sup> century. Strategies will include updating merit selection policies and processes to optimize the efficiency of the hiring process; expanding awareness and use of hiring flexibilities; developing a competency assessment program and tool to identify and close critical skill gaps to leadership and succession target occupations; leveraging online learning resources to support the career and leadership development and project management skills of the Library's workforce; and extending and evaluating the phased retirement pilot. In one of the Library's succession management strategies for staff at the GS-14, GS-15, and Senior Levels, HRS will initiate a Senior Leadership Development Program (SLDP) that will provide continuous learning and development opportunities for the Library's current and future senior leaders. HRS will also continue to improve customer service by identifying ways to partner with service units to provide solutions-based advice and guidance.

**OSEP** will conduct vulnerability assessments and provide recommendations to improve safeguards and physical controls and measures to protect the Library's high-value collection areas and other assets. Implementation of a new personnel security program will enhance background investigations for nonemployees, including contractors and volunteers, who access the Library's IT network by ensuring all network users are held to equivalent Library and national standards background investigations. To bolster Office efficiency, an off-the-shelf implementation of case management system will be implemented to streamline workflow, enable the implementation of government wide background investigation forms, and improve the Library's emergency preparedness and COOP programs. In fiscal 2016, OSEP will promote safety and ensure staff is fully prepared to properly respond to a broad spectrum of potential emergencies through staff training and awareness and updating the Employee Emergency Actions Guides for all Library facilities.

### Fiscal 2017 Priority Activities

The Librarian's Office will continue to oversee Library management, programs, and activities and track the progress made on established fiscal 2016 priorities.

**CRO** will engage in a number of activities in support of the incoming 115th Congress and the Presidential Inauguration. A new Library "Guide to Services" and a Services Card will be distributed to all Members of the new Congress. CRO will contact all new Members to offer briefings on Library programs that could assist them in their constitutional and representational responsibilities. CRO will continue to strengthen relationships between the Congress and the Library in particular through special collaborations, the Library of Congress Caucus, and outreach about Library programming. The office will communicate with the Committee on House Administration, the Senate

Rules and Administration Committee, and the Joint Committee on the Library about the Library's legislative proposals and requests for approvals. CRO also will meet with oversight committee staff on issues of interest, including providing briefings and site visits to Library facilities. It will assist with preparations for the fiscal 2018 budget hearings; keep congressional offices and committees informed about Library programs, resources, services and events; and provide thorough and timely responses to congressional inquiries. Senior managers will continue to be informed about legislative issues affecting the Library and consulted about projects affecting the Library's service to Congress. CRO will continue to coordinate use of Library space by congressional offices for meetings and social events. The office will continue to use email templates for Members' offices to easily communicate with their constituents about Library programs and resources using social media. CRO will maintain an updated intranet site (LCnet) available exclusively to Members of Congress and their staff for obtaining information and services from the Library.

**DEVO** 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, internships, symposia, conferences, and scholarly programs. The Office will continue to improve internal coordination of fundraising activities within the institution and will seek to strengthen the James Madison Council as well as foster support for the Library among foundations, corporations, and individuals.

**OC** will continue to provide public relations and media support to Library programs and initiatives. If resources permit, the office will seek to conduct a national survey to determine awareness of Library's collections and services. The office will also continue to manage internal communications and will implement strategies based on fiscal 2016 feedback from staff.

**EEO/Diversity Programs** will continue to coordinate diversity programming events and learning sessions to promote a workplace environment of fairness and inclusion. EEO/Diversity Programs will continue to serve as a non-adversarial forum to address workplace issues by providing alternative dispute resolution and EEO counseling services. The unit will continue to make Library programs and events accessible to employees and members of the public through its Interpreting Services Program.

**OGC** will continue to provide legal guidance on budget and fiscal matters, human capital management, ethics, contracting, privacy, records management, legislation and regulations, digital collections, collection acquisitions, and Library initiatives and will continue to defend the Library in federal court litigation, employment discrimination cases, and contract protests and disputes.

**SPPM** will continue to facilitate Library-wide strategic planning, annual planning, performance management and assessment, and risk management activities to ensure the Library's overall objectives are met.

**OCGM** will focus on workload execution, including assignment, feedback, lead time, risk mitigation, and customer satisfaction while maintaining consistent policies and application thereof, procedures, and internal controls related to contracts and grants operations. The focus will continue on advanced acquisition planning, and efficient business processes, the accessibility and utility of procurement information, enhancing staff professional development, and monitoring of organizational, personnel, and contractor performance. OCGM will work with Office of the Chief Financial Officer to continue to enhance the Momentum Acquisition Module and continue to deliver and enhance professional development and outreach training targeting key areas of contract planning and administration for operational improvement across the Library.

**HRS** will continue to perform its core functions to meet customers' needs and support the Library's mission requirements through streamlined hiring processes. Updated workforce performance management guidance and training will be provided to managers and supervisors and master recruitment plans will be developed. HRS will continue efforts to address critical skill gaps in succession target occupations and will use online learning resources to support career development and build project management skills in the Library's workforce. HRS will also continue to improve customer service by identifying ways to partner with service units to provide solutions-based advice and guidance.

**OSEP** will continue to enhance the Library's collections security program; protect facilities, staff, and other assets; and strengthen the Library's emergency preparedness program. OSEP will continue implementation on a 2016 personnel security employment suitability program initiative to enhance the background investigations for nonemployees, including contractors and volunteers, who access the Library's IT network by ensuring all network users, employees, and non-employees are held to equivalent Library and national standards background investigations. Additional funds are requested to enhance the background investigations program for nonemployees, including contractors and volunteers, who access the Library's IT network. This initiative will strengthen the security of the Library's IT network by ensuring all network users, employees, and nonemployees are held to equivalent Library and national standards background investigations. The Personnel Security Office will procure an off-the-shelf case management system that will enhance the efficiency of the office, streamline the workflow, and enable the implementation of government-wide background investigation reforms.



# Office of the Chief Information Officer

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## Office of the Chief Information Officer Summary By Object Class (Dollars in Thousands)

| Object Class  | Fiscal 2015       |                       | Fiscal 2016<br>Operating<br>Plan | Fiscal<br>2017<br>Request | Fiscal<br>2016/2017<br>Net Change | Percent<br>Change |
|---|-------------------|-----------------------|----------------------------------|---------------------------|-----------------------------------|-------------------|
|   | Operating<br>Plan | Actual<br>Obligations |                                  |                           |                                   |                   |
| 11.1 Full-time permanent                              | \$0               | \$0                   | \$30,701                         | \$ 32,177                 | +\$ 1,476                         | 4.8%              |
| 11.3 Other than full-time permanent                   | 0                 | 0                     | 93                               | 96                        | + 3                               | 3.2%              |
| 11.5 Other personnel compensation                     | 0                 | 0                     | 185                              | 190                       | + 5                               | 2.7%              |
| 11.8 Special personnel services payment               | 0                 | 0                     | 42                               | 43                        | + 1                               | 2.4%              |
| 12.1 Civilian personnel benefits                      | 0                 | 0                     | 9,510                            | 10,515                    | + 1,005                           | 10.6%             |
| <b>Total, Pay</b>                                     | <b>\$0</b>        | <b>\$0</b>            | <b>\$40,531</b>                  | <b>\$ 43,021</b>          | <b>+\$ 2,490</b>                  | <b>6.1%</b>       |
| 21.0 Travel & transportation of persons               | 0                 | 0                     | 40                               | 41                        | + 1                               | 2.5%              |
| 22.0 Transportation of things                         | 0                 | 0                     | 1                                | 1                         | 0                                 | 0.0%              |
| 23.2 Rental payments to others                        | 0                 | 0                     | 0                                | 2,342                     | + 2,342                           | 0.0%              |
| 23.3 Communication, utilities & misc charges          | 0                 | 0                     | 7,951                            | 8,605                     | + 654                             | 8.2%              |
| 24.0 Printing & reproduction                          | 0                 | 0                     | 100                              | 102                       | + 2                               | 2.0%              |
| 25.1 Advisory & assistance services                   | 0                 | 0                     | 14,302                           | 22,062                    | + 7,760                           | 54.3%             |
| 25.2 Other services                                   | 0                 | 0                     | 112                              | 318                       | + 206                             | 183.9%            |
| 25.7 Operation & maintenance of equipment             | 0                 | 0                     | 16,724                           | 18,103                    | + 1,379                           | 8.2%              |
| 26.0 Supplies & materials                             | 0                 | 0                     | 186                              | 190                       | + 4                               | 2.2%              |
| 31.0 Equipment  | 0                 | 0                     | 5,127                            | 25,091                    | + 19,964                          | 389.4%            |
| <b>Total, Non-Pay</b>                                 | <b>\$0</b>        | <b>\$0</b>            | <b>\$44,543</b>                  | <b>\$ 76,855</b>          | <b>+\$32,312</b>                  | <b>72.5%</b>      |
| <b>Total, Office of the Chief Information Officer</b> | <b>\$0</b>        | <b>\$0</b>            | <b>\$85,074</b>                  | <b>\$119,876</b>          | <b>+\$34,802</b>                  | <b>40.9%</b>      |

**Office of the Chief Information Officer**  
**Analysis of Change**  
(Dollars in Thousands)

|  | Fiscal 2017<br>Agency Request |                  |
|--|-------------------------------|------------------|
|  | FTE                           | Amount           |
| <b>Fiscal 2016 Operating Plan</b>                          | 296                           | \$85,074         |
| <b>Non-recurring Costs:</b>                                | 0                             | 0                |
| <b>Mandatory Pay and Related Costs:</b>                    |                               |                  |
| Locality-based comparability pay raise January 2017 @ 2.6% |                               | 812              |
| Annualization of January 2016 pay raise @ 1.46%            |                               | 151              |
| Within-grade increases                                     |                               | 192              |
| FERS agency rate adjustment from 11.9% to 13.7%            |                               | 499              |
| Transit Subsidy Increase from \$230 to \$255               |                               | 22               |
| <b>Total, Mandatory Pay and Related Costs</b>              | <b>0</b>                      | <b>1,676</b>     |
| <b>Price Level Changes</b>                                 |                               | <b>1,988</b>     |
| <b>Program Increases:</b>                                  |                               |                  |
| OCIO Hosting Facilities Challenge                          |                               | 24,575           |
| OCIO Information Technology Security Enhancements          | 5                             | 6,563            |
| <b>Total, Program Increases</b>                            | <b>5</b>                      | <b>31,138</b>    |
| <b>Net Increase/Decrease</b>                               | <b>5</b>                      | <b>\$ 34,802</b> |
| <b>Total Budget</b>  | <b>301</b>                    | <b>\$119,876</b> |
| <b>Total Offsetting Collections</b>                        | <b>0</b>                      | <b>0</b>         |
| <b>Total Appropriation</b>                                 | <b>301</b>                    | <b>\$119,876</b> |

# Office of the Chief Information Officer

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## FISCAL 2017 BUDGET REQUEST

The Library is requesting a total of **\$119.876 million** for the Office of the Chief Information Officer in fiscal 2017, an increase of \$34.802 million, or 40.9 percent, over fiscal 2016. This increase represents \$3.664 million for mandatory pay related and price level increases, and program changes of \$31.138 million and 5 FTEs – [\$24.575 million] for the Hosting Facilities Challenge, and [\$6.563 million and 5 FTEs] for Information Technology Security Enhancements.

Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2015       |     |                       |     | Fiscal 2016<br>Operating Plan |          | Fiscal<br>2017<br>Request |           | Fiscal<br>2016/2017<br>Net Change |          | Percent<br>Change |
|-------------------|-------------------|-----|-----------------------|-----|-------------------------------|----------|---------------------------|-----------|-----------------------------------|----------|-------------------|
|                   | Operating<br>Plan |     | Actual<br>Obligations |     |                               |          |                           |           |                                   |          |                   |
|                   | FTE               | \$  | FTE                   | \$  | FTE                           | \$       | FTE                       | \$        | FTE                               | \$       | %                 |
| LIBN_OCIO         | 0                 | \$0 | 0                     | \$0 | 296                           | \$85,074 | 301                       | \$119,876 | 5                                 | \$34,802 | 40.9%             |

## PROGRAM OVERVIEW

The Office of the Chief Information Officer (OCIO) was created, and a new Chief Information Officer (CIO) was appointed in fiscal 2015. The Office and its operations were organizationally realigned as a unit of the newly created Office of the Librarian/Office of the Chief Operating Officer (OCO). The OCIO provides the strategic direction, leadership, services, and capabilities within the Information Technology (IT) domain of the Library of Congress. OCIO addresses the challenges of IT management with a consolidated information technology infrastructure, streamlined processes, and a strong and well trained workforce. By proactively managing, monitoring, and sustaining IT resources, the OCIO supports empowering Library staff and users with reliable IT services and well-vetted opportunities to take advantage of innovative technologies. The Library's IT infrastructure and governance play a critical foundational role in enterprise performance and meeting the Library's mission. Many of the outcomes in the Library of Congress 2016-2020 Strategic Plan rely on the Library's IT environment where knowledge should be acquired and shared with as the demand for collaboration and global information access grows.

### Fiscal 2016 Priority Activities

The new CIO has developed a Library of Congress IT Strategic Plan linked to the Library's Strategic Plan for fiscal 2016 through 2020. The plan established the following four goals supported by ten objectives to be accomplished over the next two to five years:

#### *Goal 1: Provide Strategic Direction and Leadership*

The OCIO will apply best practices to managing IT infrastructure/enterprise systems. OCIO will identify and leverage opportunities to achieve optimal use of IT resources enterprise-wide; execute improvements in IT management to address Inspector General and Government Accountability Office audit findings; employ appropriate governance structures that ensure accountability, efficiency and coordination in the Library's IT investments; and improve IT governance through targeted initiatives addressing gaps in management controls over IT assets, monitoring capabilities, customer support and IT infrastructure.

OCIO will continue to focus on Library-wide systems that provide technical support for everyday operations, as well as on situations that affect continuity of operations, including threats to IT security. OCIO will perform a holistic assessment of the configuration of servers and databases that support Tier 1 systems at the Alternate Computing Facility as the basis for instituting technology infrastructure aligned with best practices and standards.

In early fiscal 2016, the Library began a data center application assessment. It will allow the Library to develop an infrastructure strategy and plan to address business requirements. OCIO will explore opportunities and plan for alternate service models. The existing data center technology infrastructure will be assessed with a focus on optimizing high levels of availability, redundancy, scalability, and business continuity across our existing data centers. Using the results of the assessment OCIO will begin to plan for multiple hosting solutions, including externally hosted and cloud computing solutions that enable demand-driven scalability of service options matching business requirements.

### ***Goal 2: Deliver Business-Driven Capabilities***

Through integrated business and IT planning processes, IT services will be business-driven to address the needs of Library mission program priorities. Standardized and consistent application development services will use agile processes designed for continuous customer feedback to deliver capabilities reliably on time and within budget. OCIO will strengthen IT business partnerships through transparent and understandable customer service level agreements on core IT services and memorandums of understanding for enhanced mission-driven IT services. OCIO will complete the web design and development tasks related to legislative information ([Congress.gov](http://Congress.gov)) and the Library ([Loc.gov](http://Loc.gov)), and establish a framework to assess and adopt innovation/emerging technologies, tools, and platforms with minimal operating risks, increased potential for improved cost efficiencies, and maximum customer value.

### ***Goal 3: Improve IT Investment Management***

OCIO will execute enterprise-wide IT investment planning for the Library's IT resources and operations; document enterprise-wide IT expenditures in order to ensure accountability of the Library's IT investments; assess both the operations and maintenance, and development, modernization and enhancement activities; strengthen IT investment management by developing a complete and reliable enterprise architecture that accurately captures the "as is" technical environment and outlines a strategy for transition to the "to be" environment. These documented enterprise architecture frameworks will be applied to reduce inefficiencies and eliminate redundancies in enterprise-wide IT services and operations. To improve IT management, OCIO will promulgate Project Management Office life cycle and systems development life cycle best practices to strengthen IT project management and avoid project cost overruns, mitigate project risks, and minimize schedule slippages.

### ***Goal 4: Strengthen Protection for Systems and Information***

Technology has made it possible to openly and rapidly exchange information around the globe. At the same time, IT advancements and their transformation of human interaction also increase risks. IT often magnifies the unintended consequences of human error or the intentional consequences of malicious behavior. OCIO helps the Library remain vigilant against these risks by following industry best practices and promoting proactive, disciplined, and rigorous risk avoidance. In fiscal 2016, the OCIO will focus on addressing audit findings to better protect the Library's IT systems and

reduce the risk that the information they contain will be compromised; and integrate consistent security planning, risk management, common controls and remediation actions into IT planning and infrastructure operations. Plan of Action and Milestones addressing Library system-level security weaknesses will be developed and resolved in a timely manner in order to protect IT systems and reduce the risk that the information they contain will be compromised. OCIO will educate IT users on their role in protecting the Library's IT.

OCIO's operating units will drive IT investments towards delivering on the outcomes of the four IT strategic goals.

### **Fiscal 2017 Priority Activities**

OCIO will continue the execution of the four IT strategy goals. Specific focus will be on improving critical data center infrastructure; security protections of our IT assets and information; and continuing to enhance IT services that enable the Library's core businesses. The OCIO has submitted two fiscal 2017 budget requests intended to further protect the Library's IT assets and information and reduce existing primary data center operational risks. The fiscal 2017 budget requests relate to the Library's IT security and data center infrastructure.

As the Library's IT infrastructure is increasingly exposed to multiple sources of cybersecurity threats, the Library needs to enhance IT security protections as the IT infrastructure is modernized to provide continuous coverage and high availability solutions for its customers. IT security enhancements required include updating network access to two-factor authentication and employing dedicated Information System Security Officers within the OCIO. Funding for these security enhancements will enable the Library to better respond to security threats while addressing audit findings.

The IT data center infrastructure needs to sustain secure robust and scalable services independent of location. The Library's business customers require the uninterrupted services of a Tier 3 hosting facility that are serviced at locations designed for redundant hardware capabilities. The Library's Primary Computing Facility, located in the James Madison Memorial Building on Capitol Hill was built in the late 1970's and does not have the facility power and cooling infrastructure to provide uninterrupted services. The September 2015 data center power shutdown necessitated by required annual facility maintenance led to an extended outage of the Library's critical mission systems. With the additional budgetary support requested, the Library will begin migration to a new hosting facility in fiscal 2017.



# Integrated Support Services

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## Integrated Support Services Summary By Object Class (Dollars in Thousands)

| Object Class                                    | Fiscal 2015       |                       | Fiscal 2016<br>Operating<br>Plan | Fiscal<br>2017<br>Request | Fiscal<br>2016/2017<br>Net Change | Percent<br>Change |
|---|-------------------|-----------------------|----------------------------------|---------------------------|-----------------------------------|-------------------|
|   | Operating<br>Plan | Actual<br>Obligations |                                  |                           |                                   |                   |
| 11.1 Full-time permanent                        | \$ 9,870          | \$ 9,537              | \$10,301                         | \$10,589                  | +\$288                            | 2.8%              |
| 11.3 Other than full-time permanent             | 204               | 169                   | 63                               | 64                        | + 1                               | 1.6%              |
| 11.5 Other personnel compensation               | 25                | 95                    | 102                              | 104                       | + 2                               | 2.0%              |
| 12.1 Civilian personnel benefits                | 3,031             | 3,058                 | 3,332                            | 3,616                     | + 284                             | 8.5%              |
| <b>Total, Pay</b>                               | <b>\$13,130</b>   | <b>\$12,859</b>       | <b>\$13,798</b>                  | <b>\$14,373</b>           | <b>+\$575</b>                     | <b>4.2%</b>       |
| 21.0 Travel & transportation of persons         | 0                 | 0                     | 9                                | 9                         | 0                                 | 0.0%              |
| 22.0 Transportation of things                   | 1                 | 0                     | 0                                | 0                         | 0                                 | 0.0%              |
| 23.1 Rental payments to GSA                     | 3,564             | 3,612                 | 4,308                            | 4,409                     | + 101                             | 2.3%              |
| 23.2 Rental payments to others                  | 0                 | 0                     | 260                              | 266                       | + 6                               | 2.3%              |
| 23.3 Communication, utilities & misc charges    | 163               | 130                   | 185                              | 189                       | + 4                               | 2.2%              |
| 24.0 Printing & reproduction                    | 67                | 66                    | 50                               | 51                        | + 1                               | 2.0%              |
| 25.1 Advisory & assistance services             | 62                | 61                    | 66                               | 68                        | + 2                               | 3.0%              |
| 25.2 Other services                             | 3,839             | 3,649                 | 3,878                            | 3,964                     | + 86                              | 2.2%              |
| 25.3 Other purch of gds & services from gov acc | 198               | 8,369                 | 220                              | 216                       | 4                                 | -1.8%             |
| 25.4 Operation & maintenance of facilities      | 6,627             | 9,256                 | 7,012                            | 7,166                     | + 154                             | 2.2%              |
| 25.6 Medical care                               | 11                | 11                    | 1                                | 1                         | 0                                 | 0.0%              |
| 25.7 Operation & maintenance of equipment       | 187               | 183                   | 187                              | 209                       | + 22                              | 11.8%             |
| 26.0 Supplies & materials                       | 110               | 115                   | 77                               | 79                        | + 2                               | 2.6%              |
| 31.0 Equipment                                  | 0                 | 130                   | 38                               | 39                        | + 1                               | 2.6%              |
| <b>Total, Non-Pay</b>                           | <b>\$14,829</b>   | <b>\$25,582</b>       | <b>\$16,291</b>                  | <b>\$16,666</b>           | <b>+\$375</b>                     | <b>2.3%</b>       |
| <b>Total, Integrated Support Services</b>       | <b>\$27,959</b>   | <b>\$38,441</b>       | <b>\$30,089</b>                  | <b>\$31,039</b>           | <b>+\$950</b>                     | <b>3.2%</b>       |

**Integrated Support Services  
Analysis of Change**  
(Dollars in Thousands)

|  | Fiscal 2017<br>Agency Request |                 |
|--|-------------------------------|-----------------|
|  | FTE                           | Amount          |
| <b>Fiscal 2016 Operating Plan</b>                          | <b>136</b>                    | <b>\$30,089</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 2017 @ 2.6% |                               | 274             |
| Annualization of January 2016 pay raise @ 1.46%            |                               | 51              |
| Within-grade increases                                     |                               | 65              |
| FERS agency rate adjustment from 11.9% to 13.7%            |                               | 189             |
| Transit Subsidy Increase from \$230 to \$255               |                               | 18              |
| <b>Total, Mandatory Pay and Related Costs</b>              | <b>0</b>                      | <b>577</b>      |
| <b>Price Level Changes</b>                                 |                               | <b>373</b>      |
| <b>Program Increases</b>                                   | <b>0</b>                      | <b>0</b>        |
| <b>Net Increase/Decrease</b>                               | <b>0</b>                      | <b>\$ 950</b>   |
| <b>Total Budget</b>  | <b>136</b>                    | <b>\$31,039</b> |
| <b>Total Offsetting Collections</b>                        | <b>0</b>                      | <b>0</b>        |
| <b>Total Appropriation</b>                                 | <b>136</b>                    | <b>\$31,039</b> |

# Integrated Support Services

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## FISCAL 2017 BUDGET REQUEST

The Library is requesting a total of **\$31.039 million** for Integrated Support Services in fiscal 2017, an increase of \$0.950 million, or 3.2 percent, over fiscal 2016. This increase supports mandatory pay related and price level increases

Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2015    |          |                    |          | Fiscal 2016    |          | Fiscal 2017 |          | Fiscal 2016/2017 |       | Percent Change |
|-------------------|----------------|----------|--------------------|----------|----------------|----------|-------------|----------|------------------|-------|----------------|
|                   | Operating Plan |          | Actual Obligations |          | Operating Plan |          | Request     |          | Net Change       |       |                |
|                   | FTE            | \$       | FTE                | \$       | FTE            | \$       | FTE         | \$       | FTE              | \$    |                |
| LIBN_ISS          | 136            | \$27,959 | 126                | \$38,441 | 136            | \$30,089 | 136         | \$31,039 | 0                | \$950 | 3.2%           |

## PROGRAM OVERVIEW

Integrated Support Services (ISS) is responsible for the day-to-day and long-term management and oversight of facility operations, space utilization planning, occupational health, logistics, centralized office systems, asset management, and safety services. In partnership with the Architect of the Capitol (AOC), ISS ensures that the buildings and grounds are maintained for Library staff, visitors, and the collections.

### Fiscal 2015 Accomplishments

ISS was organizationally realigned as a unit of the Office of the Librarian's newly created, Office of the Chief Operating Officer in fiscal 2015. ISS executed the Library's annual Facility Plan for service unit projects including modernization of the Law Library Reading Room; automated the delivery of routine services through a Customer Service Portal; and piloted the reengineered facility project planning model. Opportunities for modernizing printing services were identified through customer outreach and consultation. ISS collaborated with the AOC on planning for the construction of Ft. Meade Module 5, development of requirements for a temporary collections storage facility, life safety projects, egress improvements, power supply enhancement projects, and GSA leased facility options. Three new Capitol Hill custodial contracts were awarded. ISS also directed agency-wide health and safety initiatives and training and the agency's administrative copier and records management programs.

### Fiscal 2016 Priority Activities

In fiscal 2016, ISS will implement additional planning and monitoring of facility projects to ensure that requirements in the Library's Multi-Year Facility Project Plan are accomplished on time and within budget. Occupancy planning for Ft. Meade Module

5 will be performed in collaboration with the AOC and stakeholders, and the increase of storage capacity of Library buildings will be accomplished through the replacement of obsolete shelving with more modern, high density solutions. ISS will refine the delivery of automated services through the Facility Automated Management Enterprise (FAME) system; improve the effectiveness of the Library's asset management; expand the Demand Work Order system to all Library organizations; and implement the Reservations and Event Planning modules for Interpretive Services and Public Programs. ISS will continue to update and facilitate agency-wide health and safety training and awareness; and reduce the number of life safety compliance citations to maintain a safe and accessible work environment. A new contract will be awarded to update the agency's managed print services program.

### Fiscal 2017 Priority Activities

ISS will continue to execute the Library's Annual Facility Plan, including providing support for the temporary leased collection storage facility in Cabin Branch, Maryland, and planning the future physical environment of the National Library Service for the Blind and Physically Handicapped (NLS). Construction planning for Ft. Meade Modules 6 and 7 will be performed in collaboration with the AOC and stakeholders. ISS will develop and implement initiatives to increase and update storage capacity in Library buildings. The reengineered facility project planning model, incorporating lessons learned from the fiscal 2016 efforts. The division will investigate the expansion of automated services offered through the FAME system by employing additional modules and will ensure that agency-wide health and safety training and awareness continues to improve. An evaluation will be done of the success of the new process for the agency's managed print services program and any necessary adjustments will be made.



# Office of the Chief Financial Officer

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## Office of the Chief Financial Officer Summary By Object Class (Dollars in Thousands)

| Object Class  | Fiscal 2015       |                       | Fiscal 2016<br>Operating<br>Plan | Fiscal<br>2017<br>Request | Fiscal<br>2016/2017<br>Net Change | Percent<br>Change |
|---|-------------------|-----------------------|----------------------------------|---------------------------|-----------------------------------|-------------------|
|   | Operating<br>Plan | Actual<br>Obligations |                                  |                           |                                   |                   |
| 11.1 Full-time permanent                              | \$ 6,303          | \$ 5,946              | \$ 5,824                         | \$ 5,987                  | +\$ 163                           | 2.8%              |
| 11.3 Other than full-time permanent                   | 33                | 33                    | 34                               | 35                        | + 1                               | 2.9%              |
| 11.5 Other personnel compensation                     | 116               | 90                    | 81                               | 83                        | + 2                               | 2.5%              |
| 12.1 Civilian personnel benefits                      | 1,918             | 1,812                 | 1,790                            | 1,947                     | + 157                             | 8.8%              |
| 13.0 Benefits for former personnel                    | 100               | 47                    | 100                              | 100                       | 0                                 | 0.0%              |
| <b>Total, Pay</b>                                     | <b>\$ 8,470</b>   | <b>\$ 7,928</b>       | <b>\$ 7,829</b>                  | <b>\$ 8,152</b>           | <b>+\$ 323</b>                    | <b>4.1%</b>       |
| 21.0 Travel & transportation of persons               | 16                | 3                     | 12                               | 12                        | 0                                 | 0.0%              |
| 22.0 Transportation of things                         | 1                 | 0                     | 1                                | 1                         | 0                                 | 0.0%              |
| 23.3 Communication, utilities & misc charges          | 6                 | 6                     | 7                                | 7                         | 0                                 | 0.0%              |
| 24.0 Printing & reproduction                          | 18                | 13                    | 15                               | 16                        | + 1                               | 6.7%              |
| 25.1 Advisory & assistance services                   | 1,685             | 2,032                 | 2,055                            | 2,129                     | + 74                              | 3.6%              |
| 25.2 Other services                                   | 370               | 16                    | 1,817                            | 1,317                     | 500                               | -27.5%            |
| 25.3 Other purch of gds & services from gov acc       | 22                | 4                     | 5                                | 5                         | 0                                 | 0.0%              |
| 25.7 Operation & maintenance of equipment             | 507               | 487                   | 633                              | 728                       | + 95                              | 15.0%             |
| 26.0 Supplies & materials                             | 19                | 10                    | 11                               | 11                        | 0                                 | 0.0%              |
| 31.0 Equipment  | 34                | 2                     | 9                                | 10                        | + 1                               | 11.1%             |
| <b>Total, Non-Pay</b>                                 | <b>\$ 2,678</b>   | <b>\$ 2,673</b>       | <b>\$ 4,565</b>                  | <b>\$ 4,236</b>           | <b>-\$ 329</b>                    | <b>-7.2%</b>      |
| <b>Total, Office of the Chief Information Officer</b> | <b>\$11,148</b>   | <b>\$10,501</b>       | <b>\$12,394</b>                  | <b>\$12,388</b>           | <b>-\$ 6</b>                      | <b>0.0%</b>       |

**Office of the Chief Financial Officer**  
**Analysis of Change**  
(Dollars in Thousands)

|  | <b>Fiscal 2017<br/>Agency Request</b> |                 |
|--|---------------------------------------|-----------------|
|  | <b>FTE</b>                            | <b>Amount</b>   |
| <b>Fiscal 2016 Operating Plan</b>                          | <b>55</b>                             | <b>\$12,394</b> |
| <b>Non-recurring Costs:</b>                                |                                       |                 |
| One time costs for Financial Management Study              |                                       | 500             |
| <b>Total, Non-recurring Costs</b>                          | <b>0</b>                              | <b>500</b>      |
| <b>Mandatory Pay and Related Costs:</b>                    |                                       |                 |
| Locality-based comparability pay raise January 2017 @ 2.6% |                                       | 156             |
| Annualization of January 2016 pay raise @ 1.46%            |                                       | 29              |
| Within-grade increases                                     |                                       | 37              |
| FERS agency rate adjustment from 11.9% to 13.7%            |                                       | 96              |
| Transit Subsidy Increase from \$230 to \$255               |                                       | 6               |
| <b>Total, Mandatory Pay and Related Costs</b>              | <b>0</b>                              | <b>324</b>      |
| <b>Price Level Changes</b>                                 |                                       | <b>170</b>      |
| <b>Program Increases</b>                                   | <b>0</b>                              | <b>0</b>        |
| <b>Net Increase/Decrease</b>                               | <b>0</b>                              | <b>- 6</b>      |
| <b>Total Budget</b>  | <b>55</b>                             | <b>\$12,388</b> |
| <b>Total Offsetting Collections</b>                        | <b>0</b>                              | <b>0</b>        |
| <b>Total Appropriation</b>                                 | <b>55</b>                             | <b>\$12,388</b> |

# Office of the Chief Financial Officer

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## FISCAL 2017 BUDGET REQUEST

The Library is requesting a total of **\$12.388 million** for the Office of the Chief Financial Officer in fiscal 2017, a decrease of \$0.006 million, or less than 0.1 percent, difference from fiscal 2016. This decrease represents \$0.494 million for mandatory pay related and price level increases, and non-recurring reduction of [-\$0.500] million for the one-time costs for the Financial Management System Study.

Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2015    |          |                    |          | Fiscal 2016    |          | Fiscal 2017 |          | Fiscal 2016/2017 |      | Percent Change |
|-------------------|----------------|----------|--------------------|----------|----------------|----------|-------------|----------|------------------|------|----------------|
|                   | Operating Plan |          | Actual Obligations |          | Operating Plan |          | Request     |          | Net Change       |      |                |
|                   | FTE            | \$       | FTE                | \$       | FTE            | \$       | FTE         | \$       | FTE              | \$   |                |
| LIBN_OCFO         | 60             | \$11,148 | 55                 | \$10,501 | 55             | \$12,394 | 55          | \$12,388 | 0                | -\$6 | 0.0%           |

## PROGRAM OVERVIEW

The Office of the Chief Financial Officer (OCFO) is responsible for the formulation, execution, and presentation of the Library's budget and provides accounting, travel, disbursing, financial systems, and reporting services for the Library's appropriated, gift, trust, revolving, and reimbursable funds. This office serves as liaison for the Library of Congress with the House and Senate Committees on Appropriations, Office of Management and Budget, Department of the Treasury, and Government Accountability Office in areas relating to financial functions. OCFO hosts the Legislative Branch Financial Management System for five agencies (Library of Congress, United States Capitol Police, Congressional Budget Office, Office of Compliance, and Open World Leadership Center) and will integrate a sixth, Architect of the Capitol, in fiscal 2016.

### Fiscal 2015 Accomplishments

In May 2015, OCFO successfully accomplished the migration of the Momentum financial system, now known as the Legislative Branch Financial Management System (LBFMS), to a cloud service provider. Staff focused over the remaining months of the year on the migration of the Architect of the Capitol's (AOC) financial data into the LBFMS environment and the upgrade of the system to Momentum version 7.0.3.

Following the Librarian's announcement of an organizational realignment on May 18, 2015, the office negotiated the allocation of staff and funding to the new organizations; created the new funding structure; and established new organization codes

for each employee in the financial, human resources, time and attendance, and budget systems. More than 15,000 user profile and organizational setup changes were made in the financial system to complete the realignment. OCFO was organizationally realigned as a unit of the newly created Office of the Librarian, Office of the Chief Operating Officer (OCCO).

OCFO facilitated a dialogue between Library Services, the Office of Support Operations/Integrated Support Services, and the AOC to confirm a strategy for addressing the Library's urgent need for temporary collections storage. A funding request was included in the fiscal 2016 congressional budget justification, and significant internal resources were reprogrammed in fiscal 2015, which allowed the Library to lease and outfit an interim collection storage facility in Cabin Branch, Maryland with an environment comparable to the Library's Capitol Hill facilities.

The Strategic Planning Office, which was realigned in fiscal 2016 to the Office of the Librarian/COS, worked closely with Library senior management and completed the draft Fiscal 2016 – 2020 Strategic Plan. It continued to facilitate Library-wide strategic planning, annual planning, performance management and assessment, and risk management process to ensure the Library's objectives were met.

### Fiscal 2016 Priority Activities

The integration of the AOC's financial data into the LBFMS was completed in December 2015. In the following months, the office will provide focused training on new Momentum functionality that will become available as a result of the version 7.0.3

upgrade. The Department of the Treasury's Invoice Processing Platform system will be implemented in the fourth quarter to allow for the receipt of vendor invoices electronically. Market research of federal financial systems and a cost-benefit analysis will be conducted to identify the best future alternative(s) to pursue before the current blanket purchase agreement with the LBFMS vendor expires in fiscal 2018. The two-year process of upgrading the LBFMS to the next version of Momentum will begin.

OCFO and the Office of the Chief Information Officer (OCIO) will conduct an analysis of options for the existing Financial Report System (FRS) currently used by legislative branch staff to obtain management reports from the financial system. An upgraded FRS is needed to take advantage of new reporting technology that will provide the most useful information to support management decisions. In addition, the tracking of IT expenditures through the financial system will begin in response to findings in a Government Accountability Office report on the Library's management of information technology resources. These expenditures also will be tracked through the Library of Congress Budget System.

### **Fiscal 2017 Priority Activities**

OCFO will continue to perform its core functions of Library financial management and liaison with the House and Senate Committees on Appropriations and other federal agencies. Operation of the financial system and hosting the LBFMS will continue to be a major focus. The financial data from the Medicare Payment Advisory Commission (MEDPAC) will be migrated into the LBFMS, making it the seventh entity to join the system. The planning, design, and initial configuration for the next upgrade of the LBFMS will be completed, with final configuration, testing, and deployment to take place in fiscal 2018.

In a collaborative effort with LBFMS partners, evaluation of a Government-wide e-Travel system available through the General Services Administration will be performed, in order to automate and streamline manual processes and provide a fully consistent application of agency travel policies and procedures.



# Library Services

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## Library Services Resource Summary (Dollars in Thousands)

| Appropriation/PPA                                      | Fiscal 2015       |                  |                       |                  | Fiscal 2016 Oper-<br>ating Plan |                  | Fiscal<br>2017<br>Request |                  | Fiscal<br>2016/2017<br>Net Change |                 | Percent<br>Change |
|--|-------------------|------------------|-----------------------|------------------|---------------------------------|------------------|---------------------------|------------------|-----------------------------------|-----------------|-------------------|
|  | Operating<br>Plan |                  | Actual<br>Obligations |                  |                                 |                  |                           |                  |                                   |                 |                   |
|  | FTE               | \$               | FTE                   | \$               | FTE                             | \$               | FTE                       | \$               | FTE                               | \$              | %                 |
| <b>Associate Librarian for Library Services (ALLS)</b> |                   |                  |                       |                  |                                 |                  |                           |                  |                                   |                 |                   |
| ALLS   | 29                | \$ 9,387         | 38                    | \$ 7,618         | 27                              | \$ 10,117        | 27                        | \$ 10,431        | 0                                 | \$ 314          | 3.1%              |
| American Folklife Center                               | 22                | 2,963            | 19                    | 2,674            | 22                              | 2,971            | 22                        | 3,087            | 0                                 | 116             | 3.9%              |
| Veterans History Project                               | 19                | 2,041            | 17                    | 1,957            | 19                              | 1,888            | 19                        | 1,964            | 0                                 | 76              | 4.0%              |
| Civil Rights History Project                           | 1                 | 226              | 1                     | 205              | 0                               | 0                | 0                         | 0                | 0                                 | 0               | 0.0%              |
| <b>Total, ALLS</b>                                     | <b>71</b>         | <b>\$ 14,617</b> | <b>75</b>             | <b>\$ 12,454</b> | <b>68</b>                       | <b>\$ 14,976</b> | <b>68</b>                 | <b>\$ 15,482</b> | <b>0</b>                          | <b>\$ 506</b>   | <b>3.4%</b>       |
| <b>Acquisitions and Bibliographic Access (ABA)</b>     |                   |                  |                       |                  |                                 |                  |                           |                  |                                   |                 |                   |
| Total, Acq & Bib Acc                                   | 454               | \$ 67,020        | 433                   | \$ 66,897        | 454                             | \$ 69,711        | 454                       | \$ 72,618        | 0                                 | \$ 2,907        | 4.2%              |
| Purchase of Library Materials                          | 0                 | 15,715           | 0                     | 17,620           | 0                               | 15,716           | 0                         | 16,223           | 0                                 | 507             | 3.2%              |
| <b>Total, ABA</b>                                      | <b>454</b>        | <b>\$ 82,735</b> | <b>433</b>            | <b>\$ 84,517</b> | <b>454</b>                      | <b>\$ 85,427</b> | <b>454</b>                | <b>\$ 88,841</b> | <b>0</b>                          | <b>\$ 3,414</b> | <b>4.0%</b>       |
| <b>Collections and Services (CS)</b>                   |                   |                  |                       |                  |                                 |                  |                           |                  |                                   |                 |                   |
| Collections & Services                                 | 502               | \$ 59,025        | 462                   | \$ 57,388        | 527                             | \$ 62,588        | 527                       | \$ 64,417        | 0                                 | \$ 1,829        | 2.9%              |
| Packard Campus   | 110               | 18,592           | 105                   | 17,815           | 110                             | 17,675           | 110                       | 18,303           | 0                                 | 628             | 3.6%              |
| <b>Total, Collections &amp; Services</b>               | <b>612</b>        | <b>\$ 77,617</b> | <b>567</b>            | <b>\$ 75,203</b> | <b>637</b>                      | <b>\$ 80,263</b> | <b>637</b>                | <b>\$ 82,720</b> | <b>0</b>                          | <b>\$ 2,457</b> | <b>3.1%</b>       |
| <b>Partnerships and Outreach Programs (POP)</b>        |                   |                  |                       |                  |                                 |                  |                           |                  |                                   |                 |                   |
| Total, Part & Outreach Prgm                            | 53                | \$ 6,053         | 50                    | \$ 6,107         | 0                               | \$ 0             | 0                         | \$ 0             | 0                                 | \$ 0            | 0.0%              |
| <b>Preservation (PRES)</b>                             |                   |                  |                       |                  |                                 |                  |                           |                  |                                   |                 |                   |
| Preservation   | 96                | \$ 15,789        | 90                    | \$ 15,687        | 96                              | \$ 16,280        | 96                        | \$ 16,847        | 0                                 | \$ 557          | 3.4%              |
| Mass Deacid Prgm                                       | 0                 | 5,500            | 0                     | 5,500            | 0                               | 5,500            | 0                         | 5,621            | 0                                 | 121             | 2.2%              |
| <b>Total, Preservation</b>                             | <b>96</b>         | <b>\$ 21,289</b> | <b>90</b>             | <b>\$ 21,187</b> | <b>96</b>                       | <b>\$ 21,790</b> | <b>96</b>                 | <b>\$ 22,468</b> | <b>0</b>                          | <b>\$ 678</b>   | <b>3.1%</b>       |
| <b>Technology Policy (TECH)</b>                        |                   |                  |                       |                  |                                 |                  |                           |                  |                                   |                 |                   |
| Technology Policy                                      | 42                | \$ 7,641         | 31                    | \$ 7,411         | 60                              | \$ 11,428        | 75                        | \$ 13,831        | 15                                | \$ 2,403        | 21.0%             |
| <b>Total, Library Services (LS)</b>                    |                   |                  |                       |                  |                                 |                  |                           |                  |                                   |                 |                   |
| Total, Library Services                                | 1,328             | \$ 209,952       | 1,246                 | \$ 206,879       | 1,315                           | \$ 213,884       | 1,330                     | \$ 223,342       | 15                                | \$ 8,458        | 4.4%              |

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

| Object Class                                    | Fiscal 2015       |                       | Fiscal 2016<br>Operating<br>Plan | Fiscal<br>2017<br>Request | Fiscal<br>2016/2017<br>Net Change | Percent<br>Change |
|---|-------------------|-----------------------|----------------------------------|---------------------------|-----------------------------------|-------------------|
|   | Operating<br>Plan | Actual<br>Obligations |                                  |                           |                                   |                   |
| 11.1 Full-time permanent                        | \$112,081         | \$107,998             | \$111,055                        | \$115,732                 | +\$4,677                          | 4.2%              |
| 11.3 Other than full-time permanent             | 2,938             | 2,956                 | 3,979                            | 4,090                     | + 111                             | 2.8%              |
| 11.5 Other personnel compensation               | 1,109             | 1,910                 | 2,126                            | 2,186                     | + 60                              | 2.8%              |
| 12.1 Civilian personnel benefits                | 32,802            | 33,068                | 32,984                           | 36,434                    | + 3,450                           | 10.5%             |
| <b>Total, Pay</b>                               | <b>\$148,930</b>  | <b>\$145,932</b>      | <b>\$150,144</b>                 | <b>\$158,442</b>          | <b>+\$8,298</b>                   | <b>5.5%</b>       |
| 21.0 Travel & transportation of persons         | 779               | 692                   | 793                              | 827                       | + 34                              | 4.3%              |
| 22.0 Transportation of things                   | 516               | 186                   | 316                              | 325                       | + 9                               | 2.8%              |
| 23.1 Rental payments to GSA                     | 56                | 39                    | 15                               | 17                        | + 2                               | 13.3%             |
| 23.2 Rental payments to others                  | 261               | 302                   | 278                              | 294                       | + 16                              | 5.8%              |
| 23.3 Communication, utilities & misc charges    | 817               | 604                   | 578                              | 597                       | + 19                              | 3.3%              |
| 24.0 Printing & reproduction                    | 1,633             | 1,588                 | 1,862                            | 1,905                     | + 43                              | 2.3%              |
| 25.1 Advisory & assistance services             | 8,256             | 8,935                 | 7,516                            | 7,681                     | + 165                             | 2.2%              |
| 25.2 Other services                             | 9,914             | 9,162                 | 11,460                           | 11,744                    | + 284                             | 2.5%              |
| 25.3 Other purch of gds & services from gov acc | 5,347             | 5,432                 | 7,725                            | 7,877                     | + 152                             | 2.0%              |
| 25.4 Operation & maintenance of facilities      | 6                 | 4                     | 6                                | 6                         | 0                                 | 0.0%              |
| 25.7 Operation & maintenance of equipment       | 3,287             | 2,607                 | 3,412                            | 3,639                     | + 227                             | 6.7%              |
| 25.8 Subsistence & support of persons           | 9                 | 5                     | 12                               | 12                        | 0                                 | 0.0%              |
| 26.0 Supplies & materials                       | 1,954             | 1,704                 | 1,738                            | 1,788                     | + 50                              | 2.9%              |
| 31.0 Equipment                                  | 27,422            | 28,689                | 27,599                           | 27,736                    | + 137                             | 0.5%              |
| 41.0 Grants, subsidies & contributions          | 629               | 629                   | 100                              | 102                       | + 2                               | 2.0%              |
| 42.0 Insurance claims & indemnities             | 0                 | 227                   | 0                                | 0                         | 0                                 | 0.0%              |
| 94.0 Financial transfers                        | 136               | 142                   | 330                              | 350                       | + 20                              | 6.1%              |
| <b>Total, Non-Pay</b>                           | <b>\$ 61,022</b>  | <b>\$ 60,947</b>      | <b>\$ 63,740</b>                 | <b>\$ 64,900</b>          | <b>+\$1,160</b>                   | <b>1.8%</b>       |
| <b>Total, Library Services</b>                  | <b>\$209,952</b>  | <b>\$206,879</b>      | <b>\$213,884</b>                 | <b>\$223,342</b>          | <b>+\$9,458</b>                   | <b>4.4%</b>       |

**Library Services**  
**Analysis of Change**  
(Dollars in Thousands)

|  | Fiscal 2017<br>Agency Request |                  |
|--|-------------------------------|------------------|
|  | FTE                           | Amount           |
| <b>Fiscal 2016 Operating Plan</b>                              | 1,315                         | \$213,884        |
| <b>Non-recurring Costs:</b>                                    |                               |                  |
| Start-up equipment for National Collection Stewardship Program |                               | - 652            |
| <b>Total, Non-recurring Costs</b>                              | <b>0</b>                      | <b>652</b>       |
| <b>Mandatory Pay and Related Costs:</b>                        |                               |                  |
| Locality-based comparability pay raise January 2017 @ 2.6%     |                               | 2,938            |
| Annualization of January 2016 pay raise @ 1.46%                |                               | 548              |
| Within-grade increases   |                               | 693              |
| Foreign Service Nationals (FSN) pay adjustment                 |                               | 375              |
| FERS agency rate adjustment from 11.9% to 13.7%                |                               | 1,808            |
| Transit Subsidy Increase from \$230 to \$255                   |                               | 122              |
| <b>Total, Mandatory Pay and Related Costs</b>                  | <b>0</b>                      | <b>6,484</b>     |
| <b>Price Level Changes</b>                                     |                               | <b>1,757</b>     |
| <b>Program Increases:</b>                                      |                               |                  |
| Library Services Digital Collections Management                | 11                            | 1,348            |
| Library Serv Next Gen Integrated Library Mgmt System Project   | 4                             | 521              |
| <b>Total, Program Increases</b>                                | <b>15</b>                     | <b>1,869</b>     |
| <b>Net Increase/Decrease</b>                                   | <b>15</b>                     | <b>\$ 9,458</b>  |
| <b>Total Budget</b>  | <b>1,330</b>                  | <b>\$223,342</b> |
| <b>Total Offsetting Collections</b>                            | <b>0</b>                      | <b>0</b>         |
| <b>Total Appropriation</b>                                     | <b>1,330</b>                  | <b>\$223,342</b> |

## Fiscal 2017 Program Changes: \$1.869 million

### Digital Collections Management:

**\$1.348 million/11 FTEs**

The Library requests funding of \$1.348 million and 11 FTEs to support the establishment of a new digital content management unit within Library Services that will be responsible for collecting and managing content for the Library's collections in digital formats. After the fiscal 2015 realignment of the Office of Strategic Initiatives (OSI), the Library reevaluated its fiscal 2016 request for funding to establish the unit, and is requesting less funding and fewer positions this year. The realignment allowed the Library to consolidate digital content support functions into one organization—the Technology Policy Directorate within Library Services. Nine permanent staff transferred from OSI will be assigned to the new unit. However, there is a critical need for additional resources if the Library is to successfully manage the rapidly increasing volume of digital content acquired for the Library's collection.

The pace of digital collecting at the Library has accelerated beyond current capabilities. Last year, the Library's web archives were more than triple their size in 2010, with the amount of harvested content increasing by an average of 32 percent each year during that period. Electronic serials received through mandatory deposit now number 1,400+ titles, comprising over two million files, compared to the 79 titles and 91,000 files received as of the end of 2011. Over 4,200 eBooks were added to the collection through the Cataloging-in-Publication program in fiscal 2015, compared to 67 in the previous year—a 6200+ percent increase.

Today, the Library has few staff in processing and curatorial areas who can be dedicated to the management of incoming digital materials, as most existing positions are needed for the considerable volume of physical materials still coming into the Library. Among other activities, the unit will be responsible for institutionalizing workflows and processes supporting the full lifecycle management of digital collections content, whether that content has been produced through the Library's digitization programs or acquired from external sources. The unit will codify and communicate digital content best practices, provide training to staff throughout the Library, and work with Office of the Chief Information Officer to develop the Library's technical capacity to collect, preserve, and deliver digital collections. The unit will require a division chief in order to be a fully functioning unit.

#### The Digital Content Management Unit

- Will focus on expanding the Library's acquisition, management, and preservation of digital collections.

Will assume responsibility for key born digital acquisitions programs and digital materials not supported elsewhere in the Library, including web archiving.

This request is for funding for key baseline supervisory and staff positions, including a chief, supervisory librarian, and sufficient staff to address anticipated needs over the next three years. While nine positions previously in OSI have been transferred to the Technology Policy Directorate, staff occupying those positions are already actively engaged in work that directly supports the creation, collecting and management of digital content. The Library requires additional resources to address increasing demand of collections processing, metadata creation, curation, training, and support that cannot be met with the resources on hand.

#### Organizational Structure and Roles and Responsibilities

\$1.299 million for the following eleven positions will provide the basic services needed to implement the new organization:

1. **Chief (one – GS 15)**

The Chief will be responsible for overall management of digital collections policies and activities.

2. **Supervisory Librarian (one – GS 14)**

The Supervisory Librarian will plan and assign work, manage staff, and oversee new projects.

3. **Senior Digital Librarian (two – GS 13)**

The Senior Digital Librarians will be responsible for ensuring that digital collections in the custodial care of the unit are properly ingested, described, inventoried, stored, and monitored for current and future access and use. The work will include designing new workflows acquiring and managing collection materials.

4. **Digital Librarians (three – GS 9/11/12)**

The Digital Librarians will support the lifecycle management of digital materials within the unit. The work will include managing projects, developing guidelines, trouble-shooting existing workflows, and assisting other custodial staff to process digital collections.

5. **Digital Technicians (four – GS 6/7/8)**

The Digital Library Technicians will be responsible for the day-to-day flow of material into the Library,

including ingesting new content, adding metadata, and executing workflows for digital collections maintained by the digital management unit.

Non-pay of \$49,000 will support travel, training, and other administrative costs associated with the requested FTEs.

The request represents the minimum staffing judged to be needed to sustain digital collections over the next three years. As the Library's technical capacities improve and acquisition and delivery of digital collections increases, the number of staff within the new unit also will likely need to be augmented.

## Next Gen. Integrated Library Mgmt System Project: \$0.521 million/4 FTEs

The Library is requesting funding of \$521,000 and four, Not-To-Exceed two years, FTEs for a two-year study to develop an inventory of metadata related to the Library's collections; gather requirements from all of the Library's service units; and develop a Request for Information (RFI) for a next generation library management system. The results of this study will inform a project to migrate the Library's Integrated Library System (ILS) to a next generation system that will electronically manage the Library's collection, make Copyright records available to the public, and provide discovery and delivery of the Library's collections to users worldwide.

The ILS has been in place since 1999 and has grown and improved to accommodate the needs of the Library. However, since the ILS was implemented, the Library's requirements have evolved, most notably in the area of the management of electronic resources and descriptive metadata.

The existing ILS is a MARC-based system (Machine-readable Cataloging). Since 1999, the Library's standards for descriptive metadata have evolved beyond the MARC standard for descriptive metadata. The Library currently uses MODS (Metadata Object Description Schema) and will soon start using linked open data in support of the Bibliographic Framework Initiative (BIBFRAME). Both of these standards are not currently supported in the ILS, nor does the software vendor have plans to develop such functionality.

Furthermore, the Library's current ILS software vendor has indicated that it intends to migrate all current customers to its next generation library management system within the next six to eight years. This means that within the next 10 years, the vendor is likely to cease support for its legacy ILS product. A mission-critical enterprise system cannot sustain the high level of risk associated with functioning on unsupported software. In addition, the Library is committed to following its System Development Life Cycle, which requires the institution to utilize supported software. To ensure that it will have continual support, the Library must begin planning now to implement its next generation library management system. The data mapping and

requirements gathering in Phase One will enable the Library to begin that process.

The Library currently uses a separate system, the Electronic Resource Management System (ERMS) to manage the descriptive metadata and coverage data for approximately \$4.5 million worth of licensed electronic content. *Descriptive metadata* describes elements such as title, abstract, author, and keywords, while *coverage data* describes a spatial location or temporal period. Every month the ILS Program Office loads coverage data representing the dynamic changes in titles and issues of e-journals, e-books and other electronic resources. The ERMS currently contains approximately 1.1 million bibliographic records for licensed and free electronic resources. The ERMS is, in effect, a second ILS that is needed because Voyager, the Library's main ILS software, does not have the functionality to support the management and delivery of licensed electronic resources. The next generation library management system should accommodate this functionality and enable elimination of the ERMS.

The two-year requested effort will examine the business needs that are not currently supported in the ILS in order to develop requirements for the next system. It will also deliver an inventory of the Library's descriptive metadata and an analysis and plan for migration of the data to the existing ILS, or, alternatively, prepare the data for the next generation library management system. Finally, Library staff will gather requirements from stakeholders for the next generation library management system in order to issue a Request for Information (RFI) in fiscal 2019.

### Requirements for Next Generation Library Management System

- **Management of Digital Content**

Although the ILS currently integrates with the Delivery Management System (DMS) which supports Copyright e-deposit for e-journals, further integration with the Library's developing repository services will be critical to managing the deluge of electronic content coming to the Library. This study will gather requirements for application

program interfaces the Library's repository services need to create and manage metadata and inventory information for the Library's digital collections.

- **Financial Data Requirements and Integration with Financial Systems**

The Library's ILS is the official record and audit trail for financial transactions involving acquisitions in the amount of approximately \$20 million. As federal requirements for monitoring financial activity evolve, the next generation library management system must provide reporting tools to support those requirements. In fiscal 2016, The Library plans to implement the Internet Payment Platform (IPP) a web-based vendor payment application provided free of charge by Department of Treasury. The implementation of IPP will require changes in the processing of payments to vendors—changes that the Library's current ILS cannot accommodate. As these requirements evolve, it is crucial that the Library anticipate and understand them.

- **Achieving Greater Efficiency**

The existing ILS serves the Library well but does not take full advantage of modern technology. New IT platforms enable flexibility that will broaden rather than limit future choices. The next generation library management system should enable the Library to adapt quickly to changing technologies and be responsive to new or changed requirements. This may mean a move toward a distributed, open model for networking and computing, which would include interchangeable, vendor-independent components and use of standard protocols and systems that are interoperable with commodity hardware.

### **Alignment with the Library's Enterprise Architecture**

As a mission-critical system, the next generation library management system must be implemented in alignment with the Library's established enterprise architecture.

In summary, this study for the next generation library management system will provide a path for the Library to plan for its next enterprise system. This system will support the acquisition and description of collections material; improve inventory and security of the collections; and make information about the collections and Copyright records available to the public on the Web.

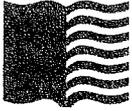
### **Organizational Structure and Roles and Responsibilities**

The requested NTE FTEs will be assigned to the ILS Program Office. They will non-recur in fiscal 2019.

#### **1. Digital Project Coordinator (four – GS 14)**

The Digital Project Coordinators will develop an inventory of metadata that is not currently in the ILS; gather requirements from stakeholders in LS, the Law Library, the Copyright Office, Congressional Research Service, and the Office of the Chief Information Officer; and draft a Request for Information (RFI) for the Library's next generation library management system.

Non-pay funding of \$7,000 is also requested for equipment and training costs.



# 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 2015       |                       | Fiscal 2016<br>Operating<br>Plan | Fiscal<br>2017<br>Request | Fiscal<br>2016/2017<br>Net Change | Percent<br>Change |
|--|-------------------|-----------------------|----------------------------------|---------------------------|-----------------------------------|-------------------|
|  | Operating<br>Plan | Actual<br>Obligations |                                  |                           |                                   |                   |
| 11.1 Full-time permanent                               | \$ 6,317          | \$ 6,635              | \$ 6,477                         | \$ 6,658                  | +\$181                            | 2.8%              |
| 11.3 Other than full-time permanent                    | 190               | 146                   | 136                              | 140                       | + 4                               | 2.9%              |
| 11.5 Other personnel compensation                      | 127               | 64                    | 136                              | 140                       | + 4                               | 2.9%              |
| 12.1 Civilian personnel benefits                       | 1,820             | 2,019                 | 1,929                            | 2,108                     | + 179                             | 9.3%              |
| <b>Total, Pay</b>                                      | <b>\$ 8,454</b>   | <b>\$ 8,864</b>       | <b>\$ 8,678</b>                  | <b>\$ 9,046</b>           | <b>+\$368</b>                     | <b>4.2%</b>       |
| 21.0 Travel & transportation of persons                | 120               | 124                   | 159                              | 163                       | + 4                               | 2.5%              |
| 22.0 Transportation of things                          | 150               | 77                    | 85                               | 87                        | + 2                               | 2.4%              |
| 23.3 Communication, utilities & misc charges           | 241               | 220                   | 63                               | 64                        | + 1                               | 1.6%              |
| 24.0 Printing & reproduction                           | 288               | 254                   | 757                              | 773                       | + 16                              | 2.1%              |
| 25.1 Advisory & assistance services                    | 1,073             | 642                   | 763                              | 780                       | + 17                              | 2.2%              |
| 25.2 Other services                                    | 1,206             | 668                   | 1,698                            | 1,736                     | + 38                              | 2.2%              |
| 25.3 Other purch of gds & services from gov acc        | 225               | 206                   | 209                              | 214                       | + 5                               | 2.4%              |
| 25.7 Operation & maintenance of equipment              | 169               | 161                   | 171                              | 174                       | + 3                               | 1.8%              |
| 25.8 Subsistence & support of persons                  | 9                 | 5                     | 12                               | 12                        | 0                                 | 0.0%              |
| 26.0 Supplies & materials                              | 125               | 72                    | 161                              | 165                       | + 4                               | 2.5%              |
| 31.0 Equipment   | 2,458             | 1,062                 | 2,120                            | 2,166                     | + 46                              | 2.2%              |
| 41.0 Grants, subsidies & contributions                 | 99                | 99                    | 100                              | 102                       | + 2                               | 2.0%              |
| <b>Total, Non-Pay</b>                                  | <b>\$ 6,163</b>   | <b>\$ 3,590</b>       | <b>\$ 6,298</b>                  | <b>\$ 6,436</b>           | <b>+\$138</b>                     | <b>2.2%</b>       |
| <b>Total, Associate Librarian for Library Services</b> | <b>\$14,617</b>   | <b>\$12,464</b>       | <b>\$14,976</b>                  | <b>\$15,482</b>           | <b>+\$506</b>                     | <b>3.4%</b>       |

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**Associate Librarian for Library Services**  
**Analysis of Change**  
(Dollars in Thousands)

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|  | Fiscal 2017<br>Agency Request |                 |
|--|-------------------------------|-----------------|
|  | FTE                           | Amount          |
| <b>Fiscal 2016 Operating Plan</b>                          | <b>68</b>                     | <b>\$14,976</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 2017 @ 2.6% |                               | 177             |
| Annualization of January 2016 pay raise @ 1.46%            |                               | 33              |
| Within-grade increases                                     |                               | 42              |
| FERS agency rate adjustment from 11.9% to 13.7%            |                               | 109             |
| Transit Subsidy Increase from \$230 to \$255               |                               | 7               |
| <b>Total, Mandatory Pay and Related Costs</b>              | <b>0</b>                      | <b>368</b>      |
| <b>Price Level Changes</b>                                 |                               | <b>138</b>      |
| <b>Program Increases</b>                                   | <b>0</b>                      | <b>0</b>        |
| <b>Net Increase/Decrease</b>                               | <b>0</b>                      | <b>\$ 506</b>   |
| <b>Total Budget</b>  | <b>68</b>                     | <b>\$15,482</b> |
| <b>Total Offsetting Collections</b>                        | <b>0</b>                      | <b>0</b>        |
| <b>Total Appropriation</b>                                 | <b>68</b>                     | <b>\$15,482</b> |

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# Associate Librarian for Library Services

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## FISCAL 2017 BUDGET REQUEST

The Library is requesting a total of **\$15.482 million** for the Office of the Associate Librarian for Library Services in fiscal 2017, an increase of \$0.506 million, or 3.4 percent, over fiscal 2016. This increase supports mandatory pay related and price level increases.

Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2015       |          |                       |          | Fiscal 2016<br>Operating Plan |          | Fiscal<br>2017<br>Request |          | Fiscal<br>2016/2017<br>Net Change |       | Percent<br>Change |
|-------------------|-------------------|----------|-----------------------|----------|-------------------------------|----------|---------------------------|----------|-----------------------------------|-------|-------------------|
|                   | Operating<br>Plan |          | Actual<br>Obligations |          |                               |          |                           |          |                                   |       |                   |
|                   | FTE               | \$       | FTE                   | \$       | FTE                           | \$       | FTE                       | \$       | FTE                               | \$    | %                 |
| LS_ALLS           | 71                | \$14,617 | 75                    | \$12,454 | 68                            | \$14,976 | 68                        | \$15,482 | 0                                 | \$506 | 3.4%              |

## PROGRAM OVERVIEW

The Office of the Associate Librarian for Library Services (ALLS) plans, coordinates, and leads the activities of four Library Services (LS) directorates: Acquisitions and Bibliographic Access, Collections and Services, Preservation, and Technology Policy. Additionally, ALLS is the organizational location of the American Folklife Center (AFC) and the Veterans History Project (VHP).

Under the leadership of the Associate Librarian, ALLS programs use a framework for LS program management to meet five service unit-specific strategic goals regarding the Library's universal collection of knowledge and creativity:

- **Acquire** – encompassing activities that result in new collection content or material being available to Library users;
- **Describe** – involving activities that result in metadata about items or collections, and characterizations or summaries of content or material so that it can be more easily discovered;
- **Secure** – covering activities related to the processing and management of physical and digital objects in conditions that facilitate access and long-term use;
- **Serve** – including activities that result in the Library's collections being made accessible to users; and
- **Preserve** – involving activities that result in collections being available to future generations of library users.

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.

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 multi-format 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 99,000 narrative collections. Appendix B provides additional information on these two programs.

## Fiscal 2015 Accomplishments

ALLS highest priority continued to be acquiring, describing, securing, serving and preserving the Library's record of America's creativity and the world's knowledge regardless of format, providing the

most effective methods of connecting users to the collections and providing leadership and services to the library and information communities. ALLS continued to manage the assessment of funding priorities during the annual budget formulation process based on internal priorities and operational considerations.

The Library's realignment moderately reduced the size of LS and significantly sharpened its scope. By moving business units, services for the Blind and Physically Handicapped, and outreach functions to the new National and International Outreach service unit, LS's remaining divisions and directorates now are aligned exclusively around the Library's collections. By bringing in digital collections staff from the former Office of Strategic Initiatives, LS's capacity to acquire, describe, secure, serve, and preserve its steadily growing digital collections was increased. Much of the year was spent managing administrative aspects of the realignment. With that work completed by the end of the year, ALLS was able to move its focus to optimizing staff and services for building, maintaining, and providing access to the national collection. This included making some strategic staffing decisions, replenishing language, subject, and technical expertise in divisions that had lost staff over the last several years.

The Library continues to face an ongoing space shortage that impacts the accessibility and condition of its materials. The construction of additional Ft. Meade collections storage and preservation modules is the optimal solution from an inventory and preservation view, but in the meantime, in fiscal 2015, the Library has addressed the overflow through a number of interim measures.

- Approximately 92,500 items were withdrawn from the collection through the Additional Service Copy (ASC) program.
- The Library shelved approximately 485,000 items using fixed location arrangement.
- Almost 48,000 combined linear feet of space efficient compact shelving were installed in structurally suitable areas of the James Madison Memorial Building and at the Packard Campus for Audio-Video Conservation.
- Through an inter-agency agreement with the Architect of the Capitol (AOC), the Library transferred funding and signed a five-year lease with option years for temporary storage and staging space that may house more than three million processed books from Capitol Hill and as many as 900 pallets of unprocessed collections from Landover.

Previously available only to staff, eDeposit Program e-serials that were acquired through Copyright were made available for onsite public access for the first time in fiscal 2015. Through dedicated secure workstations, a user can browse, search, and view the content from more than 84,000 articles in more than 13,000 serial issues from 295 publications, with more articles, issues, and publications added as the program grows.

The Collection Development Office (CDO) was fully staffed in fiscal 2015. Staff assessed and analyzed the Library's current compilation and reporting procedures for digital and analog collections usage data and, in a final report submitted to the Associate Librarian, made recommendations for a system to compile the data more fully and report it in an integrated manner. CDO also proposed a cycle program to review and revise the Library's Collection Policy Statements that guide acquisition of new material.

In recognition of 15 years of the VHR, the project spotlighted the rich depth and breadth of the existing collections and took the opportunity to further inspire, instruct, and engage volunteer participants to ensure that future development of collections meet researcher needs. Major accomplishments included a joint publication released with the Oral History Association; "Doing Veterans Oral History," designed to enrich student, novice, and volunteer VHP efforts and help elevate their collections to the standards and best practices most aligned with researcher needs. The guide is being dispersed in the educational, scholarly, humanities, and service communities. The project also launched a collaboration with the National Endowment for the Humanities, to reach scholars and humanities professionals working with veterans and volunteers around related themes to both use and participate in the project.

### **Fiscal 2016 Priority Activities**

As its primary focus, ALLS will continue to acquire, describe, secure, serve, and preserve the record of America's creativity and the world's knowledge regardless of format, providing the most effective methods of connecting users to the collections and providing leadership and services to the library and information communities. ALLS will continue to manage the assessment of funding priorities during the annual budget formulation process based on internal priorities and operational considerations.

To respond to changes in publishing formats that are challenging the Library's ability to maintain a universal collection of American knowledge and

creativity, LS will actively work with the Copyright Office to expand the types of digital content acquired through the eDeposit program and explore innovative special relief arrangements that maximize deposits while also providing controlled researcher access to publishers' content.

Capitalizing on the focus and new staff added through the Library's realignment, ALLS will implement a reorganization within the Technology Policy directorate. A new digital lifecycle management unit will bring together digitization, collections management, digital integration, and image standards staff, encouraging synergies and innovation. Today's modern linked data environment requires new tools and systems. The Library is the leader of the BIBFRAME initiative, a new initiative to explore the transition from the long established MARC 21 format via the creation of a new bibliographic data model and vocabulary optimized for use on the Web, therefore the Library is preparing for future changes in communication of bibliographic information by continuing consultation with other libraries, disseminating tools, and training its staff.

Ft. Meade Module 5 construction began in October 2015 and is anticipated to take two years. Design work for Modules 6 and 7 is anticipated to take place in fiscal 2016. ALLS collection storage activities in fiscal 2016 largely will involve preparation of and for these Ft. Meade preservation storage modules. Working with other Library and with AOC staff, focus will be on planning and executing the Cabin Branch, Maryland, leased collection storage and staging space, with anticipated preparation of the space (including shelving installation) in mid-fiscal 2016, and occupancy in the last quarter of the year. Until the space is available, ALLS will continue with the ASC and fixed location shelving programs.

AFC will be celebrating its 40<sup>th</sup> anniversary in fiscal 2016. Major initiatives will focus on digital collections – establishing more efficient transfer and processing workflows to streamline new acquisitions, increasing online engagement to previously acquired ones by completing online access to the Lomax family collections, or developing plans for online access to selected portions of the National Endowment for the Arts Heritage Fellowship or Occupational Folklife Program Collections.

CDO will emphasize work in two directions in fiscal 2016. Staff will continue to improve the process to compile and report usage measures and

statistics for digital and analog collections, with an implementation plan expected by the end of the year. Staff will also complete eight high-priority policy reviews through an ongoing program to revise the Library's Collections Policy Statements (CPS) on a cyclical basis.

The VHP anticipates exceeding the historic milestone of 100,000 collections in fiscal 2016 and plans multiple avenues for effectively sharing the rich resources and opportunities for use the growing collection provides.

### **Fiscal 2017 Priority Activities**

ALLS will continue to acquire, describe, secure, serve, and preserve the record of America's creativity and the world's knowledge regardless of format, providing the most effective methods of connecting users to the collections and providing leadership and services to the library and information communities. ALLS will continue to manage the assessment of funding priorities during the annual budget formulation process based on internal priorities and operational considerations. ALLS will continue to execute the orderly transfer of collections poorly stored on Capitol Hill to the Library's new Cabin Branch leased facility and prepare for next year's transfer of collections to Ft. Meade Module 5 preservation storage. In order to determine and meet new requirements, mitigate the risk of operating on unsupported software, improve management of electronic resources, and eliminate redundant systems, LS intends to begin planning for the Library's next generation integrated Library Management System by conducting metadata inventory and requirements gathering in fiscal 2017 with additional requirements and acquisition work planned for upcoming years. With the Technology Policy reorganization complete, LS will focus digital lifecycle management efforts on improving workflow efficiency and increasing staff numbers in order to increase the divisions' capacity to process digital collections materials in fiscal 2017. During the year, AFC plans to complete collection-level cataloging of all AFC collections. VHP will continue to engage in collecting and highlighting all U.S. veterans experiences, particularly seeking those that are underrepresented in terms of geography, conflict, branch, service, gender, race, faith, and national background, for example American Indians, Hispanics, chaplains, homeless veterans, and those otherwise identified to be of interest by researchers.



# Acquisitions and Bibliographic Access

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## Acquisitions and Bibliographic Access Summary By Object Class (Dollars in Thousands)

| Object Class  | Fiscal 2015       |                       | Fiscal 2016<br>Operating<br>Plan | Fiscal<br>2017<br>Request | Fiscal<br>2016/2017<br>Net Change | Percent<br>Change |
|---|-------------------|-----------------------|----------------------------------|---------------------------|-----------------------------------|-------------------|
|   | Operating<br>Plan | Actual<br>Obligations |                                  |                           |                                   |                   |
| 11.1 Full-time permanent                            | \$43,742          | \$42,226              | \$43,962                         | \$45,348                  | +\$1,386                          | 3.2%              |
| 11.3 Other than full-time permanent                 | 500               | 380                   | 491                              | 505                       | + 14                              | 2.9%              |
| 11.5 Other personnel compensation                   | 580               | 1,240                 | 955                              | 982                       | + 27                              | 2.8%              |
| 12.1 Civilian personnel benefits                    | 12,469            | 12,422                | 12,476                           | 13,629                    | + 1,153                           | 9.2%              |
| <b>Total, Pay</b>                                   | <b>\$57,291</b>   | <b>\$56,268</b>       | <b>\$57,884</b>                  | <b>\$60,464</b>           | <b>+\$2,580</b>                   | <b>4.5%</b>       |
| 21.0 Travel & transportation of persons             | 469               | 435                   | 423                              | 444                       | + 21                              | 5.0%              |
| 22.0 Transportation of things                       | 365               | 109                   | 206                              | 213                       | + 7                               | 3.4%              |
| 23.1 Rental payments to GSA                         | 56                | 39                    | 16                               | 17                        | + 1                               | 6.3%              |
| 23.2 Rental payments to others                      | 261               | 302                   | 278                              | 294                       | + 16                              | 5.8%              |
| 23.3 Communication, utilities & misc charges        | 432               | 267                   | 359                              | 374                       | + 15                              | 4.2%              |
| 24.0 Printing & reproduction                        | 46                | 52                    | 49                               | 52                        | + 3                               | 6.1%              |
| 25.1 Advisory & assistance services                 | 179               | 1,247                 | 643                              | 657                       | + 14                              | 2.2%              |
| 25.2 Other services                                 | 1,902             | 2,175                 | 1,300                            | 1,335                     | + 35                              | 2.7%              |
| 25.3 Other purch of gds & services from gov acc     | 4,911             | 5,026                 | 7,394                            | 7,539                     | + 145                             | 2.0%              |
| 25.4 Operation & maintenance of facilities          | 6                 | 4                     | 6                                | 6                         | 0                                 | 0.0%              |
| 25.7 Operation & maintenance of equipment           | 205               | 137                   | 239                              | 256                       | + 17                              | 7.1%              |
| 26.0 Supplies & materials                           | 288               | 283                   | 285                              | 299                       | + 14                              | 4.9%              |
| 31.0 Equipment                                      | 16,187            | 18,029                | 16,015                           | 16,541                    | + 526                             | 3.3%              |
| 42.0 Insurance claims & indemnities                 | 0                 | 2                     | 0                                | 0                         | 0                                 | 0.0%              |
| 94.0 Financial transfers                            | 137               | 142                   | 330                              | 350                       | + 20                              | 8.1%              |
| <b>Total, Non-Pay</b>                               | <b>\$25,444</b>   | <b>\$28,249</b>       | <b>\$27,543</b>                  | <b>\$28,377</b>           | <b>+\$ 834</b>                    | <b>3.0%</b>       |
| <b>Total, Acquisitions and Bibliographic Access</b> | <b>\$82,735</b>   | <b>\$84,517</b>       | <b>\$85,427</b>                  | <b>\$88,841</b>           | <b>+\$3,414</b>                   | <b>4.0%</b>       |

**Acquisitions and Bibliographic Access**  
**Analysis of Change**  
(Dollars in Thousands)

|  | Fiscal 2017<br>Agency Request |                 |
|--|-------------------------------|-----------------|
|  | FTE                           | Amount          |
| <b>Fiscal 2016 Operating Plan</b>                          | 454                           | \$85,427        |
| <b>Non-recurring Costs</b>                                 | 0                             | 0               |
| <b>Mandatory Pay and Related Costs:</b>                    |                               |                 |
| Locality-based comparability pay raise January 2017 @ 2.6% |                               | 1,059           |
| Annualization of January 2016 pay raise @ 1.46%            |                               | 197             |
| Within-grade increases                                     |                               | 250             |
| Foreign Service Nationals (FSN) pay adjustment             |                               | 375             |
| FERS agency rate adjustment from 11.9% to 13.7%            |                               | 652             |
| Transit Subsidy Increase from \$230 to \$255               |                               | 47              |
| <b>Total, Mandatory Pay and Related Costs</b>              | <u>0</u>                      | <u>2,580</u>    |
| <b>Price Level Changes</b>                                 |                               | 834             |
| <b>Program Increases</b>                                   | 0                             | 0               |
| <b>Net Increase/Decrease</b>                               | <u>0</u>                      | <u>\$ 3,414</u> |
| <b>Total Budget</b>  | 454                           | \$88,841        |
| <b>Total Offsetting Collections</b>                        | <u>0</u>                      | <u>0</u>        |
| <b>Total Appropriation</b>                                 | 454                           | \$88,841        |

# Acquisitions and Bibliographic Access

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## FISCAL 2017 BUDGET REQUEST

The Library is requesting a total of **\$88.841 million** for Acquisitions and Bibliographic Access in fiscal 2017, an increase of \$3.414 million, or 4 percent, over fiscal 2016. This increase supports mandatory pay related and price level increases.

Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2015    |          |                    |          | Fiscal 2016 Operating Plan |          | Fiscal 2017 Request |          | Fiscal 2016/2017 Net Change |         | Percent Change |
|-------------------|----------------|----------|--------------------|----------|----------------------------|----------|---------------------|----------|-----------------------------|---------|----------------|
|                   | Operating Plan |          | Actual Obligations |          | FTE                        | \$       | FTE                 | \$       | FTE                         | \$      | %              |
|                   | FTE            | \$       | FTE                | \$       |                            |          |                     |          |                             |         |                |
| LS_ABA            | 454            | \$82,735 | 433                | \$84,517 | 454                        | \$85,427 | 454                 | \$88,841 | 0                           | \$3,414 | 4.0%           |

## 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 and 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 format, 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 (Books Law) materials.

ABA's direct services to publishers and libraries include distributing surplus books to nonprofit institutions nationwide, leading the 914-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 non-western countries. During the past year, ABA has provided training and courseware for participants in the BIBFRAME pilot. It has also provided training for the overseas offices staff to competently work in the new, recently installed automated system – OFORS.

## Fiscal 2015 Accomplishments

ABA continued to give priority to cross-training staff for increased efficiency and output in acquisitions and bibliographic access duties. As part of the Architect of the Capitol's (AOC) ongoing assistance in reconfiguring ABA work areas for improved workflows and increased production, staff continued to relocate to permanent space. ABA made progress in developing a new bibliographic framework (BIBFRAME) to replace the Machine Readable Cataloging (MARC) standard for capturing online bibliographic data, the standard that the Library created more than 40 years ago and that is used by libraries worldwide. ABA completed its realignment to make the Network Development and MARC Standards Office a part of ABA. This has better positioned the Library to support BIBFRAME development. Bibliographic access efforts included 229,412 items being cataloged and full execution of the GENPAC and Books Law funding (\$22.5 million). ABA worked closely with the Collection Development Office (CDO) which manages the growth of the Library's collections to meet Congressional and long-term research needs, and continued revamping the CIP program, expanding its inclusion of e-books in the program, with 198 publishers participating. The number of partner libraries that supply bibliographic records needed by the Library increased to 27 and PCC membership increased by 46. ABA and its overseas offices executed the fourth year of a contract with the Council for American Overseas Research Centers to provide an alternative and less costly approach to collecting materials from West Africa, acquiring 5,835 items. The Offices fulfilled the next phase of a major effort to replace an obsolete automated system for managing their acquisitions work

by installing the system in the remaining four offices – Islamabad, Jakarta, Nairobi, and Rio de Janeiro. The Offices also continued to expand their ability to acquire content and web resources that are important to the Congress from less developed areas of the world.

### **Fiscal 2016 Priority Activities**

ABA will continue to focus on redeploying staff to areas of need caused by attrition. With assistance from the AOC, the space reconfiguration stemming from the 2008 reorganization will be completed. ABA will acquire approximately 650,000 collection items by purchase, exchange, gift, copyright deposit, transfer from other agencies, and cataloging in publication and will fully execute the GENPAC and Books Law funding and provide cataloging access to approximately 260,000 collection items. ABA will affirm its ongoing alternative approach to collecting materials from West Africa. The overseas offices will eliminate up to 70 percent of their legacy systems as they fine tune their installation of the replacement system for managing the offices' acquisitions work. ABA will carry out a pilot to test the efficacy of BIBFRAME as the replacement for the MARC format for its cataloging. The outcome of this pilot will support the Library's continued provision of technical support and leadership for BIBFRAME implementation within the library community. The BIBFRAME pilot will involve some 40 catalogers responsible for a variety of languages and formats. ABA will continue working collaboratively with the Online Computer Library Center – the largest bibliographic entity in the world – to assure that BIBFRAME data can be shared among libraries and on the Web. ABA will continue to support the efforts of CDO, to enable the Library to better assess the quality and depth of its collections. CDO will begin its annual

review of at least six collection policy statements, with the aim of reviewing each of these guiding documents once every five years. ABA will proceed with expanding the CIP Program to include an international component.

### **Fiscal 2017 Priority Activities**

In collaboration with the CDO, ABA will continue to exercise judicious stewardship of funds and staff resources to ensure continued acquisition and processing of digital and non-digital materials in all formats from all parts of the world for the Library's collections and for use by the Congress. ABA will continue its focus on the exchange aspect of building the Library's collections, mindful of the need to lessen the stress on the GENPAC funds. ABA will continue revitalizing the CIP Program, through internationalization, growing the intake of e-books, and increasing the number of CIP cataloging partner institutions, all with the goal of augmenting the availability of bibliographic data for the Library and beyond. The directorate will assess the results of its pilot to test BIBFRAME to assure that it meets the Library's need to accept and share bibliographic data between the library community and the Web community, forging partnerships with Stanford University and a group of Ivy League universities (Columbia, Cornell, Harvard, and Princeton) that will also pilot BIBFRAME to complement the Library's testing. The overseas offices will continue refining their acquisitions to improve their fit with the Library's collecting policies that the CDO is reviewing annually. The offices will continue to gain efficiencies resulting from full installation of the new system and shut down remaining legacy systems and will complete their goal to produce fully cataloged items ready to add to the collections without further work by staff on Capitol Hill.



# Collections and Services

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## Collections and Services Summary By Object Class (Dollars in Thousands)

| Object Class                                    | Fiscal 2015       |                       | Fiscal 2016<br>Operating<br>Plan | Fiscal<br>2017<br>Request | Fiscal<br>2016/2017<br>Net Change | Percent<br>Change |
|---|-------------------|-----------------------|----------------------------------|---------------------------|-----------------------------------|-------------------|
|   | Operating<br>Plan | Actual<br>Obligations |                                  |                           |                                   |                   |
| 11.1 Full-time permanent                        | \$46,774          | \$44,481              | \$47,698                         | \$49,032                  | +\$1,334                          | 2.8%              |
| 11.3 Other than full-time permanent             | 1,673             | 1,814                 | 2,832                            | 2,912                     | + 80                              | 2.8%              |
| 11.5 Other personnel compensation               | 296               | 447                   | 976                              | 1,003                     | + 27                              | 2.8%              |
| 12.1 Civilian personnel benefits                | 14,106            | 14,101                | 14,796                           | 16,156                    | + 1,360                           | 9.2%              |
| <b>Total, Pay</b>                               | <b>\$62,849</b>   | <b>\$60,843</b>       | <b>\$66,302</b>                  | <b>\$69,103</b>           | <b>+\$2,801</b>                   | <b>4.2%</b>       |
| 21.0 Travel & transportation of persons         | 140               | 93                    | 130                              | 133                       | + 3                               | 2.3%              |
| 22.0 Transportation of things                   | 0                 | 0                     | 25                               | 26                        | + 1                               | 4.0%              |
| 23.3 Communication, utilities & misc charges    | 49                | 36                    | 65                               | 66                        | + 1                               | 1.5%              |
| 24.0 Printing & reproduction                    | 55                | 46                    | 54                               | 55                        | + 1                               | 1.9%              |
| 25.1 Advisory & assistance services             | 960               | 1,173                 | 268                              | 274                       | + 6                               | 2.2%              |
| 25.2 Other services                             | 6,640             | 6,064                 | 5,865                            | 5,994                     | + 129                             | 2.2%              |
| 25.3 Other purch of gds & services from gov acc | 41                | 41                    | 15                               | 15                        | 0                                 | 0.0%              |
| 25.7 Operation & maintenance of equipment       | 1,644             | 1,065                 | 1,689                            | 1,742                     | + 53                              | 3.1%              |
| 26.0 Supplies & materials                       | 1,049             | 888                   | 880                              | 899                       | + 19                              | 2.2%              |
| 31.0 Equipment                                  | 3,660             | 4,199                 | 4,970                            | 4,413                     | 557                               | -11.2%            |
| 41.0 Grants, subsidies & contributions          | 530               | 530                   | 0                                | 0                         | 0                                 | 0.0%              |
| 42.0 Insurance claims & indemnities             | 0                 | 225                   | 0                                | 0                         | 0                                 | 0.0%              |
| <b>Total, Non-Pay</b>                           | <b>\$14,768</b>   | <b>\$14,360</b>       | <b>\$13,961</b>                  | <b>\$13,617</b>           | <b>-\$ 344</b>                    | <b>-2.5%</b>      |
| <b>Total, Collections and Services</b>          | <b>\$77,617</b>   | <b>\$75,203</b>       | <b>\$80,263</b>                  | <b>\$82,720</b>           | <b>+\$2,457</b>                   | <b>3.1%</b>       |

**Collections and Services**  
**Analysis of Change**  
(Dollars in Thousands)

|  | Fiscal 2017<br>Agency Request |                 |
|--|-------------------------------|-----------------|
|  | FTE                           | Amount          |
| <b>Fiscal 2016 Operating Plan</b>                              | 637                           | \$80,263        |
| <b>Non-recurring Costs:</b>                                    |                               |                 |
| Start-up equipment for National Collection Stewardship Program |                               | - 652           |
| <b>Total, Non-recurring Costs</b>                              | <b>0</b>                      | <b>652</b>      |
| <b>Mandatory Pay and Related Costs:</b>                        |                               |                 |
| Locality-based comparability pay raise January 2017 @ 2.6%     |                               | 1,349           |
| Annualization of January 2016 pay raise @ 1.46%                |                               | 252             |
| Within-grade increases   |                               | 318             |
| FERS agency rate adjustment from 11.9% to 13.7%                |                               | 830             |
| Transit Subsidy Increase from \$230 to \$255                   |                               | 51              |
| <b>Total, Mandatory Pay and Related Costs</b>                  | <b>0</b>                      | <b>2,800</b>    |
| <b>Price Level Changes</b>                                     |                               | <b>309</b>      |
| <b>Program Increases</b>                                       | <b>0</b>                      | <b>0</b>        |
| <b>Net Increase/Decrease</b>                                   | <b>0</b>                      | <b>\$ 2,457</b> |
| <b>Total Budget</b>  | <b>637</b>                    | <b>\$82,720</b> |
| <b>Total Offsetting Collections</b>                            | <b>0</b>                      | <b>0</b>        |
| <b>Total Appropriation</b>                                     | <b>637</b>                    | <b>\$82,720</b> |

# Collections and Services

LIBRARY OF CONGRESS SALARIES AND EXPENSES

## FISCAL 2017 BUDGET REQUEST

The Library is requesting a total of **\$82.720 million** for Collections and Services in fiscal 2017, an increase of \$2.457 million, or 3.1 percent, over fiscal 2016. This increase represents \$3.109 million in mandatory pay related and price level increases and a non-recurring reduction of [-\$0.652] million, for the one-time start-up equipment for the National Collection Stewardship Program.

Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2015    |          |                    |          | Fiscal 2016    |          | Fiscal 2017 |          | Fiscal 2016/2017 |         | Percent Change |
|-------------------|----------------|----------|--------------------|----------|----------------|----------|-------------|----------|------------------|---------|----------------|
|                   | Operating Plan |          | Actual Obligations |          | Operating Plan |          | Request     |          | Net Change       |         |                |
|                   | FTE            | \$       | FTE                | \$       | FTE            | \$       | FTE         | \$       | FTE              | \$      |                |
| LS_CS             | 612            | \$77,617 | 567                | \$75,203 | 637            | \$80,263 | 637         | \$82,720 | 0                | \$2,457 | 3.1%           |

## PROGRAM OVERVIEW

The Collections and Services Directorate (CS) has direct responsibility for more than 157 million of the 160 million items in the Library of Congress collections. International in scope, these collections represent a uniquely rich array of human experience, knowledge, creativity, and achievement, touching on almost every realm of endeavor from government and science to the arts and history. CS recommending officers ensure that these collections have up-to-date information through newspapers, magazines, books, and electronic databases while also adding such valuable historical content as rare books and manuscripts.

To keep the collections secure and well preserved, archivists and catalogers in CS organize, house, and describe the special-format materials, from the personal papers of national leaders to digital maps; irreplaceable photographic negatives; and singular sheet music, sound recordings, and moving images. Digitizing projects coordinated by CS staff increase public access to the most fragile and heavily used research collections. CS divisions also play a critical role in inventory control, which includes transferring general and special collections from the overcrowded Capitol Hill buildings to the Library's state-of-the-art preservation storage modules at Ft. Meade.

Providing timely reference services and research guidance is another major CS responsibility. The knowledgeable librarians in CS meet congressional, federal government, and public information needs by connecting people to collections through 17 research centers on Capitol Hill and through the Ask-A-Librarian email service, interlibrary loan, online

research guides, and social media channels. CS librarians are experts in many different subjects and languages and are also leaders in such important fields as geographic information systems and moving image preservation. CS actively encourages new creativity and scholarship by serving the collections through frequent public programs and by hosting numerous interns and fellows each year.

Each CS division has a broad scope of operations and contributes directly to all of the core mission activities of Library Services – Acquire, Describe, Secure, Serve, and Preserve. The fifteen CS divisions fall into three categories that identify which part of the vast Library collections they focus on:

- **General Collections:** Collections Access, Loan & Management; Humanities & Social Sciences, and Science Technology & Business divisions
- **Area Studies:** African & Middle Eastern; Asian; European; and Hispanic divisions
- **Special Collections:** American Folklife Center and Veterans History Project; Geography & Map; Manuscript; Motion Picture, Broadcasting, and Recorded Sound; Music; Prints & Photographs; Rare Book & Special Collections, including Children's Literature Center; and Serial & Government Publications divisions

The Library's National Audio-Visual Conservation Center, referred to as the Packard Campus and located in Culpeper, Virginia, preserves and provides access to a comprehensive collection of the world's audio-visual heritage of moving images and recorded sound. This special facility, with dedicated systems for born-digital acquisitions, digital preservation

reformatting, and playback-on-demand reference service, significantly increases the number of digitized audio-visual collections available each year.

## FISCAL 2015 ACCOMPLISHMENTS

In fiscal 2015 CS focused on two areas:

- Expanding capacity to store both physical and digital collections securely and safely, working closely with the Associate Librarian for Library Services.
- Increasing online content so that more of the collections are available for people to use 24/7 without having to come to Washington, D.C.

To relieve overcrowding in the Capitol Hill book stacks, more than 400,000 single volume monographs were processed for fixed location storage, which allowed shelves to be filled to maximum capacity. Under the Additional Service Copy Program, more than 90,000 “second copies” of books were withdrawn from the shelves and are being offered to nonprofit educational institutions through the Library’s Surplus Books Program. Increasing the pace of microfilming for American and international newspapers also reduced overcrowding in several stack areas. The total number of volumes housed off site at Ft. Meade and Landover has exceeded 5.2 million items, which includes the 10,500 volumes of the House Library Collection relocated to Ft. Meade in fiscal 2015.

CS helped build the Library’s collections by identifying and addressing critical areas of knowledge and creativity not included in the mandatory copyright deposit program. The international area studies holdings were kept up to date by recommending the purchase of selected titles in many languages. CS staff also actively expanded the digital collections by recommending more electronic databases for subscription access, receiving electronic-only serials through mandatory deposit, and pursuing such born-digital works as geospatial data sets, oral histories, and architectural drawings.

CS improved on-site and off-site access to the Library’s collections by ingesting 3.5 million master digital files and installing its first two Geospatial Information System workstations. The creation of another 80 online finding aids for archival collections also improved access, with a total of more than 2,000 finding aids now guiding researchers to 60 million manuscripts and related materials. The creation of 80,000 new catalog records also improved access to such special format materials as music, maps, pictures, moving images, and sound recordings.

In fiscal 2015, CS circulated 875,000 items within the Library and provided almost 425,000 answers to reference questions in person, by phone, by letter, and by email. Remote users benefited from online conferences, which facilitated research through the Library’s web site. Staff also encouraged use of the collections by organizing on-site public lectures, symposia, concerts, film series, and other programs.

The Packard Campus added capacity to the systems that support the safe acquisition, secure storage, and accurate retrieval of thousands of digital audio and video files. By the end of the year, 5.81 PB (petabytes) of collections content comprised of 826,371 files were stored in the Digital Archive of the Packard Campus Data Center. The increased usability and memory capacity of these systems enabled the Packard Campus to begin the American Archive of Public Broadcasting Project, the Library’s first major project to acquire and preserve external digital audio-visual content; over 18,000 programs were digitally ingested by the end of the fiscal year. The Capitol Hill Video Transmission system continued to be built out in fiscal 2015. The Architect of the Capitol’s (AOC) fiber optic infrastructure tying together all the Capitol Hill locations was completed and tested successfully with all Capitol Hill nodes receiving their intended signals. The replacement of old equipment that reached end-of-life status in the audio and video preservation labs continued, and the Film Preservation Laboratory made progress in building the capacity to digitally preserve motion pictures to archival standards, a critical necessity in light of the potential cessation of the industrial manufacturing of film stock.

## FISCAL 2016 PRIORITY ACTIVITIES

To secure both general and special collections, CS will continue to process, inventory, and track hundreds of thousands of items each year. High priorities include working closely with Library staff and the AOC during the preparation of the recently approved leased-storage interim warehouse at Cabin Branch, Maryland, for anticipated occupancy in late fiscal 2016, and the construction of Ft. Meade Module 5, which began in October 2015. Design work for Ft. Meade Modules 6 and 7 is also projected for fiscal 2016. CS will continue to withdraw additional book service copies and add volumes to fixed location storage to maximize the use of Capitol Hill collection storage.

CS will continue to build the collections by identifying and addressing critical areas of knowledge and creativity not included in the mandatory copyright deposit program. Recommending the purchase of selected titles in many languages will keep the

international area studies holdings up-to-date. CS staff will also continue to expand the digital collections by recommending more electronic databases for subscription and pursuing such born-digital works as geospatial data sets.

CS staff will continue to align resources to ensure the most efficient and cost-effective reference and research services, as well as access to collections, both on-site and via the Internet. Improving the researcher experience includes starting the design phase for combining the moving image, recorded sound, and music research centers into a single service point. Increased use of social media and research orientation sessions will expand awareness of available collections and services.

CS will complete two organizational changes, remaining as 15 divisions. On October 1, 2015, the Federal Research Division moved from CS to the new National and International Outreach service unit in order to consolidate revolving fund operations. The American Folklife Center and Veterans History Project left the Public & Outreach Programs directorate and joined CS for administrative support to consolidate collection custodian and reference service roles.

The Packard Campus will focus primarily on maintaining current operational capabilities and continuing the development of projects designed to meet the demand for electronic content acquisitions and transfers. The ingestion of the initial 40,000 hours of content in the American Archive of Public Broadcasting will be completed, and new projects to digitize and preserve over 32 years of PBS Newshour broadcasts and 23 years of the American Masters programs will be started. For the preservation labs, the Packard Campus will keep current migration production systems operating, targeting acquisition of new and used equipment required to maintain current production levels and replacing key systems that have reached their end-of-life status.

## **FISCAL 2017 PRIORITY ACTIVITIES**

CS will continue to focus on building the general, area studies, and special collections; organizing and describing both physical and digital information resources; securing and preserving these collections; and actively serving this

record of America's creativity and the world's knowledge. CS will seek the most effective methods of connecting users to the collections regardless of location and format.

CS will continue to place a high priority on working with other Library staff and the AOC during the construction of Ft. Meade Module 5; transferring thousands of volumes to the interim leased warehouse at Cabin Branch; and installing compact shelving to increase collection storage capacity on Capitol Hill.

CS 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 actively assist in the building of the Library's digital collections by recommending and converting analog collections, identifying and acquiring electronic resources from external sources, receiving electronic-only serials through mandatory deposit, and identifying other electronic-only works.

CS staff will continue to re-align resources to ensure efficient and cost-effective reference and research services, as well as access to collections, both on-site and via the Internet, and to improve the researcher experience—including combining the moving image, recorded sound, and music research centers into a single service point. CS will also continue to facilitate staff exposure to emerging research themes and methodologies to integrate these into best practices for archiving and reference services.

The Packard Campus will continue transitioning successful startup projects into standard operations and maintenance at the facility while building new operational capabilities in fulfillment of its mission. The Audio Lab is expected to complete construction on the final audio preservation room (A1.9), which will preserve multi-track and surround-sound recordings, and introduce a preservation quality control system. The Video Lab is expected to complete an analysis of the efficacy of automated tools for performing quality control on select production and preservation video. The Packard Campus will also keep current migration production systems operating, by targeting acquisition of new and used equipment required to maintain current production levels and replacing key systems that have reached their end-of-life status.



# Preservation

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

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

| Object Class                                    | Fiscal 2015       |                       | Fiscal 2016<br>Operating<br>Plan | Fiscal<br>2017<br>Request | Fiscal<br>2016/2017<br>Net Change | Percent<br>Change |
|---|-------------------|-----------------------|----------------------------------|---------------------------|-----------------------------------|-------------------|
|   | Operating<br>Plan | Actual<br>Obligations |                                  |                           |                                   |                   |
| 11.1 Full-time permanent                        | \$ 6,818          | \$ 6,490              | \$ 6,914                         | \$ 7,107                  | +\$193                            | 2.8%              |
| 11.3 Other than full-time permanent             | 454               | 440                   | 519                              | 534                       | + 15                              | 2.9%              |
| 11.5 Other personnel compensation               | 33                | 72                    | 35                               | 36                        | + 1                               | 2.9%              |
| 12.1 Civilian personnel benefits                | 2,081             | 2,153                 | 2,163                            | 2,364                     | + 201                             | 9.3%              |
| <b>Total, Pay</b>                               | <b>\$ 9,386</b>   | <b>\$ 9,155</b>       | <b>\$ 9,631</b>                  | <b>\$10,041</b>           | <b>+\$410</b>                     | <b>4.3%</b>       |
| 21.0 Travel & transportation of persons         | 22                | 20                    | 20                               | 20                        | 0                                 | 0.0%              |
| 23.3 Communication, utilities & misc charges    | 2                 | 0                     | 2                                | 2                         | 0                                 | 0.0%              |
| 24.0 Printing & reproduction                    | 1,231             | 1,233                 | 1,002                            | 1,025                     | + 23                              | 2.3%              |
| 25.1 Advisory & assistance services             | 5,564             | 5,573                 | 5,579                            | 5,701                     | + 122                             | 2.2%              |
| 25.2 Other services                             | 153               | 244                   | 950                              | 971                       | + 21                              | 2.2%              |
| 25.3 Other purch of gds & services from gov acc | 114               | 101                   | 106                              | 109                       | + 3                               | 2.8%              |
| 25.7 Operation & maintenance of equipment       | 297               | 281                   | 294                              | 301                       | + 7                               | 2.4%              |
| 26.0 Supplies & materials                       | 446               | 413                   | 384                              | 392                       | + 8                               | 2.1%              |
| 31.0 Equipment                                  | 4,074             | 4,167                 | 3,822                            | 3,906                     | + 84                              | 2.2%              |
| <b>Total, Non-Pay</b>                           | <b>\$11,903</b>   | <b>\$12,032</b>       | <b>\$12,159</b>                  | <b>\$12,427</b>           | <b>+\$268</b>                     | <b>2.2%</b>       |
| <b>Total, Preservation</b>                      | <b>\$21,289</b>   | <b>\$21,187</b>       | <b>\$21,790</b>                  | <b>\$22,468</b>           | <b>+\$678</b>                     | <b>3.1%</b>       |

**Preservation  
Analysis of Change**  
(Dollars in Thousands)

|  | Fiscal 2017<br>Agency Request |                 |
|--|-------------------------------|-----------------|
|  | FTE                           | Amount          |
| <b>Fiscal 2016 Operating Plan</b>                          | <b>96</b>                     | <b>\$21,790</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 2017 @ 2.6% |                               | 196             |
| Annualization of January 2016 pay raise @ 1.46%            |                               | 37              |
| Within-grade increases                                     |                               | 46              |
| FERS agency rate adjustment from 11.9% to 13.7%            |                               | 120             |
| Transit Subsidy Increase from \$230 to \$255               |                               | 11              |
| <b>Total, Mandatory Pay and Related Costs</b>              | <b>0</b>                      | <b>410</b>      |
| <b>Price Level Changes</b>                                 |                               | <b>268</b>      |
| <b>Program Increases</b>                                   | <b>0</b>                      | <b>0</b>        |
| <b>Net Increase/Decrease</b>                               | <b>0</b>                      | <b>\$ 678</b>   |
| <b>Total Budget</b>  | <b>96</b>                     | <b>\$22,468</b> |
| <b>Total Offsetting Collections</b>                        | <b>0</b>                      | <b>0</b>        |
| <b>Total Appropriation</b>                                 | <b>96</b>                     | <b>\$22,468</b> |

# Preservation

## LIBRARY OF CONGRESS SALARIES AND EXPENSES

### FISCAL 2017 BUDGET REQUEST

The Library is requesting a total of **\$22.468 million** for the Preservation Directorate in fiscal 2017, an Increase of \$0.678 million, or 3.1 percent, over fiscal 2016. This increase supports mandatory pay related and price level increases.

Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2015       |          |                       |          | Fiscal 2016<br>Operating Plan |          | Fiscal<br>2017<br>Request |          | Fiscal<br>2016/2017<br>Net Change |       | Percent<br>Change |
|-------------------|-------------------|----------|-----------------------|----------|-------------------------------|----------|---------------------------|----------|-----------------------------------|-------|-------------------|
|                   | Operating<br>Plan |          | Actual<br>Obligations |          |                               |          |                           |          |                                   |       |                   |
|                   | FTE               | \$       | FTE                   | \$       | FTE                           | \$       | FTE                       | \$       | FTE                               | \$    | %                 |
| LS_PRES           | 96                | \$21,289 | 90                    | \$21,187 | 96                            | \$21,790 | 96                        | \$22,468 | 0                                 | \$678 | 3.1%              |

### PROGRAM OVERVIEW

The Preservation (PRES) Directorate ensures long-term access to the intellectual content of the Library's collections in original or reformatted form. PRES accomplishes this directly by 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 analog 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 also is 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, response and recovery, needs assessments, collection surveys, supply and lab management duties, and care and handling training, which includes training specialists to become in-house and off-site emergency response team members. PRES staff also repair, folder, and otherwise rehouse general and reference collections materials; prepare newly acquired collections for commercial binding and shelving; support microform, paper 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 2015 Accomplishments

Staff addressed preservation needs of the Library's collections by treating more than 9 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. PRES staff housed more than 61,000 manuscripts, maps, photographs, and other items; labeled more than 16,000 items; and surveyed or assessed more than 1.4 million items. Other measurable actions included 8,892 research activities, 1,123 analyses, and 3,289 quality assurance activities. An additional 2.3 million collection units were preserved through the actions of the Motion Picture Broadcasting and Recorded Sound Division's reformatting program and the New Delhi Field Office's preservation microfilm program. Including assessment of collections, the Library completed more than 11.4 million preservation actions by the close of the fiscal year.

PRES continued its national and international leadership role in cultural heritage preservation by acting as the International Federation of Library Association (IFLA)'s Preservation Regional Center for North American Institutions as well as through presentations for the IFLA's Preservation and Conservation section, FEDLINK, American Library Association (ALA), American Institute for Conservation (AIC) and other professional organizations, and through participation in Preservation Week and through the directorate's Topics in Preservation Series (TOPS). PRES staff presented on a wide range of topics including conservation treatment, collections care strategies, preservation research, and research on historic paper making.

The Binding and Collections Care Division (BCCD) reduced binding by deferring work on softbound monographs to be stored in fixed location arrangement while volumes to be stored in the classed collection continued to be bound. Staff resources were redirected to support the preparation of loose serial issues held by some custodial divisions that have experienced staff and/or contract reductions. Since fiscal 2013, overall output has declined slightly because of these programmatic changes in addition to yearly increases in pricing for binding services.

Building on the collection survey completed in fiscal 2013, PRES continues to review the Library's Mass Deacidification Program and made recommendations on how the program's goal should be modified to reflect the Library's most pressing needs and reduced resources. The fiscal 2015 mass deacidification final option year was negotiated with production reduced to approximately 200,000 book equivalent volumes and 1 million sheets. New contract language was developed and will provide the Library with more control over the number of pieces, both volumes and sheets to be treated.

The Conservation Division (CD) completed a total of 61,993 treatments and housed 53,508 items in high-quality preservation housing. In addition to actively improving the condition of the collections, PRES staff continued to prepare for collections emergencies. Staff responded to 42 emergencies, eight of which required the stabilization and treatment of collection items. Three of these incidents involved Library collections that resulted in the stabilization treatment of 240 items.

Preservation Reformatting Division (PRD) reformatted a total of 6,012,625 pages, with items commercially microfilmed by a contract vendor and by division staff on-site. The additional funding added to the contract allowed PRD to increase microfilming by 45 percent when compared to fiscal 2014. This enabled custodial divisions to begin to address a backlog of brittle materials and move materials off the floors of the stacks, increasing access to and preservation of the collections. In July 2015, PRD and the Motion Picture, Broadcasting and Recorded Sound Division, in collaboration with the Lawrence Berkeley National Laboratory, organized a three-day conference in the James Madison Memorial building on the IRENE system which uses digital imaging to retrieve sound from historical recordings made on discs and cylinders that might otherwise be unplayable. The conference featured presentations by scientists, engineers, collection managers and other experts from institutions around the globe. The speakers discussed a need for a

larger community of developers and users to foster adoption of the technology more widely, standards for technical specifications and operation, targeted engineering and software development, access to new instrumentation and educational opportunities. The conference elucidated the need to develop standards, consensus and education/documentation of fundamentals.

The Preservation Research and Testing Division (PRTD) continued to collaborate with the University College London (UCL) and cultural heritage institutions as part of the Collections Demographics Program and disseminated research results for collections care and preservation for large collections through three Heritage Science publications. The Engineering and Physical Sciences Research Council Centre for Doctoral Training in Science and Engineering in Arts, Heritage and Archaeology collaboration with UCL to train up to 60 doctoral students is a unique training program that will advance the expertise and skill of new preservation researchers. As part of this program, PRTD will host a student doing research that focuses on needs of the Library collections and current issues that have been identified.

### **Fiscal 2016 Priority Activities**

Due to constrained funding levels, PRES will continue to be selective in addressing preservation needs of the Library's collections by treating approximately 7 million 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 and rehousing. Sustained funding will allow the overseas offices to continue to reformat an additional 2 million pages.

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. The Preservation Directorate web site will continue to serve as the primary off-site means for sharing information.

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 or replacement of collection items in the case of emergency events.

Based on collection condition survey findings and review of the existing mass deacidification contract, PRES will complete a new multiple year contract for mass deacidification services. This type of contract instrument will provide the Library with the needed flexibility to address two issues: reduced ability to assess books that are not optimally stored due to continuing shortage of storage space and increased labor needed to identify candidate items in targeted collections. The goal for binding will remain steady based on expected funding support. The current contract controls the increase in costs so production should keep up with the most pressing needs.

The goal for preservation reformatting, including the combined efforts of PRD and the Library's overseas offices, will be approximately 5.6 million pages. PRES will have developed a limited digital reformatting capability to begin digitization of embrittled public domain monographs that could not be deacidified and are otherwise not available for use. PRD plans include acquiring new reformatting equipment for full-scale production usage. PRD staff will also be evaluating means for achieving higher image quality (FADGI three-star to four-star) at the cost of reducing the dimensions of books that can be processed. Focus will be on selecting works based on established use patterns from high priority classes. Technical specifications for the conversion of analog foreign newspaper publications will be defined and vetted with custodial divisions.

PRES has created a preliminary database for storing select metadata associated with the scientific preservation reference samples as part of further developing the Library's Center for Library Analytical Scientific Samples (CLASS), an initiative that fosters sharing and developing shared standards for scientific research data and reference sample sets. In fiscal 2016, staff will work on populating the database with additional scientific data to meet the needs of partner institution extant databases.

PRES will continue to support the three main programmatic areas of long-term research, analytical service requests, and the quality assurance program, mitigating risk to collections and the stabilization of collection materials. An expansion of the program includes assessment of building materials for collection storage spaces to detect harmful off-gassing components and ensure preservation of Library collections.

### **Fiscal 2017 Priority Activities**

PRES will continue to focus available preservation resources on those items that are either most at risk, needed for exhibition or other immediate use, or in need of stabilization or repair prior to digitization. At current funding levels, it is likely that resources will support

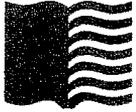
addressing the needs of no more than 4.5 million books, serials, prints, photographs, or other high value, high use and/or at-risk items. The overall reduction in the number of items addressed will be the direct result of increased unit prices experienced during a flat budget.

PRES will continue its national and 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 installations in the TOPS. The Preservation Directorate web site will continue to serve as the primary off-site means for sharing information.

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 emergency events. PRES will complete a long-overdue redesign of the Library's conservation laboratories and determine how to best pursue the actual construction process in subsequent years.

The goal for binding will remain steady based on expected funding support. It is the intention to maintain fiscal 2016 Mass Deacidification treatment numbers for sheets, given the vast number of archival type collections held by Manuscripts and other divisions. The estimated goal for preservation reformatting, including the combined efforts of PRD and the Library's overseas offices, will be approximately 5.6 million pages. PRES will have developed a limited digital reformatting capability to begin digitization of foreign newspapers and embrittled public domain monographs that could not be deacidified and are otherwise not available for use. Technical specifications for the conversion of analog foreign newspapers will be developed and applied.

Developments in preservation research will advance further through continued collaborations with academic, industry and other cultural heritage institution partners to understand degradation of modern, corrosive, and fugitive (light-sensitive inks or colors that fade when exposed to light – printer ink and felt tip pens are examples) materials. The online presence of CLASS-D (Center for Library Analytical Scientific Samples – Digital) will strengthen the Library's leadership role in an established preservation network and continue to address collection preservation issues. It will expand this role with the development of standardized accessible information and data, and foster a transatlantic dialogue on digital heritage and research infrastructures.



# Technology Policy

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

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

| Object Class                                    | Fiscal 2015       |                       | Fiscal 2016<br>Operating<br>Plan | Fiscal<br>2017<br>Request | Fiscal<br>2016/2017<br>Net Change | Percent<br>Change |
|---|-------------------|-----------------------|----------------------------------|---------------------------|-----------------------------------|-------------------|
|   | Operating<br>Plan | Actual<br>Obligations |                                  |                           |                                   |                   |
| 11.1 Full-time permanent                        | \$3,887           | \$3,712               | \$ 6,005                         | \$ 7,586                  | +\$1,581                          | 26.3%             |
| 11.3 Other than full-time permanent             | 69                | 19                    | 0                                | 0                         | 0                                 | 0.0%              |
| 11.5 Other personnel compensation               | 20                | 33                    | 24                               | 25                        | + 1                               | 4.2%              |
| 12.1 Civilian personnel benefits                | 1,036             | 1,039                 | 1,620                            | 2,177                     | + 557                             | 34.4%             |
| <b>Total, Pay</b>                               | <b>\$5,012</b>    | <b>\$4,803</b>        | <b>\$ 7,649</b>                  | <b>\$ 9,788</b>           | <b>+\$2,139</b>                   | <b>28.0%</b>      |
| 21.0 Travel & transportation of persons         | 21                | 14                    | 60                               | 66                        | + 6                               | 10.0%             |
| 23.3 Communication, utilities & misc charges    | 89                | 77                    | 89                               | 91                        | + 2                               | 2.2%              |
| 25.1 Advisory & assistance services             | 471               | 292                   | 263                              | 269                       | + 6                               | 2.3%              |
| 25.2 Other services                             | 11                | 10                    | 1,647                            | 1,708                     | + 61                              | 3.7%              |
| 25.3 Other purch of gds & services from gov acc | 0                 | 2                     | 0                                | 0                         | 0                                 | 0.0%              |
| 25.7 Operation & maintenance of equipment       | 972               | 961                   | 1,018                            | 1,165                     | + 147                             | 14.4%             |
| 26.0 Supplies & materials                       | 23                | 20                    | 29                               | 34                        | + 5                               | 17.2%             |
| 31.0 Equipment                                  | 1,042             | 1,232                 | 673                              | 710                       | + 37                              | 5.5%              |
| <b>Total, Non-Pay</b>                           | <b>\$2,629</b>    | <b>\$2,608</b>        | <b>\$ 3,779</b>                  | <b>\$ 4,043</b>           | <b>+\$ 264</b>                    | <b>7.0%</b>       |
| <b>Total, Technology Policy</b>                 | <b>\$7,641</b>    | <b>\$7,411</b>        | <b>\$11,428</b>                  | <b>\$13,831</b>           | <b>+\$2,403</b>                   | <b>21.0%</b>      |

**Technology Policy  
Analysis of Change**  
(Dollars in Thousands)

|   | Fiscal 2017<br>Agency Request |                 |
|---|-------------------------------|-----------------|
|   | FTE                           | Amount          |
| <b>Fiscal 2016 Operating Plan</b>                               | <b>60</b>                     | <b>\$11,428</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 2017 @ 2.6%      |                               | 158             |
| Annualization of January 2016 pay raise @ 1.46%                 |                               | 30              |
| Within-grade increases  |                               | 37              |
| FERS agency rate adjustment from 11.9% to 13.7%                 |                               | 97              |
| Transit Subsidy Increase from \$230 to \$255                    |                               | 5               |
| <b>Total, Mandatory Pay and Related Costs</b>                   | <b>0</b>                      | <b>327</b>      |
| <b>Price Level Changes</b>                                      |                               | <b>207</b>      |
| <b>Program Increases</b>  |                               |                 |
| Library Services Digital Collections Management                 | 11                            | 1,348           |
| Lib Serv Next Gen. Integrated Library Management System Project | 4                             | 521             |
| <b>Total, Program Increases</b>                                 | <b>15</b>                     | <b>1,869</b>    |
| <b>Net Increase/Decrease</b>                                    | <b>15</b>                     | <b>\$ 2,403</b> |
| <b>Total Budget</b>   | <b>75</b>                     | <b>\$13,831</b> |
| <b>Total Offsetting Collections</b>                             | <b>0</b>                      | <b>0</b>        |
| <b>Total Appropriation</b>                                      | <b>75</b>                     | <b>\$13,831</b> |

# Technology Policy

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## FISCAL 2017 BUDGET REQUEST

The Library is requesting a total of **\$13.831 million** for the Technology Policy Directorate in fiscal 2017, an increase of \$2.403 million, or 21 percent, over fiscal 2016. This increase represents \$0.534 million for mandatory pay related and price level increases, and program changes of \$1.869 million and 15 FTEs – [\$1.348 million and 11 FTEs] for the Digital Collections Management, and [\$0.521 million and 4 FTEs] for the Next Generation Integrated Library Management System Project.

Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2015       |         |                       |         | Fiscal 2016<br>Operating Plan |          | Fiscal<br>2017<br>Request |          | Fiscal<br>2016/2017<br>Net Change |         | Percent<br>Change |
|-------------------|-------------------|---------|-----------------------|---------|-------------------------------|----------|---------------------------|----------|-----------------------------------|---------|-------------------|
|                   | Operating<br>Plan |         | Actual<br>Obligations |         | FTE                           | \$       | FTE                       | \$       | FTE                               | \$      |                   |
|                   | FTE               | \$      | FTE                   | \$      |                               |          |                           |          |                                   |         |                   |
| LS_TECH           | 42                | \$7,641 | 31                    | \$7,411 | 60                            | \$11,428 | 75                        | \$13,831 | 15                                | \$2,403 | 21.0%             |

## PROGRAM OVERVIEW

The Technology Policy (TECH) Directorate coordinates information technology policy and operations; supports information systems, most notably, the Library's integrated library system and online catalog; provides workstation hardware and software support for Library Services (LS); coordinates analog to digital conversion of collection materials; manages the Library's web harvesting program; and supports the acquisition and management of digital collections content through technical guidelines and assistance to Library staff. Support of digitization, web harvesting, and other activities related to digital collections content were added to the responsibilities of TECH at the beginning of fiscal 2016 in connection with the realignment of the Office of Strategic Initiatives (OSI).

TECH works closely with the Library's Office of the Chief Information Officer (OCIO), ensuring the successful management and completion of projects, effective functioning of systems, and full compliance with the Library's information technology security measures, web standards, and enterprise architecture.

The directorate is comprised of two 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.

## Fiscal 2015 Accomplishments

TECH continued to provide technical support and leadership for LS programs and activities. The Overseas Field Office Replacement System was implemented in the remaining four overseas field offices – Rio, Nairobi, Jakarta, and Islamabad. TECH collaborated with Information Technology staff to expand digital content initiatives, including the Cataloging in Publication (CIP) e-book program, which exceeded the Library's goals by acquiring more than 4,000 titles. Other TECH initiatives improved services to patrons through the provision of enhanced capabilities, such as planning for the implementation of a "responsive design" catalog interface for mobile devices and a new capability that supports individual article-level searching across licensed content.

The Network Development and MARC Standards Office, previously part of TECH, was administratively moved to the LS Acquisitions and Bibliographic Access Directorate in February 2015, with the formal organizational change to take place in fiscal 2016. Work was done to support planning for the Library's realignment, involving the transfer of staff from OSI to TECH.

## Fiscal 2016 Priority Activities

The realignment resulted in the transfer of 20 former OSI staff to TECH. TECH will establish a third division in fiscal 2016, where 17 of these staff will be located, with responsibility for digitization and web capture

programs as well as to provide ingest, metadata, and preservation support for digital content.

TECH also will collaborate with OCIO to expand support for ingest, management, preservation, and access to digital content in a variety of formats. The Library will acquire at least 5,000 e-books from publishers participating in CIP – a 25 percent increase over fiscal 2015. The Library will continue to increase the number of e-journals acquired as well, while preparing to extend Copyright mandatory deposit to e-books. Capture of important, often ephemeral web sites will continue at a pace of more than 50 percent above that for fiscal 2015, with particular attention paid to election year campaign sites. In addition to supporting these expanding digital acquisition programs, TECH will work closely with other Library service units to identify requirements and investigate options for providing secure on-site patron access to copyrighted digital materials.

TECH will define technical specifications for preservation digitization of newspapers and design a pilot that will be implemented in fiscal 2017. The directorate also will continue to gather requirements for the Library's next generation Integrated Library Management System, which will be a multi-year effort to migrate acquisitions, cataloging, circulation, discovery, and delivery functions to a new, modern platform for providing access to the Library's collections. A key activity will be to compile an inventory of uncategorized card catalogs for future migration to the online library system.

TECH will gather requirements from stakeholders in fiscal 2016 to upgrade or replace the Library's system to manage the inventory of materials housed in high-density storage facilities; complete an analysis of public domain books in the Library's collections in support of a book digitization plan; and replace 1,000 outdated desktop workstations to enable increased productivity within the service unit.

## Fiscal 2017 Priority Activities

TECH will finish staffing its new operational unit responsible for providing digitization, ingest, metadata, and preservation services to the extent that resources are available. The Library is requesting funding and FTEs in fiscal 2017 for management of the growing digital collections not currently under the care of a custodial division and to provide support to other divisions acquiring rapidly increasing numbers of digital items. Additional staff resources will be essential to the Library's ability to accept, manage, and preserve its growing digital collections and maintain expected levels of service to the Congress and the nation.

TECH also will collaborate with OCIO to expand support for ingest, management, preservation, and access to digital content in a variety of formats. The Library will continue to increase the number of e-journals acquired while extending Copyright mandatory deposit to e-books and expanding its program to acquire e-books from publishers participating in CIP. TECH will continue to capture important and often ephemeral websites at the expanded pace set for fiscal 2016. In addition to supporting these digital acquisition programs, TECH will work closely with other Library service units to identify requirements and investigate options for providing secure onsite patron access to copyrighted digital materials.

TECH will support a pilot project for digitization of newspapers as an alternative to microfilm reformatting and will continue to gather requirements for the Library's next generation Integrated Library Management System. The directorate will pursue options for upgrading or replacing the Library's system to manage the inventory of materials housed in high-density storage facilities and will continue to replace outdated desktop workstations to enable increased productivity within the service unit.



# National and International Outreach

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

## National and International Outreach Resource Summary (Dollars in Thousands)

| Appropriation/PPA   | Fiscal 2015       |           |                       |          | Fiscal 2016<br>Operating Plan | Fiscal<br>2017<br>Request | Fiscal<br>2016/2017<br>Net Change | Percent<br>Change |   |        |      |
|---|-------------------|-----------|-----------------------|----------|-------------------------------|---------------------------|-----------------------------------|-------------------|---|--------|------|
|   | Operating<br>Plan |           | Actual<br>Obligations |          |                               |                           |                                   |                   |   |        |      |
|   | FTE               | \$        | FTE                   | \$       |                               |                           |                                   |                   |   |        |      |
| <b>Associate Librarian for National and International Outreach (AL/NIO)</b> |                   |           |                       |          |                               |                           |                                   |                   |   |        |      |
| <b>AL/National and Intl Outreach</b>  | 0                 | \$ 0      | 0                     | \$ 0     | 31                            | \$ 4,690                  | 31                                | \$ 4,869          | 0 | \$ 179 | 3.8% |
| <b>National Programs (NP)</b>   |                   |           |                       |          |                               |                           |                                   |                   |   |        |      |
| <b>National Programs</b>  | 0                 | \$ 0      | 0                     | \$ 0     | 20                            | \$ 3,816                  | 20                                | \$ 3,942          | 0 | \$ 126 | 3.3% |
| <b>National Enterprises (NE)</b>  |                   |           |                       |          |                               |                           |                                   |                   |   |        |      |
| National Enterprises  | 0                 | \$ 0      | 0                     | \$ 0     | 12                            | \$ 1,686                  | 12                                | \$ 1,754          | 0 | \$ 68  | 4.0% |
| Cat Dist Service  | 19                | 6,000     | 16                    | 2,693    | 19                            | 6,000                     | 19                                | 6,000             | 0 | 0      | 0.0% |
| <b>Total, National Enterprises</b>  | 19                | \$ 6,000  | 16                    | \$ 2,693 | 31                            | \$ 7,686                  | 31                                | \$ 7,754          | 0 | \$ 68  | 0.9% |
| <b>Scholarly and Educational Programs (SEP)</b>                             |                   |           |                       |          |                               |                           |                                   |                   |   |        |      |
| Scholarly and Educational Programs  | 0                 | \$ 0      | 0                     | \$ 0     | 40                            | \$ 5,437                  | 40                                | \$ 5,655          | 0 | \$ 218 | 4.0% |
| Teaching with Primary Sources   | 10                | 8,231     | 10                    | 6,892    | 10                            | 8,231                     | 10                                | 8,444             | 0 | 213    | 2.6% |
| <b>Total, Scholarly and Educ Prgm</b>                                       | 10                | \$ 8,231  | 10                    | \$ 6,892 | 50                            | \$ 13,668                 | 50                                | \$ 14,099         | 0 | \$ 431 | 3.2% |
| <b>Total, National and International Outreach (NIO)</b>                     |                   |           |                       |          |                               |                           |                                   |                   |   |        |      |
| <b>Total, National and Intl Outreach</b>                                    | 29                | \$ 14,231 | 26                    | \$ 9,585 | 132                           | \$ 29,860                 | 132                               | \$ 30,664         | 0 | \$ 804 | 2.7% |

**National and International Outreach  
Summary By Object Class**  
(Dollars in Thousands)

| Object Class                                      | Fiscal 2015       |                       | Fiscal 2016<br>Operating<br>Plan | Fiscal<br>2017<br>Request | Fiscal<br>2016/2017<br>Net Change | Percent<br>Change |
|---|-------------------|-----------------------|----------------------------------|---------------------------|-----------------------------------|-------------------|
|   | Operating<br>Plan | Actual<br>Obligations |                                  |                           |                                   |                   |
| 11.1 Full-time permanent                          | \$ 2,360          | \$2,161               | \$11,803                         | \$12,102                  | +\$299                            | 2.5%              |
| 11.3 Other than full-time permanent               | 35                | 3                     | 386                              | 397                       | + 11                              | 2.8%              |
| 11.5 Other personnel compensation                 | 27                | 20                    | 108                              | 111                       | + 3                               | 2.8%              |
| 11.8 Special personal services payment            | 125               | 219                   | 375                              | 379                       | + 4                               | 1.1%              |
| 12.1 Civilian personnel benefits                  | 656               | 641                   | 3,650                            | 3,952                     | + 302                             | 8.3%              |
| <b>Total, Pay</b>                                 | <b>\$ 3,203</b>   | <b>\$3,044</b>        | <b>\$16,322</b>                  | <b>\$16,941</b>           | <b>+\$619</b>                     | <b>3.8%</b>       |
| 21.0 Travel & transportation of persons           | 56                | 46                    | 225                              | 229                       | + 4                               | 1.8%              |
| 22.0 Transportation of things                     | 8                 | 2                     | 7                                | 7                         | 0                                 | 0.0%              |
| 23.3 Communication, utilities & misc charges      | 6                 | 6                     | 29                               | 29                        | 0                                 | 0.0%              |
| 24.0 Printing & reproduction                      | 9                 | 4                     | 71                               | 73                        | + 2                               | 2.8%              |
| 25.1 Advisory & assistance services               | 1,439             | 18                    | 1,708                            | 1,714                     | + 6                               | 0.4%              |
| 25.2 Other services                               | 1,406             | 873                   | 1,629                            | 1,643                     | + 14                              | 0.9%              |
| 25.3 Other purch of gds & services from gov acc   | 345               | 401                   | 882                              | 890                       | + 8                               | 0.9%              |
| 25.7 Operation & maintenance of equipment         | 14                | 8                     | 14                               | 14                        | 0                                 | 0.0%              |
| 26.0 Supplies & materials                         | 22                | 7                     | 98                               | 100                       | + 2                               | 2.0%              |
| 31.0 Equipment                                    | 1,493             | 7                     | 1,888                            | 1,900                     | + 12                              | 0.6%              |
| 41.0 Grants, subsidies & contributions            | 6,210             | 5,169                 | 6,738                            | 6,875                     | + 137                             | 2.0%              |
| 44.0 Refunds                                      | 20                | 0                     | 249                              | 249                       | 0                                 | 0.0%              |
| <b>Total, Non-Pay</b>                             | <b>\$11,028</b>   | <b>\$6,541</b>        | <b>\$13,538</b>                  | <b>\$13,723</b>           | <b>+\$185</b>                     | <b>1.4%</b>       |
| <b>Total, National and International Outreach</b> | <b>\$14,231</b>   | <b>\$9,585</b>        | <b>\$29,860</b>                  | <b>\$30,664</b>           | <b>+\$804</b>                     | <b>2.7%</b>       |

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**National and International Outreach  
Analysis of Change**  
(Dollars in Thousands)

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|  | Fiscal 2017<br>Agency Request |                 |
|--|-------------------------------|-----------------|
|  | FTE                           | Amount          |
| <b>Fiscal 2016 Operating Plan</b>                          | <b>132</b>                    | <b>\$29,860</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 2017 @ 2.6% |                               | 297             |
| Annualization of January 2016 pay raise @ 1.46%            |                               | 55              |
| Within-grade increases                                     |                               | 70              |
| FERS agency rate adjustment from 11.9% to 13.7%            |                               | 186             |
| Transit Subsidy Increase from \$230 to \$255               |                               | 11              |
| <b>Total, Mandatory Pay and Related Costs</b>              | <b>0</b>                      | <b>619</b>      |
| <b>Price Level Changes</b>                                 |                               | <b>185</b>      |
| <b>Program Increases</b>                                   | <b>0</b>                      | <b>0</b>        |
| <b>Net Increase/Decrease</b>                               | <b>0</b>                      | <b>\$ 804</b>   |
| <b>Total Budget</b>  | <b>132</b>                    | <b>\$30,664</b> |
| <b>Total Offsetting Collections</b>                        | <b>0</b>                      | <b>- 6,000</b>  |
| <b>Total Appropriation</b>                                 | <b>132</b>                    | <b>\$24,664</b> |



# BUDGET JUSTIFICATION

FISCAL YEAR 2017

GPO

U.S. GOVERNMENT PUBLISHING OFFICE  
Keeping America Informed | OFFICIAL | DIGITAL | SECURE

732 North Capitol Street, NW, Washington, DC 20401  
[www.gpo.gov](http://www.gpo.gov) | [facebook.com/USGPO](https://facebook.com/USGPO) | [twitter.com/usgpo](https://twitter.com/usgpo)

DAVITA VANCE-COOKS  
Director of the U.S. Government Publishing Office



January 25, 2016

The Honorable Tom Graves  
Chairman  
Subcommittee on Legislative Branch Appropriations  
Committee on Appropriations  
U.S. House of Representatives  
Washington, DC 20515

The Honorable Shelley Moore Capito  
Chairwoman  
Subcommittee on Legislative Branch Appropriations  
Committee on Appropriations  
U.S. Senate  
Washington, DC 20510

Dear Chairman Graves and Chairwoman Capito:

I have the honor to transmit herewith the appropriations request of the U.S. Government Publishing Office (GPO) for FY 2017.

**Strategic Outlook** GPO is transforming from a print-centric to a content-centric publishing operation. Our implementation of a digital transformation is consistent with the goals outlined in President Obama's Roadmap for a Digital Government (*Digital Government: Building a 21st Century Platform to Better Serve the American People*, May 2012). It is also consistent with the recommendations submitted by the National Academy of Public Administration (*Rebooting the Government Printing Office: Keeping America Informed in the Digital Age*, January 2013) regarding GPO's transition to a digital future. In recognition of this transition, in 2014 Congress approved and the President signed into law (P.L. 113-235) a provision designating GPO as the Government Publishing Office.

In FY 2017 and the years ahead, GPO will continue to develop an integrated, diversified product and services portfolio that focuses primarily on digital. Although industry experts predict tangible print will continue to be required because of official use, archival purposes, authenticity, specific industry requirements, and segments of the population that either have limited or no access to digital formats, we recognize that the volume of tangible print that is requisitioned from GPO is declining and will continue to decline.

In transforming its business model, GPO is focusing on managing content for customer and public use both today and tomorrow. GPO uses its extensive experience and expertise to provide both digital 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 the customer's needs. GPO's Strategic Plan has been developed

**DAVITA VANCE-COOKS**  
 Director of the U.S. Government Publishing Office



to carry out this vision and is available for public inspection in this budget justification document and at [www.gpo.gov/about/](http://www.gpo.gov/about/).

**Appropriations Request** We are requesting funding for the Congressional Publishing Appropriation, the Public Information Programs of the Superintendent of Documents, and as an addition to working capital in GPO's Business Operations Revolving Fund. The Congressional Publishing and Public Information Programs accounts 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-authorized information dissemination programs.

All other GPO programs and activities – including the production of U.S. passports for the Department of State as well as secure credentials as requisitioned by Federal agencies, the production and procurement of other 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 Operations Revolving Fund, which is authorized through the annual Legislative Branch Appropriations bill. Our request includes funding as an addition to working capital for specified projects under the Business Operations Revolving Fund.

We are requesting a total of \$117,068,000 for FY 2017. This is the same as the level of funding approved for FY 2016 in P.L. 114-113. Total GPO appropriations have declined by nearly 21% since FY 2010 and are currently at their lowest level since then. Our continued transition to digital technologies and products has increased our productivity and reduced costs. Additionally, maintaining financial controls on our overhead costs, coupled with a buyout in FY 2015 that reduced GPO's workforce by 103 positions, has helped make this funding request possible. Finally, the utilization of the unexpended balances of prior year appropriations, which we are able to transfer to GPO's Business Operations Revolving Fund with the approval of the Appropriations Committees, has made it possible in recent years to hold the line on the level of new funding we request.

**Total Appropriations to GPO  
 FY 2010-2016**

| Fiscal Year | Appropriations |
|-------------|----------------|
| 2010        | \$ 147,461,000 |
| 2011        | 135,067,324    |
| 2012        | 126,200,000    |
| 2013        | 117,533,423    |
| 2014        | 119,300,000    |
| 2015        | 119,993,000    |
| 2016        | 117,068,000    |



Our FY 2017 request will enable us to:

- meet projected requirements for GPO's congressional publishing;
- fund the operation of the public information programs of the Superintendent of Documents; and
- develop information technology including IT security and perform facilities maintenance and repairs that support our congressional publishing and public information programs operations.

**Congressional Publishing Appropriation** We are requesting \$79,736,000 for this account, the same level approved for FY 2016 in P.L. 114-113 and every year since FY 2014. This appropriation has declined by nearly 15% since FY 2010, as the result of our continuing transition to digital technology and products as well as actions taken in cooperation with the House of Representatives and the Senate to control congressional publishing costs. Unspent prior year balances from this account that have been transferred to GPO's Business Operations Revolving Fund are available for the purposes of this account.

**Congressional Publishing Appropriation  
 FY 2010-2016**

| Fiscal Year | Appropriation |
|-------------|---------------|
| 2010        | \$93,768,000  |
| 2011        | 93,580,464    |
| 2012        | 90,700,000    |
| 2013        | 82,129,576    |
| 2014        | 79,736,000    |
| 2015        | 79,736,000    |
| 2016        | 79,736,000    |

House Report 114-110, accompanying the Legislative Branch Appropriations bill for FY 2016, requires the presentation of budget requirements from a zero base. However, GPO has no control over the workload requirements of the Congressional Publishing 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 publishing requirements. These requirements are used as the basis of the budget presentation for this account.

The estimated requirements for FY 2017 include a projected price level increase of \$2,125,000, primarily to cover employee pay increases equivalent with those paid government-wide. Offsetting this will be a \$5,403,000 decrease in program requirements attributable to anticipated volume decreases for the *Congressional Record*, miscellaneous publications, miscellaneous publishing and services, business and committee calendars, and hearings.



As shown on page E-3 of our budget justification for FY 2017, the unexpended balances of prior year appropriations that have been transferred to GPO's Business Operations Revolving Fund will be used to offset anticipated requirements for FY 2016 and FY 2017, so that appropriation requirements for those years can remain stable at \$79,736,000 each year. Compared to FY 2016, we project there will be a decrease of \$3,278,000 in the need for this funding. The balance of these funds is earmarked for GPO's critically important Composition System Replacement (CSR) project, involving the development of an XML-based composition system to replace our 30+ year-old Microcomp system used in the preparation of congressional documents for digital and print access.

**Public Information Programs of the Superintendent of Documents** We are requesting \$29,500,000 for this account, representing a decrease of \$1,000,000 or 3.3% from the amount approved for FY 2016 in P.L. 114-113. This appropriation has declined by more than 27% since FY 2010, as the result of our continuing transition to digital technology and products which has made the increased dissemination of official Government information to the public less costly and more efficient. 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 114-110.

**Public Information Programs of the  
 Superintendent of Documents Appropriation  
 FY 2010-2016**

| Fiscal Year | Appropriation |
|-------------|---------------|
| 2010        | \$ 40,911,000 |
| 2011        | 39,831,178    |
| 2012        | 35,000,000    |
| 2013        | 31,437,000    |
| 2014        | 31,500,000    |
| 2015        | 31,500,000    |
| 2016        | 30,500,000    |

The funding we are requesting for FY 2017 will cover mandatory pay and related cost increases of \$389,000. Merit and other pay increases are included for 94 FTE's, the same as for FY 2016. In addition, the requested funding covers projected price level increases of \$28,000, including ongoing systems maintenance and FDsys operating expenses.

As with our Congressional Publishing Appropriation, unspent balances of prior year appropriations that have been transferred to GPO's Business Operations Revolving Fund will be used to offset anticipated requirements for FY 2016 and FY 2017. These requirements include projects to continue transitioning GPO's Public Information Programs to an increasingly digital basis, including the modernization of legacy IT systems, the replacement of GPO's Integrated Library System, bulk harvesting and content management, enhanced Web-based applications, and the development of metadata and parsers for the digitized *Congressional Record* and *Federal Register*. The use of these funds enables GPO to reduce



its appropriations requirements while continuing to perform essential services and carry out digital transformation projects.

**Business Operations Revolving Fund** We are requesting \$7,832,000 for this account, to remain available until expended, for information technology projects and necessary facilities projects. This compares with \$6,832,000 that was appropriated for FY 2016. Funding provided to this account represents an increase to working capital for specified projects. Since FY 2013, these projects have consistently included improvements to GPO's FDsys, which has expanded public access to congressional and other Government information products in digital formats while decreasing the costs of distributing traditional print formats, as well as other essential IT projects. Our request this year includes necessary expenses associated with enhancing the cybersecurity of GPO's IT systems in the wake of successful cyberattacks this past year on the Office of Personnel Management. We also fund necessary physical infrastructure projects through appropriations to this account.

**Appropriations to the Business Operations Revolving Fund  
 FY 2010-2016**

| Fiscal Year | Appropriation |
|-------------|---------------|
| 2010        | \$12,782,000  |
| 2011        | 1,655,682     |
| 2012        | 500,000       |
| 2013        | 3,966,847     |
| 2014        | 8,064,000     |
| 2015        | 8,757,000     |
| 2016        | 6,832,000     |

**Information Technology Projects for FY 2017 - \$5,875,000**

**FDsys Projects - \$4,175,000**

- **General System and Collection Development (\$3,400,000)** – Development of new FDsys features to support identified needs of key stakeholders, including developing new content collections, increasing content in existing collections, enhancing the accessibility of content, and increasing the discoverability of information.
- **NextGen FDsys Public Website (\$450,000)** – Completion of development and switchover to FDsys NextGen to support a responsive user interface, search engine replacement, publication linking, user interface improvements, and content curation.
- **FDsys Infrastructure (\$325,000)** – Infrastructure for the hardware, storage, and environments to manage system performance as FDsys content and usage continues to grow.

**Information Technology Cybersecurity Projects - \$1,700,000**

- **Security Enhancements for Advanced Persistent Threat (\$1,500,000)** – Required for enhanced technologies and services to combat, detect, and prevent advanced persistent threats (including sophisticated nation-state actors) from compromising GPO IT systems.

DAVITA VANCE-COOKS  
 Director of the U.S. Government Publishing Office



- **Wireless Intrusion Prevention (\$100,000)** – Required to provide enhanced ability to prevent and detect intrusion attempts specifically targeted at wireless systems at GPO.
- **Log Collector (Tech Refresh) (\$100,000)** – Required to replace old and near obsolete log collector systems in order to have sufficient audit trail logs for security investigations and detection/prevention of intrusion attempts.

### Facilities Infrastructure Projects for FY 2017 - \$1,957,000

- **Elevator Repairs (\$1,000,000)** – Elevators 39, 40, and 41 comprise the main vertical artery for Plant Operations to move congressional products between Press and Bindery operations. They also support employee life/safety by providing a means for evacuation of medical emergencies.
- **Emergency Power Generator (\$500,000)** – The power blackout by PEPCO in the summer of 2015 exposed the need for an upgrade to GPO's emergency generators to support expanded lighting and other electrical requirements.
- **Uninterrupted Power Supply for Data Center (\$257,000)** – The current UPS design and equipment are both obsolete. To ensure uptime and equipment integrity in GPO's data center, these systems need to be replaced.
- **Upgrade Electrical Panels/Wiring (\$200,000)** – This will address the obsolete and often deteriorating condition of the central power distribution feeds that are original to the GPO building complex (the newest building of which dates to 1940). The outdated wiring represents a safety hazard.

Chairman Graves and Chairwoman Capito, we thank you for your continued support and for the funding for GPO included in P.L. 114-113. We look forward to working with you and your Subcommittees in your consideration of our appropriations request for FY 2017.

Sincerely,

DAVITA VANCE-COOKS  
 Director

Enclosure

cc: The Honorable Debbie Wasserman Schultz  
 Ranking Member  
 House Subcommittee on Legislative Branch Appropriations  
 The Honorable Brian Schatz  
 Ranking Member  
 Senate Subcommittee on Legislative Branch Appropriations

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## Executive Summary and Results of FY 2015 Operations

The U.S. Government Publishing 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 an integrated publishing operation and carry out our mission using an expanding range of digital as well as conventional formats. Congress and the President recognized this change in our operations in the Consolidated and Continuing Appropriations Act for FY 2015 (P.L. 113-235), which contains a provision designating GPO's official name as the Government Publishing Office. GPO currently employs about 1,700 staff.

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 1.5 million Federal titles available online from both GPO and links to servers in other agencies. In 2015 FDsys averaged 47 million retrievals per month, with a spike up to 52.9 million retrievals in August 2015. We also provide public access to Government information through partnerships with 1,159 Federal, academic, public, law, and other libraries nationwide participating in the Federal Depository Library Program (FDLP).

In addition to GPO's Web site, [gpo.gov](http://gpo.gov), we communicate with the public routinely via Facebook [facebook.com/USGPO](https://www.facebook.com/USGPO), Twitter [twitter.com/USGPO](https://twitter.com/USGPO), YouTube [youtube.com/user/gpoprinter](https://www.youtube.com/user/gpoprinter), Instagram [instagram.com/usgpo](https://www.instagram.com/usgpo), LinkedIn [linkedin.com/company/u.s.-government-printing-office](https://www.linkedin.com/company/u.s.-government-printing-office), and Pinterest [pinterest.com/usgpo/](https://www.pinterest.com/usgpo/).

**History** From the Mayflower Compact to the Declaration of Independence and the papers leading to the creation and ratification of the Constitution, America is a nation based on documents, and our governmental tradition since then has reflected that fact. Article I, section 5 of the Constitution requires that "each House shall keep a journal of its proceedings and from time to time publish the same." After years of struggling with various systems of contracting for printed documents that were beset with scandal and corruption, in 1860 Congress created the Government Printing Office as its official printer. GPO first opened its doors for business on March 4, 1861, the same day Abraham Lincoln was inaugurated as the 16th President.

Since that time, GPO has produced and distributed the official version of every great American state paper and an uncounted number of other Government publications, documents, and forms. These documents include the Emancipation Proclamation, the legislative publications and acts of Congress, Social Security cards, Medicare and Medicaid information, census forms, tax forms, citizenship forms, passports, 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. This work goes on today, in both digital as well as print forms.

**Strategic Vision** GPO is transforming from a print-centric to a content-centric publishing operation. Our implementation of a digital transformation is consistent with the goals outlined in President Obama's Roadmap for a Digital Government (*Digital Government: Building a 21st Century Platform to Better Serve the American People*, May 2012). It is also consistent with the

recommendations submitted by the National Academy of Public Administration (*Rebooting the Government Printing Office: Keeping America Informed in the Digital Age*, January 2013) regarding GPO's transition to a digital future.

In FY 2017 and the years ahead, GPO will continue to develop an integrated, diversified product and services portfolio that focuses primarily on digital. Although industry experts predict tangible print will continue to be required because of official use, archival purposes, authenticity, specific industry requirements, and segments of the population that either have limited or no access to digital formats, we recognize that the volume of tangible print that is requisitioned from GPO is declining and will continue to decline.

**Strategic Plan** GPO's strategic plan, which is available for public review at [gpo.gov/about](http://gpo.gov/about), is built around four goals: satisfying our stakeholders, offering products and services, strengthening our organizational foundation, and engaging our workforce. The plan provides the blueprint for how GPO will continue to achieve its mission of *Keeping America Informed* with an emphasis on being OFFICIAL, DIGITAL, SECURE. GPO's senior managers convene at the beginning of each fiscal year to review the plan and approve it before it is issued.

GPO's customers are involved in the digital world and understand technological change. Accordingly, it is important that GPO fosters an environment that embraces change and innovation, which leads to new ways of thinking, new work processes, and the development of new products and services for GPO's customers. Tangible printing at GPO is declining while there has been an exponential growth in digital requirements by Congress and Federal agencies. Moreover, the public – including the library and Government information user communities – has signaled its strong desire for increased access to Government information digitally.

GPO has changed to anticipate and accommodate those requirements. 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. This policy is consistent with the President's executive order of November 2011 dealing with printing.

In transforming its business model, GPO is focusing on managing content for customer and public use both 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 the customer's needs.

**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 those changes pale by comparison with the transformation that accompanied our incorporation of electronic information technologies, which began more than 50 years ago in 1962 when the Joint Committee on Printing directed the agency to implement 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.

While transforming to an increasingly digital footing, GPO continues to provide an array of printing services to support the needs of Congress, Federal agencies, and the public. GPO is retooling its print operations to utilize a smaller, more flexible, more digitally-based equipment profile than previously. In FY 2015 we put into operation our new zero make-ready (ZMR) press to support congressional and Federal agency publishing requirements. As previously reported, this new press will allow us to eventually phase out 3 outdated presses installed in 1979. We are continually reviewing product and equipment options to ensure that our publishing activities are conducted with the most efficient, effective technologies available.

As a result of these sweeping technology changes — digital products, equipment, and processes — GPO is now fundamentally different from what it was as recently as a generation ago. It is 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. As we prepare GPO for the Government information environment and technology challenges of the future, our transformation is continuing with the development of new ways of delivering Government information, including apps and bulk data download files.

## GPO and Congress

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For the Clerk of the House, the Secretary of the Senate, and the committees of the House and the Senate, GPO publishes the documents and publications required by the legislative and oversight processes of Congress in digital and tangible formats. This includes 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 the business of Congress. We also detail expert staff to support the publishing requirements of House and Senate committees and congressional offices such as the House and Senate Offices of Legislative Counsel. We work with Congress to ensure the provision of these services under any circumstances.

Today the activities associated with creating congressional information databases comprise the majority of the work funded by our annual Congressional Publishing Appropriation. Our advanced digital authentication system, supported by public key infrastructure (PKI), is an essential component for assuring the digital security of congressional publications. The databases we build are made available for providing access to congressional publications in digital formats as well as their production in tangible formats.

GPO's congressional information databases also form the building blocks of other information systems supporting Congress. For example, the databases are provided directly to the Library of Congress (LOC) to support its Congress.gov system as well as the legislative information systems LOC makes available to House and Senate offices. We work with LOC to prepare summaries and status information for House and Senate bills in XML bulk data format. We are also collaborating with LOC on the digitization of historical printed documents, such as the *Congressional Record*, to make them more broadly available to Congress and the public.

**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 replaced hot metal typesetting with electronic photocomposition, the appropriation for Congressional Publishing was \$91.6 million, the equivalent in today's dollars of \$264 million. By comparison, our approved funding for FY 2016 is \$79.7 million, a reduction of nearly 70% in constant dollar terms, with a 22% reduction since FY 2010 alone. FY 2016 is the third consecutive year that approved funding for GPO's Congressional Publishing Appropriation has been flat.

**Congressional Publishing Appropriation  
FY 1980-2016**

| Fiscal Year | Appropriation   | In Constant Dollars |
|-------------|-----------------|---------------------|
| 1980        | \$ 91.6 million | \$ 264.4 million    |
| 1985        | 94.0 million    | 207.8 million       |
| 1990        | 74.1 million    | 134.9 million       |
| 1995        | 84.7 million    | 132.3 million       |
| 2000        | 73.3 million    | 101.2 million       |
| 2005        | 88.1 million    | 107.3 million       |
| 2010        | 93.8 million    | 102.3 million       |
| 2016        | 79.7 million    | 79.7 million        |

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 6,450. At the beginning of FY 2016, following a buyout conducted early in FY 2015 that reduced GPO employment by approximately 100 positions, we had 1,711 employees on board, representing a reduction of 4,739, or more than 73%, since 1980. This is the smallest GPO workforce of any time in the past century.

**GPO Employment  
FY 1980-2016**

| Fiscal Year | Headcount                |
|-------------|--------------------------|
| 1980        | 6,450                    |
| 1985        | 5,383                    |
| 1990        | 4,977                    |
| 1995        | 3,956                    |
| 2000        | 3,139                    |
| 2005        | 2,344                    |
| 2010        | 2,284                    |
| 2016        | 1,711 (as of 10/01/2015) |

**Highlights of FY 2015 Congressional Work** During the year, GPO released the *Mobile Member Guide* app for the 114th Congress. This mobile Web app provides the public with quick, easy access to information on Members of the 114th Congress; features include their picture, party affiliation, hometown, home state, and length of service. The app allows users to browse for Members of Congress by last name, State, chamber, or party. The public can take advantage of this free mobile Web app on major mobile device platforms.

At the direction of the U.S. House of Representatives Appropriations Committee, and in support of the Legislative Branch Bulk Data Task Force, GPO, LOC, the Clerk of the House, and the Secretary of the Senate worked throughout 2015 to make bill statuses in XML format available through the GPO's FDsys Bulk Data repository starting with the 113th Congress. At launch in early 2016, the FDsys Bulk Data repository for Bill Status information will be available at [gpo.gov/fdsys/bulkdata/BILLSTATUS](http://gpo.gov/fdsys/bulkdata/BILLSTATUS). The announcement of this new information availability drew praise from various legislative openness and transparency advocates (see, for example, [congressionaldata.org/congress-poised-for-leap-to-open-up-legislative-data/](http://congressionaldata.org/congress-poised-for-leap-to-open-up-legislative-data/); and [fiercegovernmentit.com/story/bill-statuses-xml-coming-early-2016-says-congress/2015-12-17](http://fiercegovernmentit.com/story/bill-statuses-xml-coming-early-2016-says-congress/2015-12-17)).

During the year, GPO joined GitHub, the Web-based computer source code sharing and publishing service used worldwide to collaborate on code, data, and policy. GPO's presence on GitHub was welcomed by those in the legislative openness and transparency community who are interested in how legislative content is created, processed, stored, and made available to the public via FDsys. Through GitHub, GPO provides documentation on a fair and equal basis to the developer community about the process used to create FDsys metadata for legislative as well as

executive and judicial content collections. It can also be used to provide documentation about the FDsys sitemap implementation and supporting resources that are currently available on the FDsys Bulk Data Repository (e.g., User Guides).

GPO is now a regular participant and presenter at the House Legislative Data and Transparency Conference, along with staff from other legislative branch agencies, data users, and transparency advocates.

GPO is in the process of developing a new XML-based automated composition system to replace our now-outdated Microcomp system. This effort is known as the Composition System Replacement (CSR) project. During 2015, the CSR development team made significant progress toward the introduction of a beta system for the composition of congressional bills coincident with the opening of the 115th Congress in January 2017. Work during 2015 included the development of code that prepares XML bills for printing, paragraph-level styles and page layouts, table functionality, and font development. Contracts were awarded that augment CSR development staff with resources that have a high level of expertise in specialized system areas and components. The CSR team is working closely with House and Senate staff to ensure that CSR integrates seamlessly with specific authoring environments that are currently utilized for bills.

Congressional hearings are a major product produced on GPO's new ZMR press. By the year's end, the efficiency of the new press led GPO to reduce the prices charged for printing congressional hearings by 7%, the first such page rate reduction in many years. This rate reduction alone will generate an estimated savings of \$1.3 million in the Congressional Publishing Appropriation.

## GPO and Federal Agencies

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Federal agencies are major generators of information in the United States, 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, members of the public who cross our borders frequently, and other users. Our digital systems support key Federal agency publications, including the annual *Budget of the U.S. Government (Budget)* and, most importantly, 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 2015 Agency Operations** Since 2012, GPO has made the annual *Budget of the U.S. Government* available as a mobile app. The FY 2016 *Budget* app, released in January 2015, provided users with access to the text and images of the *Budget*, including the Budget Message of the President, information on the President's priorities, and budget overviews organized by agency. The app provides links to GPO's FDsys where summary tables and additional books of the *Budget*, including the *Analytical Perspectives*, *Appendix*, and *Historical Tables* are available. The complete, authentic online version of the *Budget* is also regularly made available through a direct link on FDsys.

One of GPO's major agency customers is the Office of the Federal Register (OFR), a unit of the National Archives and Records Administration (NARA), which produces the daily *Federal Register* and related publications such as the *Code of Federal Regulations*, and other key information products like the *Daily Compilation of Presidential Documents* and the *Public Papers of the President*. GPO produces these publications in both digital and tangible formats.

During 2015, GPO partnered with the OFR to make the electronic *Code of Federal Regulations* (eCFR) available in XML format for bulk data download from FDsys ([gpo.gov/fdsys/bulkdata](http://gpo.gov/fdsys/bulkdata)) (ECFR). The eCFR is an editorial compilation of CFR material and *Federal Register* amendments

published by the OFR and GPO. The OFR updates the material in the eCFR on a regular basis and can be as frequent as every day. With this new initiative, the OFR provides eCFR files to GPO and then GPO converts files into XML. The eCFR bulk data allows for a "one-click" download of the current XML file for each of the titles in the eCFR. Bulk data downloads of eCFR data in XML format permits the data to be reused and repurposed for mobile web applications, data mashups, and other analytical tools by third party providers, which contributes to openness and transparency in Government.

During the year, GPO also finalized plans with NARA to have the OFR move into approximately 17,000 square feet of space on the seventh floor of GPO's Building A during 2016, and construction of the OFR's new offices began. Co-location of the OFR with GPO will reduce costs and streamline the publishing process for OFR publications.

Surveys of GPO's Federal agency customers in recent years have consistently reported high rates of satisfaction with our products, services, and programs, the cost-effectiveness of GPO's services, and satisfaction with GPO's Web site and customer service. These results buttress the emphasis on a customer-centric approach through GPO's procedures, policies, and activities. In 2015 GPO held its annual Customer Service open house focusing on Federal publishing solutions available to agency representatives from Washington, DC, and around the Nation.

Among the significant products produced by GPO for Federal agencies in 2015 were the Department of State's annual *Trafficking in Persons* report; the development of the Department of Commerce's new user-friendly, mobile-optimized Web site, which serves as a platform to be used by other Commerce entities; and various materials associated with the visit of Pope Francis to Washington in September, including the official White House program for 15,000 guests to the South Lawn Ceremony with the Pope and President and Mrs. Obama. First Lady Michelle Obama publicly thanked GPO for its work on the White House program on her Instagram and Twitter pages.

**Partnership with Industry** Other than congressional and inherently governmental work such as the *Federal Register*, the *Budget*, and security and intelligent documents, GPO produces virtually all other Federal agency information products via contracts with the private sector printing and information product industry issued by our central office and regional GPO offices around the country. In 2015, this work was valued at approximately \$338 million. Approximately 17,600 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 significant economic opportunity for the private sector.

In recent years, the decline in print government-wide has reduced the amount of work we produce through this partnership, the result of the ongoing transformation of Federal agency information requirements from print to digital, the President's initiative to reduce Federal printing, and to some extent funding reductions such as sequestration. However, in FY 2015 GPO saw an increase of 15.2% in print procurement business compared with the previous year. GPO's partnership with the print and information product industry achieves significant savings and efficiencies for the work that it continues to produce and in the process generates private sector jobs nationwide.

GPO has long advocated that where Federal agency printing is required, this partnership is the most cost-effective way of producing it. We were interested to see the results of a Government Accountability Office study, conducted at the request of the Joint Committee on Printing and completed in 2013, which identified approximately 80 Federal printing plants still in operation government wide. Additional savings for taxpayers could occur if the work these plants are producing is transferred instead to GPO's partnership with the private sector printing and information product industry.

**Security and Intelligent Documents** For nearly a century GPO has been responsible for producing U.S. passports for the Department of State (DOS). 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 secure remote facility in Mississippi – is now the most secure identification credential obtainable, and over the past decade GPO has produced over 100 million e-Passports for DOS. Throughout 2015, we continued with facility changes and equipment installation and testing in support of the planned next generation passport.

Since 2008, GPO has also served as an integrator of secure identification smart cards to support the credentialing requirements of Federal agencies and other Government entities. In 2010, GPO was certified by the General Services Administration (GSA) to graphically personalize Homeland Security Presidential Directive 12 (HSPD-12) cards for Federal agencies. GSA certified that GPO complies with the Federal Information Processing Standard 201, which sets requirements to ensure that identification cards are secure and resistant to fraud.

To date, GPO has produced over 9 million secure credential cards across 15 different product lines. Among these products are the Trusted Traveler Program's (TTP) family of border crossing cards – NEXUS, SENTRI, FAST, and Global Entry – for the Department of Homeland Security (DHS), which are used by frequent travelers across U.S. borders. Another card produced for DHS is the Transportation Worker Identity Card (TWIC). GPO produces a Border Crossing Card (BCC) that is issued by DOS for authorized travel across the Mexican border. GPO also has produced secure law enforcement credentials for the U.S. Capitol Police that were used in the 2009 and 2013 Presidential inaugurations.

During 2015, a milestone was achieved in the production of secure border credentials for DHS. GPO employees have produced 5 million TTP cards for the Department's U.S. Customs and Border Protection (CBP). The TTP provides expedited entry process for pre-approved, low-risk travelers upon arrival in the United States under the Western Hemisphere Travel Initiative. Since their introduction in 2008, GPO and CBP have successfully manufactured these secure credentials for members of the various TTP programs without a single compromise in security nor a fruitful counterfeit attempt. "CBP-TTP chose the GPO to manufacture their TTP program cards due to the GPO's experience and secure supply chain," said Deputy Assistant Commissioner John P. Wagner, Office of Field Operations, CBP. "The GPO is an in-house government cataloging, producing, and publishing agency, which means that their manufacturing processes are more secure and less susceptible to counterfeiting since no sensitive information is ever exchanged with a third party vendor, as previous official identification documents have been."

Pursuant to a 2014 request from the Chairman of the Joint Committee on Printing as well as a mandate in Senate Report 113-196, which accompanied the fiscal year 2015 legislative branch appropriations bill, the Government Accountability Office (GAO) reviewed GPO's secure credential program and issued its report in 2015.

The GAO's report, *Government Publishing Office: Production of Secure Credentials for the Department of State and U.S. Customs and Border Protection*, issued in March 2015 ([gao.gov/products/GAO-15-326R](http://gao.gov/products/GAO-15-326R)), specifically addressed GPO's production of the BCC for DOS and TTP cards for DHS. The report answered the following questions: (1) what factors did DOS and DHS consider in selecting GPO to obtain their secure credentials? and (2) how does GPO produce and ensure the quality of its secure credentials?

Concerning the BCC, the GAO found that DOS considered GPO's experience producing the DHS's TTP credentials; the favorable experience DOS has had in working with GPO for the production of the e-Passport; the benefits of interagency coordination and collaboration; GPO's redundant GPO production facilities; and GPO's pricing, specifically that "*procurement of BCCs from GPO*

*could result in a potential cost saving to State of over \$1 million during the first year of GPO production based on State's annual volume of need"* (emphasis added).

With regard to the TTP credentials, GAO found that DHS considered GPO's experience producing the e-Passport; GPO's secure supply chain; the benefits of interagency collaboration and coordination; and GPO's pricing, specifically that *"the pricing offered by GPO for TTP card production was favorable compared to the option of upgrading their existing in-house production capabilities or sourcing production to a private sector entity..."* (emphasis added).

## **GPO and Open, Transparent Government**

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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. These programs include the Federal Depository Library Program (FDLP), Federal Digital System (FDsys), Publications Sales, and Social Media.

**Federal Depository Library Program** The FDLP has legislative antecedents that date back more than 200 years, to 1813, when Congress authorized congressional documents to be deposited at the American Antiquarian Society in Worcester, MA. Since then, Federal depository libraries have served as critical links between "We the People" and the information made available by the 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 assistance to depository library users.

The FDLP today serves millions of Americans through a network of 1,159 public, academic, law, and other libraries located across the Nation, averaging nearly three per congressional district. Once limited to the distribution of printed and microfiche products, the FDLP today is primarily digital, supported by FDsys and other digital resources. This overwhelming reliance on digital content allowed for the first digital-only Federal depository library designation in 2014. In 2015, 4 new Federal depository libraries were designated as digital-only, while 8 existing depository libraries converted to all-digital status.

The FDLP launched an updated and redesigned version of *Ben's Guide to the U.S. Government* in 2015. This Web site, named after Benjamin Franklin and available at [bensguide.gpo.gov](http://bensguide.gpo.gov), contains educational content on the workings of the U.S. Government and U.S. history. The updated site features new and enhanced content, a mobile device-friendly infrastructure, and a modernized look and feel that has been optimized for an intuitive learning experience. The FDLP partnered with the American Association of School Librarians (AASL), a division of the American Library Association (ALA), to ensure educational content is easy to comprehend and age appropriate.

Supporting Federal depository libraries and the public nationwide is the work GPO does under its statutory mandate to catalog and create a comprehensive index of the public documents issued or published by the Federal Government that are not confidential in character. The public interface for accessing these cataloging records is GPO's *Catalog of U.S. Government Publications (CGP)*, which is available online at [catalog.gpo.gov](http://catalog.gpo.gov). In FY 2015, there were more than 23.6 million

successful searches of the CGP, a decrease of 2 million from FY 2014. Also during this period, more than 19,000 new cataloging records were added to the CGP. In 2015, GPO was once again named one of the top online original catalogers in the world in the annual report of the OCLC for the year. And during the year, GPO added more than 11,000 original records for U.S. Government information products to WorldCat, the world's largest network of library content and services.

Late in the year, GPO became the first Federal agency member of the Technical Report Archive & Image Library (TRAIL, at [crl.edu/grn/trail/about-trail](http://crl.edu/grn/trail/about-trail)). TRAIL identifies, acquires, catalogs, digitizes, and provides unrestricted access to U.S. Government agency technical reports. TRAIL currently consists of over three dozen member institutions, many of which are Federal depository libraries. GPO and TRAIL have a shared goal of advancing free public access to U.S. Government information and will now work together to ensure the discoverability, ensuring permanent public access to, and the preservation of Government technical reports. As a member of TRAIL, GPO will offer expertise and guidance in cataloging and other areas.

**Federal Digital System** GPO has been providing access to digital congressional and Federal agency documents since 1994, beginning with a site known as *GPO Access*. Fifteen years later, *GPO Access* was retired and a significantly re-engineered site debuted as GPO's Federal Digital System. Today, FDsys provides the majority of congressional and Federal agency content to the FDLP as well as other online users. Online access to Federal documents provided by GPO 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 increased substantially over the years. In 2015, FDsys averaged 47 million retrievals per month, an increase of more than 23% over the previous year, with a spike up to 52.9 million retrievals in August.

GPO is continually adding collections to FDsys to provide increased public access to Government information. In FY 2015, new collections added included the historic Warren Report on the assassination of President Kennedy and the eCFR. In September, GPO and the Federal Judiciary were recognized with a 2015 Digital Government Achievement award in the Government-to-Government category for providing the public digital access to 1.4 million Federal court opinions via FDsys. Since the program began in 2011, in cooperation with the Administrative Office of the U.S. Courts, there have been more than 300 million retrievals of opinions from 104 Federal courts.

Late in the fiscal year, GPO announced a new partnership with the Office of the Federal Register to make every issue of the *Federal Register* since it began publication in 1936 digitally available to the public. A total of 14,587 individual issues will be digitized. GPO employees will hand pack and catalog every issue. The project complements a similar effort underway with the Library of Congress to digitize every issue of the *Congressional Record* since that title's inception in 1873.

**FDsys Improvements Planned for FY 2017** As GPO's enterprise information management system for digital information dissemination and preservation, FDsys is a critical component of our integrated publishing operation. Continued investment in this cornerstone system is needed in order to ensure FDsys technology, features, and functionality supports GPO's mission and meets the needs of key stakeholders, including Congress, Federal agencies, and the American public.

In 2016, the Next Generation FDsys public Web site (NextGen) will officially launch and the legacy site will be retired. NextGen functionality will greatly enhance the way stakeholders can interact with FDsys, including a responsive user interface, replacement of the current search engine with an Open Source search engine, the implementation of linking between related publications, and user interface improvements based on extensive stakeholder engagement. Along with the launch of NextGen, other initiatives are crucial for managing Federal Government content in FDsys, including developing new content collections, increasing content in existing

collections, enhancing the accessibility of content, and increasing the discoverability of information within the system. Throughout 2015, GPO conducted previews of NextGen for users in the library community and congressional staff.

GPO also has begun the process to seek certification for FDsys as a Trustworthy Digital Repository in compliance with the International Organization for Standardization (ISO 16363). This certification will validate that FDsys, its infrastructure, and its supporting organization are reliable and sustainable, in order to ensure the highest level of service now and into the future.

With the planned updates to the FDsys search, content management, and preservation components and along with certification of FDsys as a Trusted Digital Repository, it is also critical to invest in the IT infrastructure supporting the system. This includes bandwidth, storage, and servers needed for the Production, Continuity of Operations (COOP), Test, and Development environments. In FY 2016, GPO will also explore how to migrate FDsys to the Cloud to reduce reliance on on-site physical infrastructure.

**GPO Achieves Savings in Information Dissemination** In 1995, the first full year of our online operations, the cost of producing and distributing millions of copies of printed publications to Federal depository libraries nationwide was funded at \$17.6 million, the equivalent today of \$27.4 million in constant dollars. For FY 2017, we are proposing to fund this function at \$8 million, a reduction of more than 70% in constant dollar terms. Along with appropriations to GPO's Business Operations Revolving Fund, we have used the savings from reduced printing and distribution costs to pay for the establishment and operation of our digital information dissemination operations, achieving additional savings for the taxpayers and vastly expanding public access to Government information.

**Number of Titles Available Online through GPO**  
(Includes titles on GPO servers and titles linked from GPO)  
**FY 2000-2016**

| Year    | Number of Titles |
|---------|------------------|
| FY 2000 | 193,000          |
| FY 2005 | 301,600          |
| FY 2010 | 441,700          |
| FY 2016 | 1,554,000        |

**Publication and Information Sales Program** Along with the FDLP and FDsys, which are no-fee public access programs, GPO provides public access to official Federal information through public sales featuring secure ordering through an online bookstore (**bookstore.gpo.gov**), a bookstore at GPO headquarters in Washington, DC, and partnerships with the private sector that offer Federal publications as eBooks. As a one-stop shop for eBook design, conversion, and dissemination, our presence in the eBook market continues to grow. We now have agreements with Apple, Google's eBookstore, Barnes & Noble, OverDrive, Ingram, Zinio, and other online vendors to make popular Government titles such as the *Public Papers of the President-Barack Obama*, the *Financial Crisis Inquiry Report*, and *Ponzimonium: How Scam Artists are Ripping Off America* available as eBooks. We also offer a print-on-demand service for sales titles, which enables us to offer more titles and avoid the expense of additional warehousing.

**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 have been using Facebook, Twitter, YouTube, Instagram, LinkedIn, Pinterest, and a blog to share information about GPO news and events and to promote specific publications and products. By the end of 2015, we had 5,500 likes on Facebook, 5,700 followers on Twitter, and 145,000 views across 71 videos on YouTube. On Pinterest, we had 548 followers pinning on 17 boards of Federal Government information. We added Instagram and LinkedIn to GPO's social media portfolio in 2015 and by year's end had 511 followers with 400 posts on Instagram and 2,700 followers on LinkedIn. Our blog, *Government Book Talk*, focuses on increasing the awareness of new and classic Federal publications through reviews and discussions.

## GPO Finances

**Revolving Fund** All GPO activities are financed through our Business Operations Revolving Fund. This business-like fund is used to pay all of GPO's costs in performing congressional and agency publishing, information product procurement, and publications dissemination activities. It is reimbursed from payments from customer agencies, sales to the public, and transfers from GPO's two annual appropriations: the Congressional Publishing Appropriation and the Public Information Programs of the Superintendent of Documents Appropriation.

The Business Operations Revolving Fund functions as GPO's checking account with the U.S. Treasury. GPO pays its expenses from this account either with electronic transfer or check. 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 Publishing and Public Information Programs appropriations, and to deposits of funds collected from sales to the public.

GPO maintains a cash balance in the Business Operations 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** GPO's system of accrual accounting, annual earnings generated since the inception of the Business Operations 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 necessary and are requested annually.

**Appropriated Funds** GPO's Congressional Publishing Appropriation is used to reimburse the Business Operations Revolving Fund for costs of publishing the documents required for the use of Congress in digital and tangible formats, as authorized by the provisions of chapters 7 and 9 of Title 44, U.S.C. The Public Information Programs of the Superintendent of Documents Appropriation is used to pay for costs associated with providing online access to, and the distribution of, publications to Federal depository libraries, cataloging and indexing, statutory distribution, and international exchange distribution. The reimbursements from these appropriations are included in the Business Operations Revolving Fund as revenue for work performed.

Unlike most appropriations to other Federal agencies, these two appropriations are for work that GPO itself does not control. The Congressional Publishing Appropriation in effect is an appropriation by Congress to cover the costs of its publishing activities. The appropriation is made to GPO to relieve Congress of the burden of maintaining detailed accounting records for all publishing work ordered from GPO both by law and by other congressional requisitions, as well as the responsibility for estimating the anticipated volume of congressional publishing that is used as the basis for the appropriation.

Congress plays a major role in controlling the rate of spending of the Congressional Publishing Appropriation. GPO can transfer funds from the appropriation to the Business Operations Revolving Fund only when it performs congressional publishing work. The appropriation is not available for expenditure for any purposes other than this work. While GPO does its best to estimate the volume of congressional publishing in any given year, that volume can change due to circumstances beyond GPO's control. GPO affects 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 Publishing Appropriation at the end of the year. Under the language of GPO's appropriations legislation, such balances are eligible for transfer to the Business Operations 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 the Business Operations 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 the Business Operations Revolving Fund.

Like the Congressional Publishing Appropriation, the Public Information Programs Appropriation is available only for specific programs: online access and distribution to Federal depository libraries, 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 affects the level of funding by ensuring the efficiency of its information dissemination operations. Like the Congressional Publishing Appropriation, any unobligated balances remaining in this account may be transferred to the Business Operations 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.

GPO is accountable for its finances. Each year, GPO's finances and financial controls are audited by an independent outside audit firm working under contract with GPO's Office of Inspector General. For FY 2015, the audit concluded with GPO earning an unqualified, or clean, opinion on its finances, the 19th consecutive year GPO has been provided with such an audit result.

**FY 2015 Financial Results** Revenue totaled \$773.4 million while expenses charged against GPO's budget were \$735.8 million, for an overall net income of \$37.6 million from operations. Included in both GPO's revenue and net income is approximately \$15.3 million in funds set aside for passport-related capital investments, as agreed to by GPO and the Department of State, and \$4.6 million in funds resulting from a downward adjustment to GPO's long-term workers' compensation liability under the Federal Employees Compensation Act (FECA). Apart from these funds, GPO's net operating income from FY 2015 was \$17.6 million.

Funds appropriated directly by Congress provided nearly \$106.6 million (including funds from the Congressional Publishing and Public Information Programs appropriations, along with appropriations to the Business Operations Revolving Fund), or about 14% of total revenue. All other GPO activities, including in-plant publishing (which includes the production of passports), procured work, sales of publications, agency distribution services, and all administrative support functions, were financed through the Business Operations Revolving Fund by revenues generated by payments from agencies and sales to the public.

The largest single component of GPO's annual expenses is publishing work procured from the private sector. In FY 2015, the cost of this work totaled \$305.8 million, or about 42% of total expenses. The second largest component was personnel compensation and benefits. These totaled \$202.2 million, or about 27% of all expenses.

## FY 2017 Appropriations Request

We are requesting a total of \$117,068,000 for FY 2017. This is the same as the level of funding approved for FY 2016 in P.L. 114-113. Total GPO appropriations have declined by nearly 21% since FY 2010 and are currently at their lowest level since then. Our continued transition to digital technologies and products has increased our productivity and reduced costs. Additionally, maintaining financial controls on our overhead costs, coupled with a buyout in FY 2015 that reduced GPO's workforce by 103 positions, has helped make this funding request possible. Finally, the utilization of the unexpended balances of prior year appropriations, which we are able to transfer to GPO's Business Operations Revolving Fund with the approval of the Appropriations Committees, has made it possible in recent years to hold the line on the level of new funding we request.

Our FY 2017 request will enable us to:

- meet projected requirements for congressional publishing;
- fund the operation of the public information programs of the Superintendent of Documents; and
- develop information technology including IT security and perform facilities maintenance and repairs that support congressional publishing and public information programs operations.

**Congressional Publishing Appropriation** We are requesting \$79,736,000 for this account, the same level approved for FY 2016 in P.L. 114-113 and every year since FY 2014. This appropriation has declined by nearly 15% since FY 2010, as the result of our continuing transition to digital technology and products as well as actions taken in cooperation with the House of Representatives and the Senate to control congressional publishing costs. Unspent prior year balances from this account that have been transferred to GPO's Business Operations Revolving Fund are available for the purposes of this account.

### Congressional Publishing Appropriation FY 2010-2016

| Fiscal Year | Appropriation |
|-------------|---------------|
| 2010        | \$ 93,768,000 |
| 2011        | 93,580,464    |
| 2012        | 90,700,000    |
| 2013        | 82,129,576    |
| 2014        | 79,736,000    |
| 2015        | 79,736,000    |
| 2016        | 79,736,000    |

House Report 114-110, accompanying the Legislative Branch Appropriations bill for FY 2016, requires the presentation of budget requirements from a zero base. However, GPO has no control over the workload requirements of the Congressional Publishing 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 publishing requirements. These requirements are used as the basis of the budget presentation for this account.

The estimated requirements for FY 2017 include a projected price level increase of \$2,125,000, primarily to cover employee pay increases equivalent with those paid government-wide. Offsetting this will be a \$5,403,000 decrease in program requirements attributable to anticipated volume decreases for the *Congressional Record*, miscellaneous publications, miscellaneous publishing and services, business and committee calendars, and hearings.

As shown on page E-3 of our budget justification for FY 2017, the unexpended balances of prior year appropriations that have been transferred to GPO's Business Operations Revolving Fund will be used to offset anticipated requirements for FY 2016 and FY 2017, so that appropriation requirements for those years can remain stable at \$79,736,000 each year. Compared to FY 2016, we project there will be a decrease of \$3,278,000 in the need for this funding. The balance of these funds is earmarked for GPO's critically important Composition System Replacement (CSR) project, involving the development of an XML-based composition system to replace our 30+ year-old Microcomp system used in the preparation of congressional documents for digital and print access.

**Public Information Programs of the Superintendent of Documents** We are requesting \$29,500,000 for this account, representing a decrease of \$1,000,000 or 3.3% from the amount approved for FY 2016 in P.L. 114-113. This appropriation has declined by more than 27% since FY 2010, as the result of our continuing transition to digital technology and products which has made the increased dissemination of official Government information to the public less costly and more efficient. 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 114-110.

**Public Information Programs of the  
Superintendent of Documents Appropriation  
FY 2010-2016**

| Fiscal Year | Appropriation |
|-------------|---------------|
| 2010        | \$ 40,911,000 |
| 2011        | 39,831,178    |
| 2012        | 35,000,000    |
| 2013        | 31,437,000    |
| 2014        | 31,500,000    |
| 2015        | 31,500,000    |
| 2016        | 30,500,000    |

The funding we are requesting for FY 2017 will cover mandatory pay and related cost increases of \$389,000. Merit and other pay increases are included for 94 FTE's, the same as for FY 2016. In addition, the requested funding covers projected price level increases of \$28,000, including ongoing systems maintenance and FDsys operating expenses.

As with our Congressional Publishing Appropriation, unspent balances of prior year appropriations that have been transferred to GPO's Business Operations Revolving Fund will be used to offset anticipated requirements for FY 2016 and FY 2017. These requirements include projects to continue transitioning GPO's Public Information Programs to an increasingly digital basis, including the modernization of legacy IT systems, automation of depository distribution, the replacement of GPO's Integrated Library System, bulk harvesting and content management, enhanced Web-based applications, and the development of metadata and parsers for the digitized *Congressional Record* and *Federal Register*. The use of these funds enables GPO to reduce its appropriations requirements while continuing to perform essential services and carry out digital transformation projects.

**Business Operations Revolving Fund** We are requesting \$7,832,000 for this account, to remain available until expended, for information technology projects and necessary facilities projects. This compares with \$6,832,000 that was appropriated for FY 2016. Funding provided to this account represents an increase to working capital for specified projects. Since FY 2013, these projects have consistently included improvements to GPO's FDsys, which has expanded public access to congressional and other Government information products in digital formats while decreasing the costs of distributing traditional print formats, as well as other essential IT projects. Our request this year includes necessary expenses associated with enhancing the cybersecurity of GPO's IT systems in the wake of successful cyberattacks this past year against the

Office of Personnel Management. We also fund necessary physical infrastructure projects through appropriations to this account.

**Appropriations to the Business Operations Revolving Fund  
FY 2010-2016**

| Fiscal Year | Appropriation |
|-------------|---------------|
| 2010        | \$ 12,782,000 |
| 2011        | 1,655,682     |
| 2012        | 500,000       |
| 2013        | 3,966,847     |
| 2014        | 8,064,000     |
| 2015        | 8,757,000     |
| 2016        | 6,832,000     |

**Information Technology Projects — \$5,875,000**

**FDsys Projects — \$4,175,000**

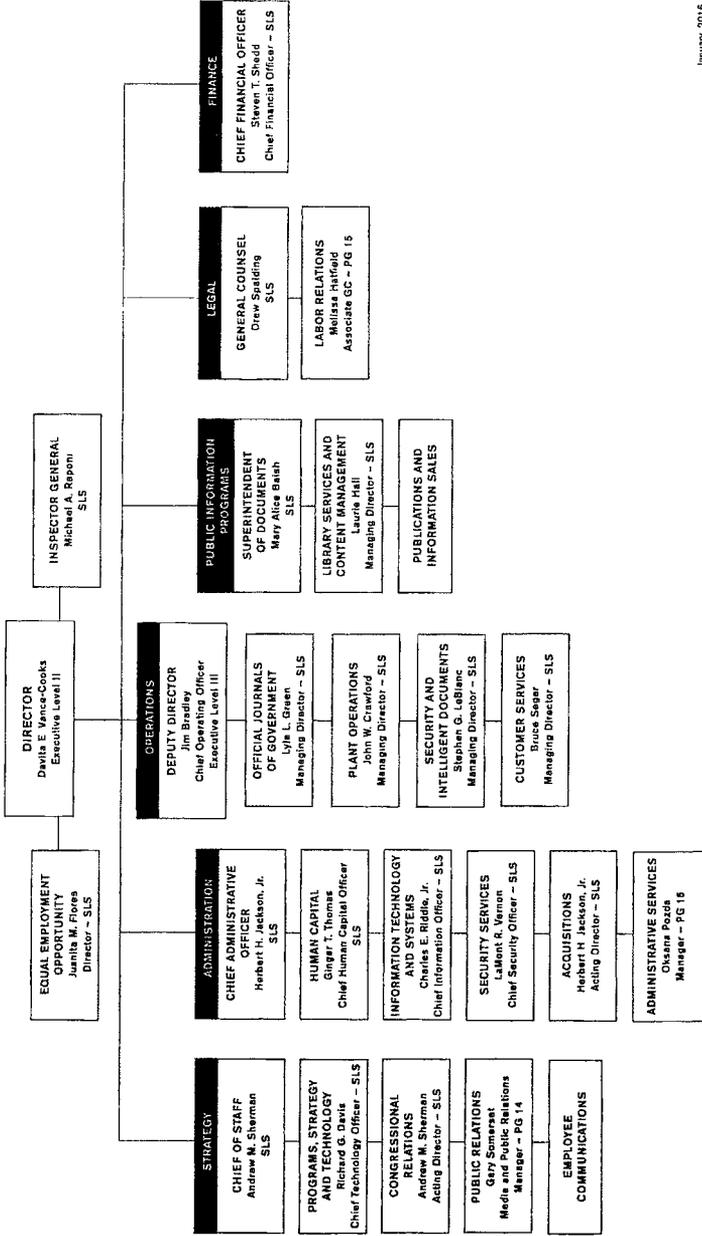
- **General System and Collection Development (\$3,400,000)** – Development of new FDsys features to support identified needs of key stakeholders, including developing new content collections, increasing content in existing collections, enhancing the accessibility of content, and increasing the discoverability of information.
- **NextGen FDsys Public Website (\$450,000)** – Completion of development and switchover to FDsys NextGen to support a responsive user interface, search engine replacement, publication linking, user interface improvements, and content curation
- **FDsys Infrastructure (\$325,000)** – Infrastructure for the hardware, storage, and environments to manage system performance as FDsys content and usage continues to grow.

**Information Technology Cybersecurity Projects - \$1,700,000**

- **Security Enhancements for Advanced Persistent Threat (\$1,500,000)** – Required for enhanced technologies and services to combat, detect, and prevent advanced persistent threats (including sophisticated nation-state actors) from compromising GPO IT systems.
- **Wireless Intrusion Prevention (\$100,000)** – Required to provide enhanced ability to prevent and detect intrusion attempts specifically targeted at wireless systems at GPO.
- **Log Collector (Tech Refresh) (\$100,000)** – Required to replace old and near obsolete log collector systems in order to have sufficient audit trail logs for security investigations and detection/prevention of intrusion attempts.

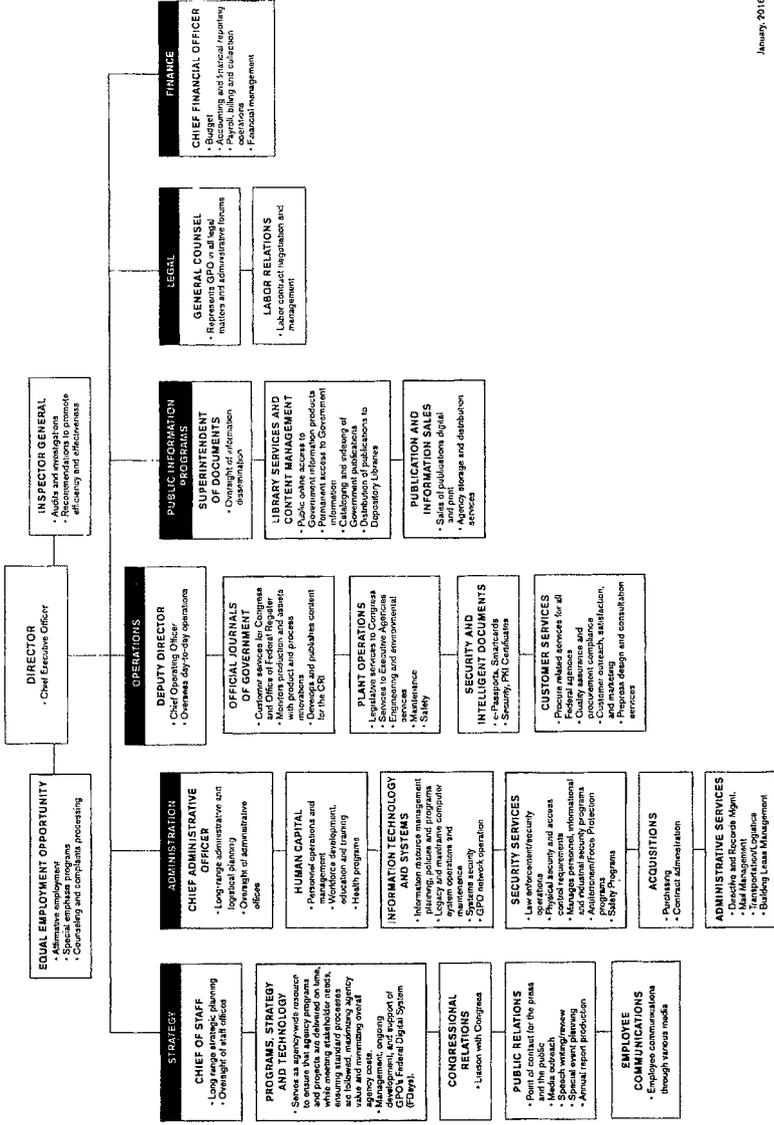
**Facilities Infrastructure Projects - \$1,957,000**

- **Elevator Repairs (\$1,000,000)** – Elevators 39, 40, and 41 comprise the main artery for Plant Operations to move congressional products between Press and Bindery operations. They also support employee life/safety by providing a means for evacuation of medical emergencies.
- **Emergency Power Generator (\$500,000)** – The power blackout by PEPCO in the summer of 2015 exposed the need for an upgrade to GPO's emergency generators to support expanded lighting and other electrical requirements.
- **Uninterrupted Power Supply for Data Center (\$257,000)** – The current UPS design and equipment are both obsolete. To ensure uptime and equipment integrity in GPO's data center these systems need to be replaced.
- **Upgrade Electrical Panels/Wiring (\$200,000)** – This will address the obsolete and often deteriorating condition of the central power distribution feeds that are original to the GPO building complex (the newest building of which dates to 1940). The outdated wiring represents a safety hazard.



# GPO FUNCTIONS BY ORGANIZATION

# U.S. GOVERNMENT PUBLISHING OFFICE Keeping America Informed | OFFICIAL | DIGITAL | SECURE



## GPO STAFFING INFORMATION

As of January 2016

| Business Unit                         | 1-8 | 9-12 | 13-15 | SLS | Executive | Wage Grade | Total |
|---------------------------------------|-----|------|-------|-----|-----------|------------|-------|
| Acquisitions                          | 2   | 11   | 4     | 0   | 0         | 0          | 17    |
| Administrative Services               | 9   | 0    | 4     | 0   | 0         | 0          | 13    |
| Chief of Staff                        | 0   | 1    | 5     | 1   | 0         | 0          | 7     |
| Customer Services                     | 25  | 81   | 36    | 2   | 0         | 0          | 144   |
| Executive Offices                     | 1   | 5    | 5     | 1   | 2         | 0          | 14    |
| Equal Employment Opportunity          | 0   | 3    | 1     | 1   | 0         | 0          | 5     |
| Finance                               | 15  | 42   | 47    | 2   | 0         | 2          | 108   |
| General Counsel                       | 1   | 2    | 8     | 2   | 0         | 0          | 13    |
| Human Capital                         | 8   | 13   | 15    | 1   | 0         | 1          | 38    |
| Information Technology                | 2   | 23   | 67    | 2   | 0         | 0          | 94    |
| Inspector General                     | 0   | 3    | 14    | 1   | 0         | 0          | 18    |
| Library Services & Content Management | 3   | 39   | 26    | 2   | 0         | 9          | 79    |
| Official Journals Of Government       | 3   | 13   | 15    | 1   | 0         | 51         | 83    |
| Plant Operations                      | 20  | 52   | 51    | 2   | 0         | 638        | 763   |
| Programs, Strategy and Technology     | 0   | 1    | 16    | 1   | 0         | 0          | 18    |
| Publication & Information Sales       | 34  | 18   | 7     | 0   | 0         | 9          | 68    |
| Security Services                     | 40  | 11   | 7     | 1   | 0         | 0          | 59    |
| Security and Intelligent Documents    | 8   | 1    | 32    | 1   | 0         | 114        | 156   |
| Grand Total                           | 171 | 319  | 360   | 21  | 2         | 824        | 1,697 |

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 1,697 employees, as of January 2016.

GPO's Senior Level Service (SLS) is similar to the Senior Executive Service.

**GOVERNMENT PUBLISHING OFFICE**  
**Summary of Appropriation Estimates**  
(Dollars in Thousands)

| <u>Appropriation Title</u>         | FY 2015<br><u>Actual</u> | FY 2016<br><u>Approved</u> | FY 2017<br><u>Request</u> | FY 2016/2017<br><u>Net Change</u> |
|------------------------------------|--------------------------|----------------------------|---------------------------|-----------------------------------|
| Congressional Publishing           | \$ 79,736                | \$ 79,736                  | \$ 79,736                 | \$ -                              |
| Public Information Programs        |                          |                            |                           |                                   |
| Superintendent of Documents        |                          |                            |                           |                                   |
| By Law Distribution                | 315                      | 305                        | 295                       | (10)                              |
| Cataloging and Indexing            | 8,505                    | 8,235                      | 7,965                     | (270)                             |
| Federal Depository Library         | 22,050                   | 21,350                     | 20,650                    | (700)                             |
| International Exchange             | 630                      | 610                        | 590                       | (20)                              |
| Total Appropriation                | <u>31,500</u>            | <u>30,500</u>              | <u>29,500</u>             | <u>(1,000)</u>                    |
| Business Operations Revolving Fund | <u>8,757</u>             | <u>6,832</u>               | <u>7,832</u>              | <u>1,000</u>                      |
| Total Appropriations               | <u>\$ 119,993</u>        | <u>\$ 117,068</u>          | <u>\$ 117,068</u>         | <u>\$ -</u>                       |

**GOVERNMENT PUBLISHING OFFICE**  
**Staffing Summary – FTE's**

| <u>Appropriation Title</u>         | <u>FY 2015<br/>Actual</u> | <u>FY 2016<br/>Approved</u> | <u>FY 2017<br/>Request</u> | <u>FY 2016/2017<br/>Change</u> |
|------------------------------------|---------------------------|-----------------------------|----------------------------|--------------------------------|
| Congressional Publishing           | -                         | -                           | -                          | -                              |
| Public Information Programs        |                           |                             |                            |                                |
| Superintendent of Documents        |                           |                             |                            |                                |
| By Law Distribution                | 1                         | 1                           | 1                          |                                |
| Cataloging and Indexing            | 21                        | 25                          | 25                         |                                |
| Federal Depository Library         | 53                        | 66                          | 66                         |                                |
| International Exchange             | <u>2</u>                  | <u>2</u>                    | <u>2</u>                   | -                              |
| Total Appropriation                | <u>77</u>                 | <u>94</u>                   | <u>94</u>                  | -                              |
| Business Operations Revolving Fund | <u>1,625</u>              | <u>1,740</u>                | <u>1,740</u>               | -                              |
| Total Agency                       | <u><u>1,702</u></u>       | <u><u>1,834</u></u>         | <u><u>1,834</u></u>        | -                              |

## Strategic Plan Framework

### Mission Statement

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*Keeping America Informed* as the Official, Digital, and Secure source for 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 1,700.

Congressional printing and information services are the primary function of GPO's inplant facility in Washington, D.C. 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 \$300 million annually from private sector vendors nationwide for Federal agency customers. About 70% 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.

GPO's primary information dissemination program involves a partnership with approximately 1,200 Federal depository libraries nationwide. Today, the partnership is predominantly electronic, but tangible formats are distributed where required. GPO's Federal Digital System (FDsys) provides free public access to more than 1.5 million searchable titles, with an average of 47 million retrievals every month. GPO also provides for public sale of Government publications via its traditional and online bookstores, offers eBooks through partnerships with multiple vendors, and provides a variety of mobile web apps for key Federal documents.

GPO operates on a revolving fund basis, like a business. Only 14% of GPO's funding comes from direct appropriations 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 [www.facebook.com/usgpo](http://www.facebook.com/usgpo).

### 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 responsibility 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.

### **I. Satisfying Our Stakeholders**

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#### **A. It's all About the Customer**

##### **Objective**

Develop internal processes and procedures that support 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 customer 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.

#### **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.

### **C. Enhance Strategic Partnerships**

#### **Objective**

Enhance strategic partnerships to gain flexibility, build effective networks, and manage processes to meet customer demands and expectations.

- GPO will 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 processes 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.

### **II. Strengthening Our Organizational Foundation**

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#### **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 technologies to ensure that solutions are scalable, available, cost-effective, and secure.
- Technology investments will be in direct relationship with GPO's business goals, resulting in excellent customer service, strong partnerships, secure infrastructures, and cost-effective performance.

## 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.

## 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, and reducing GPO's carbon footprint and will 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.

## D. Continuity of Operations (COOP)

### 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 printing and information product operations for Congress, Federal agencies, and the public in the event of a national security or isolated emergency affecting GPO facilities in Washington, D.C.

## III. Offering Products and Services

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### A. Statutory Foundation

#### 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.

### B. Secure Federal Credentials

#### Objective

Provide the capability to meet the secure Federal credential requirements of Federal agencies.

- GPO plays a vital role in the security programs of our customers and our Nation. GPO produces the latest-generation electronic passports for the Department of State (DOS). Proven passport capabilities are built into a family of secure credential products for our agency customers. They acquire secure credential design, printing, manufacturing, personalization, and delivery—all from GPO. Work is performed in Government facilities by Government employees with proper clearances.

## IV. Engaging Our Workforce

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### A. Employer of Choice

#### Objective

Transform GPO into an employer of choice through proactive workforce planning that focuses on diversity and through fostering work life programs to meet the changing needs of today's and tomorrow's employees.

- GPO's ability to be viewed as an employer of choice depends on the agency's ability to develop and attract quality employees and to motivate them to perform at high levels. GPO will work to maintain an environment that is fair, unbiased, and family-friendly, that promotes and values opportunity and inclusiveness. This includes a focus on reducing the incidents of EEO complaints.
- Attracting and keeping high-caliber employees and cultivating a talented, diverse workforce will allow GPO to tackle the challenges posed by an increasingly complex, ever-changing external environment. GPO is committed to treating all employees fairly, respecting their diversity, and valuing their contributions.

**GOVERNMENT PUBLISHING OFFICE**  
**CONGRESSIONAL PUBLISHING**  
Including Transfer of Funds  
Fiscal Year 2017

**Proposed Appropriations Language:**

For authorized publishing of congressional information and the distribution of congressional information in any format; expenses necessary for preparing the semi-monthly and session index to the Congressional Record, as authorized by law (section 902 of title 44, United States Code); publishing of Government publications authorized by law to be distributed to Members of Congress; and publishing, and distribution of Government publications authorized by law to be distributed without charge to the recipient, \$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 Publishing Office Business Operations Revolving Fund for carrying out the purposes of this heading, subject to the approval of the Committees on Appropriations of the House of Representatives and Senate: *Provided further*, That notwithstanding sections 901, 902, and 906 of title 44, United States Code, this appropriation may be used to prepare indexes to the Congressional Record on only a monthly and session basis. (*Legislative Branch Appropriations Act, 2016.*)

**Base Budget Review:**

**Description of Program**

The estimates for Congressional Publishing are to provide funds to pay for the cost of publishing required for the use of Congress, and for publishing and distribution of Government publications authorized by law to be distributed without charge to the recipient.

**Explanations of Changes**

The appropriation requested for FY 2017 is \$79,736,000. A total of \$81,113,000 is required to cover congressional publishing requirements for FY 2017, but transfers of unexpended prior year appropriations to the Government Publishing Office Business Operations Revolving Fund of \$1,377,000 will be utilized to offset part of these requirements. For FY 2016, a total of \$84,391,000 is estimated to be required to cover congressional publishing requirements, but transfers of unexpended prior year appropriations totaling \$4,655,000 are available, in addition to the appropriation of \$79,736,000.

**A. Congressional Record Program.** The proceedings of the Senate and House of Representatives are published in the Congressional Record and posted in digital format on GPO's Federal Digital System (FDsys). Approximately 2,208 copies are printed daily. About 1,700 copies are charged to the Congressional Publishing Appropriation, including about 640 copies distributed without charge to recipients designated by Senators. The copies that are not charged to the Congressional Publishing Appropriation are delivered and charged to Government departments on requisitions and to the Superintendent of Documents for

sale to subscribers. Online access to a digital *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 posted on FDsys. About 233 sets are printed as the permanent bound edition of the *Record*. About 102 of these sets are for Congressional use and charged to the Congressional Publishing Appropriation. The remaining 131 sets are for public sale, charged to departments on requisition, or distributed to regional Federal depository libraries. An estimated 20,400 pages will be required in FY 2017 and the cost will be approximately \$22,482,000.

**B. Miscellaneous Publications.** This item includes publications 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 \$3,683,000 will be required in FY 2017 for approximately 14,900 pages.

**C. Miscellaneous Publishing and Services.** This item includes letterheads, envelopes, blank paper, miscellaneous services, blank forms, composition and content management, binding, and archival storage for both Houses of Congress. The estimate for FY 2017 is \$18,108,000 for about 52.9 million units.

**D. Details to Congress.** This item includes the cost for GPO employees detailed to Congress. The estimated cost for FY 2017 is \$4,557,000 for 73,500 hours.

**E. Document Envelopes and Document Franks.** Document envelopes are furnished to Senators and Representatives for the mailing of speeches and documents. Document franks are printed individually or in sheets with perforations and are furnished to Members of Congress for mailing documents. An estimated \$648,000 will be needed in FY 2017 for approximately 3.9 million envelopes, at a cost of \$583,000 and .5 million document franks at a cost of \$65,000.

**F. Business and Committee Calendars.** This heading covers the publishing of all House and Senate business and committee calendars, which list the actions on pending and completed legislation. An estimated \$2,625,000 will be required in FY 2017 for approximately 19,600 pages.

**G. Bills, Resolutions, and Amendments.** This heading covers the publishing of bills, resolutions, and amendments in all forms, including the prints as introduced, referred, reported, and finally passed. The estimate for FY 2017 is \$4,590,000 for approximately 124,300 pages.

**H. Committee Reports.** This item covers published reports of congressional committees on pending legislation that carry a congressional number. An estimated \$2,775,000 will be needed for about 37,600 pages in FY 2017.

**I. Documents.** This heading includes all classes of Senate and House documents ordered published by Congress that 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 2017 is \$1,922,000 for about 36,500 pages.

**J. Hearings.** This item covers all hearings before House and Senate committees. The estimate for FY 2017 is \$18,547,000 for approximately 250,900 pages.

**K. Committee Prints.** This item includes publications for the internal use of committees on pending legislation. The estimate for FY 2017 is \$1,176,000 for 28,900 pages.

**GOVERNMENT PUBLISHING OFFICE**  
**CONGRESSIONAL PUBLISHING APPROPRIATION**  
 Base Budget Review (Detail by Activity)  
 (Dollars in Thousands)

| Category                                      | 2015<br>Actual <sup>1</sup> | 2016<br>Estimate | 2017<br>Estimate | Change         |
|---|-----------------------------|------------------|------------------|----------------|
| <b>A. Congressional Record Publications:</b>  |                             |                  |                  |                |
| Daily Record:                                 |                             |                  |                  |                |
| Content Development <sup>2</sup> .....        | \$ 12,135                   | \$ 13,092        | \$ 12,695        | \$ (397)       |
| Printing.....                                 | 5,976                       | 6,448            | 6,253            | (195)          |
| Subtotal.....                                 | <u>18,111</u>               | <u>19,540</u>    | <u>18,948</u>    | <u>(592)</u>   |
| Record Index.....                             | 2,021                       | 2,231            | 1,982            | (249)          |
| Record Indexers.....                          | 1,595                       | 1,503            | 1,552            | 49             |
| Subtotal.....                                 | <u>21,727</u>               | <u>23,274</u>    | <u>22,482</u>    | <u>(792)</u>   |
| B. Miscellaneous Publications.....            | 3,520                       | 3,707            | 3,683            | (24)           |
| C. Miscellaneous Publishing and Services..... | 15,951                      | 18,454           | 18,108           | (346)          |
| D. Details to Congress.....                   | 4,353                       | 4,410            | 4,557            | 147            |
| E. Document Envelopes and Franks.....         | 577                         | 631              | 648              | 17             |
| F. Business and Committee Calendars.....      | 2,189                       | 3,978            | 2,625            | (1,353)        |
| G. Bills, Resolutions, and Amendments.....    | 4,772                       | 4,410            | 4,590            | 180            |
| H. Committee Reports.....                     | 2,406                       | 2,768            | 2,775            | 7              |
| I. Documents.....                             | 1,621                       | 1,872            | 1,922            | 50             |
| J. Hearings.....                              | 18,947                      | 19,764           | 18,547           | (1,217)        |
| K. Committee Prints.....                      | 1,288                       | 1,123            | 1,176            | 53             |
| Total Obligations.....                        | <u>77,351</u>               | <u>84,391</u>    | <u>81,113</u>    | <u>(3,278)</u> |
| Surplus/(Shortfall).....                      | 2,385                       | (4,655)          | (1,377)          | 3,278          |
| Appropriation.....                            | <u>\$ 79,736</u>            | <u>\$ 79,736</u> | <u>\$ 79,736</u> | <u>\$ 0</u>    |

Note: The unexpended balances of prior year appropriations that have been transferred to GPO's Business Operations Revolving Fund will be used to offset anticipated requirements for FY 2016 and FY 2017, so that appropriation requirements for those years can remain stable at \$79,736,000 each year. The balance of these funds is earmarked for GPO's critically important Composition System Replacement (CSR) project, involving the development of an XML-based composition system to replace GPO's 30+ year-old Microcomp system used in the preparation of congressional documents for digital and print access.

<sup>1</sup> Comprised of actual year-to-date expenditures and estimated unliquidated obligations.

<sup>2</sup> Includes GPO FDsys publishing.

**GOVERNMENT PUBLISHING OFFICE**  
**CONGRESSIONAL PUBLISHING APPROPRIATION**  
 Analysis Of Change FY 2016 to FY 2017

| CALCULATION OF BASE                      |                 |
|--|-----------------|
| FTE                                      | AMOUNT<br>(000) |
| -  | \$79,736        |
| 2017 REQUEST                             |                 |
|  | 2,125           |
| A. Price Level Changes                   |                 |
| 1. Daily Congressional Record:           |                 |
| 1a. Content Development                  | 330             |
| 1b. Printing                             | <u>163</u>      |
| Subtotal                                 | 493             |
| 2. Congressional Record Index            | 52              |
| 3. Congressional Record Indexers         | 49              |
| 4. Miscellaneous Publications            | 96              |
| 5. Miscellaneous Publishing and Services | 449             |
| 6. Details to Congress                   | 147             |
| 7. Document Envelopes and Franks         | 17              |
| 8. Business and Committee Calendars      | 68              |
| 9. Bills, Resolutions, and Amendments    | 119             |
| 10. Committee Reports                    | 72              |
| -  | 50              |
| 11. Documents                            | 482             |
| 12. Hearings                             | 31              |
| -  | 72              |
| 13. Committee Prints                     | 31              |

**GOVERNMENT PUBLISHING OFFICE  
CONGRESSIONAL PUBLISHING APPROPRIATION**  
Analysis Of Change FY 2016 to FY 2017

| CALCULATION OF BASE                          |                 |
|--|-----------------|
| FTE  | AMOUNT<br>(000) |
| B. Program Type Changes                      | (\$2,125)       |
| 1. Activity                                  | (5,403)         |
| a. Daily Congressional Record:               |                 |
| 1. Content Development                       | (728)           |
| 2. Printing                                  | <u>(358)</u>    |
| Subtotal                                     | (1,086)         |
| 3. Congressional Record Index                | (300)           |
| b. Miscellaneous Publications                | (120)           |
| c. Miscellaneous Publishing and Services     | (795)           |
| d. Business and Committee Calendars          | (1,422)         |
| e. Bills, Resolutions, and Amendments        | 60              |
| f. Committee Reports                         | (65)            |
| g. Hearings                                  | (1,699)         |
| h. Committee Prints                          | 24              |
| 2. Estimated Change - in Surplus/(Shortfall) | 3,278           |
| II. Net Change                               | 0               |
| III. Appropriation 2017                      | <b>\$79,736</b> |

**GOVERNMENT PUBLISHING OFFICE  
CONGRESSIONAL PUBLISHING APPROPRIATION**  
Explanation of Changes

|  | FTE | Amount<br>(000) |
|--|-----|-----------------|
| <b>A. PRICE LEVEL CHANGES</b>  |     |                 |
| The average 2.5 percent increase is due to increases in publishing costs.  |     | \$2,125         |
| <b>B. PROGRAM TYPE CHANGES</b>   |     |                 |
| <b>1. Activity (Volume)</b>  | -   | (5,403)         |
| <b>a. Congressional Record Publications:</b>   |     |                 |
| 1. Daily Record<br>This 5.6 percent decrease is computed based on historical data.                                 |     | (1,086)         |
| 2. Congressional Record Index<br>This 13.5 percent decrease is computed based on historical data.                  |     | (300)           |
| <b>b. Miscellaneous Publications</b><br>This 3.2 percent decrease is computed based on historical data.            |     | (120)           |
| <b>c. Miscellaneous Publishing and Services</b><br>This 4.3 percent decrease is computed based on historical data. | -   | (795)           |
| <b>d. Business and Committee Calendars</b><br>This 35.7 percent decrease is computed based on historical data.     |     | (1,422)         |
| <b>e. Bills, Resolutions, and Amendments</b><br>This 1.4 percent increase is computed based on historical data.    |     | 60              |
| <b>f. Committee Reports</b><br>This 2.3 percent decrease is computed based on historical data.                     |     | (65)            |
| <b>g. Hearings</b><br>This 8.6 percent decrease is computed based on historical data.                              |     | (1,699)         |
| <b>h. Committee Prints</b><br>This 2.1 percent increase is computed based on historical data.                      |     | 24              |
| <b>2. Estimated Change</b>   | -   | <b>\$3,278</b>  |

**GOVERNMENT PUBLISHING OFFICE  
CONGRESSIONAL PUBLISHING APPROPRIATION**

By Object Class  
(In thousands)

| <b>OMB Object Class</b>               | <b>2015<br/>Actual</b> | <b>2016<br/>Actual</b> | <b>2017<br/>Estimate</b> | <b>Change</b> |
|---------------------------------------|------------------------|------------------------|--------------------------|---------------|
| <b>24 Printing &amp; Reproduction</b> | \$79,736               | \$79,736               | \$79,736                 | \$0           |

**GOVERNMENT PUBLISHING OFFICE  
CONGRESSIONAL PUBLISHING APPROPRIATION**

Analysis of Change to Budget Base  
(In thousands)

| <b>OMB Object Class</b>               | <b>Price Level Changes</b> | <b>Program Type Changes</b> | <b>Total Changes</b> |
|---------------------------------------|----------------------------|-----------------------------|----------------------|
| <b>24 Printing &amp; Reproduction</b> | \$2,125                    | (\$2,125)                   | \$0                  |

**GOVERNMENT PUBLISHING OFFICE**  
**CONGRESSIONAL PUBLISHING APPROPRIATION**  
 Estimated Cost Per Unit by Category<sup>1</sup>

| Category                                   | Unit <sup>2</sup> | 2015       | 2016       | 2017       |
|--|-------------------|------------|------------|------------|
| A. Congressional Record Program:           |                   |            |            |            |
| Daily Record:                              |                   |            |            |            |
| Content Development.....                   | Page.....         | \$595      | \$606      | \$622      |
| Printing.....                              | Page.....         | <u>293</u> | <u>299</u> | <u>307</u> |
| Subtotal.....                              | Page.....         | 888        | 905        | 929        |
| Record Index.....                          | Page.....         | 421        | 429        | 440        |
| Record Indexers.....                       | Hours.....        | 78         | 80         | 83         |
| B. Miscellaneous Publications.....         | Page.....         | 236        | 241        | 247        |
| C. Miscellaneous Publishing and Services   | 1,000 items....   | 312        | 318        | 327        |
| D. Details to Congress.....                | Hours.....        | 59         | 60         | 62         |
| E. Document Envelopes and Franks.....      | 1,000 items....   | 141        | 143        | 147        |
| F. Business and Committee Calendars.....   | Page.....         | 128        | 130        | 134        |
| G. Bills, Resolutions, and Amendments..... | Page.....         | 35         | 36         | 37         |
| H. Committee Reports.....                  | Page.....         | 71         | 72         | 74         |
| I. Documents.....                          | Page.....         | 50         | 51         | 53         |
| J. Hearings.....                           | Page.....         | 76         | 72         | 74         |
| K. Committee Prints.....                   | Page.....         | 39         | 40         | 41         |

<sup>1</sup> Unit costs are established based on projected workload volumes and costs. Unit costs may require adjustment if actual workload demands differ substantially from projections. GPO does not control actual workload volumes, which are driven by customer requirements. Therefore, volume variances may result in actual unit costs that differ from these estimates, due to fixed costs which do not vary directly in proportion to workload.

<sup>2</sup> The unit cost per page is the number of original pages, and the cost includes all Congressional copies of each category of work. The per page cost for content development 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 2,208 copies, the total production cost is 24.5 cents per copy page, including copies ordered by agencies, depository libraries, and for sale to the public. The rider rate for printing additional copies is 1.5 cents per copy page.

**GOVERNMENT PUBLISHING OFFICE**  
**CONGRESSIONAL PUBLISHING APPROPRIATION**  
 Volume<sup>1</sup> Increase/(Decrease)

| Category                                       | Unit             | 2015    |   | 2016    |   | 2017    |   |
|--|------------------|---------|---|---------|---|---------|---|
|  |                  | Total   | Increase/(Decrease)<br>Quantity Percent | Total   | Increase/(Decrease)<br>Quantity Percent | Total   | Increase/(Decrease)<br>Quantity Percent |
| <b>A. Congressional Record Program:</b>        |                  |         |   |         |   |         |   |
| <b>Daily Record:</b>                           |                  |         |   |         |   |         |   |
| Content Development.....                       | Page.....        | 20,400  | 1,200 5.9                               | 21,600  | (1,200) (5.6)                           | 20,400  |   |
| Printing.....                                  | Page.....        | 20,400  | 1,200 5.9                               | 21,600  | (1,200) (5.6)                           | 20,400  |   |
| Record Index.....                              | Page.....        | 4,800   | 400 8.3                                 | 5,200   | (700) (13.5)                            | 4,500   |   |
| Record Indexers.....                           | Hours.....       | 20,400  | (1,600) (7.8)                           | 18,800  | 0 0.0                                   | 18,800  |   |
| B. Miscellaneous Publications.....             | Page.....        | 14,900  | 500 3.4                                 | 15,400  | (500) (3.2)                             | 14,900  |   |
| C. Miscellaneous Publishing and Services ..... | 1,000 items..... | 51,100  | 4,300 8.4                               | 55,400  | (2,500) (4.5)                           | 52,900  |   |
| D. Details to Congress.....                    | Hours.....       | 73,500  | 0 0.0                                   | 73,500  | 0 0.0                                   | 73,500  |   |
| E. Document Envelopes and Franks.....          | 1,000 items..... | 4,100   | 300 7.3                                 | 4,400   | 0 0.0                                   | 4,400   |   |
| F. Calendars.....                              | Page.....        | 17,100  | 13,400 78.4                             | 30,500  | (10,900) (35.7)                         | 19,600  |   |
| G. Bills, Resolutions, and Amendments.....     | Page.....        | 135,200 | (12,600) (9.3)                          | 122,600 | 1,700 1.4                               | 124,300 |   |
| H. Committee Reports.....                      | Page.....        | 34,100  | 4,400 12.9                              | 38,500  | (900) (2.3)                             | 37,600  |   |
| I. Documents.....                              | Page.....        | 32,200  | 4,300 13.4                              | 36,500  | 0 0.0                                   | 36,500  |   |
| J. Hearings.....                               | Page.....        | 249,800 | 24,700 9.9                              | 274,500 | (23,600) (8.6)                          | 250,900 |   |
| K. Committee Prints.....                       | Page.....        | 33,100  | (4,800) (14.5)                          | 28,300  | 600 2.1                                 | 28,900  |   |

<sup>1</sup> Volume is an estimate of anticipated requirements.

**GOVERNMENT PUBLISHING OFFICE  
CONGRESSIONAL BILLINGS FOR COMMITTEES BY CATEGORY**  
During FY 2015

| House<br>Committees                                 | Daily<br>Cong. Rec. | Record<br>Index | Record<br>Indexers | Misc.<br>Publ. | Misc.<br>P&S | Details   | Doc.<br>Encl. | Doc.<br>Franks | Calendars | Bills     | Reports | Documents | Hearings   | Committee<br>Prints | TOTALS     |
|---|---------------------|-----------------|--------------------|----------------|--------------|-----------|---------------|----------------|-----------|-----------|---------|-----------|------------|---------------------|------------|
|   |                     |                 |                    |                |              |           |               |                |           |           |         |           |            |                     |            |
| U.S. House of Representatives                       | 8,289,310           | 1,156,809       | 60,874             | 1,629,971      | 96,347       | 29,929    | 1,234,600     |                |           |           |         |           |            |                     | 13,487,840 |
| Clerk of the House                                  | 830                 |                 | 416,109            | 1,719,270      | 109,781      | 10,705    | 2,608         | 1,223,033      |           |           | 19,313  | 311       |            |                     | 3,601,981  |
| House Members                                       |                     |                 | 87                 | 3,955          |              |           | 510,842       | 44,880         |           |           |         |           |            |                     | 556,774    |
| H. Agriculture                                      |                     |                 |                    | 80,464         | 103,368      |           |               |                |           |           |         |           | 167,300    | 15,158              | 386,290    |
| H. Appropriations                                   |                     |                 | 950                | 35,586         |              |           |               |                |           |           |         |           | 5,413,050  | 575,103             | 6,024,690  |
| H. Armed Services                                   |                     |                 |                    | 10,754         | 100,772      |           |               |                |           |           |         |           | 383,927    | 49,777              | 525,230    |
| H. Financial Services                               |                     |                 |                    |                |              |           |               |                |           |           |         |           | 499,480    | 16,972              | 516,452    |
| H. Education and the Workforce                      |                     |                 |                    |                |              |           |               |                |           |           |         |           | 103,520    | 884                 | 188,168    |
| H. Foreign Affairs                                  |                     |                 | 45                 | 9,662          |              |           |               |                |           |           |         |           | 696,473    |                     | 706,160    |
| H. Oversight & Government Reform                    |                     |                 |                    | 10,958         | 72,806       |           |               |                |           |           |         |           | 500,625    |                     | 623,548    |
| H. House Administration                             |                     |                 | 28,258             | 53,753         |              |           |               |                |           |           |         |           | 39,473     |                     | 121,483    |
| H. Natural Resources                                |                     |                 |                    | 7,116          | 112,100      |           |               |                |           |           |         |           | 263,545    | 6,576               | 389,306    |
| H. Energy & Commerce                                |                     |                 |                    | 90,111         | 199,538      |           |               |                |           |           |         |           | 913,548    | 28,930              | 1,232,127  |
| H. Judiciary  |                     |                 |                    | 81,847         |              |           |               |                |           |           |         |           | 674,673    | 18,307              | 774,627    |
| H. Transportation & Infrastructure                  |                     |                 |                    | 33,010         | 110,369      |           |               |                |           |           |         |           | 381,483    | 411                 | 525,292    |
| H. Rules  |                     |                 |                    | 4,659          |              |           |               |                |           |           |         |           | 61,970     |                     | 66,629     |
| H. Science, Space & Technology                      |                     |                 |                    | 13,288         | 107,616      |           |               |                |           |           |         |           | 489,510    | 365                 | 489,875    |
| H. Veterans' Affairs                                |                     |                 |                    | 14,171         |              |           |               |                |           |           |         |           | 210,208    |                     | 331,112    |
| H. Ways and Means                                   |                     |                 | 319                | 2,146          | 121,304      |           |               |                |           |           |         |           | 94,287     | 30,862              | 45,352     |
| H. Small Business                                   |                     |                 |                    | 2,312          | 65,785       |           |               |                |           |           |         |           | 176,281    |                     | 217,737    |
| H. Commission on Security & Cooperation in Europe   |                     |                 |                    | 36,070         | 13,734       |           |               |                |           |           |         |           |            |                     | 244,378    |
| H. Ethics   |                     |                 |                    | 834            | 81,540       |           |               | 407            |           |           |         |           |            |                     | 49,805     |
| H. Office of the Chief Administrative Officer       |                     |                 |                    | 7,166          |              |           |               |                |           |           |         |           |            |                     | 277,112    |
| H. Commission on Congressional Mailing Standards    |                     |                 |                    | 3,658          |              |           |               |                |           |           |         |           |            |                     | 7,166      |
| H. Budget   |                     |                 |                    |                | 431,821      |           |               |                |           |           |         |           |            |                     | 5,242      |
| H. Legislative Counsel                              |                     |                 |                    | 5,790          | 109,740      |           |               |                |           |           |         |           |            |                     | 431,821    |
| H. Homeland Security                                |                     |                 |                    | 3,132          |              |           |               |                |           |           |         |           | 181,958    | 10,011              | 307,489    |
| H. Permanent Select Committee on Intelligence       |                     |                 | 8,447              | 26,226         |              |           |               |                |           |           | 134,579 |           |            |                     | 3,132      |
| H. US-China Economic and Security Review Commission |                     |                 |                    | 1,165          |              |           |               |                |           |           |         |           |            |                     | 169,252    |
| H. Select Committee On Benghazi                     |                     |                 |                    | 552,003        | 3,961,961    | 1,847,873 | 551,476       | 47,895         | 1,223,033 | 1,234,600 | 153,892 | 180,790   | 11,188,317 | 830,761             | 20,141     |
| Total House   | 9,290,140           | 1,156,809       | 0                  | 552,003        | 3,961,961    | 1,847,873 | 551,476       | 47,895         | 1,223,033 | 1,234,600 | 153,892 | 180,790   | 11,188,317 | 830,761             | 32,219,252 |

**GOVERNMENT PUBLISHING OFFICE**  
**CONGRESSIONAL BILLINGS FOR COMMITTEES BY CATEGORY**  
 During FY 2015

| Committee                                   | Daily Cong. Rec. | Record Index     | Record Indexers | Misc. Pubs.    | Misc. P.S.S.     | Details          | Doc. Env. | Doc. Franks   | Calendars      | Bills          | Reports       | Documents     | Hearings         | Committee Prints | TOTALS            |
|---|------------------|------------------|-----------------|----------------|------------------|------------------|-----------|---------------|----------------|----------------|---------------|---------------|------------------|------------------|-------------------|
| U. S. Senate                                | 6,805,447        | 1,027,587        |                 | 105,990        | 1,013,635        |                  |           | 1,340         | 892,512        | 242,415        | 48,744        | 3,119         |                  |                  | 10,140,790        |
| Secretary of the Senate                     |                  |                  |                 | 121,950        | 1,628,456        | 470,002          |           | 7,728         |                |                | 10,626        | 2,701         |                  | 16,464           | 2,257,927         |
| Senate Members                              |                  |                  |                 | 79,943         | 2,248,067        |                  |           | 1,075         |                |                |               |               |                  |                  | 2,329,085         |
| S. Sec - Sergeant at Arms                   |                  |                  |                 |                | 816,081          |                  |           |               |                |                |               |               |                  |                  | 816,081           |
| S. Agriculture, Nutrition & Forestry        |                  |                  |                 |                | 3,319            | 115,640          |           |               |                |                |               |               | 220,196          |                  | 339,155           |
| S. Appropriations                           |                  |                  |                 | 35             | 27,262           | 381,053          |           |               |                |                |               |               | 197,468          | 46,926           | 652,744           |
| S. Armed Services                           |                  |                  |                 |                | 16,072           | 1,180            |           |               |                |                |               |               | 480,362          | 13,652           | 511,265           |
| S. Banking, Housing & Urban Affairs         |                  |                  |                 |                | 7,094            | 206,441          |           |               |                |                |               |               | 364,590          |                  | 479,402           |
| S. Commerce, Science & Transportation       |                  |                  |                 |                | 5,485            | 109,327          |           |               |                |                |               |               | 308,871          | 27,618           | 548,355           |
| S. Finance                                  |                  |                  |                 | 213            | 14,298           | 197,355          |           |               |                |                |               |               | 234,430          | 149,274          | 575,650           |
| S. Foreign Relations                        |                  |                  |                 |                | 5,742            | 186,204          |           |               |                |                |               |               | 1,284,787        | 81,878           | 1,487,395         |
| S. Homeland Security & Governmental Affairs |                  |                  |                 |                | 17,244           | 103,486          |           |               |                |                |               |               | 167,183          | 21,592           | 307,075           |
| S. Energy & Natural Resources               |                  |                  |                 |                | 25,670           | 92,630           |           |               |                |                |               |               | 518,885          |                  | 620,622           |
| S. Judiciary                                |                  |                  |                 |                | 12,942           | 88,795           |           |               |                |                |               |               | 154,230          | 2,814            | 279,325           |
| S. Health, Education, Labor & Pensions      |                  |                  |                 |                | 14,252           | 108,029          |           |               |                |                |               |               | 757,398          |                  | 972,598           |
| S. Environment & Public Works               |                  |                  |                 |                | 5,595            | 208,445          |           |               |                |                |               | 64,425        |                  | 11,948           | 87,689            |
| S. Rules & Administration                   |                  |                  |                 | 5,323          | 6,002            |                  |           |               |                |                |               |               |                  | 196,794          | 214,807           |
| S. Democratic Policy                        |                  |                  |                 |                | 18,013           |                  |           |               |                |                |               |               |                  |                  | 2,047             |
| S. Republican Policy                        |                  |                  |                 |                | 2,047            |                  |           |               |                |                |               |               |                  |                  | 122,975           |
| S. Small Business & Entrepreneurship        |                  |                  |                 |                | 9,842            |                  |           |               |                |                |               |               | 113,133          |                  | 16,718            |
| S. Special Committee on Aging               |                  |                  |                 |                | 4,945            |                  |           |               |                |                |               |               | 11,773           |                  | 5,623             |
| S. Select Committee on Ethics               |                  |                  |                 | 9,015          | 4,792            |                  |           |               |                |                |               |               | 75,975           | 5,020            | 187,850           |
| S. Veterans' Affairs                        |                  |                  |                 |                | 5,669            | 101,165          |           |               |                |                |               |               |                  |                  | 391,309           |
| S. Legislative Counsel                      |                  |                  |                 |                | 53,292           | 338,017          |           |               |                |                |               |               |                  |                  | 764,319           |
| S. Sergeant at Arms                         |                  |                  |                 | 130,855        | 630,621          |                  |           | 2,643         |                |                |               |               |                  |                  | 224,437           |
| S. Budget                                   |                  |                  |                 |                | 12,896           | 88,500           |           |               |                |                |               |               | 81,231           | 41,810           | 3,543             |
| S. Legal Counsel                            |                  |                  |                 |                | 10,338           |                  |           | 190           |                |                |               |               | 4,987            | 3,006            | 13,423            |
| S. Select Committee on Intelligence         |                  |                  |                 |                | 5,430            |                  |           |               |                |                |               |               | 126,070          |                  | 245,900           |
| S. Indian Affairs                           |                  |                  |                 |                | 12,332           | 107,498          |           |               |                |                |               |               |                  |                  | 629,358           |
| <b>Total Senate</b>                         | <b>6,805,447</b> | <b>1,027,587</b> | <b>0</b>        | <b>453,325</b> | <b>6,638,435</b> | <b>2,903,787</b> | <b>0</b>  | <b>13,176</b> | <b>892,512</b> | <b>242,415</b> | <b>59,370</b> | <b>70,245</b> | <b>5,669,351</b> | <b>629,358</b>   | <b>25,405,008</b> |



## DETAILS TO CONGRESS AS OF SEPTEMBER 30, 2014 AND 2015

|   | 2014      | 2015      |
|---|-----------|-----------|
| <b>SENATE COMMITTEES</b>                            |           |           |
| Agriculture, Nutrition & Forestry.....              | 1         | 1         |
| Appropriations.....                                 | 3         | 3         |
| Armed Services.....                                 | 0         | 1         |
| Banking, Housing & Urban Affairs.....               | 2         | 2         |
| Budget.....   | 1         | 1         |
| Commerce, Science & Transportation.....             | 1         | 1         |
| Energy and Natural Resources.....                   | 2         | 0         |
| Environment & Public Works.....                     | 2         | 2         |
| Finance.....  | 2         | 2         |
| Foreign Relations.....                              | 2         | 2         |
| Health, Education, Labor & Pensions.....            | 1         | 1         |
| Homeland Security & Governmental Affairs.....       | 1         | 1         |
| Indian Affairs.....                                 | 1         | 1         |
| Judiciary.....                                      | 1         | 1         |
| Veterans' Affairs.....                              | 1         | 1         |
| Total Senate Committees.....                        | <b>21</b> | <b>20</b> |
| <b>HOUSE COMMITTEES</b>                             |           |           |
| Agriculture.....                                    | 1         | 1         |
| Armed Services.....                                 | 1         | 1         |
| Education and the Workforce.....                    | 1         | 1         |
| Energy & Commerce.....                              | 2         | 2         |
| Homeland Security.....                              | 1         | 1         |
| Natural Resources.....                              | 2         | 1         |
| Oversight & Government Reform.....                  | 1         | 1         |
| Small Business.....                                 | 1         | 1         |
| Transportation & Infrastructure.....                | 1         | 1         |
| Veterans' Affairs.....                              | 1         | 1         |
| Total House Committees.....                         | <b>12</b> | <b>11</b> |
| <b>MISCELLANEOUS</b>                                |           |           |
| Commission on Security & Cooperation in Europe..... | 1         | 1         |
| Congressional Service Center (CRS).....             | 1         | 1         |
| House Enrolling Clerk.....                          | 1         | 1         |
| House Legislative Counsel.....                      | 4         | 4         |
| House Parliamentarian.....                          | 1         | 1         |
| Senate Docutech Room.....                           | 1         | 1         |
| Senate Enrolling Clerk.....                         | 1         | 1         |
| Senate Legislative Counsel.....                     | 3         | 3         |
| Senate Official Reporters.....                      | 1         | 1         |
| Senate Service Department.....                      | 1         | 1         |
| Total Miscellaneous.....                            | <b>15</b> | <b>15</b> |
| <b>SUMMARY</b>                                      |           |           |
| Senate Committees.....                              | 21        | 20        |
| House Committees.....                               | 12        | 11        |
| Miscellaneous.....                                  | <b>15</b> | <b>15</b> |
|   | <b>48</b> | <b>46</b> |

**GOVERNMENT PUBLISHING OFFICE**  
**PUBLIC INFORMATION PROGRAMS OF THE SUPERINTENDENT OF DOCUMENTS**  
**SALARIES AND EXPENSES**  
Including Transfer of Funds  
Fiscal Year 2017

**Proposed Appropriation Language:**

For expenses of the public information programs of the 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, [\$30,500,000] \$29,500,000: *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 [2014 and] 2015 and 2016 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 Publishing Office Business Operations Revolving Fund for carrying out the purposes of this heading, subject to the approval of the Committees on Appropriations of the House of Representatives and Senate. (*Legislative Branch Appropriations Act, 2016*.)

**Base Budget Review:**

Description of Public Information Programs of the Office of Superintendent of Documents that are administered through the Library Systems and Content Management (LSCM) organization: The Salaries and Expenses Appropriation provides for: (1) the Federal Depository Library Program (FDLP); (2) the cataloging and indexing of Government publications; (3) the distribution of certain Government publications to Members of Congress and other Government agencies, as designated by law; and (4) the distribution of Government publications in the International Exchange Service.

A total of \$29,500,000 is requested for this appropriation for FY 2017. The request for FY 2017 includes funding for 94 full-time equivalents (FTE's). The request reflects a decrease of \$1,000,000 from FY 2016. The decrease is the result of on-going cataloging and digitization activities being funded through the use of transfer funds from prior year appropriations. The agency received approval in FY 2015 to transfer \$6,067,000 from prior year appropriations for various program activities. The use of these funds has enabled the agency to absorb personnel and operational cost increases for FY 2017 while continuing to perform vital services.

**Federal Depository Library Program**

As authorized by chapter 19 of Title 44, U.S.C., the mission of the FDLP is to disseminate information products from all three branches of the Federal Government to 1,159 libraries nationwide designated as Federal depository libraries, directly by law or as depositories designated by their Representatives and Senators. Federal depository libraries maintain and provide free access to Federal Government information products to the public. Providing free online access to Government publications is established 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 2015, approximately 5,920 tangible titles consisting of 1,072,919 copies were distributed to Federal depository libraries. In keeping with the direction of the Legislative Appropriations Act for FY 1996, GPO has transitioned the FDLP to a predominantly digital electronic program. The total number of Federal Government information titles available to the public online via FDsys is over one million searchable documents. GPO continues to adjust its workflows and operations to accommodate a primarily digital FDLP.\*The costs of the program are related to identifying, acquiring, cataloging, linking to, authenticating, modernizing, and

providing permanent public access to digital Government information. Included in these costs are on-going maintenance and update expenses for needed digital resources.

As information becomes more digital and collection space more limited, there have been requests from regional depository libraries to be able to discard some materials in order to appropriately manage collections. In August of 2015, the Joint Committee on Printing (JCP) approved the implementation of a discard policy that the Superintendent of Document must define and deploy. In order to successfully implement the new policy, system changes will be necessary to establish a new workflow and inventory database. The initial requirements are expected to cost approximately \$800,000. The Superintendent of Documents plans on using prior year appropriations transfer funds for these expenses. This would require no new funds to be requested for the initial part of the project in FY 2017.

### **Cataloging and Indexing Program**

Under the requirements of sections 1710 and 1711 of Title 44, U.S.C., GPO is charged with creating access to all Federal Government publications that are not confidential in nature via catalogs and indexes. The principal tool to do that is the Web-based Catalog of U.S. Government Publications (CGP) (<http://catalog.gpo.gov>) that has over 824,000 records identifying and providing access to tangible and digital Federal Government publications. In FY 2015, there were 23,640,306 successful searches of the CGP and 19,074 new records added to the catalog. GPO's goals for the CGP are to expand this catalog to be a comprehensive title listing of all public Federal Government publications, both historic and electronic, and increase the visibility and use of Government information products, including eBooks. In the past year, over 230 free Government eBooks from various agencies were made available in the CGP with more continuously added.

A major undertaking of the program is the National Bibliographic Records Inventory Initiative (NBRII). The initiative comprises various multi-year projects to bring fugitive material and historic publications under bibliographic control and to make those records available through the CGP. In FY 2015, LSCM completed holdings records for 39,882 serial issues, transcribed bibliographic records for 47 drawers of the historic shelf list, added about 1,034 bibliographic records through five cooperative cataloging partnerships. These various NBRII projects will be on-going in FY 2016 with the addition of two new cooperative cataloging partners and the creation of holding records for historic issues of serial titles. Prior years transfer funds will be used to fund on-going historic cataloging efforts in FY 2017. The FY 2017 appropriation request has been reduced due to the availability of these transfer funds.

### **International Exchange Service**

As authorized by Section 1719 of Title 44, U.S.C., and pursuant to an international treaty establishing the exchange of official publications, GPO distributes U.S. Government publications in microfiche, print and tangible electronic formats to foreign governments. In exchange, those foreign governments agree to send their similar government publications to the United States for deposit at the Library of Congress (LOC). LOC designates which publications are to be distributed abroad and GPO performs the actual distribution.

### **By-Law Distribution Program**

Under various provisions of Title 44, U.S.C., GPO distributes certain tangible publications to recipients designated by law. Two or more copies of every publication printed by GPO are provided to Library of Congress (LOC), even if the publication is not distributed to the Federal depository libraries. In addition, the National Archives and Records Administration (NARA) receives up to three copies of printed publications. GPO also maintains mailing lists of specific publications that are designated to be distributed by law and provides copies of publications to foreign legations as directed by the State Department.

**GOVERNMENT PUBLISHING OFFICE  
PUBLIC INFORMATION PROGRAMS  
SUPERINTENDENT OF DOCUMENTS  
SALARIES AND EXPENSES**  
Analysis of Change 2016 to 2017  
(Dollars in Thousands)

|  | FY 2017        |           |
|--|----------------|-----------|
|  | Agency Request |           |
|  | FTE            | Amount    |
| FY 2016  | 94             | \$ 30,500 |
| FY 2017  |                |           |
| Mandatory Pay and Related Costs  |                |           |
| Annualization of FY 2016 pay raise   |                | 46        |
| Pay raise for FY 2017  |                | 277       |
| Within-grade increases for FY 2017   |                | 139       |
| Decrease of 2 work days for FY 2017  |                | (73)      |
| <b>Total Mandatory Pay and Related Costs</b>   | -              | 389       |
| <b>Total Price Level Changes</b>   | -              | 28        |
| Program/Project/Activity Increases (Decreases) for FY 2017                               |                |           |
| Establishment of regional depository library discard policy and process                  |                | 800       |
| Use of approved, prior year appropriation transfer funds for approved program activities |                | (2,217)   |
| <b>Total Program/Project/Activity Increases (Decreases) for FY 2017</b>                  | -              | (1,417)   |
| <b>Total Net Change</b>  | -              | (1,000)   |
| <b>Total FY 2017 Appropriation</b>   | 94             | \$ 29,500 |

**GOVERNMENT PUBLISHING OFFICE  
PUBLIC INFORMATION PROGRAMS  
SUPERINTENDENT OF DOCUMENTS  
SALARIES AND EXPENSES**

Summary  
(Dollars in Thousands)

|                                       | FY 2015<br>Actual (1) | FY 2016<br>Approved (2) | FY 2017<br>Requested (3) | FY 2016/2017<br>Net Change |     |
|---------------------------------------|-----------------------|-------------------------|--------------------------|----------------------------|-----|
| <u>Summary by Program</u>             |                       |                         |                          |                            |     |
| By-Law Distribution                   | \$ 315                | \$ 305                  | \$ 295                   | \$ (10)                    | (4) |
| Cataloging and Indexing               | 8,505                 | 8,235                   | 7,965                    | (270)                      | (4) |
| Federal Depository Library            | 22,050                | 21,350                  | 20,650                   | (700)                      | (4) |
| International Exchange                | 630                   | 610                     | 590                      | (20)                       | (4) |
| <b>Total Appropriation</b>            | <b>\$ 31,500</b>      | <b>\$ 30,500</b>        | <b>\$ 29,500</b>         | <b>\$ (1,000)</b>          |     |
| <u>Summary by OMB Object Class</u>    |                       |                         |                          |                            |     |
| 11 Personnel Compensation             | \$ 7,064              | \$ 7,428                | \$ 7,613                 | \$ 185                     | (5) |
| 12 Personnel Benefits                 | 2,138                 | 2,080                   | 2,284                    | 204                        | (6) |
| 21 Travel                             | 47                    | 52                      | 53                       | 1                          | (7) |
| 22 Transportation of Things           | 592                   | 785                     | 802                      | 17                         | (7) |
| 23 Rents Communications and Utilities | 460                   | 117                     | 120                      | 3                          | (7) |
| 24 Printing and Reproduction          | 8,000                 | 8,000                   | 8,000                    |                            | (8) |
| 25 Other Services                     | 13,029                | 11,695                  | 10,278                   | (1,417)                    | (9) |
| 26 Supplies and Materials             | 166                   | 339                     | 346                      | 7                          | (7) |
| 31 Equipment                          | 4                     | 4                       | 4                        | -                          | (7) |
| <b>Total Appropriation</b>            | <b>\$ 31,500</b>      | <b>\$ 30,500</b>        | <b>\$ 29,500</b>         | <b>\$ (1,000)</b>          |     |

- (1) Actual and obligated expenditures against the 2015 S&E Appropriation through 09/30/15 (Consolidated Appropriations Act, 2015 P.L. 113-255). The agency also transferred \$6.067M to cover projects related to digitization.
- (2) FY 2016 approved and obligated funding through 09/30/2016. (Consolidated Appropriations Act, 2016 P.L. 114-113) The approved funds reflect a reduction in appropriation factors for all personnel and other expenses are being absorbed through a reduction in contractual services being funded through previous year transfer funds.
- (3) Requested amount is based on FY 2016 funding levels with mandatory increases for salary and all non-salary categories. Personnel compensation was calculated based on staffing needs, pay rates and work days for the year. The agency is utilizing prior year transfer funds to cover projects that support the transition from traditional printed material to digitized information to align with the Agency goal to provide greater access to Government information to the public. The use of these funds for continued activities has reduced the request for contractual services in FY 2016 and FY 2017.
- (4) Amount reflects mandatory increases for personnel and price level increases with a reduced request for Other Services for Cataloging and Indexing and FDsys projects that are to be funded through prior-years transfer funds.
- (5) Amount reflects the funding of merit and within grade and mandatory pay increases and two less work days for 94 FTEs for FY 2017.
- (6) Reflects anticipated benefit expenditures based on 30% of Personnel Compensation figure.
- (7) Reflects price level increase due to inflation.
- (8) Due to the transition from traditional printing to digital information, printing expenses are expected to remain flat with volume reductions off-setting cost increases.
- (9) Includes Workers' Compensation, Shared Services, overhead and contractual services. Inflation has been applied to all categories. Contractual services has been reduced due to on-going activities funded through prior years transfer funds.

**GOVERNMENT PUBLISHING OFFICE  
BUSINESS OPERATIONS  
REVOLVING FUND  
Fiscal Year 2017**

**Proposed Appropriations Language:**

For payment to the Government Publishing Office Business Operations Revolving Fund, [\$6,832,000] \$7,832,000, to remain available until expended, for information technology development and facilities repair: *Provided*, That the Government Publishing 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 Publishing Office business operations revolving fund: *Provided further*, That not more than \$7,500 may be expended on the certification of the Director of the Government Publishing Office in connection with official representation and reception expenses: *Provided further*, That the business operations 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 Director of the Government Publishing Office shall be deemed necessary to carry out the provisions of title 44, United States Code: *Provided further*, That the business operations 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 business operations revolving fund may provide information in any format: *Provided further*, That the business operations revolving fund and the funds provided under the heading "Public Information Programs of the Superintendent of Documents" may not be used for contracted security services at GPO's passport facility in the District of Columbia. (*Legislative Branch Appropriations Act, 2016.*)

**Base Budget Review:**

By law, GPO's Business Operations Revolving Fund is used to finance GPO's publishing operations. Approximately 70 percent (excluding Security and Intelligent Documents) of GPO's publishing revenue is from procuring publications and related services for customer agencies. This work is procured through GPO's Customer Services business unit utilizing the private sector printing and information product industry. The majority of the Government's publishing requirements 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 at the most cost effective price.

GPO's in-plant facility provides digital and tangible 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*, and other key Government documents, such as the annual *Budget of the U.S. Government*.

With a few exceptions, the paper used to produce tangible documents by GPO and its contractors meets or exceeds Federal recycled paper requirements and all GPO inks are manufactured from vegetable oil in accordance with the Vegetable Ink Printing Act of 1994.

GPO plays a critical role in America's security by producing secure Federal credentials, including the U.S. Passport for the Department of State, that combine digital and print

security measures. GPO's publications sales program provides the public with an opportunity to purchase a wide variety of low cost, consumer-oriented publications, Congressional documents, and Executive and Judicial publications.

Documents can be ordered through GPO's secure Online Bookstore site at <http://bookstore.gpo.gov> or from GPO's bookstore in Washington, DC. Free and low cost publications are distributed through the Federal Citizen Information Center (FCIC) in Pueblo, CO. GPO also provides warehousing and publication distribution services for Federal agencies on a reimbursable basis. Thousands of titles are for sale at any given time, including books, CD-ROMs, eBooks and other digital formats.

## **BUSINESS OPERATIONS REVOLVING FUND REQUESTS**

For FY 2017, GPO is requesting a total of \$7,832,000 for the Business Operations Revolving Fund to remain available until expended, for the following projects:

### **Information Technology Cybersecurity Projects**

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|  |                |
|--|----------------|
| Security Enhancements for Advanced Persistent Threat | \$ 1,500,000   |
| Wireless Intrusion Prevention                        | 100,000        |
| Log Collector (Tech Refresh)                         | <u>100,000</u> |

**Total Information Technology Cybersecurity Projects** 1,700,000

### **FDsys Projects**

---

|   |                |
|---|----------------|
| General System and Collection Development | 3,400,000      |
| Next Generation FDsys Public Website      | 450,000        |
| Infrastructure                            | <u>325,000</u> |

**Total FDsys Projects** 4,175,000

### **Facilities Projects**

---

|  |                  |
|--|------------------|
| Upgrade Electrical Panels/Wiring           | 200,000          |
| Uninterrupted Power Supply for Data Center | 257,000          |
| Emergency Power Generator                  | 500,000          |
| Elevators 39, 40, 41                       | <u>1,000,000</u> |

**Total Facilities Projects** 1,957,000

**Total Business Operations Revolving Fund Requests** \$ 7,832,000

## Information Technology Cybersecurity Projects

**InSecurity Enhancements for Advanced Persistent Threat (\$1,500,000).** Required for enhanced technologies and services to combat, detect, and prevent advanced persistent threats from compromising GPO systems.

**Wireless Intrusion Prevention (\$100,000).** Required to provide enhanced ability to detect and prevent intrusion attempts specifically targeted to wireless systems at GPO.

**Log Collector (Tech Refresh) (\$100,000).** Required to replace old, near obsolete log collector systems in order to have sufficient audit log trails for security investigations and detection/prevention of intrusion attempts.

## FDsys Projects

**General System and Collection Development (\$3,400,000).** Development of new FDsys features to support identified needs of key stakeholders, including developing new content collections, increasing content in existing collections, enhancing the accessibility of content and increasing the discoverability of information.

**Next Generation FDsys Public Website (\$450,000).** Completion of development and switchover to FDsys next generation to support a responsive user interface, search engine replacement, publication linking, user interface improvements and content curation.

**Infrastructure (\$325,000).** Infrastructure for hardware, storage, and environments to manage system performance as FDsys content and usage continues to grow.

## Facilities Projects

**Upgrade Electrical Panels/Wiring (\$200,000).** This is to address the obsolete and deteriorating central power distribution feeds original to the building complex. They represent a safety hazard.

**Uninterrupted Power Supply (UPS) for Data Center (\$257,000).** The current UPS design and equipment are both obsolete. To ensure equipment integrity in the data center, these systems need to be replaced.

**Emergency Power Generator (\$500,000).** This is to enable more electrical load to remain “up” during power outages.

**Elevators 39, 40, 41 (\$1,000,000).** These elevators are the main vertical artery for Plant Operations to get products between Press and Bindery.

**GOVERNMENT PUBLISHING OFFICE  
BUSINESS OPERATIONS REVOLVING FUND**  
Analysis of Change 2016 to 2017  
(Dollars in Thousands)

|  | FY 2017        |             |
|--|----------------|-------------|
|  | Agency Request |             |
|  | FTE            | Amount      |
| Obligational Authority, FY 2016                              | 1,740          | \$ 715,432  |
| Non-recurring Costs - Equipment to be obligated in FY 2016   | -              | (49,744)    |
| <b>Mandatory Pay and Related Costs</b>                       |                |             |
| Annualization of FY 2016 pay raise                           |                | 646         |
| Pay raise for FY 2017  |                | 3,844       |
| Within-grade increases for FY 2017                           |                | 1,971       |
| Decrease of 2 work days for FY 2017                          | -              | (1,457)     |
| <b>Total Mandatory Pay and Related Costs</b>                 | -              | 5,004       |
| <b>Total Price Level Changes</b>                             | -              | 10,305      |
| <b>Program/Project/Activity Increases for FY 2017</b>        |                |             |
| Capital expenditures equipment, systems, and facilities      | -              | 15,666      |
| <b>Capital Expenditures to be funded by an Appropriation</b> |                |             |
| Security Enhancements for Advance Persistent Threat          |                | 1,500       |
| Wireless Intrusion Prevention                                |                | 100         |
| Log Collector (Tech Refresh)                                 |                | 100         |
| FDsys General System and Collection Development              |                | 3,400       |
| FDsys Next Generation Public Website                         |                | 450         |
| FDsys Infrastructure   |                | 325         |
| Upgrade Electrical Panels/Wiring                             |                | 200         |
| Uninterrupted Power Supply for Data Center                   |                | 257         |
| Emergency Power Generator                                    |                | 500         |
| Elevators 39, 40, 41   | -              | 1,000       |
| <b>Total Expenditures to be funded by an Appropriation</b>   | -              | 7,832       |
| <b>Net change requested</b>                                  | -              | \$ (10,937) |
| <b>Total Budget FY 2017</b>                                  | 1,740          | 704,495     |
| <b>Total Offsetting Collections</b>                          | -              | 696,663     |
| <b>Total FY 2017 Appropriation</b>                           | -              | \$ 7,832    |

**GOVERNMENT PUBLISHING OFFICE  
BUSINESS OPERATIONS REVOLVING FUND  
Summary by Object Class  
(Dollars in Thousands)**

| Object Class                           | FY 2015<br>Actual | FY 2016<br>Enacted | FY 2017<br>Request | FY 2016/2017<br>Net Change |
|--|-------------------|--------------------|--------------------|----------------------------|
| 11 Personnel Compensation              | \$ 145,269        | \$ 144,475         | \$ 148,140         | \$ 3,665                   |
| 12 Personnel Benefits                  | 48,759            | 52,801             | 54,140             | 1,339                      |
| 21 Travel                              | 708               | 819                | 837                | 18                         |
| 22 Transportation of Things            | 10,193            | 9,235              | 9,438              | 203                        |
| 23 Rents, Communications and Utilities | 15,860            | 17,250             | 17,630             | 380                        |
| 24 Printing and Reproduction           | 307,414           | 267,293            | 273,173            | 5,880                      |
| 25 Other Services                      | 36,299            | 42,446             | 43,380             | 934                        |
| 26 Supplies and Materials              | 142,309           | 131,369            | 134,259            | 2,890                      |
| 31 Equipment                           | 32,900            | 49,744             | 23,498             | (26,246)                   |
| Total Budget                           | \$ 739,711        | \$ 715,432         | \$ 704,495         | \$ (10,937)                |





January 26, 2016

The Honorable Tom Graves  
Chairman  
The Honorable Debbie Wasserman Schultz  
Ranking Member  
Subcommittee on Legislative Branch  
Committee on Appropriations  
House of Representatives

Please allow me this opportunity to thank the subcommittee for its continued support of the Government Accountability Office (GAO). I appreciate the confidence you have shown in GAO by supporting our efforts to serve Congress and improve government performance, accountability, and transparency.

GAO remains committed to producing high quality reports and testimonies and meeting the highest priorities of Congress. We remain vigilant in our efforts in ensuring taxpayer dollars are used effectively and efficiently. GAO also continues to identify efficiencies, reduce operating costs, and explore opportunities to enhance workforce and budget flexibilities.

GAO is an exceptional investment, with an unprecedented return of about \$134 for every dollar invested in GAO in fiscal year 2015. In fiscal year 2015, our work generated about \$74.7 billion in financial benefits and 1,286 program and operational improvements across the federal government. GAO's work has directly led to actions taken by both federal agencies and the Congress; this has resulted in legislative actions and program and operational improvements across government.

GAO's fiscal year 2017 budget request of \$567.8 million in appropriated funds provides the resources to enable GAO to continue rebuilding its staff capacity and make critical investments in its information technology (IT) and security programs. We expect to offset our costs by \$32.4 million in receipts and reimbursements, primarily from program and financial audits and rental income.

This budget would enable GAO to bolster its staff capacity to 3,100 full-time equivalent (FTE) staff in fiscal year 2017 through a robust targeted recruitment program to help

address succession planning and fill critical skill gaps which will allow GAO to continue to meet the highest Congressional priorities and produce financial benefits. These efforts will help ensure that GAO is able to recruit and retain a talented, diverse workforce and make progress towards an optimal staffing level of 3,250 FTEs.

GAO also plans to make critical investments in its infrastructure operations, by modernizing GAO's IT infrastructure, especially in the critical areas of security, telecommunications, software and hardware, and engagement management systems to help improve our efficiency, increase staff productivity, improve access to information, and reduce operating costs.

## **Assisting Congress and the Nation**

GAO continues to be recognized for its non-partisan, objective, fact-based, and professional analyses across the full breadth and scope of the Federal government's responsibilities and the extensive interests of Congress.

In fiscal year 2015, we responded to requests from 97 percent of the standing full committees, and almost 66 percent of the standing subcommittees of the Congress. GAO's analyses and testimony inform debate and decisions by providing facts and supporting documentation. We provide program and technical expertise to support Congress in overseeing the executive branch, evaluating spending priorities, and assessing information from outside parties.

GAO remains steadfast in our financial stewardship responsibilities. We provide high quality work identifying cost-savings and revenue enhancements as Congress and the administration deliberate on the nation's highest priorities and fiscal path. Through sound analysis and advice, GAO also recommends solutions across a vast array of areas to foster government efficiency, effectiveness, and responsiveness on high priority challenges facing Congress and the nation. In fiscal year 2015, we issued 688 reports and made 1,680 new recommendations. On average, about 80 percent of GAO's recommendations have been implemented over a 4 year period.

Our findings are often cited in deliberations and committee reports supporting congressional action, including improving federal programs on our High Risk list as well as addressing fragmentation, overlap, and duplication in government. Congress uses our work on a broad range of issues to inform its decisions on important legislation that in many instances results in financial and other benefits for the government. For example, our fiscal year 2015 work had a significant impact on the recent 2016/2017 budget compromise bill, resulting in billions in offsets or increased revenues over 10 years.

## GAO Contributions to 2015 Legislation

Congress achieved billions in savings and revenue enhancements included in the Bipartisan Budget Act of 2015, \$30 billion which was a result of GAO's work. These savings and enhancements were calculated by the Congressional Budget Office or the Joint Committee on Taxation. Examples include:

- authorizing a 58 million barrel sale from the strategic petroleum reserve to reduce the deficit, saving over \$5 billion;
- rescinding and permanently canceling \$1.5 billion from the Crime Victims Fund, which GAO reported had grown very high and from which the Department of Justice has limited ability to obligate funds;
- making provider-based off-campus hospital outpatient departments ineligible for inpatient payment reimbursements, saving \$9.3 billion;
- requiring agencies to increase civil monetary penalties and tie those penalties annually to the consumer price index, generating \$1.3 billion;
- streamlining and simplifying audit procedures for certain partnerships, resulting in increased tax revenue estimated at \$9.3 billion;
- requiring the Department of Commerce to identify spectrum that can be auctioned, providing resources for this purpose, and requiring the Federal Communications Agency to organize and hold these auctions which may generate more than \$4 billion in revenue; and
- reforming Social Security Disability Insurance to prevent fraud and streamline program administration.

Other GAO contributions to the 2015 budget compromise bill related to our work on the Pension Benefit Guaranty Corporation's structure.

GAO's work was also reflected in the fiscal year 2016 appropriations bill and report language, both through savings in specific programs, and through oversight and reforms. For example, using GAO's work, Congress took steps to reduce spending for some programs, require reporting by agencies in areas where GAO had identified issues, instructed agencies to implement GAO's recommendations on a variety of federal programs, improve safety and consumer protection, and reduce improper payments by federal programs.

GAO's findings and recommendations were also reflected in new authorizations and reauthorizations, including the Federal Improper Payments Coordination Act of 2015, the Cybersecurity Act of 2015, the Fixing America's Surface Transportation Act, the Every Student Succeeds Act, and tax policy reforms focused on program integrity and customer service.

### **GAO's Work Leading to Financial Benefits to the Federal Government**

GAO's findings and recommendations produce measurable financial benefits for the federal government. Examples include financial benefits resulting from changes in business operations and activities, the restructuring of federal programs, or modifications to entitlements, taxes, or user fees.

In fiscal year 2015 our work generated about \$74.7 billion in financial benefits. Work leading to major financial benefits included:

- **Federal Communications Commission (FCC) Auction Proceeds (\$32.8 billion):** Based on GAO's 2011 recommendation, in 2012 the Congress and President extended FCC's spectrum auction authority, which it uses to assign the licenses that companies use to provide services such as mobile broadband coverage. In 2015 this auction generated net revenues exceeding \$32.8 billion.
- **Elimination of Direct Payments to Farmers (\$4.9 billion):** Based on GAO's reporting on direct annual payments to farmers regardless of crop output or income, Congress refrained from reauthorizing these payments in the Agricultural Act of 2014, which reduced costs by \$4.9 billion annually from fiscal years 2015-2019.
- **Savings from Reduced DOD Appropriations (\$1.3 billion):** Based on our reviews of DOD fiscal year 2015 budget requests for the Defense Health Program and foreign currency fluctuations, we identified potential reductions due to both (1) unobligated Defense Health Program balances and (2) out of date foreign exchange rates DOD used to develop its estimates. As a result of our work, the Congress reduced DOD's appropriations for that year by about \$1.3 billion.

### **Program and Operational Benefits due to GAO's Work**

Many benefits resulting from our work cannot be measured in dollars. They led to program and operational improvements across the government and important legislation. During fiscal year 2015, GAO recorded 1,286 benefits across an array of areas. Examples of program and operational benefits reported in fiscal year 2015 include:

- **Ensuring Foreclosure Protection for Servicemembers:** In response to GAO findings that servicemembers were not receiving the foreclosure protections due to them under the Servicemembers Civil Relief Act, several banking regulators have begun sharing information among each other to improve oversight. This will help ensure that servicemembers receive their mortgage related benefits and help them keep their homes.
- **Improving the Transportation Security Administration's (TSA) Rail Security Incident Data.** In 2012, GAO identified weaknesses that hampered TSA's ability to extract information from its rail security incident data system, causing TSA to miss chances to identify important trends or patterns. TSA has since established processes and guidance to ensure the completeness of incident data and minimize errors as well as a Surface Compliance Trend Analysis Network that provides analyses of rail security trends and potential threats. These actions will help TSA develop recommended security measures for rail agencies, as appropriate.

## Testimonies

Senior GAO officials testified 109 times before 63 separate committees or subcommittees on issues that touched virtually all major federal agencies.

The following, listed by our three external strategic goals, are examples of topics GAO testified on in fiscal year 2015:

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**Goal 1: Address Current and Emerging Challenges to the Well-being and Financial Security of the American People**

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- |   |   |
|---|---|
| • Indian Education Management Challenges  | • Managing Federal Real Property  |
| • Rural Housing Service: Managing Loan Risks                                    | • Improving Oversight of Motor Carrier Safety                               |
| • Railroad Retirement Board: Reducing Fraud and Improper Payments               | • Public Safety Communications: Establishing a Nationwide Broadband Network |
| • VA Health Care: Monitoring of Antidepressant Use and Accuracy of Suicide Data | • Extending Federal Funding for Children's Health Insurance                 |
| • Management Challenges Facing the National Nuclear Security Administration     |   |
-

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**Goal 2: Respond to Changing Security Threats and the Challenges of Global Interdependence**


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- DOD Support of Civil Authorities
  - Nuclear Nonproliferation: Minimizing Reporting Delays That May Affect Trade Sanctions
  - Defense Acquisitions: F-35 Joint Strike Fighter Program Progress
  - Afghanistan: Embassy Construction Faces Cost Increases and Schedule Delays
  - Addressing IT Cyber Threats and Security Breaches at Federal Agencies
  - Strengthening Oversight for International Cash-Based Food Assistance
  - Improving Oversight of VA Contracting
  - Observations on the State Department's Bureau of Counterterrorism
  - International Space Station: Utilization and Cost-effectiveness
  - Improving Oversight of IT Acquisitions
  - Enhancing National Capacity for Biosurveillance
  - Border Security: Monitoring High-Risk Travelers and Maritime Cargo
- 

**Goal 3: Help Transform the Federal Government to Address National Challenges**


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- DATA Act Implementation Challenges
  - Need to Reduce Government-wide Improper Payments
  - Reducing Fragmentation, Overlap, and Duplication in Federal Programs
  - Patient Protection and Affordable Care Act Enrollment Controls
  - Improving Medicaid's Fraud Controls
  - Addressing Biosafety Lapses in High Containment Laboratories
  - Federal Retirement System IT Modernization
  - Cybersecurity Challenges Facing Federal Systems
  - Homeland Security Acquisitions: Gaps in Oversight and Information
  - Using Security Clearances Process to Aid Federal Tax-Debt Collection
  - High-Risk Update: Fiscal Year 2015
  - Environmental Satellites: Addressing Potential Gaps
- 

### High Risk Program Update

The latest biennial list for Congress of High-Risk areas was issued in February 2015 and focuses on government operations that are at high risk of fraud, waste, abuse, and mismanagement, or need transformation to address economy, efficiency, or effectiveness challenges. (Enclosure 1)

There are currently 32 areas identified on the list, including two new high-risk areas identified in 2015 – Managing Risks and Improving Veterans Affairs Health Care and Improving the Management of Information Technology Acquisitions and Operations. Also, GAO expanded two areas due to evolving risks – the tax law enforcement area

was expanded to focus on the prevention of identity theft related to tax fraud, and because of the challenges to ensuring the privacy of personally identifiable information (PII), we expanded the risk area including the security of federal information systems, and cyber critical infrastructure, to include protecting the privacy of PII.

The six broad areas of risk included in our list touch on every aspect of government operations:

- **Strengthening the Foundation for Efficiency and Effectiveness**, including management of federal oil and gas resources, modernizing the U.S. financial regulatory system and the federal role in housing finance;
- **Transforming DOD Program Management**, including Financial Management and support infrastructure management, along with supply chain management. DOD weapon systems acquisitions, as well as business modernization and transformation;
- **Ensuring Public Safety and Security**, including mitigating gaps in weather satellite data and protecting public health through enhanced oversight of medical products and food safety;
- **Managing Federal Contracting More Effectively**, including at DOD, NASA and DOE;
- **Assessing the Efficiency and Effectiveness of Tax Law Administration**, which focuses on tax law enforcement and fraud due to identity theft; and
- **Modernizing and Safeguarding Insurance and Benefit Programs**, which includes Medicare and Medicaid, two of the government's fastest growing programs.

Solving these high-risk problems has the potential to save billions of dollars, improve service to the public, as well as strengthen the performance and accountability of the U.S. Government.

GAO continues to monitor federal operations designated as high-risk and conducts outreach with the executive branch agencies to discuss progress in these areas. In fiscal year 2015, our high-risk work resulted in 162 reports, 32 testimonies, \$17 billion in financial benefits, and 435 program and operational benefits. The high-risk areas with the largest financial benefits were DOD Weapon Systems Acquisitions, Tax Law Administration, and Medicaid.

Details on each high-risk area can be found at <http://www.gao.gov/highrisk/overview>. The next update will be issued in February 2017.

### **Opportunities to Reduce Fragmentation, Overlap, and Duplication**

Our fifth report to Congress, issued in April 2015, identified federal programs, agencies, offices, and initiatives that have fragmented, overlapping or duplicative goals or activities. Our findings, as well as recommendations, must be reported annually in response to a statutory provision. We also identified additional opportunities to achieve greater efficiency and effectiveness by means of cost savings or enhanced revenue collection.

The 2015 annual duplication report identifies 66 new actions that Congress and executive branch agencies could take to improve the efficiency and effectiveness of 24 areas of government. We identified 12 new areas in which there is evidence of fragmentation, overlap, or duplication.

GAO suggests, for example, that Congress repeal the statutorily required US Family Health Plan, a decades-old component of the Department of Defense's (DOD) Military Health System, because it duplicates the efforts of DOD's managed care support contractors by providing the same benefit to military beneficiaries.

GAO also identifies 12 areas where opportunities exist either to reduce the cost of government operations or enhance revenue collections. For example, GAO suggests that the Congress update the way Medicare has paid certain cancer hospitals since 1983. This could save an estimated \$500 million per year.

In addition to identifying new areas, GAO continued to monitor the progress Congress and executive branch agencies have made in addressing issues GAO previously identified. As we reported in April 2015, 76 percent of approximately 440 areas we identified in our first four reports have been addressed or partially addressed and have resulted in over \$20 billion in cost savings, with \$80 billion more in cost savings anticipated in future years from these actions. People can track the status of efforts to address the issues identified on GAO's Action Tracker located on our public website under the "Duplication and Cost Savings" collection.

### **Legal Work Update**

In fiscal year 2015, GAO handled more than 2,600 bid protest cases, issued more than 500 decisions on the merits and published 9 appropriations law products, including 8 appropriations decisions and letters.

The Consolidated Appropriations Act, 2014, directed GAO to develop an electronic bid protest filing system. The statute also authorized the collection and use of fees to offset the costs of that system. We have been working with the Department of Agriculture's Enterprise Application Services to develop a secure and easy to use web-based system. We are currently testing it and expect to go operational this year.

We are still evaluating the final fee. We continue outreach with the Congress and small business and veterans groups for their input on the system and the filing fee. We expect to publish a notice of proposed rulemaking in connection with the update of the GAO bid protest regulations this winter, which will provide an opportunity to the public and the entire bid protest community to express their views and submit comments. We also provide regular updates on our progress to the Congress.

### **Strategic Plan for Serving Congress**

GAO's latest Strategic Plan: Serving the Congress and the Nation 2014-2019 (GAO-14-1SP), describes our proposed goals and strategies for supporting Congress and the nation. Our strategic plan framework (Enclosure II) summarizes the global trends, as well as the strategic goals and objectives that guide our work. The strategic plan identifies the areas of work we plan to undertake, including science and technology, weapons systems, healthcare, national and homeland security, the environment, and energy.

Achieving our strategic goals and objectives requires collaboration with intergovernmental and international organizations with similar missions. Advisory boards consisting of members of federal inspectors general, state and local audit organizations; and international government accountability and professional organizations helped us identify key trends, opportunities and challenges, as well as lessons learned that are factored into our planning, audit work, and operations.

In this spirit, during fiscal year 2015 our collaboration was strengthened with domestic and international counterparts in the audit and accountability community to develop standards, share knowledge, and build audit capacity.

### **Managing GAO's Workload by Focusing Resources on Congressional Priorities**

Focusing on supporting the highest congressional legislative and oversight priorities while working in areas where there is the greatest potential for results, cost savings and improved government performance is a key requirement in managing our workload.

We actively coordinate with congressional committees in advance of new statutory mandates<sup>1</sup> by identifying them as bills are introduced; participating in ongoing discussions with congressional staff; and collaborating to ensure that the work is properly scoped and is consistent with the committees' highest priorities.

In fiscal year 2015, 33 percent of GAO's audit resources were devoted to Congressional mandates and 62 percent to Congressional requests. Chairs and Ranking Members of committees and subcommittees are regularly consulted to hear firsthand feedback on our performance. Their priorities help ensure we maximize the return on your investment in us.

GAO continued to collaborate with the Congress to revise or repeal GAO's mandated reporting requirements which have, over time, lost relevance or usefulness. Specifically, GAO worked with responsible committees to have 7 mandates repealed or revised as part of the 2016 National Defense Authorization Act which was signed by the President in December 2015. GAO has identified 14 additional mandated reporting requirements for revision or repeal and is working with appropriate committees to address them in the second session of the 114th Congress.

## **Improving Internal Operations**

GAO continues to strive to employ best practices in our internal operations. Areas where we have made progress include human capital, information technology, finance, and building infrastructure.

### **Human Capital**

We continuously strive to be the employer of choice in the public sector. Our ranking as one of the top places to work in the federal government results from the dedicated efforts of the entire GAO team and leadership for their commitment in continuing to make GAO one of the Best Places to Work. GAO management remains committed to work with our union (IFPTE, Local 1921), the Employee Advisory Council, and the Diversity Advisory Council to make GAO a preferred place to work.

We value our talented, diverse, and high-performing workforce. Diversity is essential in fulfilling our mission of supporting Congress and the nation. We continue to effectively address critical human capital management challenges, including preparing for retirements of key subject matter experts, senior executives, and other key leaders;

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<sup>1</sup> Congressional mandates include requirements directed by statutes, congressional resolutions, conference reports, and committee reports.

fostering a performance-based and inclusive culture that motivates and retains a talented and diverse staff; and maintaining workplace and work-life practices that meet the needs of an evolving workforce in an equitable manner.

A significant proportion of our employees are currently retirement eligible. By the end of fiscal year 2016, 42 percent of our senior executive staff and 25 percent of our supervisory analysts will be eligible. Our fiscal year 2017 budget request seeks funding to achieve an FTE level of 3,100 to help us fill critical vacancies and continue to replenish the much needed pipeline of entry-level and experienced analysts to meet succession planning and workload challenges, while making progress towards an optimal staffing level of 3,250 FTEs.

### **Priority Areas for Staffing Resources**

GAO has identified areas that merit increased review and attention as additional staffing is made available, including:

- **Continued Identification and Reduction in Improper Payments** – The improper payment estimate, attributable to 124 programs across 22 agencies in fiscal year 2014, was \$124.7 billion, up from \$105.8 billion in fiscal year 2013.<sup>2</sup> The almost \$19 billion increase was primarily due to the Medicare, Medicaid, and Earned Income Tax Credit programs, which account for over 75 percent of the government-wide improper payment estimate. Federal spending in Medicare and Medicaid is expected to significantly increase, so it is critical that actions are taken to reduce improper payments in these programs. Other agencies, including the Departments of Energy and Homeland Security, and the IRS, have not adequately estimated their risk of improper payments or amounts.

Identifying root causes of improper payments can help agencies target corrective actions, and with additional resources GAO could make additional recommendations that could help reduce improper payments. Continued attention is needed to identify susceptible programs, develop reliable estimation methodologies, report as required, and implement effective corrective actions

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<sup>2</sup> An improper payment is defined by statute as any payment that should not have been made or that was made in an incorrect amount (including overpayments and underpayments) under statutory, contractual, administrative, or other legally applicable requirements. Among other things, it includes payment to an ineligible recipient, payment for an ineligible good or service, and any duplicate payment. An improper payment also includes any payment for a good or service not received (except for such payments where authorized by law) and any payment that does not account for credit for applicable discounts. In addition, the Office of Management and Budget's guidance instructs agencies to report as improper payments any payments for which insufficient or no documentation was found.

based on root cause analysis. Absent such efforts, the federal government cannot be assured that taxpayer funds are adequately safeguarded.

- **The tax gap** – The net gap between taxes owed and taxes paid is an estimated \$385 billion each year. GAO has identified a number of opportunities for the Internal Revenue Service (IRS) to get better data to do the necessary comparisons and increase collections. Additional resources would enable us to expand our work in finding ways to further close the tax gap thus improving the Government’s financial position.
- **Science and Technology** – In fiscal year 2015 we reported on the need to enhance the nation’s biosurveillance capabilities, address safety lapses at high-containment laboratories, and address potential gaps in environmental satellite coverage. Our technical assessments included a study on 3D printing as it relates to additive manufacturing, and reducing freshwater use in hydraulic fracturing and thermoelectric power plant cooling. GAO strives to continue to build our staff capacity in this growing area.

## **Further Opportunities for Cost-Savings**

In fiscal year 2015, GAO made progress in proactively protecting our physical and virtual assets, leveraged technology to achieve business process improvements and efficiencies, and improved management of key administrative processes. GAO continues to explore opportunities to enhance workforce and budget flexibilities, increase our effectiveness and efficiency, and further reduce our operating costs. We believe these efforts have the potential to yield long-term benefits to GAO, the Congress, and the nation. Following are some highlights of these activities.

### **Virtual Desktop Infrastructure**

In fiscal year 2015, GAO deployed a hosted virtual desktop infrastructure (VDI) which ensures greater security by storing and processing software applications and user data in a centralized datacenter rather than on individual computers. VDI will also enhance our operating efficiency and save costs by streamlining maintenance activities and reducing the number of devices which require update.

### **Engagement-Management Efficiency**

In 2011, we identified improving the efficiency of our engagements as a new management challenge. With the many complex challenges facing the Congress and the nation, and in light of ongoing budget constraints, we recognized the need to look for ways to produce our reports and analyses more quickly and efficiently without

sacrificing quality. Since 2011, we have made great strides in identifying ways we can gain efficiencies in the engagement process, and have implemented a number of recommendations. We have focused significant resources on developing a suite of efficiency improvements such as revised procedures, job aids, and tools.

We successfully implemented an updated engagement management process, which improves decision making about resources and engagement scope and objectives by ensuring earlier stakeholder involvement, and reduces management and oversight costs. We also transitioned to a new Engagement Management System which reduces duplicative data entry and provides enhanced functionality for monitoring and tracking an engagement's progress. In addition, we awarded a contract for New Blue, a software solution that will modernize how we create, review, approve, validate, distribute, and post our audit results electronically.

### **Facilitating Access to GAO's Work**

GAO's key audiences – the Congress, congressional staff, and the American people – increasingly engage with our work via social and digital media platforms. In publishing to half a dozen social media sites, and tailoring our information to those platforms, we reach our audiences where they are, on the platforms they regularly use. Since its launch in 2014, the GAO WatchBlog has featured more than 250 blog posts on a wide range of topics. It has been viewed nearly 95,000 times and was named one of the five most unforgettable government agency blogs by GovLoop. In addition, Twitter has become the primary way people access our work with more than 30,000 followers, exceeding our email subscriptions. We also exceeded 9,000 Facebook "page likes," a 45 percent increase from last year, and produced 45 podcasts for a total podcast library of 230.

We also continued to evaluate and improve our website to ensure users can easily search, find, and access our work. This year, we redesigned the legal sections of GAO.gov to improve functionality and streamline content based on user feedback, and continued to work to revise reports' product summary pages to improve users' ability to engage with our content.

### **Enhanced Telework/Space Optimization**

GAO has a comprehensive telework program that provides employees with work/life flexibilities while maintaining a highly responsive client interface and producing quality reports and work products. Our telework program is a valuable recruitment and retention tool; reduces energy consumption, traffic congestion, and pollution; provides operational cost-efficiencies; affords employees flexibility in maintaining work-life

balance; and allows the agency to continue to operate even when there are emergency building closures.

In 2012, we launched an Enhanced Telework Pilot in our field locations which uses workspace sharing and hoteling to help reduce the need for office space. Based on our review of actual and projected costs for fiscal years 2012 through 2015, we found that while there were costs associated with providing telework tools and technology to pilot participants, there was a net savings of almost \$2 million and about \$7.7 million of costs avoided.

We have conducted an assessment to determine the extent to which we could optimize space in the headquarters building based on current and projected staffing levels and other activities to reduce our physical footprint. We are working with our Union partners to explore options for implementing an enhanced telework program in headquarters. We also continue to explore opportunities to seek tenants interested in leasing space in the headquarters building which would allow GAO to more than offset its costs with additional revenue.

### **Infrastructure Operations**

In fiscal year 2017, GAO requests funding of \$6.5 million to continue making critical investments to enhance GAO's IT infrastructure, security, telecommunications, and management information systems. These funds will provide a down-payment on the cost of these initiatives as GAO will implement these efforts using a phased, multi-year approach. These efforts will strengthen GAO's technology infrastructure, help address GAO's management challenges, and help ensure GAO continues to be a model practices agency.

- **Modernize GAO's Document Repository.** GAO operates a critical system that is used daily by all GAO staff and houses all of GAO's documents, information obtained from agencies, and data analyses that form the basis of GAO's products. While this system has been a tremendous asset to the agency, it was initially implemented in the mid-1990s. Since the existing version of GAO's records management repository is at the end-of-life, GAO must embark on an effort to replace it in order to keep pace with technological changes. This new system would allow GAO to provide common capabilities which are currently associated with such systems, such as workflow and business process management, support modern file formats, including video and files, enhance security, provide enhanced functionality, and improve staff productivity and efficiency. GAO could also integrate the enhanced document repository with GAO's enterprise-wide systems, including the new engagement content management system under development, New Blue.

In fiscal year 2016, GAO will study alternatives and begin a phased implementation in fiscal year 2017. An electronic records management system is vital to GAO's ability to manage information and meet federal records management requirements.

- **New Blue.** As mentioned in our engagement efficiency initiative, GAO has begun an initiative to improve how it publishes GAO products called New Blue. New Blue will modernize GAO's content development and distribution processes and its publishing systems to fully support end-to-end processing of GAO products from New Blue through distribution channels, such as GAO's web site. Once implemented, New Blue will enable time savings and improved productivity in the creation of GAO products as well as improve the efficiency of the publishing process. New Blue will provide the capability to deliver products in multiple formats, allowing greater flexibility in supporting client needs. The first phase of the project is completed and resulted in a prototype that demonstrated the system's technical capabilities. GAO is proceeding with full development of capabilities in advance of a planned pilot in fiscal year 2017.
- **Network Operations Center.** Since GAO consolidated and centralized its data and computing capacity in a single location, the data center requires increased 24/7 operational availability to adequately support the diverse work schedules of staff located in headquarters and GAO's 11 field locations throughout the United States. The current data center does not adequately support GAO's needs. As such, GAO needs to improve data management operations and security. In fiscal year 2016, we will assess options to upgrade the equipment supporting the center to provide a modern computing environment in fiscal year 2017, which could reduce costs and enhance security, capacity, and availability.
- **Unified Communications and Collaboration.** Enhance GAO's mobile computing by providing resources for Voice Over Internet (VoIP) capability, video conferencing (VTC), and wireless infrastructure. This effort will modernize our suite of telecommunications tools, shifting from a PBX, host-based solution to a cloud solution which will facilitate greater staff mobility and data sharing, reduce redundant implementation and maintenance costs, and standardize the infrastructure which supports voice and data usage. This effort will also allow GAO to reduce risks for continuity events, and shift communications technologies from onsite to a service model.

## Center for Audit Excellence

The Center for Audit Excellence's mission is to promote good governance and build institutional auditing capacity of domestic and international audit organizations by providing high-quality, training, technical assistance, and related products and services on a fee basis. Potential recipients eligible for training, technical assistance, products, and services include: federal, state, local, tribal, and national audit offices in other countries.

The Center's capacity building efforts expand on and complement GAO's longstanding collaboration with the domestic and international accountability community. Further, to preserve the independence of GAO's audit work and minimize the impact on GAO's routine audit and oversight work on behalf of Congress, the Center has developed controls and coordination guidance to ensure projects and activities are appropriate for the Center.

Since the Center for Audit Excellence's opening in October 2015, the Center has received a number of inquiries regarding potential training and technical assistance services. These inquiries have come from domestic and international accountability organizations as well as some development agency donors and involve potential capacity building services related to:

- conducting performance, financial, and other specialized audits;
- strengthening internal controls; and
- enhancing institutional capacity in areas such as strategic planning and ensuring quality.

Through initial discussions with interested organizations, the Center has gained a good understanding of potential project requirements and associated costs for providing fee-based services. During fiscal year 2016, the Center plans to finalize and implement several projects.

For example in the second and third quarters of fiscal year 2016, the Center plans to provide two separate, customized trainings – one on Green Book Internal Control Standards and another on Performance Auditing expected to reach over 650 participants from across the audit community. The Center continues to implement its business plan and seek opportunities to build the capacities of state, local, federal and international accountability partners.

In addition, we developed informational materials including web-page content, a brochure to support the Center's official opening on October 1, 2015, and informed

eligible audit organizations about the Center's services. We have received a positive response from the audit community to the Center's opening and are in the process of discussing several potential projects and associated fees with domestic and international audit organizations. Any fees collected for Center projects will be used to support Center operations after receiving appropriate congressional approval for their use.

## Concluding Remarks

I want to underscore my appreciation to you and the subcommittee for your ongoing interest and commitment to GAO. We value the opportunity to provide the Congress and the nation with timely, insightful analysis on the challenges facing the country. Our budget requests the resources to ensure that we can continue to address the highest priorities of the Congress.

Our budget request is a fiscally responsible approach that will better position GAO to continue to support Congress and foster government accountability, address long-standing challenges, and keep a watchful eye on the nation's future. I appreciate, as always, your careful consideration of GAO's fiscal year 2017 budget request and the Committee's support.

I look forward to discussing our request with you.

A handwritten signature in black ink, reading "Gene L. Dodaro". The signature is fluid and cursive, with a large initial "G" and "D".

Gene L. Dodaro  
Comptroller General  
Of the United States

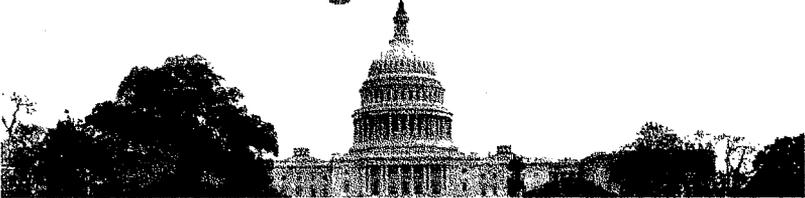
Enclosures (2)

## GAO's High-Risk List as of September 30, 2015

| High-risk area   | Year designated |
|--|-----------------|
| <b>Strengthening the Foundation for Efficiency and Effectiveness</b>   |                 |
| ▫ Improving the Management of IT Acquisitions and Operations (new)   | 2015            |
| ▫ Limiting the Federal Government's Fiscal Exposure by Better Managing Climate Change Risks  | 2013            |
| ▫ Management of Federal Oil and Gas Resources  | 2011            |
| ▫ Modernizing the U.S. Financial Regulatory System and the Federal Role in Housing Finance   | 2009            |
| ▫ Restructuring the U.S. Postal Service to Achieve Sustainable Financial Viability   | 2009            |
| ▫ Funding the Nation's Surface Transportation System   | 2007            |
| ▫ Managing Federal Real Property   | 2003            |
| ▫ Strategic Human Capital Management   | 2001            |
| <b>Transforming DOD Program Management</b>   |                 |
| ▫ DOD Approach to Business Transformation  | 2005            |
| ▫ DOD Support Infrastructure Management  | 1997            |
| ▫ DOD Business Systems Modernization   | 1995            |
| ▫ DOD Financial Management   | 1995            |
| ▫ DOD Supply Chain Management  | 1990            |
| ▫ DOD Weapon Systems Acquisition   | 1990            |
| <b>Ensuring Public Safety and Security</b>   |                 |
| ▫ Mitigating Gaps in Weather Satellite Data  | 2013            |
| ▫ Protecting Public Health through Enhanced Oversight of Medical Products  | 2009            |
| ▫ Transforming EPA's Processes for Assessing and Controlling Toxic Chemicals   | 2009            |
| ▫ Ensuring the Effective Protection of Technologies Critical to U.S. National Security Interests   | 2007            |
| ▫ Improving Federal Oversight of Food Safety   | 2007            |
| ▫ Establishing Effective Mechanisms for Sharing and Managing Terrorism-related Information to Protect the Homeland   | 2005            |
| ▫ Strengthening Department of Homeland Security Management Functions   | 2003            |
| ▫ Ensuring the Security of Federal Information Systems and Cyber Critical Infrastructure and Protecting the Privacy of Personally Identifiable Information | 1997            |
| <b>Managing Federal Contracting More Effectively</b>   |                 |
| ▫ DOD Contract Management  | 1992            |
| ▫ DOE's Contract Management for the National Nuclear Security Administration and Office of Environmental Management  | 1990            |
| ▫ NASA Acquisition Management  | 1990            |
| <b>Assessing the Efficiency and Effectiveness of Tax Law Administration</b>  |                 |
| ▫ Enforcement of Tax Laws  | 1990            |
| <b>Modernizing and Safeguarding Insurance and Benefit Programs</b>   |                 |
| ▫ Managing Risks and Improving VA Health Care (new)  | 2015            |
| ▫ National Flood Insurance Program   | 2006            |
| ▫ Improving and Modernizing Federal Disability Programs  | 2003            |
| ▫ Pension Benefit Guaranty Corporation Insurance Programs  | 2003            |
| ▫ Medicaid Program   | 2003            |
| ▫ Medicare Program   | 1990            |

Source: GAO | GAO-16-35P

# 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 Shaping the United States and Its Place in the World

**National Security Trends**    **Fiscal Sustainability and Debt Challenges**    **Global Interdependence**    **Science and Technology Trends**    **Communications Networks and Information Technologies**    **Shifts in Governance and Government**    **Demographic and Societal Change**

| Goals   | Objectives  |
|---|---|
| <p><b>Provide Timely, Quality Service to the Congress and the Federal Government to...</b></p> <p>Address Current and Emerging Challenges to the Well-being and Financial Security of the American People related to...</p> | <ul style="list-style-type: none"> <li>▪ Health care needs</li> <li>▪ Lifelong learning</li> <li>▪ Challenges facing an aging population</li> <li>▪ Effective system of justice</li> <li>▪ Housing finance and viable communities</li> <li>▪ Stable financial system and consumer protection</li> <li>▪ Natural resources and the environment</li> <li>▪ National infrastructure</li> <li>▪ Benefits and protections for workers, families, and children</li> </ul> |
| <p><b>Respond to Changing Security Threats and the Challenges of Global Interdependence involving...</b></p>  | <ul style="list-style-type: none"> <li>▪ Homeland security</li> <li>▪ Military capabilities and readiness</li> <li>▪ Foreign policy and international economic interests</li> </ul>   |
| <p><b>Help Transform the Federal Government to Address National Challenges by assessing...</b></p>  | <ul style="list-style-type: none"> <li>▪ Government's fiscal position and approaches to address current and projected fiscal gaps</li> <li>▪ Federal government audit and internal control standards</li> <li>▪ Major management challenges and program risks</li> <li>▪ Fraud, waste, and abuse, and improvements in internal controls</li> </ul>  |
| <p><b>Maximize the Value of GAO by Enabling Quality, Timely Service to the Congress and Being a Leading Practices Federal Agency by focusing on...</b></p>  | <ul style="list-style-type: none"> <li>▪ Efficiency, effectiveness, and quality</li> <li>▪ Diverse workforce and inclusive work environment</li> <li>▪ Networks, collaborations and partnerships</li> <li>▪ Human, information, fiscal, technological, and physical resources</li> </ul>  |

## CORE VALUES

**Accountability**                      **Integrity**                      **Reliability**

Source: GAO

GAO Strategic Plan 2014-2018

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# Overview of Fiscal Year 2017 Budget Request

GAO is requesting an appropriation of \$567.8 million for fiscal year 2017, an increase of \$36.8 million or 6.9 percent over the fiscal year 2016 appropriation of \$531.0 million. This increase will allow us to continue to rebuild our staff capacity and make critical investments in our infrastructure.

GAO also plans to offset some of our needs with \$32.4 million in offsetting receipts and reimbursements from program and financial audits, rental income, and receipts from bid

protest user fees and the Center for Audit Excellence. GAO's proposed budget authority of \$600.2 million provides the funding necessary to help ensure that GAO can continue to meet the highest priority needs of Congress.

GAO's fiscal year 2017 budget supports a full-time equivalent (FTE) staffing level of 3,100 and provides funding for human capital costs, engagement support, and infrastructure operations. These funds are essential to ensure GAO can provide staff meaningful benefits and the appropriate resources to do their jobs effectively.

A summary of GAO's funding sources for our fiscal year 2010 baseline and fiscal years 2015 – 2017 is shown in Table 1.

**Table 1: FY 2010 Baseline and 2015 – 2017 Summary of Budget Authority (dollars in thousands)**

| Funding Source                           | Fiscal Year 2010 Actual |                  | Fiscal Year 2015 Actual |                  | Fiscal Year 2016 Estimate |                  | Fiscal Year 2017 Request |                  |
|--|-------------------------|------------------|-------------------------|------------------|---------------------------|------------------|--------------------------|------------------|
|  | FTE                     | Amount           | FTE                     | Amount           | FTE                       | Amount           | FTE                      | Amount           |
| Salaries and Expenses Appropriation      |                         | \$556,325        |                         | \$521,517        |                           | \$531,000        |                          | \$567,825        |
| Non-legislative-branch appropriation     |                         | 21,804           |                         | -                |                           | -                |                          | -                |
| Offsetting receipts <sup>a</sup>         |                         | 10,892           |                         | 23,008           |                           | 23,645           |                          | 23,000           |
| Reimbursements <sup>b</sup>              |                         | 10,214           |                         | 5,018            |                           | 10,080           |                          | 9,000            |
| Center for Audit Excellence <sup>c</sup> |                         | -                |                         | -                |                           | 350              |                          | 350              |
| <b>Total budget authority</b>            | <b>3,347</b>            | <b>\$599,235</b> | <b>2,989</b>            | <b>\$549,543</b> | <b>3,005</b>              | <b>\$565,075</b> | <b>3,100</b>             | <b>\$600,175</b> |

<sup>a</sup>Includes receipts 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 reimbursement of GAO's costs incurred in conducting financial audits of the Federal Deposit Insurance Corporation, Internal Revenue Service, Schedule of Federal Debt, and Securities and Exchange Commission (SEC).

<sup>b</sup>Includes reimbursements of GAO's costs incurred in conducting mandated program and financial audits of the Federal Housing Finance Agency, Consumer Financial Protection Bureau, SEC, Troubled Asset Relief Program, operation of the Federal Accounting Standards Advisory Board, and collection of bid protest system user fees.

<sup>c</sup>Includes reimbursement of GAO's costs incurred by the Center for Audit Excellence to build institutional auditing capacity and promote good governance by providing training and assistance to qualified personnel and entities.

## Summary of Resources by Program

A summary of GAO's resources by program is shown in Table 2. Additional information on each program, including fiscal year 2015 accomplishments and plans for fiscal years 2016 and 2017, are included in the Budgetary Resources section of this document.

In preparing GAO's fiscal year 2017 budget request, GAO's Executive Committee continues to seek ways to maximize GAO's support to the Congress and minimize the impact on GAO's staff. The Executive Committee continues to implement actions that will enable GAO to bolster its staff capacity to reach an optimal FTE level of

3,250 over the next several years, optimize business operations, and explore additional sources of revenue to help reduce GAO's costs.

GAO's requested fiscal year 2017 funding will allow GAO to continue replacing critical losses and rebuilding our staff capacity to reach an FTE level of 3,100 with a year-end on-board strength of 3,184 permanent staff.

We continue to pursue opportunities to streamline business processes and increase the effectiveness of our administrative operations. In order to preserve our staff capacity to the extent possible, GAO reduced its engagement and infrastructure costs by an estimated 26 percent between fiscal years 2010 and 2015.

**Table 2: FY 2010 Baseline and 2015 – 2017 Summary of Resources by Program (dollars in thousands)**

| Program                       | Fiscal Year 2010<br>Actual |                  | Fiscal Year 2015<br>Actual |                  | Fiscal Year 2016<br>Estimate |                  | Fiscal Year 2017<br>Request |                  | Net Change Fiscal<br>Year 2016/2017 |                 | Change Fiscal Year<br>2010/2017 |                 |
|-------------------------------|----------------------------|------------------|----------------------------|------------------|------------------------------|------------------|-----------------------------|------------------|-------------------------------------|-----------------|---------------------------------|-----------------|
|                               | FTE                        | Amount           | FTE                        | Amount           | FTE                          | Amount           | FTE                         | Amount           | FTE                                 | Amount          | FTE                             | Amount          |
| Human capital                 | 3,347                      | \$463,657        | 2,989                      | \$449,303        | 3,005                        | \$462,935        | 3,100                       | \$488,495        | 95                                  | \$25,560        | (247)                           | \$24,838        |
|                               |                            |                  |                            |                  |                              |                  |                             |                  | 3.2%                                | 5.5%            | (7.4%)                          | 5.4%            |
| Engagement support            |                            | 16,797           |                            | 11,827           |                              | 11,250           |                             | 12,250           |                                     | 1,000           |                                 | (4,547)         |
|                               |                            |                  |                            |                  |                              |                  |                             |                  |                                     | 8.9%            |                                 | (27.1%)         |
| Infrastructure operations     |                            | 118,781          |                            | 88,413           |                              | 90,390           |                             | 98,930           |                                     | 8,540           |                                 | (19,851)        |
|                               |                            |                  |                            |                  |                              |                  |                             |                  |                                     | 9.4%            |                                 | (16.7%)         |
| Center for Audit Excellence   |                            |                  |                            |                  |                              | 500              |                             | 500              |                                     |                 |                                 | 500             |
|                               |                            |                  |                            |                  |                              |                  |                             |                  |                                     |                 |                                 | N/A             |
| <b>Total budget authority</b> | <b>3,347</b>               | <b>\$599,235</b> | <b>2,989</b>               | <b>\$549,543</b> | <b>3,005</b>                 | <b>\$565,075</b> | <b>3,100</b>                | <b>\$600,175</b> | <b>95</b>                           | <b>\$35,100</b> | <b>(247)</b>                    | <b>\$940</b>    |
|                               |                            |                  |                            |                  |                              |                  |                             |                  | <b>3.2%</b>                         | <b>6.2%</b>     | <b>(7.4%)</b>                   | <b>0.2%</b>     |
| Offsets*                      |                            | (\$42,910)       |                            | (\$28,026)       |                              | (\$34,075)       |                             | (\$32,350)       |                                     | (\$1,725)       |                                 | (\$10,560)      |
|                               |                            |                  |                            |                  |                              |                  |                             |                  |                                     | (5.1%)          |                                 | (24.6%)         |
| <b>Appropriation</b>          |                            | <b>\$556,325</b> |                            | <b>\$521,517</b> |                              | <b>\$531,000</b> |                             | <b>\$567,825</b> |                                     | <b>\$36,825</b> |                                 | <b>\$11,500</b> |
|                               |                            |                  |                            |                  |                              |                  |                             |                  |                                     | <b>6.9%</b>     |                                 | <b>2.1%</b>     |

\* Includes offsetting receipts and reimbursements from program and financial audits, rental income, training fees, bid protest fees, and funds provided to GAO for mandated work.

In fiscal year 2017, GAO is requesting an increase of \$36.8 million, or 6.9 percent, to continue strengthening staff capacity as well as to make critical investments in GAO's IT infrastructure, including security and continuity of operations, and to promote efficient business practices.

These activities are essential to ensure our continued productivity and effectiveness. Addressing these items now will avoid more costly repairs in the future and ensure our ability to exchange data with other federal entities. GAO plans to:

- replace the legacy document management system installed in the 1990s, with a more modern, effective and efficient system that is consistent with our content creation streamlining efforts, enabling GAO to better manage documents throughout the engagement and publishing processes;
- assess options to upgrade equipment in GAO's network operations center or potentially relocate to a modern computing environment to provide a more robust capacity to support GAO's data management operations and security needs;
- provide a unified communications suite for voice and data to enhance mobile computing and reduce operational costs;
- modernize GAO's content development and distribution processes to provide greater flexibility in managing engagement content and delivering products in multiple formats; and
- upgrade obsolete components of GAO's electronic security system to ensure continued operability.

## Summary of Changes

A summary of the changes in our funding requirements from fiscal year 2016 to 2017 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 2017 budget request includes an increase of \$24.8 million to cover mandatory pay-related costs to support our highly skilled workforce and enable GAO to address succession planning and critical skill gaps. These costs include the anticipated January 2017 2.6 percent civilian pay raise based on guidance from CBO and the LBFMC.

### Price Level Changes

GAO's fiscal year 2017 budget request includes an increase of \$2.4 million to cover mandatory inflationary increases imposed by vendors and contractors to maintain current service levels.

### Net Program Changes

GAO's fiscal year 2017 budget request includes \$9.7 million to make critical investments in GAO's internal operations including engagement support, IT systems and security programs.

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**Table 3: Fiscal Year 2016 – 2017 Summary of Requested Changes (dollars in thousands)**


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| <b>Funding Source</b>          | <b>FTE</b>   | <b>Amount</b>    |
|--------------------------------|--------------|------------------|
| <b>FY 2016 Appropriation</b>   | 3,005        | <b>\$531,000</b> |
| <b><i>FY 2017 Changes:</i></b> |              |                  |
| Pay-related costs              | 95           | 24,789           |
| Price Level                    |              | 2,350            |
| Net Program changes            |              | 9,686            |
| <b>Total FY 2017 Changes</b>   | <b>95</b>    | <b>\$36,825</b>  |
| <b>FY 2017 Appropriation</b>   | <b>3,100</b> | <b>\$567,825</b> |

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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, \$567,825,000: Provided, That, in addition, \$23,350,000 of payments received under sections 782, 791, 3521, and 9105 of title 31, United States Code, shall be available without fiscal year limitation: Provided further, That this appropriation and appropriations for administrative expenses of any other department or agency which is a member of the National Intergovernmental Audit Forum or a Regional Intergovernmental Audit Forum shall be available to finance an appropriate share of either Forum's costs as determined by the respective Forum, including necessary travel expenses of non-Federal participants: Provided further, That payments hereunder to the Forum may be credited as reimbursements to any appropriation from which costs involved are initially financed:*

## Schedule A

**Government Accountability Office  
Resource Summary by Program**  
*(dollars in thousands)*

| Program                               | Fiscal Year 2010<br>Actual |                  | Fiscal Year 2015<br>Actual |                  | Fiscal Year 2016<br>Estimate |                  | Fiscal Year 2017<br>Request |                  | Change Fiscal Year<br>2016/2017 |                 | Change Fiscal Year<br>2010/2017 |                 |
|---------------------------------------|----------------------------|------------------|----------------------------|------------------|------------------------------|------------------|-----------------------------|------------------|---------------------------------|-----------------|---------------------------------|-----------------|
|                                       | FTE                        | Amount           | FTE                        | Amount           | FTE                          | Amount           | FTE                         | Amount           | FTE                             | Amount          | FTE                             | Amount          |
| Human capital                         | 3,347                      | \$463,657        | 2,889                      | \$449,303        | 3,005                        | \$462,835        | 3,100                       | \$488,495        | 95                              | \$25,560        | (247)                           | \$24,838        |
|                                       |                            |                  |                            |                  |                              |                  |                             |                  | 3.2%                            | 5.5%            | (7.4%)                          | 5.4%            |
| Engagement support                    |                            | 16,797           |                            | 11,827           |                              | 11,250           |                             | 12,250           |                                 | 1,000           |                                 | (4,547)         |
|                                       |                            |                  |                            |                  |                              |                  |                             |                  |                                 | 8.9%            |                                 | (27.1%)         |
| Infrastructure operations             |                            | 118,781          |                            | 88,413           |                              | 90,390           |                             | 98,930           |                                 | 8,540           |                                 | (19,851)        |
|                                       |                            |                  |                            |                  |                              |                  |                             |                  |                                 | 9.4%            |                                 | (16.7%)         |
| Center for Audit Excellence           |                            | -                |                            | -                |                              | 500              |                             | 500              |                                 | 0               |                                 | 500             |
|                                       |                            |                  |                            |                  |                              |                  |                             |                  |                                 | 0.0%            |                                 | 0.0%            |
| <b>Total budget authority</b>         | <b>3,347</b>               | <b>\$599,235</b> | <b>2,889</b>               | <b>\$549,543</b> | <b>3,005</b>                 | <b>\$585,075</b> | <b>3,100</b>                | <b>\$600,175</b> | <b>95</b>                       | <b>\$36,100</b> | <b>(247)</b>                    | <b>\$940</b>    |
|                                       |                            |                  |                            |                  |                              |                  |                             |                  | <b>3.2%</b>                     | <b>6.2%</b>     | <b>(7.4%)</b>                   | <b>0.2%</b>     |
| <b>Offsets</b>                        |                            |                  |                            |                  |                              |                  |                             |                  |                                 |                 |                                 |                 |
| Non-legislative branch appropriations |                            | (\$21,804)       |                            | \$ -             |                              | \$ -             |                             | \$ -             |                                 | \$ -            |                                 | \$21,804        |
|                                       |                            |                  |                            |                  |                              |                  |                             |                  |                                 | 0.0%            |                                 | 0.0%            |
| Offsetting receipts                   |                            | (10,892)         |                            | (23,008)         |                              | (23,645)         |                             | (23,000)         |                                 | 645             |                                 | (12,108)        |
|                                       |                            |                  |                            |                  |                              |                  |                             |                  |                                 | (2.7%)          |                                 | 111.2%          |
| Reimbursements                        |                            | (10,214)         |                            | (5,018)          |                              | (10,080)         |                             | (9,000)          |                                 | 1,080           |                                 | 1,214           |
|                                       |                            |                  |                            |                  |                              |                  |                             |                  |                                 | (10.7%)         |                                 | (11.9%)         |
| Center for Audit Excellence           |                            | -                |                            | -                |                              | (350)            |                             | (350)            |                                 | -               |                                 | (350)           |
|                                       |                            |                  |                            |                  |                              |                  |                             |                  |                                 | 100%            |                                 | 100%            |
| <b>Appropriation</b>                  | <b>3,347</b>               | <b>\$556,325</b> | <b>2,989</b>               | <b>\$521,517</b> | <b>3,005</b>                 | <b>\$531,000</b> | <b>3,100</b>                | <b>\$567,825</b> | <b>-</b>                        | <b>\$36,825</b> | <b>-</b>                        | <b>\$11,500</b> |
|                                       |                            |                  |                            |                  |                              |                  |                             |                  |                                 | <b>6.6%</b>     |                                 | <b>2.1%</b>     |

Additional information can be found on pages C-5 – C-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<br>Actual |                  | Fiscal Year 2015<br>Actual |                  | Fiscal Year 2016<br>Estimate |                  | Fiscal Year 2017<br>Request |                  | Change Fiscal Year<br>2016/2017 |                 | Change Fiscal Year<br>2010/2017 |                   |
|-----------------------------------|----------------------------|------------------|----------------------------|------------------|------------------------------|------------------|-----------------------------|------------------|---------------------------------|-----------------|---------------------------------|-------------------|
|                                   | FTE                        | Amount           | FTE                        | Amount           | FTE                          | Amount           | FTE                         | Amount           | FTE                             | Amount          | FTE                             | Amount            |
| Human capital                     |                            |                  |                            |                  |                              |                  |                             |                  |                                 |                 |                                 |                   |
| Salaries & benefits               | 3,347                      | \$445,818        | 2,989                      | \$435,253        | 3,005                        | \$450,762        | 3,100                       | \$473,920        | 95                              | \$23,158        | (247)                           | \$28,102          |
|                                   |                            |                  |                            |                  |                              |                  |                             |                  | 3.2%                            | 5.1%            | (7.4%)                          | 6.3%              |
| Recruitment & retention           |                            | 9,187            |                            | 7,425            |                              | 5,448            |                             | 7,348            |                                 | 1,898           |                                 | (1,841)           |
|                                   |                            |                  |                            |                  |                              |                  |                             |                  |                                 | 34.8%           |                                 | (20.0%)           |
| Training & development            |                            | 4,688            |                            | 3,476            |                              | 3,500            |                             | 3,810            |                                 | 110             |                                 | (1,058)           |
|                                   |                            |                  |                            |                  |                              |                  |                             |                  |                                 | 3.1%            |                                 | (22.6%)           |
| Other compensation                |                            | 3,986            |                            | 3,149            |                              | 3,225            |                             | 3,819            |                                 | 394             |                                 | (367)             |
|                                   |                            |                  |                            |                  |                              |                  |                             |                  |                                 | 12.2%           |                                 | (9.2%)            |
| <b>Subtotal</b>                   | <b>3,347</b>               | <b>\$463,657</b> | <b>2,989</b>               | <b>\$449,303</b> | <b>3,005</b>                 | <b>\$462,935</b> | <b>3,100</b>                | <b>\$488,495</b> | <b>95</b>                       | <b>\$25,560</b> | <b>(247)</b>                    | <b>\$28,838</b>   |
|                                   |                            |                  |                            |                  |                              |                  |                             |                  | <b>3.2%</b>                     | <b>5.5%</b>     | <b>(7.4%)</b>                   | <b>5.4%</b>       |
| Engagement support                |                            |                  |                            |                  |                              |                  |                             |                  |                                 |                 |                                 |                   |
| Travel                            |                            | \$13,779         |                            | \$8,066          |                              | \$7,250          |                             | \$8,000          |                                 | \$750           |                                 | (\$5,779)         |
|                                   |                            |                  |                            |                  |                              |                  |                             |                  |                                 | 10.3%           |                                 | (41.9%)           |
| Specialized data & expertise      |                            | 3,018            |                            | 3,761            |                              | 4,000            |                             | 4,250            |                                 | 250             |                                 | 1,232             |
|                                   |                            |                  |                            |                  |                              |                  |                             |                  |                                 | 6.3%            |                                 | 40.8%             |
| <b>Subtotal</b>                   |                            | <b>\$16,797</b>  |                            | <b>\$11,827</b>  |                              | <b>\$11,250</b>  |                             | <b>\$12,250</b>  |                                 | <b>\$1,000</b>  |                                 | <b>(\$4,547)</b>  |
|                                   |                            |                  |                            |                  |                              |                  |                             |                  |                                 | <b>6.9%</b>     |                                 | <b>(27.1%)</b>    |
| Infrastructure operations         |                            |                  |                            |                  |                              |                  |                             |                  |                                 |                 |                                 |                   |
| Information technology            |                            | \$56,589         |                            | \$47,602         |                              | \$48,750         |                             | \$56,200         |                                 | \$7,450         |                                 | (\$389)           |
|                                   |                            |                  |                            |                  |                              |                  |                             |                  |                                 | 15.3%           |                                 | (0.7%)            |
| Building & security               |                            | 41,035           |                            | 30,154           |                              | 30,576           |                             | 31,706           |                                 | 1,130           |                                 | (9,329)           |
|                                   |                            |                  |                            |                  |                              |                  |                             |                  |                                 | 3.7%            |                                 | (22.7%)           |
| Administrative & support services |                            | 21,157           |                            | 10,657           |                              | 11,064           |                             | 11,024           |                                 | (40)            |                                 | (10,133)          |
|                                   |                            |                  |                            |                  |                              |                  |                             |                  |                                 | (0.4%)          |                                 | (47.9%)           |
| <b>Subtotal</b>                   |                            | <b>\$118,781</b> |                            | <b>\$88,413</b>  |                              | <b>\$90,380</b>  |                             | <b>\$98,930</b>  |                                 | <b>\$8,540</b>  |                                 | <b>(\$19,851)</b> |
|                                   |                            |                  |                            |                  |                              |                  |                             |                  |                                 | <b>9.4%</b>     |                                 | <b>(18.7%)</b>    |
| Center for Audit Excellence       |                            | \$ -             |                            | \$ -             |                              | \$500            |                             | \$500            |                                 | \$ -            |                                 | \$500             |
|                                   |                            |                  |                            |                  |                              |                  |                             |                  |                                 | 0.0%            |                                 | N/A               |
| <b>Total budget authority</b>     | <b>3,347</b>               | <b>\$598,235</b> | <b>2,989</b>               | <b>\$548,543</b> | <b>3,005</b>                 | <b>\$565,075</b> | <b>3,100</b>                | <b>\$600,175</b> | <b>95</b>                       | <b>\$28,100</b> | <b>(247)</b>                    | <b>\$940</b>      |
|                                   |                            |                  |                            |                  |                              |                  |                             |                  | <b>3.2%</b>                     | <b>5.2%</b>     | <b>(7.4%)</b>                   | <b>0.2%</b>       |
| Offsets <sup>a</sup>              |                            | (\$42,910)       |                            | (\$28,026)       |                              | (\$34,075)       |                             | (\$32,350)       |                                 | \$1,725         |                                 | \$10,560          |
|                                   |                            |                  |                            |                  |                              |                  |                             |                  |                                 | (5%)            |                                 | (24.5%)           |
| <b>Appropriation</b>              |                            | <b>\$556,325</b> |                            | <b>\$520,517</b> |                              | <b>\$531,000</b> |                             | <b>\$567,825</b> |                                 | <b>\$26,825</b> |                                 | <b>\$11,500</b>   |
|                                   |                            |                  |                            |                  |                              |                  |                             |                  |                                 | <b>6.9%</b>     |                                 | <b>2.1%</b>       |

<sup>a</sup> Includes offsetting receipts and reimbursements from program and financial audits, rental income, training fees, bid protest fees, 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>2016 Estimate | Fiscal Year 2017 Changes |                |                | Total Net<br>Change | Fiscal Year<br>2017 Request |
|--|------------------------------|--------------------------|----------------|----------------|---------------------|-----------------------------|
|  |                              | Pay-Related              | Price Level    | Program        |                     |                             |
| Human capital                                | \$462,935                    | \$24,789                 | \$95           | \$676          | \$25,560            | \$488,495                   |
| Engagement support                           | 11,250                       |                          | 50             | 950            | 1,000               | 12,250                      |
| Infrastructure operations                    | 90,390                       |                          | 2,205          | 6,335          | 8,540               | 98,930                      |
| Center for Audit Excellence                  | 500                          |                          |                |                |                     | 500                         |
| <b>Total budget authority</b>                | <b>\$565,075</b>             | <b>\$24,789</b>          | <b>\$2,350</b> | <b>\$7,961</b> | <b>\$35,100</b>     | <b>\$600,175</b>            |
| <b>Offsets:</b>                              |                              |                          |                |                |                     |                             |
| Offsetting receipts                          | (\$23,645)                   | \$ -                     | \$ -           | \$645          | \$645               | (\$23,000)                  |
| Reimbursements                               | (10,080)                     |                          |                | 1,080          | 1,080               | (9,000)                     |
| Center for Audit Excellence                  | (350)                        |                          |                |                |                     | (350)                       |
| <b>Salaries &amp; expenses appropriation</b> | <b>\$531,000</b>             | <b>\$24,789</b>          | <b>\$2,350</b> | <b>\$9,886</b> | <b>\$36,825</b>     | <b>\$567,825</b>            |

Additional information can be found on pages C-5 -- C-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>2016 Estimate | Fiscal Year 2017 Changes |                |                | Total Net<br>Change | Fiscal Year<br>2017 Request |
|--|------------------------------|--------------------------|----------------|----------------|---------------------|-----------------------------|
|  |                              | Pay-Related              | Price Level    | Program        |                     |                             |
| <b>Human capital</b>                         |                              |                          |                |                |                     |                             |
| Salaries and benefits                        | \$450,762                    | \$23,158                 | \$ -           | \$ -           | \$23,158            | \$473,920                   |
| Recruitment and retention                    | 5,448                        | 1,262                    | 20             | \$616          | 1,898               | 7,346                       |
| Training and development                     | 3,500                        |                          | 50             | 60             | 110                 | 3,610                       |
| Other compensation                           | 3,225                        | 369                      | 25             |                | 394                 | 3,619                       |
| <b>Subtotal</b>                              | <b>\$462,935</b>             | <b>\$24,789</b>          | <b>\$95</b>    | <b>\$676</b>   | <b>\$25,560</b>     | <b>\$488,495</b>            |
| <b>Engagement support</b>                    |                              |                          |                |                |                     |                             |
| Travel                                       | \$7,250                      | \$ -                     | \$50           | \$700          | \$750               | \$8,000                     |
| Specialized data and expertise               | 4,000                        |                          |                | 250            | 250                 | 4,250                       |
| <b>Subtotal</b>                              | <b>\$11,250</b>              | <b>\$ -</b>              | <b>\$50</b>    | <b>\$950</b>   | <b>\$1,000</b>      | <b>\$12,250</b>             |
| <b>Infrastructure operations</b>             |                              |                          |                |                |                     |                             |
| Information technology                       | \$48,750                     | \$ -                     | \$1,250        | \$6,200        | \$7,450             | \$56,200                    |
| Building and security services               | 30,576                       |                          | 800            | 330            | 1,130               | 31,706                      |
| Administrative and support services          | 11,064                       |                          | 155            | (195)          | (40)                | 11,024                      |
| <b>Subtotal</b>                              | <b>\$90,390</b>              | <b>\$ -</b>              | <b>\$2,205</b> | <b>\$6,335</b> | <b>\$8,540</b>      | <b>\$98,930</b>             |
| <b>Center for Audit Excellence</b>           | <b>\$500</b>                 | <b>\$ -</b>              | <b>\$ -</b>    | <b>\$ -</b>    | <b>\$ -</b>         | <b>\$500</b>                |
| <b>Total budget authority</b>                | <b>\$565,075</b>             | <b>\$24,789</b>          | <b>\$2,350</b> | <b>\$7,961</b> | <b>\$35,100</b>     | <b>\$600,175</b>            |
| <b>Offsets</b>                               |                              |                          |                |                |                     |                             |
| Offsetting receipts                          | (\$23,645)                   | \$ -                     | \$ -           | \$645          | \$645               | (\$23,000)                  |
| Reimbursements                               | (10,080)                     |                          |                | 1,080          | 1,080               | (9,000)                     |
| Center for Audit Excellence                  | (350)                        |                          |                |                |                     | (350)                       |
| <b>Salaries &amp; expenses appropriation</b> | <b>\$531,000</b>             | <b>\$24,789</b>          | <b>\$2,350</b> | <b>\$9,686</b> | <b>\$36,825</b>     | <b>\$567,625</b>            |

## Pay-Related Costs

GAO's fiscal year 2017 budget request includes \$24.8 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                     | \$3,980          |
| 1b. Civilian pay raise                | 9,975            |
| 1c. Performance-based merit increases | 7,290            |
| 1d. Attrition                         | (13,100)         |
| 1e. Hiring                            | 14,040           |
| 1f. Promotions                        | <u>973</u>       |
| Subtotal – salaries and benefits      | \$23,158         |
| 2. Recruitment and retention          |                  |
| 2a. Performance-based merit increases | 1,262            |
| 3. Other compensation                 |                  |
| 3a. Benefits for former personnel     | 5                |
| 3b. Lump sum terminal leave           | 115              |
| 3c. Worker's Compensation             | <u>249</u>       |
| Subtotal – other compensation         | 369              |
| <b>Total pay-related costs</b>        | <b>\$24,789</b>  |

### Explanation of Changes

- 1a. Annualization. Represents the amount needed to maintain the projected onboard staffing level at the start of fiscal year 2017 assuming no other changes in staffing or pay, i.e., to achieve the full-year (annualized) cost of fiscal year 2016 hiring and pay adjustments.
- 1b. Civilian pay raise. Funds the cost of the anticipated January 2017 civilian pay raise at 2.6 percent based on guidance from 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. Performance-based merit increases. Estimate based on prior year data to fund 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. Attrition. Reflects a reduction in salary and benefits costs from the projected retirement or attrition of 170 employees.

- 1e. Hiring. Funds the cost to continue the multiyear strategy to rebuild staff capacity. In fiscal year 2017, GAO plans to hire 300 permanent staff and 200 interns to address succession planning and skill gap needs, and fill critical vacancies.
- 1f. Promotions. Provides funds 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. Performance-based merit increases. Estimate based on prior year data to fund the cost of Performance-Based Compensation for staff who are at the salary caps.
- 3a. Benefits for former personnel. Funds the mandatory increase in pension costs for the former Comptroller General.
- 3b. Lump sum terminal leave. Funds the projected cost associated with lump sum leave payments for separating employees.
- 3c. Worker's Compensation. Funds the projected costs related to workers compensation as provided by the Department of Labor.

### Price Level Changes

GAO's fiscal year 2017 budget request includes an increase of \$2.4 million to cover inflationary cost increases in human capital programs, information technology, building and security services, and administrative operations based on negotiated vendor increases, historical data, and other guidance.

**Table 1b: Supplemental Data on Price Level Costs (dollars in thousands)**

| Program                                | Amount of change |
|--|------------------|
| 1. Transit subsidy                     | 20               |
| 2. Training and development            | 50               |
| 3. Other compensation                  | 25               |
| 4. Travel                              | 50               |
| 5. Information technology              | 1,250            |
| 6. Building and security services      | 800              |
| 7. Administrative and support services | 155              |
| <b>Total price level changes</b>       | <b>\$2,350</b>   |

## Program Changes

GAO's fiscal year 2017 budget request includes a net increase of \$9.7 million in program changes to support human capital programs, enhance GAO's IT infrastructure, and improve security operations.

**Table 1c: Supplemental Data on Program Changes (dollars in thousands)**

| Program                                | Amount of change |
|--|------------------|
| 1. Student loan repayment              | \$ 616           |
| 2. Training and development            | 60               |
| 3. Travel                              | 700              |
| 4. Specialized data                    | 250              |
| 5. Information technology              | 6,200            |
| 6. Building and security services      | 330              |
| 7. Administrative and support services | (195)            |
| 8. Reimbursements and receipts         | 1,725            |
| <b>Total program changes</b>           | <b>\$9,686</b>   |

### Explanation of Changes

1. Student loan repayment. Provides an increase in student loan repayments to support the increase in GAO's staffing level. These funds enable GAO to provide a 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 GAO competes for talent.
2. Training and development. Provides an increase in training funds to support the increase in GAO's staffing level.
3. Travel. Provides an increase in travel funds to support the increase in GAO's staffing level.
4. Specialized data. Represents an increase in specialized data to support the use of more technical expert services.
5. Information technology. Represents the amount needed to support critical initiatives to replace aged, obsolete, technologies and systems and enhance program efficiency, security, staff productivity, and management information.
6. Building and security services. Provides funds to make critical upgrades to GAO's aged, end-of-life integrated electronic security system.
7. Administrative and support services. Reflects a decrease in administrative services contracts.
8. Reimbursements and receipts Provide funds to offset a decrease in the amount of reimbursements and receipts that are available from program and financial audits.

## Schedule A-2

**Government Accountability Office**  
**Resource Summary by Object Classification**  
*(dollars in thousands)*

| Object Classification                             | Fiscal Year<br>2010<br>Actual | Fiscal Year<br>2015<br>Actual | Fiscal Year<br>2016<br>Estimate | Fiscal Year<br>2017<br>Request | Net Change<br>Fiscal Year<br>2016/2017 | Cumulative<br>Change<br>Fiscal Year<br>2016/2017 |
|---|-------------------------------|-------------------------------|---------------------------------|--------------------------------|--|--|
| 11 1 Full-time permanent staff                    | \$334,255                     | \$318,885                     | \$331,332                       | \$347,005                      | 4.7%                                   | 3.8%   |
| 11.3 Other than full-time permanent staff         | 23,588                        | 17,985                        | 16,200                          | 17,750                         | 9.6%                                   | (24.7%)  |
| 11.5 Other personnel compensation                 | 2,694                         | 4,631                         | 2,879                           | 4,166                          | 44.7%                                  | 54.6%  |
| 12.1 Civilian personnel benefits                  | 98,044                        | 104,096                       | 108,955                         | 115,890                        | 6.4%                                   | 18.2%  |
| 13 Benefits for former personnel                  | 410                           | 230                           | 230                             | 235                            | 2.2%                                   | (42.7%)  |
| <b>Total pay-related</b>                          | <b>\$458,991</b>              | <b>\$445,827</b>              | <b>\$459,596</b>                | <b>\$485,046</b>               | <b>5.5%</b>                            | <b>5.7%</b>                                      |
| 21 Travel and transportation of persons           | \$13,826                      | \$8,094                       | \$7,363                         | \$8,113                        | 10.2%                                  | (41.3%)  |
| 22 Transportation of things                       | 22                            | -                             | -                               | -                              | 0.0%                                   | (100.0%)   |
| 23.1 Rental payments to GSA                       | 8,272                         | 6,153                         | 5,995                           | 6,428                          | 7.2%                                   | (22.3%)  |
| 23.2 Rental payments to others                    | 61                            | 12                            | 12                              | 12                             | 0.0%                                   | (80.3%)  |
| 23.3 Communications, utilities, and misc. charges | 9,744                         | 5,508                         | 6,580                           | 8,004                          | 21.6%                                  | (17.9%)  |
| 24 Printing and reproduction                      | 735                           | 137                           | 138                             | 138                            | 0.0%                                   | (81.2%)  |
| 25.1 Advisory and assistance services             | 4,657                         | 3,405                         | 3,660                           | 3,762                          | 2.8%                                   | (19.2%)  |
| 25.2 Other services                               | 24,041                        | 16,748                        | 17,539                          | 18,227                         | 3.9%                                   | (24.2%)  |
| 25.3 Goods and services from government accounts  | 629                           | 804                           | 840                             | 810                            | (3.6%)                                 | 28.8%  |
| 25.4 Operation and maintenance of facilities      | 10,848                        | 9,149                         | 8,834                           | 10,942                         | 23.9%                                  | 0.87%  |
| 25.6 Medical care                                 | 425                           | 425                           | 474                             | 477                            | 0.6%                                   | 12.2%  |
| 25.7 Operation and maintenance of equipment       | 44,509                        | 44,523                        | 39,817                          | 44,823                         | 12.6%                                  | 0.7%   |
| 26 Supplies and materials                         | 1,790                         | 657                           | 752                             | 768                            | 2.1%                                   | (57.1%)  |
| 31 Equipment                                      | 13,706                        | 5,598                         | 9,845                           | 8,728                          | (11.3%)                                | (36.3%)  |
| 32 Land and structures                            | 6,969                         | 2,496                         | 3,596                           | 3,848                          | 7.0%                                   | (44.8%)  |
| 42 Insurance claims and indemnities               | 10                            | 7                             | 34                              | 49                             | 44.1%                                  | 390.0%   |
| <b>Total non-pay related</b>                      | <b>\$140,244</b>              | <b>\$103,716</b>              | <b>\$105,479</b>                | <b>\$115,129</b>               | <b>9.1%</b>                            | <b>(17.9%)</b>                                   |
| <b>Total budget authority</b>                     | <b>\$599,235</b>              | <b>\$549,543</b>              | <b>\$565,075</b>                | <b>\$600,175</b>               | <b>6.2%</b>                            | <b>0.2%</b>                                      |
| Non-legislative branch appropriations             | (\$21,804)                    | \$ -                          | \$ -                            | \$ -                           | \$ -                                   | (100.0%)   |
| Offsetting receipts                               | (10,892)                      | (23,008)                      | (23,645)                        | (23,000)                       | (3%)                                   | 111.2%   |
| Reimbursements                                    | (10,214)                      | (5,018)                       | (10,080)                        | (9,000)                        | (10.7%)                                | (11.9%)  |
| Center for Audit Excellence                       | -                             | -                             | (350)                           | (350)                          | 100.0%                                 | 100.0%   |
| <b>Salaries and expense appropriation</b>         | <b>\$556,325</b>              | <b>\$521,517</b>              | <b>\$531,000</b>                | <b>\$567,825</b>               | <b>6.9%</b>                            | <b>2.1%</b>                                      |

Schedule B-2

**Government Accountability Office**  
**Resource Summary**  
**Analyses of Changes by Object Classification**  
*(dollars in thousands)*

| Object Classification                        | Fiscal Year 2016 Estimate | Fiscal Year 2017 Changes |                |                |                  | Fiscal Year 2017 Request |
|--|---------------------------|--------------------------|----------------|----------------|------------------|--------------------------|
|  |                           | Pay Related              | Price Level    | Program Change | Total Net Change |                          |
| 11.1 Full-time permanent staff               | \$331,332                 | \$15,673                 | \$ -           | \$ -           | \$15,673         | \$347,005                |
| 11.3 Other than full-time permanent staff    | 16,200                    | 1,550                    |                |                | 1,550            | 17,750                   |
| 11.5 Other personnel compensation            | 2,879                     | 1,262                    | 25             |                | 1,287            | 4,166                    |
| 12.1 Civilian personnel benefits             | 108,955                   | 6,299                    | 20             | 616            | 6,935            | 115,890                  |
| 13 Benefits for former personnel             | 230                       | 5                        |                |                | 5                | 235                      |
| <b>Total pay-related</b>                     | <b>\$459,596</b>          | <b>\$24,789</b>          | <b>\$45</b>    | <b>\$616</b>   | <b>\$25,450</b>  | <b>\$485,046</b>         |
| 21 Travel and transportation of persons      | \$7,363                   | \$ -                     | \$50           | \$700          | \$750            | \$8,113                  |
| 23.1 Rental payments to GSA                  | 5,995                     |                          | 433            |                | 433              | 6,428                    |
| 23.2 Rental payments to others               | 12                        |                          |                |                |                  | 12                       |
| 23.3 Comm., utilities, and misc. charges     | 6,580                     |                          | 184            | 1,240          | 1,424            | 8,004                    |
| 24 Printing and reproduction                 | 138                       |                          |                |                |                  | 138                      |
| 25.1 Advisory and assistance services        | 3,660                     |                          | 42             | 60             | 102              | 3,762                    |
| 25.2 Other services                          | 17,539                    |                          | 91             | 597            | 688              | 18,227                   |
| 25.3 Goods and services from gov't accounts  | 840                       |                          |                | (30)           | (30)             | 810                      |
| 25.4 Operation and maintenance of facilities | 8,834                     |                          | 33             | 2,075          | 2,108            | 10,942                   |
| 25.6 Medical care                            | 474                       |                          | 3              |                | 3                | 477                      |
| 25.7 Operation and maintenance of equipment  | 39,817                    |                          | 833            | 4,173          | 5,006            | 44,823                   |
| 26 Supplies and materials                    | 752                       |                          | 16             |                | 16               | 768                      |
| 31 Equipment                                 | 9,845                     |                          | 423            | (1,540)        | (1,117)          | 8,728                    |
| 32 Land and structures                       | 3,596                     |                          | 197            | 55             | 252              | 3,848                    |
| 42 Insurance claims and indemnities          | 34                        |                          |                | 15             | 15               | 49                       |
| <b>Total non-pay-related</b>                 | <b>\$105,479</b>          | <b>\$ -</b>              | <b>\$2,305</b> | <b>\$7,345</b> | <b>\$9,650</b>   | <b>\$115,129</b>         |
| <b>Total budget authority</b>                | <b>\$565,075</b>          | <b>\$24,789</b>          | <b>\$2,350</b> | <b>\$7,961</b> | <b>\$35,100</b>  | <b>\$600,175</b>         |
| Offsetting receipts                          | (\$23,645)                | \$ -                     | \$ -           | \$645          | \$645            | (\$23,000)               |
| Reimbursements                               | (10,080)                  |                          |                | 1,080          | 1,080            | (9,000)                  |
| Center for Audit Excellence                  | (350)                     |                          |                |                |                  | (350)                    |
| <b>Salaries and expense appropriation</b>    | <b>\$531,000</b>          | <b>\$24,789</b>          | <b>\$2,350</b> | <b>\$9,686</b> | <b>\$36,625</b>  | <b>\$567,625</b>         |

Summary Schedules

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## Schedule C

**Government Accountability Office**  
**Detailed Analyses of Changes by Object Classification**  
**Fiscal Year 2016 to 2017**  
*(dollars in thousands)*

|   | FTE          | Amount          |
|---|--------------|-----------------|
| Fiscal year 2016 budget authority                       | 3,005        | \$65,075        |
| Adjustments to base                                     |              |                 |
| A. Pay-related costs                                    |              |                 |
| 1. Full-time permanent staff                            |              | \$15,673        |
| 2. Other than full-time permanent staff                 |              | 1,550           |
| 3. Other personnel compensation                         |              | 1,262           |
| 4. Civilian personnel benefits                          |              | 6,299           |
| 5. Benefits for former personnel                        |              | 5               |
| Subtotal—Pay-related costs                              |              | \$24,789        |
| B. Price level  |              |                 |
| 1. Other personnel compensation                         |              | 25              |
| 2. Civilian personnel benefits                          |              | 20              |
| 3. Travel and transportation of persons                 |              | 50              |
| 4. Rental payments to GSA                               |              | 433             |
| 5. Communications, utilities, and miscellaneous charges |              | 184             |
| 6. Advisory and assistance services                     |              | 42              |
| 7. Other services                                       |              | 91              |
| 8. Operation and maintenance of facilities              |              | 33              |
| 9. Medical care   |              | 3               |
| 10. Operation and maintenance of equipment              |              | 833             |
| 11. Supplies and materials                              |              | 16              |
| 12. Equipment   |              | 423             |
| 13. Land and structures                                 |              | 197             |
| Subtotal—Price level                                    |              | \$2,350         |
| C. Program changes                                      |              |                 |
| 1. Civilian personnel benefits                          |              | 616             |
| 2. Travel and transportation of persons                 |              | 700             |
| 3. Communications, utilities, and miscellaneous charges |              | 1,240           |
| 4. Advisory and assistance services                     |              | 60              |
| 5. Other services                                       |              | 587             |
| 6. Goods and services from gov't accts.                 |              | (30)            |
| 7. Operation and maintenance of facilities              |              | 2,075           |
| 8. Operation and maintenance of equipment               |              | 4,173           |
| 9. Equipment  |              | (1,540)         |
| 10. Land and structures                                 |              | 55              |
| 11. Insurance and claims indemnities                    |              | 15              |
| Subtotal—Program changes                                |              | \$7,981         |
| Total changes to base                                   | 95           | 35,100          |
| <b>Fiscal year 2017 budget authority</b>                | <b>3,100</b> | <b>\$65,175</b> |
| Less:   |              |                 |
| Offsetting receipts                                     |              | (\$23,000)      |
| Reimbursements  |              | (9,000)         |
| Center for Audit Excellence                             |              | (360)           |
| <b>Salaries and expenses appropriation</b>              | <b>3,100</b> | <b>\$65,175</b> |

## Human Capital

GAO's workforce is by far the agency's greatest asset. As a knowledge-based organization, human capital costs represent over 80 percent of our total costs. To continue achieving a high level of performance, it is critical that GAO invest in its employees by providing them with competitive benefits along with the developmental and leadership experiences required for professional growth.

With modern human capital policies, programs, and practices, GAO is recognized as one of the best places to work in the private and public sectors in Washington, D.C., and has successfully attracted and retained a talented, multidisciplinary, diverse, high-performing knowledgeable 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.

The fiscal year 2017 budget will allow GAO to continue its multiyear strategy to replenish its workforce and ultimately achieve an optimal level of 3,250 FTEs. Through this strategy, departing expertise will be replaced, and succession planning

needs will be addressed. Additionally, the strategy will provide the benefits and tools needed to maintain a highly productive workforce.

GAO will continue to meet the highest priority needs of Congress and the nation and produce results that help the federal government address its fiscal and other challenges. Given the size of the federal budget and the multiyear actions needed to address the gravity of the government's fiscal condition, investing resources in GAO is prudent and results in a significant return on investment.

GAO's fiscal year 2017 budget of \$488.5 million for human capital programs provides funds to increase our staffing level by 95 FTEs and provide rewards and recognition to attract and retain a skilled workforce. The proposed funding level represents an increase of 5.5 percent above the fiscal year 2016 funding level.

GAO's human capital costs consist of the following components:

- salaries and benefits,
- recruitment and retention,
- training and development, and
- other compensation.

Table 1 provides a summary of these components which are discussed in the following sections.

**Table 1: Detail Budgetary Resources – Human Capital (dollars in thousands)**

| Program                   | Fiscal Year 2010<br>Actual | Fiscal Year 2015<br>Actual | Fiscal Year 2016<br>Estimate | Fiscal Year 2017<br>Request | Not Change<br>Fiscal Year<br>2016/2017 | Change<br>Fiscal Year<br>2010/2017 |
|---------------------------|----------------------------|----------------------------|------------------------------|-----------------------------|--|------------------------------------|
| Salaries and benefits     | \$445,818                  | \$435,253                  | \$450,762                    | \$473,920                   | 5.1%                                   | 6.3%                               |
| Recruitment and retention | 9,187                      | 7,425                      | 5,448                        | 7,346                       | 34.8%                                  | (20.0%)                            |
| Training and development  | 4,666                      | 3,476                      | 3,500                        | 3,810                       | 3.1%                                   | (22.6%)                            |
| Other compensation        | 3,986                      | 3,149                      | 3,225                        | 3,619                       | 12.2%                                  | (9.0%)                             |
| <b>Total</b>              | <b>\$463,657</b>           | <b>\$449,303</b>           | <b>\$462,935</b>             | <b>\$488,495</b>            | <b>5.5%</b>                            | <b>5.4%</b>                        |

## Staff Capacity

At the end of fiscal year 2015, GAO achieved 2,989 full-time equivalent (FTEs) staff and 3,024 permanent staff onboard. This budget request enables GAO to bolster its staff capacity to 3,100 FTEs in fiscal year 2017 through a robust targeted recruitment program to help address succession planning and fill critical skill gaps which will allow GAO to continue to meet the highest congressional priorities and produce financial benefits. These efforts will help ensure that GAO is able to recruit and retain a talented, diverse workforce.

Based on our model that assesses GAO's staffing profile based on historical data and trends, we project that we will lose about 170 staff in fiscal year 2016 and 2017 to retirement or separation. We have developed a robust hiring strategy for fiscal years 2016 and 2017, which would allow us to fill critical vacancies and hire entry-level

staff and intern positions to help address succession planning needs.

A significant proportion of our employees are currently retirement eligible. By the end of fiscal year 2016, 42 percent of our senior executive staff and 25 percent of our supervisory analysts will be retirement eligible. In fiscal year 2017, GAO plans to fill critical vacancies and continue to replenish the much needed pipeline of entry-level and experienced analysts to meet succession planning and workload challenges, while making progress towards an optimal staffing level of 3,250 FTEs.

The table below summarizes GAO's proposed workforce plan for fiscal years 2016 and 2017 to help us rebuild our staff capacity and address the increasing gaps in our workforce by recruiting and developing the new cadre of analysts that will be needed to replace the high number of senior members of our staff who will be retiring.

**Table 2: Profile of GAO Staff Capacity – Fiscal Years 2010 and 2015-2017**

| Fiscal Year   | Number of Permanent Staff |           |                   | Intermittent Staff |                                     | FTE Usage |
|---------------|---------------------------|-----------|-------------------|--------------------|-------------------------------------|-----------|
|               | New Hires                 | Attrition | Staff at Year End | Interns            | Consultants/Annuitants <sup>a</sup> |           |
| 2010 Baseline |                           |           | 3,350             |                    |                                     | 3,347     |
| 2015 Actual   | +195                      | (182)     | 3,024             | 165                | 12                                  | 2,989     |
| 2016 Estimate | +200                      | (170)     | 3,054             | 140                | 14                                  | 3,005     |
| 2017 Request  | +300                      | (170)     | 3,184             | 200                | 16                                  | 3,100     |

<sup>a</sup> Reflects the full-time equivalent of consultants and annuitants who work intermittently during the year.

**Table 3: Detail Budgetary Resources – Salaries and Benefits (dollars in thousands)**

| Salaries and Benefits                  | Fiscal Year 2010<br>Actual | Fiscal Year 2015<br>Actual | Fiscal Year 2016<br>Estimate | Fiscal Year 2017<br>Request | Net Change<br>Fiscal Year<br>2016/2017 | Change<br>Fiscal Year<br>2010/2017 |
|--|----------------------------|----------------------------|------------------------------|-----------------------------|--|------------------------------------|
| Number of full-time equivalents (FTEs) | 3,347                      | 2,989                      | 3,005                        | 3,100                       | 3.2%                                   | (7.4%)                             |
| Number of staff on board at year end   | 3,350                      | 3,024                      | 3,054                        | 3,184                       | 4.3%                                   | (5.0%)                             |
| <b>Salaries and benefits cost</b>      | <b>\$445,818</b>           | <b>\$435,253</b>           | <b>\$450,762</b>             | <b>\$473,920</b>            | <b>5.1%</b>                            | <b>6.3%</b>                        |

## Salaries and Benefits

The Salaries and Benefits Program includes funding for base salaries and other payments that are part of employees' personal compensation.<sup>3</sup> 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. Table 3 summarizes GAO's staffing profile and related resources.

Salary and benefits costs have been developed based on full-time equivalent staff usage consistent with guidance in OMB Circular A-11, Preparation, Submission, and Execution of the Budget and provided by the Appropriations Committees and the LBFMC.

Estimating salary and benefits costs based on FTE usage projects compensatory time for each employee based on anticipated

hiring and separation dates and conservatively estimates resource needs. Alternatively, we could estimate salary and benefits costs based on the number of staff or positions on board throughout the fiscal year. However, this methodology would significantly overstate our resource needs. For example, GAO would require an additional \$15 million to fund the staffing level of 3,184 projected staff on board for a full year in fiscal year 2017.

<sup>3</sup> 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. In addition, after consulting with Subcommittee leaders, in fiscal year 2014, under the authority of 31 U.S.C. 733, GAO set the salary cap for Managing Directors and senior SES members to the same rate as SES in the Executive Branch, which exceeds the level established for members. The increase is necessary to competitively recruit and retain SES staff.

**Table 4: Summary of Requested Changes (dollars in thousands)**

| Activity                          | Amount          |
|-----------------------------------|-----------------|
| Annualization                     | \$3,980         |
| Civilian pay raise                | 9,975           |
| Performance-based merit increases | 7,290           |
| Hiring                            | 14,040          |
| Attrition                         | (13,100)        |
| Promotions                        | 973             |
| <b>Total</b>                      | <b>\$23,158</b> |

The requested funding increase of about \$23.2 million funds the annualization of fiscal year 2016 workforce activity and pay actions, the anticipated January 2017 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 retirements and attrition, and an amount to promote staff to positions of higher responsibility to maintain the proper mix of skills and meet succession planning needs.

These costs are partially offset by projected reduced costs associated with fiscal year 2017 attrition and leave-without-pay as summarized in Table 4 and discussed below.

#### Annualization

Our budget request includes about \$4.0 million to fund the full-year (annualized) cost of fiscal year 2016 hiring, promotions, and pay adjustments.

#### Civilian pay raise

Our budget request includes \$9.9 million to fund the anticipated January 2017 civilian pay raise of 2.6 percent based on guidance from CBO and the LBFMC. The GAO Act of 2008 requires GAO to provide employees who are meeting expectations an annual increase in base salary that is equal to the

General Schedule increase for their particular locality.

#### Performance-based merit increases

Our budget request includes \$7.3 million to fund the cost of performance-based merit salary increases provided to employees covered under our banded pay systems in lieu of executive-branch within-grade pay increases. Our fiscal year 2017 budget request is based on historical data on the number and 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 an employee whose annual salary is capped and cannot be increased are discussed in the Recruitment and Retention section.

#### Hiring and attrition

Our budget request includes \$14.0 million to recruit entry-level staff and fill critical vacancies. This cost will be nearly fully offset by reductions of \$13.1 million from attrition and retirement of anticipated staff departures. Our fiscal year 2017 workforce plan proposes recruiting 300 permanent staff to replace the 170 staff we expect to lose through retirement and attrition and

rebuild GAO's workforce and backfill staff losses from prior years. New staff will be recruited primarily at entry-level salary rates compared to retirees and attrition, resulting in significant savings. GAO's estimated staff attrition is based on historical trends and key data, such as retirement eligibility.

Planned hiring is essential to help ensure our ability to respond in a timely manner to congressional requests and workload demands, achieve the goals and objectives outlined in our strategic plan, meet succession-planning needs by developing our workforce to replace the knowledge and skills of expected retirements of more senior staff, and maintain the proper mix of skills and experience levels.

GAO will maintain our intern program, which provides an opportunity for both GAO and

interns to assess performance and fit into the GAO workforce. This has been a successful tool for recruiting entry-level staff. Our budget request also includes funds to support the use of reemployed annuitants to train, and mentor staff as we begin to rebuild staff capacity over the next several years.

#### **Promotions**

Our request includes \$973 thousand to fund the cost to competitively promote staff to positions of more responsibility. Our estimate is based on a proposed workforce plan that reflects the number and level of promotions needed to maintain our preferred mix of skills and experience levels as well as meet succession-planning needs.

**Table 5: Detail Budgetary Resources – Recruitment and Retention (dollars in thousands)**

| Recruitment and Retention   | Fiscal Year 2010<br>Actual | Fiscal Year 2015<br>Actual | Fiscal Year 2016<br>Estimate | Fiscal Year 2017<br>Request | Net Change<br>Fiscal Year<br>2016/2017 | Change<br>Fiscal Year<br>2010/2017 |
|-----------------------------|----------------------------|----------------------------|------------------------------|-----------------------------|--|------------------------------------|
| Rewards and recognition     | \$2,245                    | \$1,725                    | \$1,491                      | \$1,816                     | 21.8%                                  | (19.1%)                            |
| Student loan repayment      | 3,136                      | 1,301                      | 884                          | 1,500                       | 69.7%                                  | (52.2%)                            |
| Performance-based merit pay | 1,116                      | 2,584                      | 1,013                        | 1,950                       | 92.5%                                  | 74.7%                              |
| Transit benefit             | 2,690                      | 1,815                      | 2,060                        | 2,080                       | 1.0%                                   | (22.7%)                            |
| <b>Total</b>                | <b>\$9,187</b>             | <b>\$7,425</b>             | <b>\$5,448</b>               | <b>\$7,346</b>              | <b>34.8%</b>                           | <b>(20.0%)</b>                     |

## 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 both attract and retain high-quality staff.

GAO's total compensation structure provides both monetary and nonmonetary benefits to staff. In addition to salary, benefits, and leave, GAO's total compensation package includes options for:

- rewards and recognition,
- student loan repayments
- performance-based merit increases
- transit benefits,
- training and development,
- maxi-flex work schedules,
- telework,
- counseling,
- wellness and fitness center, and
- childcare (limited availability).

Often, external organizations and IG employees target GAO and our talented

employees as a recruitment source. Having retention tools is an important factor in GAO's ability to compete in the marketplace to attract and retain high-performing employees.

GAO's fiscal year 2017 recruitment and retention budget of slightly over \$7 million includes funds to provide recruitment and retention benefits to help ensure the agency's ability to attract and retain staff. The proposed funding level represents an increase of about \$1.9 million from fiscal year 2016, to cover increased staffing levels and help restore parity in programs. The fiscal year 2017 funding level remains 20 percent below our fiscal year 2010 level for these essential programs.

Table 5 provides a summary of our recruitment and retention programs for fiscal years 2015 – 2017 and as compared to our fiscal year 2010 baseline.

### Rewards and Recognition Program

The Rewards and Recognition Program enables GAO to recognize, motivate, and reward employees for their contributions toward achieving GAO's mission to support Congress and the American people. This tool is essential to help motivate and retain the agency's high-performing workforce.

The program includes unit-level, as well as agency wide recognition programs.

Performance-based awards are primarily funded through the performance management system and are included as a component of the salaries and benefits program. Since fiscal year 2010, GAO has drastically reduced funding for the rewards and recognition program due to funding constraints. The fiscal year 2017 funding level for rewards and recognition attempts to close some of the gap, but is still almost 20 percent below the fiscal year 2010 level.

### **Student Loan Repayment Program**

The Student Loan Repayment Program (SLRP) is a benefit available to staff. This program is open to all GAO employees, including those in analyst positions requiring specialized skills necessary for congressional engagements and mission support employees with critical skills.

In fiscal year 2015, there was an increase in the number of applicants from the previous year. We estimate that program participation will increase in fiscal year 2017 given the expected level of eligible new hires in fiscal year 2016. GAO continues to highlight this program and other benefits in its recruitment activities.

### **Performance-based merit pay**

The fiscal year 2017 budget includes \$2.0 million to fund performance-based merit pay provided to staff covered under our banded pay systems 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 increasing base salary, to employees whose salary level is capped. Performance-based merit pay which affects base pay is discussed in the Salaries and Benefits section.

Our estimate is based on historical data on the percentage of staff receiving such increases. Annually, the Comptroller General negotiates with the IFPTE to determine the percent and amount of the increase based on a number of factors, including available funding.

### **Transit Benefit Program**

The Transit Benefit Program established by P.L. 109-59 authorizes Federal agencies to implement a transit benefit program to encourage commuters to use public transportation. Tax-free public transit benefits are provided to almost 1,800 GAO headquarters and field employees.

GAO currently uses the Department of Transportation/TRANServe as a fee-for-service organization to manage and distribute media for GAO's field offices. During fiscal year 2015, DOT/TRANServe successfully completed transitioning all of GAO's field offices from paper media to electronic fare media (debit cards). The debit cards offer enhanced internal controls to preserve the transit benefit by deferring waste, fraud, and abuse.

At headquarters, GAO continues to reduce costs by administering its own Smart Benefits program via Metro's web-based program in lieu of using DOT. This strategy continues to improve program administration, and in fiscal year 2015 saved approximately \$78,000 in administrative fees.

During fiscal year 2016, the maximum transit benefit was increased to \$255 from the previous ceiling of \$130, as authorized in the fiscal year 2016 appropriations bill. In fiscal year 2017 we are projecting that the IRS will institute a small inflationary increase.

**Table 6: Detail Budgetary Resources – Training and Development (dollars in thousands)**

| Training and development | Fiscal Year 2010<br>Actual | Fiscal Year 2015<br>Actual | Fiscal Year 2016<br>Estimate | Fiscal Year 2017<br>Request | Net Change<br>Fiscal Year<br>2016/2017 | Change<br>Fiscal Year<br>2010/2017 |
|--------------------------|----------------------------|----------------------------|------------------------------|-----------------------------|--|------------------------------------|
| Training and development | \$4,666                    | \$3,476                    | \$3,500                      | \$3,610                     | 3.1%                                   | (22.6%)                            |

## Training and Development

The Training and Development Program plays an important role in GAO's ability to attract and retain a highly skilled workforce. The training and development program is critical to ensuring the continued professional development including 80 hours of training in the requirements of the Generally Accepted Government Auditing Standards, also known as the Yellow Book. In addition to external training opportunities, GAO's Learning Center provides training that ensures staff needs at each stage of their career. Drawing on adjunct faculty from across the agency, as well as a few external experts, GAO training strengthens core competencies for staff in all our career categories.

Learning Center training is highly regarded by GAO staff and is frequently on the leading edge of learning delivery. In addition, the Learning Center manages the agency-wide executive candidacy program, leadership development, executive coaching, mentoring, diversity and inclusion, and mandatory training programs and provides guidance and assistance to team and unit-based training events and developmental opportunities. Staff also attends technical training and professional events sponsored by external vendors.

In fiscal year 2015, we:

- Created a 2-year leadership curriculum for newly promoted managers consisting of more targeted courses on performance management, coaching and 360-feedback; opened 12 virtual leadership course to all GAO staff and made the classes available on all mobile devices;
- Sent over 40 Band II and Band III employees senior and supervisory analyst staff to intensive leadership training; and offered two leadership speaker sessions hosted by well-known industry experts on the topics of building a thriving workplace and leading in a virtual environment;
- Provided eight new workshops on giving and receiving performance feedback as refresher training to reinforce good feedback practices into everyday leading;
- Increased the number, quality, and accessibility of training opportunities available to analyst staff, such as offering webinars and on-demand videos on the Updates to GAO's Engagement Process and new Engagement Management System, classroom-based training for all headquarters and field-based staff on Internal Controls, and new web-based training on using federal budget information in GAO engagements;
- Increased the quality of training opportunities available by delivering three new courses addressing emerging needs, such as diversity

training for all employees, as well as revising writing skills courses;

- Supported workplace diversity and inclusion by establishing a diversity and inclusion Community of Practice for leaders and maintaining an active diversity and inclusion Community of Practice for all employees; delivering a course required for all GAO leaders and managers; and providing facilitators to further expand the reach of diversity communications and initiatives; and
- Supported GAO's Financial Literacy Committee efforts by offering timely, relevant financial and retirement planning workshops and webinars for all employees.

Our fiscal year 2017 budget for training and development provides funds to develop new curricula to support an organizational culture of continuous learning and growth; help maintain and expand our leadership pipeline to fulfill succession plans; and provide sufficient training offerings to enable staff to meet CPE requirements and maintain professional certifications.

In fiscal years 2016 and 2017, we plan to:

- Implement the results of the learning needs assessment by updating existing courses and developing new courses and programs, in critical audit curricula areas;
- Implement the results of a strategic assessment of the leadership training and executive development programs with an emphasis on improving opportunities for senior executives and supervisory analysts;
- Champion diversity and inclusion by delivering critical training to GAO leadership on creating and sustaining an inclusive organization;
- Migrate learning content from the physical to the virtual classroom and other alternative delivery methods, including training adjunct faculty to teach virtually to support GAO's increasingly mobile workforce and more efficiently use limited resources; and
- Develop approaches to utilizing our existing technology to enhance the learner's experience and ensure efficient and effective operations.

**Table 7: Detail Budgetary Resources -- Other Compensation (dollars in thousands)**

| Other Compensation    | Fiscal Year 2016<br>Actual | Fiscal Year 2015<br>Actual | Fiscal Year 2016<br>Estimate | Fiscal Year 2017<br>Request | Net Change<br>Fiscal Year<br>2016/2017 | Change<br>Fiscal Year<br>2010/2017 |
|-----------------------|----------------------------|----------------------------|------------------------------|-----------------------------|--|------------------------------------|
| Separation payments   | \$2,291                    | \$2,268                    | \$2,350                      | \$2,470                     | 5.1%                                   | 7.8%                               |
| Workers' compensation | 1,162                      | 560                        | 500                          | 749                         | 49.8%                                  | (35.5%)                            |
| Differential pay      | 449                        | 321                        | 375                          | 400                         | 6.7%                                   | (10.9%)                            |
| Relocations           | 84                         | --                         | --                           | --                          | --                                     | (100%)                             |
| <b>Total</b>          | <b>\$3,986</b>             | <b>\$3,149</b>             | <b>\$3,225</b>               | <b>\$3,619</b>              | <b>12.2%</b>                           | <b>(9.2%)</b>                      |

### 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.

#### Separation Payments

This account provides funds to pay separating employees who leave the federal service or transfer to a non-compatible leave system in the judicial or legislative-branches for unused compensatory time, annual leave, and credit hours; and cover the annuity of a retired Comptroller General.

The requested increase reflects changes in salary rates based on anticipated annual pay increases, promotions, and other salary rate adjustments.

#### Workers' Compensation

This account 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 and partially funded from expired accounts.

#### Differential Pay

This account 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.

## Engagement Support

GAO's Engagement Support Program provides resources for travel and contracting to support the agency's core mission to inform and advise the Congress. Travel is required to conduct research, including first-hand interviews and other domestic and international fieldwork that is a hallmark of GAO's work. GAO also relies on contract services to provide specialized data and expertise not readily available to support audits and evaluations.

GAO's fiscal year 2017 budget includes \$12.3 million for engagement support activities, an 8.9 percent increase over the fiscal year 2016 funding level. The fiscal year 2017 request remains over 27 percent below fiscal year 2010 primarily due to efforts to conserve travel costs.

### Travel

Travel is a vital 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 site visits, both domestic and international, is a fundamental way that GAO delivers value to the Congress. This aspect of the agency's work separates GAO's products from those of other research agencies. Travel, both nationally and internationally, is critical to accomplish GAO's mission.

GAO's fiscal year 2017 travel budget was increased from the fiscal year 2016 funding level to accommodate price level changes and projected increase in staffing. Since fiscal year 2010, GAO has reduced travel costs dramatically by focusing on best practices to ensure the effective use of funds available for mission essential travel and other key initiatives. Management review and analysis, along with the enhanced telework pilot program and desktop video-conference capability have enhanced communication between headquarters and field offices and between GAO and its clients, further reducing the need for travel.

**Table 1: Detail Budgetary Resources – Engagement Support (dollars in thousands)**

| Program                        | Fiscal Year 2010<br>Actual | Fiscal Year 2015<br>Actual | Fiscal Year 2016<br>Estimate | Fiscal Year 2017<br>Request | Net Change<br>Fiscal Year<br>2016/2017 | Change Fiscal<br>Year 2010/2017 |
|--------------------------------|----------------------------|----------------------------|------------------------------|-----------------------------|--|---------------------------------|
| Travel                         | \$13,779                   | \$8,066                    | \$7,250                      | \$8,000                     | 10.3%                                  | (41.9%)                         |
| Specialized data and expertise | 3,018                      | 3,761                      | 4,000                        | 4,250                       | 6.3%                                   | 40.8%                           |
| <b>Total</b>                   | <b>\$16,797</b>            | <b>\$11,827</b>            | <b>\$11,250</b>              | <b>\$12,250</b>             | <b>8.9%</b>                            | <b>(27.1%)</b>                  |

## ***Specialized Data and Expertise***

GAO uses contract services in support of audits and evaluations to obtain specialized data and expertise not readily available internally or when there is a need for expertise within a compressed time frame that precludes the availability of our staff.

GAO's fiscal year 2017 budget includes a modest 6.3 percent increase for specialized data and expertise over the fiscal year 2016 level. Since fiscal year 2010, costs in this area have increased due to the (1) rising cost of specialized data; and (2) increased use of contract expertise, partially due to the lack of available internal expertise as a result of staff reductions.

In fiscal years 2015, GAO purchased data and contracted for specialized expertise to advise or assist in areas such as:

- drug pricing data,
- hospital data,
- housing data,
- transcription services,
- translation and interpreter services, and
- a panel of National Academy of Sciences to advise on cost effectiveness of nuclear cleanup options.

## Infrastructure Operations

GAO's Infrastructure Operations program helps ensure that GAO staff has the tools necessary to perform their mission-critical responsibilities. The Infrastructure Operations program covers:

- information technology;
- building and security services; and
- administrative support services.

In fiscal year 2017, GAO is requesting just under \$99 million to maintain operations, as well as to continue to upgrade aging systems and equipment. These efforts are essential to ensure continued productivity and efficacy, secure both physical and IT assets, and to avoid costly repairs in the near future.

Since fiscal year 2010, due to budgetary constraints, GAO reduced funding for this program by almost 17 percent by streamlining operations and deferring or eliminating all but the most critical investments. This reduction helped GAO to avoid adverse staffing actions.

The infrastructure budget includes funding to upgrade critical outdated GAO systems to enhance security, provide greater usability, and improve efficiency and effectiveness, including the:

- outdated electronic records management system;
- GAO's content development and distribution process;
- telecommunications tools;
- network operations center; and
- electronic security system.

To support continued efforts to reduce costs and improve efficiency, in fiscal year 2015, GAO established a program to develop and maintain a data-driven culture to help manage our operations more effectively. GAO will use performance metrics, analytics, and data-driven reviews to assess program performance against benchmarks and standards to help ensure proper alignment among goals, program activities, and resources, and to enhance accountability and optimize results.

The infrastructure operations components are summarized in Table 1 and discussed in detail below.

**Table 1: Detail Budgetary Resources – Infrastructure Operations (dollars in thousands)**

| Program                         | Fiscal Year 2010<br>Actual | Fiscal Year 2015<br>Actual | Fiscal Year 2016<br>Estimate | Fiscal Year 2017<br>Request | Net Change<br>Fiscal Year<br>2016/2017 | Change Fiscal<br>Year 2010/2017 |
|---------------------------------|----------------------------|----------------------------|------------------------------|-----------------------------|--|---------------------------------|
| Information technology          | \$56,589                   | \$47,602                   | \$48,750                     | \$56,200                    | 15.3%                                  | (0.7%)                          |
| Building and security services  | 41,035                     | 30,154                     | 30,576                       | 31,706                      | 3.7%                                   | (22.7%)                         |
| Administrative support services | 21,157                     | 10,657                     | 11,064                       | 11,024                      | (0.4%)                                 | (47.9%)                         |
| <b>Total</b>                    | <b>\$118,781</b>           | <b>\$88,413</b>            | <b>\$90,390</b>              | <b>\$98,930</b>             | <b>9.4%</b>                            | <b>(16.7%)</b>                  |

## Information Technology

The 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 solutions that support standard and common business approaches to manage engagement work;
- 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 provides funding to support maintenance, operation, and development of GAO's IT needs, including:

- telecommunications,
- software and applications,
- equipment,
- systems operations and maintenance,
- publication and dissemination of GAO products, and
- user support.

GAO's fiscal year 2017 IT budget includes \$56.2 million – an increase of 15.3 percent over the fiscal year 2016 level. This level provides funds needed to maintain support of ongoing IT operations and critical initiatives to enhance program efficiency and protect GAO's IT assets. Our fiscal year 2017 costs remain below the fiscal year 2010 level as a result of streamlining, reduced contractor reliance, and cost reduction efforts.

Since fiscal year 2010, GAO has reduced IT spending as part of our successful efforts to

maintain overall agency staff capacity at a level sufficient to meet the highest priorities of the Congress. However, while our staff capacity is gradually recovering, IT resources to maintain operations and implement new efficiencies have not been keeping pace.

Some critical IT infrastructure and systems has become obsolete or has reached "end of life" and require update. GAO's fiscal year 2017 budget addresses the most immediate of these. The requested funding would allow GAO to pursue a multi-year effort to replace outdated legacy applications with modern flexible management systems. It would also enable us to upgrade GAO's IT infrastructure, software and applications; and ensure staff can access the network from a variety of devices and locations. Strengthening these capabilities will enable a more agile and mobile workforce; increase staff efficiency; improve access to information; and streamline maintenance processes.

In fiscal year 2015, we:

- completed agency-wide deployment of a hosted virtual desktop infrastructure which centralizes software applications at the data center, rather than the desktop; saving GAO significant resources to operate and maintain its infrastructure;
- completed agency-wide deployment of phase I of the new Engagement Management System (EMS), which among other benefits reduces duplicative data entry and costs, and began using it for all new engagements;
- began development of the New Blue system to allow analysts to focus on content directly related to reporting objectives while maximizing agility of GAO to produce multiple product formats for a variety of platforms;
- began development of an electronic filing and document dissemination system that will allow individuals/parties to submit bid

protests online through the GAO website, in support of GAO's statutory authority under the Competition in Contracting Act; and

- established a feed to publish the titles of Sensitive and Classified Reports on GAO's external website ([www.gao.gov](http://www.gao.gov)) in response to a Senate request.

- continue the development of the Business Intelligence reporting tool, which integrates engagement, human capital, and financial data to support analysis and decisions to improve our operations and performance; and
- deploy the newly developed electronic filing and document dissemination system.

The information technology program is summarized in Table 2 below.

In fiscal year 2017, we are seeking funds to continue modernizing outdated legacy tools and systems, including:

In fiscal year 2016 GAO plans to continue multiple projects begun in fiscal year 2015, including building out the capabilities of EMS and New Blue. In addition we plan other improvements to protect GAO's IT assets from external threats, further streamline business operations, and increase operational efficiency. For instance, in fiscal year 2016 we plan to:

- replace obsolete software and hardware in our network operations center and alternative computing facility that will provide greater security and efficiency as well as mitigate potential work interruptions;

- the electronic document management system;
- the content development and distribution system, New Blue;
- the telecommunications tools used to provide voice and data communications; and
- data management and security for the network operations center to ensure a more robust environment to support GAO's current needs.

**Table 2: Detail Budgetary Resources – Information Technology (dollars in thousands)**

| Program                | Fiscal Year 2010 Actual | Fiscal Year 2015 Actual | Fiscal Year 2016 Estimate | Fiscal Year 2017 Request | Net Change Fiscal Year 2016/2017 | Change Fiscal Year 2016/2017 |
|------------------------|-------------------------|-------------------------|---------------------------|--------------------------|----------------------------------|------------------------------|
| Information technology | \$56,589                | \$47,602                | \$48,750                  | \$56,200                 | 15.3%                            | (0.7%)                       |

## **Building and Security Services**

GAO's building and security services program includes funds to support the management of GAO-owned and leased facilities as well as the safety and security of occupants and visitors.

Since fiscal year 2010, GAO has aggressively reduced building and security costs. The fiscal year 2017 funding level for these programs represents a 3.7 percent increase above the fiscal year 2016 level.

This increase supports inflationary increases in ongoing operations and provides funds to upgrade outdated components of our security system.

### **Facility Management and Services**

GAO operates and maintains the 2-million square foot headquarters building through a commercial facilities management contract, and manages space for GAO's 11 field offices. The headquarters building provides work space for approximately 4,200 staff from GAO, the U.S. Corps of Engineers, and a component of the Department of Justice.

Since fiscal year 2010, GAO has reduced funding for our facility management and services program by \$7.5 million or 22.8 percent through reducing our reliance on contractors and implementing other cost saving measures.

In fiscal year 2015, GAO:

- decreased rent costs by about \$800,000 from fiscal year 2014. Rent and security costs were over \$2.6 million less in fiscal year 2015 versus our baseline in fiscal year 2012;
- initiated a space study at headquarters to identify options for GAO office consolidation and for potential leasing opportunities to other federal agencies; and

- eliminated commercial vehicle leases for GAO by leasing all vehicles through GSA at reduced costs.

In fiscal years 2016 and 2017, GAO plans to:

- continue addressing priority items identified in the asset management plan for critical repairs;
- complete assessment of opportunities to consolidate space in headquarters in order to maximize efficiency and identify available space which could be leased to generate additional revenue; and
- expand and reconfigure existing headquarters secure space in order to increase space for secure meetings and future classified processing capability.

### **Security and Emergency Management**

The Security and Emergency Management Program is a comprehensive and coordinated agency-wide effort that addresses efforts to mitigate risk to our employees and facilities. It encompasses four areas:

- **Personnel Security**, which ensures that all covered persons meet personnel security standards commensurate with the risk and sensitivity levels of their respective positions and associated duties;
- **Information Security**, which provides cost-effective protections for information and information systems that support GAO's operations and assets from unauthorized access, use, disclosure, disruption, modification, or destruction;
- **Protection Services**, which physically safeguards GAO's personnel and property; and

- Emergency Management, which maintains plans and procedures to effectively mitigate, prepare for, respond to, and recover from any threats that may compromise a safe work environment.

to instantly and remotely lock the outside access doors to the headquarters building if required during an immediate threat or natural disaster.

In fiscal year 2015, GAO:

- executed the Joint Congressional Relocation and Support Exercise;
- completed annual visits to 11 field offices, ensuring compliance with all security regulations and policies for each office;
- conducted emergency management assistance visits for 8 field offices to refine occupant emergency plans in accordance with applicable federal guidance to enhance a safe and secure work environment; and
- completed the G and H Street lobby lockdown project, which allows GAO

In fiscal year 2017, GAO plans to:

- upgrade the Integrated Electronic Security System as it nears the end of its life cycle to comply with updated federal requirements;
- conduct a vulnerability assessment of the headquarters building;
- update the agency's Continuity of Operations Plan;
- provide enhanced emergency management training to all staff and; continue annual evacuation and shelter-in-place exercises; and
- plan and conduct active shooter exercises for the headquarters building and 11 field offices.

**Table 3: Detail Budgetary Resources – Building and Security Services (dollars in thousands)**

| Program                          | Fiscal Year 2010<br>Actual | Fiscal Year 2015<br>Actual | Fiscal Year 2016<br>Estimate | Fiscal Year 2017<br>Request | Net Change<br>Fiscal Year<br>2016/2017 | Change Fiscal<br>Year 2010/2017 |
|----------------------------------|----------------------------|----------------------------|------------------------------|-----------------------------|--|---------------------------------|
| Facility management and services | \$33,025                   | \$21,994                   | \$22,505                     | \$23,100                    | 2.6%                                   | (30.1%)                         |
| Security                         | 8,010                      | 8,160                      | 8,071                        | 8,606                       | 6.6%                                   | 7.44%                           |
| <b>Total</b>                     | <b>\$41,035</b>            | <b>\$30,154</b>            | <b>\$30,576</b>              | <b>\$31,706</b>             | <b>4.7%</b>                            | <b>(22.7%)</b>                  |

## **Administrative Support Services**

The Administrative Services Program includes costs for financial management activities and systems, human capital operations, library services, and miscellaneous support services.

Since fiscal year 2010, GAO has reduced these costs by nearly 48 percent.

### **Financial Management Services**

In fiscal year 2017, GAO will continue to utilize the Department of Transportation's (DOT) Enterprise Services Center (ESC) as part of an integrated approach of using a Shared Service Center to provide financial management systems and services.

We will assess other areas to assess their feasibility including:

- the use of shared services is appropriate to maximize economies of scale;
- the refinement of financial management processes including the e-Gov Travel System (eTS2) with enhancements such as Split Pay and pre-audit; and
- the exploration of moving some operations to the Legislative Branch Financial Management Center.

### **Human Capital Operations**

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.

### **Library Services**

The Library Services Program supports the research and information needs of GAO, primarily in the form of access to a wide variety of electronic databases used to

support GAO engagements and statutory requirements.

Library Services utilizes the Library of Congress FEDLINK program whenever possible in order to take advantage of contract pricing negotiated for all Federal agencies. The library routinely evaluates the continued need for resources, cancelling subscriptions when they are no longer required for engagement work.

As a cost saving measure and in order to maintain a limited onsite collection of print materials, library services borrows materials from other libraries and institutions, rather than purchasing them for GAO collections. The primary outcome of these efforts is evidenced in annual budget requests with only slight increases since the increased costs associated with database subscriptions have been offset by reductions in other types of purchases or subscription cancellations.

### **Records and Privacy**

Agencies are currently required to examine and evaluate how they manage records and all content in order to meet the business needs of their organizations, to take adequate measures to do so responsibly with minimal risk, and to provide accountability and transparency to the American public.

The GAO Records Program assists its customers with the consistent and methodical management and disposition of all engagement and other business-related paper and electronic records in all formats and in all media using the GAO Records Retention Schedule. Our Privacy Program develops protections for personally identifiable information (PII) under the authority or control of GAO and its systems.

The program includes oversight of implementation of the GAO Personnel Privacy Rule and the GAO Fair Information Practice Principles (FIPPs) and works to assist its clients with their privacy-related information needs. R&P also works with ISTS and

Security and Emergency Management to mitigate risk from any privacy breaches.

of and provide guidance for records and privacy issues.

In fiscal year 2015, GAO:

In fiscal year 2017, GAO plans to:

- revised and updated privacy impact assessments and privacy threshold analyses for GAO systems;
- began disposing records in business systems outside of DM that used PII; and
- engaged in a number of customer service outreach projects to increase awareness

- continue its annual disposal of administrative and engagement records for relevant engagement and business documents; and
- complete the privacy program action items identified in the NIST 800-53 privacy program risk assessment.

**Table 4: Detail Budgetary Resources – Administrative Support Services (dollars in thousands)**

| Program                         | Fiscal Year 2010 Actual | Fiscal Year 2015 Actual | Fiscal Year 2016 Estimate | Fiscal Year 2017 Request | Net Change Fiscal Year 2016/2017 | Change Fiscal Year 2010/2017 |
|---------------------------------|-------------------------|-------------------------|---------------------------|--------------------------|----------------------------------|------------------------------|
| Administrative support services | \$21,157                | \$10,657                | \$11,064                  | \$11,024                 | (0.4%)                           | (47.9%)                      |

# Fiscal Year 2017 Performance Plan

## *GAO Supports Congressional Decision- making, Conserves Resources, and Helps Improve Government*

The Government Accountability Office (GAO) is the audit, evaluation, and investigative arm of the Congress. We exist to support Congress in meeting its constitutional responsibilities and to improve the performance and enhance the 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. GPRA requires that 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 2017 budget request constitutes our performance plan.

GAO is unique in its audit and evaluation capacity to support Congress by performing original research; providing technical assistance; and conducting analyses to help 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.

GAO demonstrated its core values of accountability, integrity, and reliability, by providing high-quality, high-value, and independent support to 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; congressional demand for GAO products and services remains high. During fiscal year 2015, we received requests for work from 97 percent of the standing committees of the Congress and about 66 percent of their subcommittees.

GAO continues to be one of the best investments in the federal government. In fiscal year 2015, GAO’s work yielded significant results across the government, including a record high of \$74.7 billion in financial benefits, a return of about \$134 for every dollar invested in GAO, and more than 1,286 other program and operational benefits that helped to change laws, improve services to the public, and promote sound management throughout government. An estimated 80 percent of GAO’s recommendations have been implemented over a four year period. Additional information on GAO’s performance and accomplishments can be found in our Performance and Accountability Report Fiscal Year 2015.<sup>1</sup>

In addition, GAO issue-area experts testified 109 times before 63 separate committees or subcommittees that touched virtually all major federal agencies on a wide range of issues, such as information security risks facing federal agencies, the timeliness of disaster assistance for small businesses, major challenges for the Medicaid Program, electromagnetic threats to the electric grid, improper payments government-wide, and integration of unmanned aerial systems into the National Airspace System.

A list of selected testimony topics presented by GAO in fiscal year 2015 is included in Table 1.

<sup>1</sup> <http://www.gao.gov/assets/680/673653.pdf>.

Table 1: Selected Testimony Topics – Fiscal Year 2015

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**Goal 1: Address Current and Emerging Challenges to the Well-being and Financial Security of the American People**


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|---|---|
| • Indian Education Management Challenges  | • Managing Federal Real Property  |
| • Rural Housing Service: Managing Loan Risks                                    | • Improving Oversight of Motor Carrier Safety                               |
| • Railroad Retirement Board: Reducing Fraud and Improper Payments               | • Public Safety Communications: Establishing a Nationwide Broadband Network |
| • VA Health Care: Monitoring of Antidepressant Use and Accuracy of Suicide Data | • Extending Federal Funding for Children's Health Insurance                 |
| • Management Challenges Facing the National Nuclear Security Administration     |   |
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**Goal 2: Respond to Changing Security Threats and the Challenges of Global Interdependence**


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|---|--|
| • DOD Support of Civil Authorities  | • Improving Oversight of VA Contracting                              |
| • Nuclear Nonproliferation: Minimizing Reporting Delays That May Affect Trade Sanctions | • Observations on the State Department's Bureau of Counterterrorism  |
| • Defense Acquisitions: F-35 Joint Strike Fighter Program Progress                      | • International Space Station: Utilization and Cost-effectiveness    |
| • Afghanistan: Embassy Construction Faces Cost Increases and Schedule Delays            | • Improving Oversight of IT Acquisitions                             |
| • Addressing IT Cyber Threats and Security Breaches at Federal Agencies                 | • Enhancing National Capacity for Bio surveillance                   |
| • Strengthening Oversight for International Cash-Based Food Assistance                  | • Border Security: Monitoring High-Risk Travelers and Maritime Cargo |
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**Goal 3: Help Transform the Federal Government to Address National Challenges**


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|--|--|
| • DATA Act Implementation Challenges                                   | • Federal Retirement System IT Modernization                           |
| • Need to Reduce Government-wide Improper Payments                     | • Cybersecurity Challenges Facing Federal Systems                      |
| • Reducing Fragmentation, Overlap, and Duplication in Federal Programs | • Homeland Security Acquisitions: Gaps in Oversight and Information    |
| • Patient Protection and Affordable Care Act Enrollment Controls       | • Using Security Clearances Process to Aid Federal Tax-Debt Collection |
| • Improving Medicaid's Fraud Controls                                  | • Addressing Biosafety Lapses in High Containment Laboratories         |
| • High-Risk Update: Fiscal Year 2015                                   | • Environmental Satellites: Addressing Potential Gaps                  |
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## **GAO Services Integral to Congressional Priorities**

GAO's continued high performance is evidence of the critical role it plays in helping Congress and the American people better understand important emerging issues. GAO issues hundreds of products annually in response to congressional requests and mandates covering all aspects of the federal government's operations including Veterans Affairs health care, defense acquisitions, border security, cybersecurity, and the Patient Protection and Affordable Care Act.

In April 2015, we issued our fifth report (GAO-15-404SP) in response to a statutory provision that requires GAO to identify federal programs, agencies, offices, and initiatives that have duplicative goals or activities and report annually to the Congress on our findings, as well as actions that can be taken to reduce such duplication. Given the current fiscal condition, we also identify additional opportunities to achieve greater efficiency and effectiveness by means of cost savings or enhanced revenue collection.

Our 2015 annual duplication report identifies 66 new actions that executive branch agencies and the Congress could take to improve the efficiency and effectiveness of 24 areas of government. For example, GAO suggests that the Congress repeal the statutorily required US Family Health Plan—a decades-old component of the Department of Defense's (DOD) Military Health System—because it duplicates the efforts of DOD's managed care support contractors by providing the same benefit to military beneficiaries. GAO also identifies 12 areas where opportunities exist either to reduce the cost of government operations or enhance revenue collections. For example, GAO suggests that the Congress update the way Medicare has paid certain cancer hospitals since 1983, which could save about \$500 million per year.

In addition to identifying new areas, we continued to monitor the progress the Congress and executive branch agencies have made in addressing issues we previously identified. As we reported in April 2015, the Congress and executive branch agencies have addressed or partially addressed 76 percent of approximately 440 areas we identified in our first four reports.

We estimate that congressional and executive branch efforts to address these actions over the past four years have resulted in over \$20 billion in cost savings, with \$80 billion more in cost savings anticipated in future years. Policymakers and the public can track the status of congressional and executive branch efforts to address the issues we have previously identified on GAO's Action Tracker located on our website under the "Duplication and Cost Savings" collection.

Addressing such issues will require continued executive branch agency attention and targeted congressional oversight. In many cases, executive branch agencies have the authority to address the actions that GAO identified. In other cases, such as those involving the elimination or consolidation of programs, Congress will need to take legislative action.

Moreover, sustained congressional oversight will be needed in concert with the administration's efforts to address the identified actions by improving planning, measuring performance, and increasing collaboration. Effective implementation of the GPRA Modernization Act of 2010 also could help the executive branch and Congress as they work to address these issues over time.

### ***GAO's High-Risk List***

GAO's biennial High-Risk Series identifies opportunities for cost savings and improvements in federal programs 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 2015, GAO issued 162 reports, delivered 32 testimonies to the Congress, and prepared numerous other products, such as briefings and presentations, related to the High-Risk Series. In addition, GAO documented \$17.0 billion in financial benefits and 435 program and operational benefits related to high-risk areas. Table 2 shows GAO's current High-Risk List. The next update is due to be issued in February 2017.

Table 2: GAO's High-Risk List as of September 30, 2015

| High-risk area   | Year Designated |
|--|-----------------|
| <b>Strengthening the Foundation for Efficiency and Effectiveness</b>   |                 |
| Improving the Management of IT Acquisitions and Operations ( <i>new</i> )  | 2015            |
| Limiting the Federal Government's Fiscal Exposure by Better Managing Climate Change Risks  | 2013            |
| Management of Federal Oil and Gas Resources  | 2011            |
| Modernizing the U.S. Financial Regulatory System and the Federal Role in Housing Finance   | 2009            |
| Restructuring the U.S. Postal Service to Achieve Sustainable Financial Viability   | 2009            |
| • Funding the Nation's Surface Transportation System   | 2007            |
| Managing Federal Real Property   | 2003            |
| • Strategic Human Capital Management   | 2001            |
| <b>Transforming DOD Program Management</b>   |                 |
| • DOD Approach to Business Transformation  | 2005            |
| DOD Support Infrastructure Management  | 1997            |
| DOD Business Systems Modernization   | 1995            |
| • DOD Financial Management   | 1995            |
| • DOD Supply Chain Management  | 1990            |
| • DOD Weapon Systems Acquisition   | 1990            |
| <b>Ensuring Public Safety and Security</b>   |                 |
| • Mitigating Gaps in Weather Satellite Data  | 2013            |
| • Protecting Public Health through Enhanced Oversight of Medical Products  | 2009            |
| • Transforming EPA's Processes for Assessing and Controlling Toxic Chemicals   | 2009            |
| • Ensuring the Effective Protection of Technologies Critical to U.S. National Security Interests   | 2007            |
| • Improving Federal Oversight of Food Safety   | 2007            |
| Establishing Effective Mechanisms for Sharing and Managing Terrorism-related Information to Protect the Homeland   | 2005            |
| • Strengthening Department of Homeland Security Management Functions   | 2003            |
| • Ensuring the Security of Federal Information Systems and Cyber Critical Infrastructure and Protecting the Privacy of Personally Identifiable Information | 1997            |
| <b>Managing Federal Contracting More Effectively</b>   |                 |
| DOD Contract Management  | 1992            |
| DOE's Contract Management for the National Nuclear Security Administration and Office of Environmental Management  | 1990            |
| • NASA Acquisition Management  | 1990            |
| <b>Assessing the Efficiency and Effectiveness of Tax Law Administration</b>  |                 |
| • Enforcement of Tax Laws  | 1990            |
| <b>Modernizing and Safeguarding Insurance and Benefit Programs</b>   |                 |
| • Managing Risks and Improving VA Health Care ( <i>new</i> )   | 2015            |
| National Flood Insurance Program   | 2006            |
| • Improving and Modernizing Federal Disability Programs  | 2003            |
| • Pension Benefit Guaranty Corporation Insurance Programs  | 2003            |
| Medicaid Program   | 2003            |
| • Medicare Program   | 1990            |

## **GAO Seeks to Rebuild Staff Capacity and Make Critical Infrastructure Investments**

A talented, diverse, high-performing, and knowledgeable workforce is essential in fulfilling GAO's mission in supporting Congress. As a knowledge-based organization, GAO must attract and retain top talent in an increasingly competitive job market.

Through recruiting efforts and our intern program, GAO was able to fill some entry level positions and address critical skills gaps by bringing on 195 new staff in fiscal year 2015. GAO used 2,989 full-time equivalent (FTE) staff in fiscal year 2015. Recruitment will continue to focus on building our entry level capacity, and address senior level succession planning challenges, as well as skill gap requirements. We also plan to continue and bolster our intern program.

GAO is requesting an appropriation of \$567.8 million in fiscal year 2017, an increase of \$36.8 million or 6.9 percent over the fiscal year 2016 appropriation of \$531.0 million. The requested funding will allow GAO to increase its staffing level to 3,100 FTEs, and continue critical improvements in infrastructure operations. GAO's total costs will be offset by \$32.4 million in receipts from rental income, reimbursements from program and financial audits, and bid protest user fees.

As with any knowledge-based organization whose greatest asset is its people, succession planning at GAO remains a critical issue. GAO continues to have a significant proportion of its employees who are, or will be retirement eligible, including 42 percent of senior executive staff and 25 percent of supervisory analysts eligible by the end of fiscal year 2016. Without sustained, predictable annual budgetary increases, GAO risks being unable to backfill these critical leadership positions

and maintain a sufficient staff capacity to meet the highest Congressional priorities.

Since fiscal year 2010, GAO has been actively working to streamline our operations and explore opportunities to enhance workforce and budget flexibilities, increase our effectiveness and efficiency, and further reduce operating costs. As a result, GAO reduced engagement and infrastructure support costs by about 27 percent and 17 percent, respectively.

GAO has streamlined and released about 49,000 square feet of headquarters office space to a tenant and generated about \$2 million in annual rental income. Also, GAO saved almost \$2 million in rent and other costs and avoided \$7.7 million by enhancing its telework program in our field locations to include workspace sharing and hoteling to help reduce the need for office space. GAO continues to explore options to further streamline space utilization in headquarters office space to reduce operating costs and identify space which could be leased to a future tenant. GAO is also undertaking a full scale review of its building and security offices to see if additional efficiencies are available that may further reduce infrastructure and operating costs.

In fiscal year 2015 GAO established a program to develop and maintain a data-driven culture to help manage our operations more effectively. In keeping with the spirit of the GPRA Modernization Act of 2010, GAO will use performance metrics, analytics, and data-driven reviews to assess program performance against benchmarks and standards to help ensure proper alignment among goals, program activities, and resources.

Collectively, these actions will help ensure that GAO has the capacity to provide accurate, objective, nonpartisan, and constructive information to Congress to help it conduct effective oversight, produce results for the American people, and help enable us to meet the performance goals

outlined in our strategic plan through fiscal year 2016.

A summary of GAO's funding sources is shown in Table 3.

**Table 3: Summary of Resources (dollars in thousands)**

| Funding Source                           | Fiscal Year 2010<br>Actual |                  | Fiscal Year 2015<br>Actual |                  | Fiscal Year 2016<br>Estimate |                  | Fiscal Year 2017<br>Request |                  |
|--|----------------------------|------------------|----------------------------|------------------|------------------------------|------------------|-----------------------------|------------------|
|  | FTE                        | Amount           | FTE                        | Amount           | FTE                          | Amount           | FTE                         | Amount           |
| Salaries and Expenses Appropriation      |                            | \$556,325        |                            | \$521,517        |                              | \$531,000        |                             | \$567,325        |
| Non-legislative-branch appropriation     |                            | 21,804           |                            | —                |                              | —                |                             | —                |
| Offsetting receipts <sup>a</sup>         |                            | 10,892           |                            | 23,008           |                              | 23,645           |                             | 23,000           |
| Reimbursements <sup>b</sup>              |                            | 10,214           |                            | 5,018            |                              | 10,080           |                             | 9,000            |
| Center for Audit Excellence <sup>c</sup> |                            | —                |                            | —                |                              | 350              |                             | 350              |
| <b>Total budget authority</b>            | <b>3,347</b>               | <b>\$599,235</b> | <b>2,985</b>               | <b>\$549,543</b> | <b>3,005</b>                 | <b>\$595,075</b> | <b>3,106</b>                | <b>\$600,175</b> |

<sup>a</sup> Estimated receipts 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 reimbursement of GAO's costs incurred in conducting financial audits of the Federal Deposit Insurance Corporation, Internal Revenue Service, Schedule of Federal Debt, and Securities and Exchange Commission (SEC).

<sup>b</sup> Estimated reimbursements of GAO's costs incurred in conducting mandated program and financial audits of the Federal Housing Finance Agency, Consumer Financial Protection Bureau, SEC, Troubled Asset Relief Program, operation of the Federal Accounting Standards Advisory Board, and collection of bid protest system user fees.

<sup>c</sup> The Consolidated and Further Continuing Appropriations Act, 2015, enacted in December 2014, directed GAO to establish a Center for Audit Excellence to build institutional auditing capacity and promote good governance by providing training and assistance to qualified personnel and entities, and authorized GAO to charge fees for the Center's products and services.

## **The Strategic Plan Illustrates the Wide Array of Issues That GAO Covers**

GAO's strategic plan for fiscal years 2014-2019<sup>1</sup> reflects the wide array of national and international issues that GAO covers in its mission to support Congress.

We conduct specific engagements as a result of requests from congressional committees and mandates written into legislation, resolutions, and committee reports. In fiscal year 2015, 95 percent of our engagement resources were devoted to work requested or mandated by the Congress. The remaining 5 percent of the engagement resources were devoted to work initiated under the Comptroller General's authority. Much of the work initiated under the CG's authority addressed various challenges that are of broad-based interest to the Congress.

Our reviews of government programs and operations have identified those programs that are at high risk for fraud, waste, abuse, and mismanagement as well as reviews of agencies' budget requests helps us support congressional decision making.

To fulfill its mission, GAO organizes and manages its resources to support four broad strategic goals. GAO's audit, evaluation, and investigative work are 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 the challenges of 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 internal efficiency, effectiveness, quality, institutional

stewardship, and resource management. Figure 1 illustrates GAO's strategic planning hierarchy.

The list of GAO's four strategic goals and the related strategic objectives follows:

### **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
- Supporting the Financial Security and Well-being of an Aging Population
- A Responsive, Fair, and Effective System of Justice
- Housing Finance and Viable Communities
- A Stable Financial System and Sufficient Consumer Protection
- Responsible Stewardship of Natural Resources and the Environment
- A Viable, Safe, Secure, and Accessible National Physical Infrastructure

### **Goal 2: Respond to Changing Security Threats and the Challenges of Global Interdependence**

- Protect and Serve the Homeland from Threats and Disasters
- Effectively and Efficiently Utilize Resources for Military Capabilities and Readiness
- Advance and Protect U.S. Foreign Policy Interests and International Economic Interests

<sup>1</sup> The complete set of GAO's strategic planning and performance and accountability reports is available online at <http://www.gao.gov/sp.html>.

**Goal 3: *Help Transform the Federal Government to Address National Challenges***

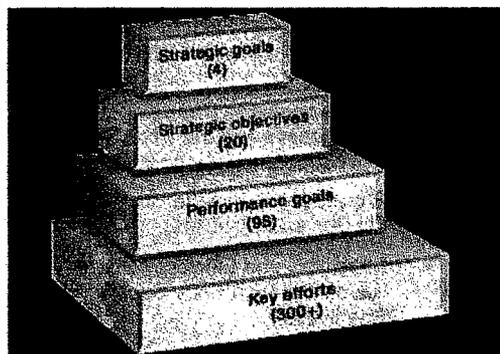
- Analyze the Government's Fiscal Condition and Opportunities to Strengthen Approaches to Address the Current and Projected Fiscal Gaps
- Support Government Accountability by Identifying Fraud, Waste, and Abuse, and Needed Improvements in Internal Controls
- Support Congressional Oversight of Crosscutting Issues and Major Management Challenges and Program Risks
- Establish and Maintain Government Auditing Standards and Standards for Internal Control in the Federal Government.

**Goal 4: *Maximize the Value of GAO by Enabling Quality, Timely Service to 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 Strategically Targeted Recruiting, Hiring, Development, Reward, and Retention 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 1: GAO's Strategic Planning Hierarchy

Each strategic goal is composed of strategic objectives, for which there are specific strategies (performance goals). Each performance goal has a set of key efforts. The figure below illustrates this hierarchy and the text box on the right provides an example of the structure of a GAO strategic goal. 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 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.

Source: GAO

Also, an agency-wide summary of annual performance measures and targets for fiscal years 2012-2017 is included in Table 4.

**Table 4: Agency-wide Summary of Annual Measures and Targets**

| Performance measure                                | 2012<br>Actual   | 2013<br>Actual | 2014<br>Actual | 2015<br>Actual | 2016<br>Target | 2017<br>Target |
|--|------------------|----------------|----------------|----------------|----------------|----------------|
| <b>Results</b>                                     |                  |                |                |                |                |                |
| Financial benefits ( <i>dollars in billions</i> )  | \$55.8           | \$51.5         | \$54.4         | \$74.7         | \$50.0         | \$50.0         |
| Program and Operational benefits                   | 1,440            | 1,314          | 1,288          | 1,286          | 1,200          | 1,200          |
| Past recommendations implemented                   | 80%              | 79%            | 78%            | 79%            | 80%            | 80%            |
| New products with recommendations                  | 67%              | 63%            | 64%            | 66%            | 60%            | 60%            |
| <b>Client</b>                                      |                  |                |                |                |                |                |
| Testimonies  | 159              | 114            | 129            | 109            | 120            | 120            |
| Timeliness <sup>a</sup>                            | 95%              | 94%            | 95%            | 98%            | 90%            | 90%            |
| <b>People</b>                                      |                  |                |                |                |                |                |
| New hire rate                                      | 76%              | 66%            | 88%            | 83%            | 80%            | 80%            |
| Retention rate                                     |                  |                |                |                |                |                |
| With retirements                                   | 93%              | 93%            | 94%            | 94%            | 92%            | 92%            |
| Without retirements                                | 96%              | 96%            | 97%            | 96%            | 96%            | 96%            |
| Staff development <sup>b</sup>                     | 80%              | 80%            | 83%            | 84%            | 80%            | 80%            |
| Staff utilization <sup>b,c</sup>                   | 76%              | 75%            | 77%            | 79%            | 76%            | 76%            |
| Effective leadership by supervisors <sup>b,d</sup> | 82%              | 83%            | 83%            | 83%            | 82%            | 82%            |
| Organizational climate <sup>d</sup>                | 78%              | 77%            | 79%            | 80%            | 76%            | 76%            |
| <b>Internal operations<sup>e</sup></b>             |                  |                |                |                |                |                |
| Help to get job done                               | N/A <sup>f</sup> | 82%            | N/A            | N/A            | 80%            | 80%            |
| Quality of work life                               | N/A <sup>f</sup> | 78%            | N/A            | N/A            | 80%            | 80%            |
| IT Tools <sup>g</sup>                              | N/A              | 68%            | N/A            | N/A            | 80%            | 80%            |

Source: GAO.

<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 not used.

<sup>f</sup> The agency-wide employee feedback survey was not conducted in fiscal year 2012.

<sup>g</sup> For 2013, GAO created a new IT Tools performance measure to better measure and track satisfaction with GAO's IT services. In prior year surveys, IT services were covered under one of the other performance measures.

## 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 our

fiscal year 2010 baseline and fiscal years 2015 – 2017. Fiscal year 2010 is used as a baseline as it represents a high-water mark for GAO in terms of FTEs and appropriated funds.

**Table 5: Strategic Goal Resource Allocation (dollars in millions)**

| Strategic Goal  | Fiscal Year 2010 Actual |              | Fiscal Year 2015 Actual |              | Fiscal Year 2016 Estimate |              | Fiscal Year 2017 Request |              |
|---|-------------------------|--------------|-------------------------|--------------|---------------------------|--------------|--------------------------|--------------|
|   | 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                   | \$207        | 1,143                   | \$211        | 1,152                     | \$211        | 1,187                    | \$225        |
| <b>Goal 2</b><br>Respond to changing security threats and the challenges of global interdependence                                      | 877                     | 171          | 799                     | 143          | 802                       | 125          | 828                      | 134          |
| <b>Goal 3</b><br>Help transform the federal government to address national challenges   | 1,166                   | 195          | 752                     | 153          | 754                       | 175          | 778                      | 184          |
| <b>Goal 4</b><br>Maximize the value of GAO by enabling quality, timely service to Congress and being a leading practices federal agency | 116                     | 26           | 80                      | 14           | 81                        | 14           | 84                       | 14           |
| <b>Direct Congressional Support<sup>a</sup></b>   | –                       | –            | 215                     | 29           | 216                       | 40           | 223                      | 43           |
| <b>Total budgetary resources</b>  | <b>3,347</b>            | <b>\$609</b> | <b>2,989</b>            | <b>\$560</b> | <b>3,005</b>              | <b>\$565</b> | <b>3,100</b>             | <b>\$608</b> |

Source: GAO.

<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

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 online at <http://www.gao.gov/about/stratplanning.html>. Specifically, for Goals 1, 2, and 3—the external goals—GAO presents performance results for the three annual measures assessed at the goal level.

### Goal 1

GAO's first strategic goal upholds GAO's mission to support Congress in carrying out its constitutional responsibilities by focusing on work that helps *address the current and*

| <b>Primary GAO Teams Contributing to Goal 1</b> |
|---|
| Education, Workforce, and Income Security       |
| Financial Markets and Community Investment      |
| Health Care                                     |
| Homeland Security and Justice                   |
| Natural Resources and Environment               |
| Physical Infrastructure                         |
| International Affairs and Trade                 |
| <b>Supporting GAO Teams</b>                     |
| Applied Research and Methods                    |
| Financial Management and Assurance              |
| General Counsel                                 |
| Information Technology                          |
| Source: GAO                                     |

*emerging challenges affecting the well-being and financial security of the American people.*

The following table presents selected benefits attributable to Goal 1 in fiscal year 2015.

**Table 6: Selected Goal 1 Benefits in Fiscal Year 2015**

|   |   |
|---|---|
| <b>Financial benefits</b>               | <ul style="list-style-type: none"> <li>Increased the Federal Communications Commission's auction proceeds by extending the expiration date to assign spectrum licenses (\$32.8 billion)</li> <li>Prompted HUD to improve its disposition practices and oversight of contractors it uses to maintain, market, and dispose of real estate-owned properties (\$1.7 billion)</li> <li>Reduced funding for the underperforming Short Refinance Program (\$900 million)</li> </ul>        |
| <b>Program and Operational benefits</b> | <ul style="list-style-type: none"> <li>Prompted Department of Education to inform student victims of bullying about their legal options and resources</li> <li>Improved real property management in the federal government through data quality improvements to the Freezing Federal Footprint program</li> <li>Helped ensure more cost-effective surgical implant purchasing at the Veterans' Health Administration</li> <li>Improved recovery of Medicaid overpayments</li> </ul> |
| <b>Testimonies</b>                      | <ul style="list-style-type: none"> <li>Oversight of Bureau of Indian Education schools</li> <li>Coordination of federal efforts related to serious mental illness</li> <li>Fraud and improper payments at the Railroad Retirement Board</li> <li>Assessment of key issues facing the Medicaid program</li> </ul>  |

Source: GAO.

A summary of Goal 1 performance results and targets is shown in the following table.

| Performance measures             | 2012 Actual | 2013 Actual <sup>a</sup> | 2014 Actual <sup>a</sup> | 2015 Actual | 2016 Target | 2017 Target |
|----------------------------------|-------------|--------------------------|--------------------------|-------------|-------------|-------------|
| Financial benefits               | \$25.7      | \$22.0                   | \$15.5                   | \$51.4      | \$15.0      | \$15.0      |
| Program and Operational benefits | 275         | 271                      | 240                      | 255         | 235         | 235         |
| Testimonies                      | 61          | 60                       | 57                       | 57          | 62          | 62          |

Source: GAO.

<sup>a</sup> In fiscal years 2012 and 2013, we achieved some unexpectedly large financial benefits; however, we did not expect this level of results in fiscal years 2014 or 2015, when we set our targets.

Table 8 provides an example of work GAO plans to conduct during fiscal years 2016 and 2017 under Goal 1.

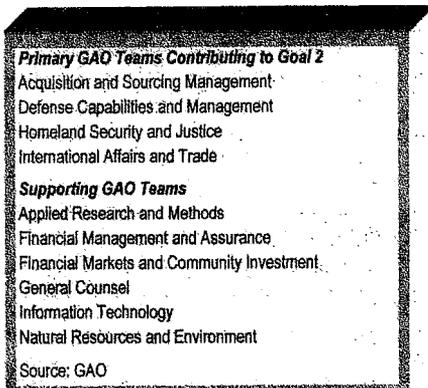
|  |
|--|
| <p><b>Financial Security</b></p> <ul style="list-style-type: none"> <li>Examine the impact of disparities in life expectancy across different income and demographic groups on individuals' retirement and savings decisions</li> <li>Assess how student loan debt affects retirement savings</li> <li>Assess trends, costs, and issues in public and private health insurance coverage and reforms</li> </ul>   |
| <p><b>Social Programs</b></p> <ul style="list-style-type: none"> <li>Evaluate Medicare and Medicaid payment methods, program management, and efforts to address improper payment and potential fraud</li> <li>Review VA's handling of disability claims of Gulf War veterans</li> <li>Assess veterans' access to VA health care, including primary care and mental health services</li> </ul>  |
| <p><b>Effective Systems</b></p> <ul style="list-style-type: none"> <li>Assess federal regulation of transportation safety and efforts to fund safety</li> <li>Assess federal efforts to support and oversee telecommunications in the public interest</li> <li>Assess federal efforts to manage and secure the government's real property portfolio</li> <li>Evaluate FDA's oversight of the availability, safety, and effectiveness of drugs, biologics, and devices</li> </ul> |

Source: GAO.

## Goal 2

GAO's second strategic goal focuses on helping 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.

The following table presents selected benefits attributable to Goal 2 in fiscal year 2015.



**Table 9: Selected Goal 2 Benefits in Fiscal Year 2015**

|   |  |
|---|--|
| <b>Financial benefits</b>               | <ul style="list-style-type: none"> <li>Influenced DOD's decision to terminate the Precision Tracking Space System (\$2.7 billion)</li> <li>Reduced expenditures through the cancellation of BioWatch Gen-3 Acquisition Program (\$2.1 billion)</li> <li>Contributed to DOD's decision to cancel the Standard Missile-3 Block IIB Program (\$1.7 billion)</li> <li>Identified reductions in DOD's unobligated balances which resulted in reduced appropriations (\$1.3 billion)</li> </ul>  |
| <b>Program and Operational benefits</b> | <ul style="list-style-type: none"> <li>Prompted DOD to take steps to improve the quality of cost estimates used for proposed programs</li> <li>Helped DOD avoid costs by sharing ammunition among the services</li> <li>Helped establish an oversight framework for the President's Emergency Plan for AIDS Relief</li> <li>Contributed to the protection and security of chemical facilities from terrorists</li> <li>Helped DOD improve the visibility and management of transitioning technologies from the science and technology environment to users, such as the warfighter in the field</li> </ul> |
| <b>Testimonies</b>                      | <ul style="list-style-type: none"> <li>Observations of DHS efforts to address electromagnetic threats to the electric grid</li> <li>Challenges and uncertainty of some space acquisitions programs</li> <li>Effectiveness of DHS's acquisition oversight</li> <li>Observations of the F-35 Joint Strike Fighter program</li> <li>Increased cost and schedule of embassy construction</li> </ul>  |

Source: GAO.

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             | 2012 Actual | 2013 Actual <sup>a</sup> | 2014 Actual <sup>a</sup> | 2015 Actual <sup>b</sup> | 2016 Target | 2017 Target |
|----------------------------------|-------------|--------------------------|--------------------------|--------------------------|-------------|-------------|
| Financial benefits               | \$13.4      | \$21.4                   | \$25.7                   | 13.0                     | \$11.1      | \$11.1      |
| Program and Operational benefits | 513         | 488                      | 535                      | 505                      | 358         | 358         |
| Testimonies                      | 54          | 30                       | 40                       | 23                       | 35          | 35          |

Source: GAO

<sup>a</sup> In fiscal years 2013 and 2014, we achieved some unexpectedly large financial benefits; however, we did not expect this level of results in fiscal year 2015.

<sup>b</sup> Our fiscal year 2015 targets for two of the three performance measures differ from those we reported in our fiscal year 2015 performance plan in April 2014. Specifically, we increased our financial benefits target from \$12.8 billion to \$13 billion and reduced our other benefits target from 343 to 340 benefits.

Table 11 provides an example of work GAO plans to conduct during fiscal years 2016 and 2017 under Goal 2.

**Table 11: Examples of Planned Work under Goal 2**

#### **Defense Acquisitions**

- Analyze individual weapon programs budgets and assess whether the programs are ready to start development or production
- Identify best practices to address the cost, schedule, and performance problems that consistently affect weapon programs
- **Analyze DOD's progress in improving contract management**
- Analyze DOD's use of Overseas Contingency Operations funds

#### **Foreign Operations**

Assess efforts to monitor and evaluate foreign aid and democracy programs

Assess U.S. and international efforts to address Syrian refugees

- Assess processes for evacuating, closing, and re-opening U.S. embassies and consulates
- Assess military operations and support associated with DOD's rebalance to the Pacific

#### **Other Global Threats**

- Assess DOD's insight and management of its global supplier base and the effectiveness of government programs designed to protect critical technologies
- Assess U.S. efforts to counter the Islamic State and other violent extremist organizations in Iraq and Syria
- Assess U.S. efforts to prevent foreign fighters from entering the U.S. thru the Visa Waiver Program

Source: GAO.

### 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 risks; and fraud, waste, and abuse.

#### Primary GAO Teams Contributing to Goal 3

Applied Research and Methods  
 Financial Management and Assurance  
 Forensic Audits and Investigative Service  
 Information Technology  
 Strategic Issues

#### Supporting GAO Teams

Acquisition and Sourcing Management  
 General Counsel  
 Natural Resources and Environment

Source: GAO.

The following table presents selected benefits attributable to Goal 3 in fiscal year 2015.

**Table 12: Selected Goal 3 Benefits in Fiscal Year 2015**

|   |   |
|---|---|
| <b>Financial benefits</b>               | <ul style="list-style-type: none"> <li>Reduced federal improper payments (\$4.9 billion)</li> <li>Improved tax reporting by banks and others to the IRS on merchant income from credit and other payment cards or third-party networks such as PayPal (\$1.5 billion)</li> <li>Increased tax revenues by requiring brokers to report customers' basis in securities transaction (\$983 million)</li> </ul>  |
| <b>Program and Operational benefits</b> | <ul style="list-style-type: none"> <li>Increased reliability of cost and other financial data used to manage and report on federal programs</li> <li>Strengthened audit oversight and accountability for federal assets and programs</li> <li>Helped NASA reduce acquisition risks through increasing institutional capability for appropriately implementing and utilizing earned value data to better manage its major space flight projects</li> <li>Prompted DOT to take action to improve oversight and management of its acquisition workforce</li> </ul> |
| <b>Testimonies</b>                      | <ul style="list-style-type: none"> <li>Improving oversight of Veterans Affairs contracting</li> <li>Update on strategic management challenges for the 21<sup>st</sup> century</li> <li>Implementation of the DATA Act</li> <li>Improper payments</li> </ul>   |

Source: GAO.

A summary of Goal 3 performance results and targets is shown in the following table.

| Performance measures             | 2012 Actual | 2013 Actual | 2014 Actual <sup>a</sup> | 2015 Actual <sup>b</sup> | 2016 Target | 2017 Target |
|----------------------------------|-------------|-------------|--------------------------|--------------------------|-------------|-------------|
| Financial benefits               | \$16.7      | \$8.1       | \$13.3                   | \$10.1                   | \$8.9       | \$8.9       |
| Program and Operational benefits | 652         | 555         | 513                      | 526                      | 362         | 362         |
| Testimonies                      | 41          | 22          | 30                       | 26                       | 23          | 23          |

Source: GAO.

<sup>a</sup> In fiscal year 2014, we achieved some unexpectedly large financial benefits; however, we did not expect this level of results in fiscal 2015.

<sup>b</sup> Our fiscal year 2015 targets for all three performance measures differ from those we reported in our fiscal year 2015 performance plan in April 2014. Specifically, we increased our financial benefits target from \$5.6 billion to \$8.85 billion, decreased our other benefits target from 455 to 425 benefits, and increased our testimonies target from 22 to 23.

Table 14 provides examples of Goal 3 work GAO plans to conduct in fiscal years 2016 - 2017.

**Table 14: Examples of Planned Work under Goal 3**

**Management Challenges/Risks**

- Analyze agencies' efforts to maximize quality acquisition outcomes, mitigate risks, and improve competition in the procurement of goods and services
- Assess the government's use of tools and data to promote sound contract pricing and management while ensuring contractor integrity
- Identify ways for NASA to mitigate risk and improve its acquisition of major space flight projects
- Develop GAO's 2017 High-Risk Update (issue in February 2017)

**Accountability**

- Evaluate IRS's enforcement of tax laws (i.e., attacking the tax gap, reducing identity theft)
- Review OPM's capacity to lead and oversee the federal human capital management system and implement reforms
- Review controls over government wide grants management
- Serve as a catalyst for improving the usefulness of federal accounting, auditing, and internal control standards

**Fiscal Condition of the Government**

- Conduct annual financial statement audits of the IRS, SEC, FDIC, TARP, CFPB, FHFA, Schedule of Federal Debt, and consolidated federal government, and conduct audits of federal internal controls needed to ensure accountability over resources and payments, and improper payments
- Review DOD's efforts to address long-standing financial management deficiencies and achieve audit readiness

**Technology Assessments**

- Assess and monitor DATA Act implementation

Source: GAO.

**Goal 4**

GAO's fourth goal is to *maximize the value of GAO by enabling quality, timely service to 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 2015.

**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

Source: GAO.

**Table 15: Selected Goal 4 Accomplishments in Fiscal Year 2015**

|   |  |
|---|--|
| <b><i>Enhancing support for conducting, managing, and reporting on our work</i></b> | <ul style="list-style-type: none"> <li>• Began implementing agency-wide the Updated Engagement Process (UEP), which facilitates improved decision making about resources and engagement scope and objectives, and the Engagement Management System (EMS), which reduces duplicative data entry and provides enhanced functionality for monitoring and tracking engagement progress</li> <li>• Deployed a virtual desktop infrastructure (VDI) agency-wide, enabling employees to securely access their "virtual desktop" on a variety of personal devices, from any location, further enhancing our ability to support a mobile, agile workforce</li> <li>• Offered a Writing for Social Media course to nearly 100 employees to help them generate timely, relevant web and social media content to facilitate access to GAO's work and promote understanding of the issues facing the Congress and the nation</li> </ul> |
| <b><i>Developing the workforce and promoting an inclusive work environment</i></b>  | <ul style="list-style-type: none"> <li>• Implemented enhancements to our leadership training curriculum to ensure their success in managing and developing staff</li> <li>• Delivered a new required course for managers – Leadership and Inclusion – to increase awareness, knowledge, and skills in the areas of leadership, diversity and inclusion</li> </ul>  |
| <b><i>Enhancing professional standards and collaboration with others</i></b>        | <ul style="list-style-type: none"> <li>• Provided briefings for more than 500 international visitors to help promote good governance globally and build capacity in supreme audit institutions with a focus on accountability, audit, and oversight</li> <li>• Served as vice-chair for INTOSAI's Supervisory Committee for Emerging Issues and laid the groundwork for launching a Foresight Speaker Series to bring knowledge of emerging issues and trends to enhance internal operations and help inform forward-looking audit work for the Congress</li> </ul>  |

**Table 15 (Continued): Selected Goal 4 Accomplishments in Fiscal Year 2015*****Improving management of key administrative processes***

- Completed a comprehensive internal review of our telework program to identify strengths and weaknesses, recommend improvements, and inform decision making about program enhancements
- Initiated an effort—the Bridge to Best Practices —to determine the extent to which our internal operations reflect established, government-wide best practices in performing our work

Source: GAO.

Table 16 provides an example of work GAO plans to conduct during fiscal years 2016 and 2017 under Goal 4.

**Table 16: Planned Work under Goal 4*****Human Capital Management***

- Conducting periodic comprehensive reviews of our human capital systems and processes to identify and monitor a core set of metrics to enhance our strategic management of human capital
- Rolling out a series of new courses focused on diversity and inclusion, including preventing ageism and age discrimination, effective listening, and the power of unconscious bias
- Implementing the recommendations from our internal review of GAO's telework program to strengthen oversight of, and compliance with, the program's policies

***Engagement Efficiency***

- Continuing to expand our communication, guidance, training, and job aids, as needed, to help staff and managers understand and navigate new job procedures and EMS
- Expanding functionality in EMS to support portfolio management needs
- Working to configure the software platform system that will improve our engagement writing and publishing processes, and produce a prototype for testing

***Responsible Agency Stewardship***

- Continuing to manage our enterprise infrastructure to prevent, identify, and respond to inappropriate access to computer resources to ensure that our enterprise infrastructure effectively protects our information resources
- Continuing to fine-tune employees' access to, and use of, VDI
- Continuing to upgrade our IT and headquarters building infrastructure and address evolving business practices (e.g., telework, mobility, and data sharing)

Source: GAO.

## 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. We monitor our progress in addressing these challenges through our annual performance and accountability process, and ask our Inspector General each year to comment on management's assessment of these challenges. For fiscal years 2016 and 2017, we will focus high-level management attention on the following four challenges, which are summarized below:

- Human capital
- Improving the efficiency of our engagements
- Information security
- Telework (new this year)

### Challenge: Human Capital

GAO relies on a high-performing, results-oriented workforce to deliver innovative and effective products to the Congress and the American people. The diverse skill sets and expertise required to provide timely, high-quality, reliable products and recommendations, and to perform follow up actions to our work, present three human capital challenges that we need to strategically manage in a budget-conscious environment:

**Succession planning:** Retirements and the potential loss of leadership and institutional knowledge, coupled with fiscal pressures, underscore the importance of a strategic and efficient approach to acquiring and retaining individuals with needed critical skills. While we met our recruiting and hiring goals this year, we know that investing in our staff throughout their careers is essential to maintaining our pipeline now and moving forward. Providing the right training, mentoring, and opportunities to

entry- and mid-level employees in particular to help them grow professionally is the most efficient way we can foster and retain an expert, seasoned workforce, leveraging their experience, knowledge, and skills in the future.

**Human capital management systems and processes:** The development, expanded use of system functionality, and integration of systems are essential for effective and efficient strategic human capital management. For the past few years, GAO has pursued fuller use of the federal government's primary human resource processing system, HR Connect, in order to bring enhanced accountability, integrity, and consistency to the various human capital lines of business and to make better use of human capital data for informed decision making. In addition, we are continuously reviewing and assessing the ongoing efficiency of our other human capital management systems to identify those that may benefit from updates.

**Diversity and inclusion:** GAO's Diversity and Inclusion Strategic Plan guides our efforts to create, support, and promote a highly diverse and inclusive work environment. The plan identifies three primary workforce goals: (1) diversity, (2) inclusion, and (3) sustainability. Our diversity and inclusion efforts are becoming integrated into our everyday work practices, but there is more to be done. We must continue to increase the representation of minorities and staff with disabilities in leadership positions; increase the representation of Hispanics, people with disabilities, and veterans in our workplace; and maintain a work environment that is respectful and inclusive of all segments of our society.

### **Challenge: Improving the Efficiency of Our Engagements**

In 2011, we identified improving the efficiency of our engagements as a new management challenge. With the many complex challenges facing the Congress and the nation, and in light of ongoing budget constraints, we recognized the need to look for ways to produce our reports and analyses more quickly and efficiently without sacrificing quality. Since 2011, we have made great strides in identifying ways we can gain efficiencies in the engagement process, and have implemented many recommendations.

We have focused significant resources on developing a suite of efficiency improvements such as revised procedures, job aids, and tools. The Continuous Process Improvement Office (CPIO) and an executive-level leadership board were created in 2012 to guide and carry out the assessments, projects, and change management necessary to implement needed efficiency solutions. Several agency-wide project teams have been working to develop and implement such solutions. While much work has been done to achieve our goals in this area, two main challenges remain in our efforts to further streamline and improve the efficiency of our engagement processes:

**Technology:** While we have successfully implemented a number of efficiency measures agency-wide, our ongoing challenge is identifying, acquiring, and/ or configuring available technology to match our work-flow-process needs to introduce greater efficiencies into the way we do our work. For example, identifying available technology to improve product development and distribution has been challenging because of several unique aspects of our product-writing process.

**Change management:** Change takes time and must be rolled out according to the greatest needs and priorities of the agency.

To ensure that we achieve our intended efficiency gains, we need to focus on managing the people side of change and expanding outreach with staff to understand and address opportunities for improvement and areas of resistance. A key component of this is listening to employee feedback and making revisions along the way as needed.

### **Challenge: Information Security**

Information security continues to be a challenge due to ongoing shifts in security threats, a changing security landscape, and evolving security guidance. As a result, information security has been one of GAO's management challenges for 10 of the past 12 years. Risks to information and communication systems include insider threats from employees, escalating and emerging threats from around the globe, the ease of obtaining and using hacking tools, the steady advance in the sophistication of attack technology, and the emergence of new and more destructive attacks. Deployed malware in the form of advanced, persistent threats and "zero-day" attacks comprise the most significant threat to our information and information system assets. Given the constantly evolving nature of these threats, information security will continue to be a management challenge for GAO and all government and private sector entities for the foreseeable future.

GAO has identified five areas of opportunity for improved management and oversight of our information security systems and processes.

**Detecting and responding to inappropriate access to computer resources:** Attacks on some federal agencies' networks, including GAO's, over this last year identified the relentlessness of the security threats we face. These breaches have heightened our awareness of, and responsiveness to, such threats. Our focus has been on integrating our security tools suite and on improving our security monitoring capabilities to ensure that the

enterprise infrastructure effectively protects our information resources.

**Managing software and hardware configuration:** Over the years, major technology changes within GAO have advanced our ability to effectively perform our work, but have challenged our ability to keep up with the implementation of security configuration standards across legacy and new technology. However, as business practices have evolved through technology, GAO has focused on improved project management to manage continuous technology and deployment schedules in a way that ensures risk mitigation as well as meets business requirements. Further, GAO has selected and configured technology to optimize the overall protection of our information systems and reduce our exposure to security risks. For example, GAO's migration to a virtual environment for both desktops and servers has enabled a more consistent configuration and reduced the instances of specialized systems deployments.

**Ensuring appropriate account privileges:** GAO is focused on ensuring appropriate controls are in place to manage accounts with elevated privileges. In an effort to protect the "keys to the kingdom," GAO is implementing a privileged account management solution to enhance our oversight of staff account privileges. Further, we will make changes to control and manage the operational requirements for system administrators within our network directory structure.

**Planning for continuity of operations:** The continued operation of GAO information systems, especially in times of a significant crisis, requires effective IT planning, coordination, and training in continuity operations. Managing our human and fiscal resources efficiently and effectively plays a significant part in our efforts to upgrade our current IT infrastructure and address evolving business practices (e.g., telework, mobility, and data sharing), and we

recognize that continuity of operations must be a critical part of our planning processes.

**Implementing agency-wide enterprise risk management:** GAO has embraced FISMA as the foundation of our information security program and has integrated this concept with the support from business and system owners. GAO recognizes the need for an overarching enterprise risk management perspective; the continuous monitoring of security controls provides a foundation for this process. GAO continues to review its agency-wide enterprise security perspective and prioritize remediation efforts to address any system deficiencies, as well as monitor and respond to internal security risks such as the potential for insider threats, and vulnerabilities associated with cloud-based services and data on mobile devices.

### **Challenge: Telework**

In last year's report, we identified managing a mobile workforce as one of several human capital challenges. We described the challenge of implementing, monitoring, and maintaining accountability of policies and programs that support the work-life balance needs of a diverse, mobile workforce, while attaining cost efficiencies and ensuring quality and efficiency in GAO's work products. Due to increased attention government-wide to the effective implementation of agency telework programs and GAO's ongoing efforts to manage its field office enhanced telework pilot and expand that pilot to headquarters, we are electing this year to add telework as a separate management challenge.

The current telework policy allows eligible employees to telework up to 49 percent of their scheduled work hours and more in the field offices as part of the enhanced telework pilot.

As we reported last year, between February 2012 and March 2014, GAO rolled out an enhanced telework pilot in its field offices. The pilot permitted eligible field office

employees to telework up to 66 hours per pay period (or 82.5 percent of the time), and required them to report to their official duty station for at least 14 hours during the pay period over at least 2 work days.

After a 2015 comprehensive analysis of the telework program, GAO found that the while overall program is sound there are areas that require additional attention. Specifically, four areas of identified with the opportunity for improved management and oversight include:

**Guidance and training for staff and managers:**

GAO needs to ensure that all staff and managers have ready access to clear, accurate and thorough telework policies and guidance. Our evaluation revealed that telework guidance exists, but it is spread across many official documents that were prepared by various sources and at different times, and that our telework training had not been updated in many years. Additional guidance and clarification about telework policy and procedures will help managers and staff better understand and meet their telework responsibilities.

**Cost-benefit monitoring:** Telework provides many positive benefits. However, there are both quantitative and qualitative costs associated with running a telework program, from the cost of providing employees telework tools and technology to the potential impact of telework on the quality and timeliness of our products. While our evaluation found that our enhanced telework pilots provided financial cost savings with no evidence of any impact on engagement quality, timeliness, or productivity, we recognize the importance of continuing to analyze and monitor these areas to ensure that the resources we commit to telework provide an ongoing return on investment.

**Informal employee interaction and collaboration:**

While our evaluation results indicated a high level of satisfaction with telework across GAO, we did identify a few

areas with a higher level of negative responses that warrant additional attention. For example, about one-third of respondents to GAO's agency-wide telework survey reported that telework negatively affected their informal interaction with coworkers, collaboration, and the ability to share knowledge and experiences. There were also a few areas where GAO managers expressed stronger negative reactions such as the ability to mentor and coach employees. GAO needs to better understand and find new ways to address the concerns of its managers and staff in these areas.

**Telework tools and management systems:**

While GAO has made continuous improvements to its IT tools and infrastructure, more needs to be done to improve the systems and collaboration tools that support the efficiency of working remotely. We recognize that improvements are needed to integrate systems to make it easier for managers to monitor and review staff schedules and related time and attendance data, and for telework program administrators to perform overall program monitoring of reporting requirements.

**Mitigating External Factors**

In addition to the resource constraints and uncertainty of future budgets which directly affect our internal management challenges, other external factors that could affect our performance and progress toward our goals include shifts in congressional interests, the ability of other agencies to make improvements needed to implement our recommendations in a constrained budget environment, and access to agency information. We mitigate these factors in several ways.

Demand for our work is very high as demonstrated by the 813 congressional requests and new statutory reporting requirements in fiscal year 2015. The Comptroller General and other senior officials maintain frequent communication

with our congressional clients to keep informed of their interests as unanticipated shifts in congressional priorities can change the mix of work we are asked to perform. In addition, we reserve a limited portion of our resources for work initiated under the Comptroller General's authority to address priority issues we identify. We strive to maintain flexibility in deploying our resources in response to shifting priorities and have successfully redirected our resources when appropriate and maintained broad-based staff expertise.

One way in which we manage the high demand for our work is to conduct bipartisan work. In fiscal year 2015, 58 percent of the work we completed was based on bipartisan requests and mandates. The 4-year average for our bipartisan work is almost 60 percent.

Because 33 percent of our audit resources were devoted to addressing mandates in fiscal year 2015, we have used multidisciplinary teams composed of staff from across the agency to address cross-cutting mandates. In addition, we continue to work with the Congress to modify or repeal recurring statutory requirements which have already been fully analyzed, thereby freeing up resources for higher congressional priorities.

### **Collecting Input from Experts**

As part of its effort to expand strategic foresight at the agency, GAO will continue to gather information and perspectives for strategic and annual planning efforts through a series of forums, advisory boards, and panels; external speakers' series; and continual scanning of international and national issues that affect the external environment in which the agency works. 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 2016 and 2017, GAO will rely on the following:

The **Comptroller General's Advisory Board**, whose more than 30 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 18 federal, state, and local audit organizations that meet to exchange information and pursue opportunities to collaborate on accountability issues that affect all levels of government.

GAO periodically conducts **Comptroller General Forums** 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 key emerging 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 years 2016 and 2017, GAO plans to hold forums on data analytics in the public and private sectors and on the Internet of Things. GAO also will continue to enhance its strategic and annual work planning with a number of issue-specific and technical panels, such as the following:

The **Advisory Council on Government Auditing Standards** provides input and recommendations to the Comptroller General in his role of issuing 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 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 human capital matters such as 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** (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; provide training, development and knowledge-sharing opportunities for the auditing community; enhance government performance, accountability, and transparency; and increase public trust.

In fiscal years 2016 and 2017, 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 continue implementing its updated 2014-2020 strategic plan to enhance its operations over the next several years.

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)** is GAO's primary vehicle for collaborating internationally and is the professional organization of more than 190 national audit offices. GAO will contribute knowledge and assistance to 26 different committees, subcommittees, and working groups in INTOSAI during the fiscal year.

We provided leadership for a number of important INTOSAI bodies. GAO's chairs INTOSAI's Task Force on Strategic Planning that is developing the next INTOSAI strategic plan for 2017-2022. The plan is scheduled to be completed in fiscal year 2016 and adopted by the triennial Congress of Supreme Audit Institutions in fiscal year 2017. This plan will recognize the need—and opportunity—for INTOSAI to be more externally focused and prepared to assume a greater leadership role in enhancing good governance globally and among its members.

GAO shows leadership in other areas, as well. GAO serves as vice-chair of INTOSAI's Finance and Administration Committee, and also supports the future direction of INTOSAI by serving as vice-chair of the Supervisory Committee on Emerging Issues through fiscal years 2016 and 2017 to help identify important trends and developments that will affect INTOSAI and its members. GAO also chairs the working group on financial modernization and regulatory reform of financial markets and institutions that serves as a forum to share knowledge about the implementation of regulatory reforms and monitor emerging issues related to global market conditions.

GAO participates across the full range of INTOSAI's mission and 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, environmental auditing, anti-money laundering and corruption, the value and benefit of Supreme Audit Institutions (SAIs), information technology, program evaluation, and key national indicators.

By collaborating with others, GAO will continue strengthening professional standards, providing technical assistance, building capacity, and developing and disseminating best practices. For example, in fiscal years 2016 and 2017, GAO plans to do the following:

- Continue to advance INTOSAI's capacity-building goal through the Comptroller General's Vice Chairmanship of the steering committee overseeing implementation of INTOSAI-Donor Cooperation. Through a memorandum of understanding (MOU) between INTOSAI and 23 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 responding to an external evaluation conducted in 2015. The focus will continue on existing initiatives such as matching and implementing proposals from the Global Call, expanding use of the Capacity Development Database, finalizing the SAI performance measurement framework, as well as strengthening communications and establishing a results framework for the Cooperation itself.

- Continue to actively participate in development, implementation, and harmonization of international auditing standards through GAO membership in the subcommittees of INTOSAI's Professional Standards Committee.
- Develop 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 550 officials from over 105 countries have participated. GAO continues to receive extensive interest in this program and the 2016 class will take place from March through July.

In October 2015, GAO opened the **Center for Audit Excellence**. The Center will provide customized, fee-based training, technical assistance and other related services to state, local, federal and foreign government audit organizations.

We have received a number of potential requests for Center services through our webpage and outreach efforts. During fiscal year 2016, we plan to finalize and undertake several projects to provide domestic and international audit organizations with training and technical assistance to enhance their audit capacity





**OPEN WORLD  
LEADERSHIP CENTER**

*Budget Justification for the  
Committee on Appropriations*

*Fiscal Year 2017*



## **Budget Justification for Fiscal Year 2017**

### **TABS**

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# Tab 1

**FY2017 Budget Justification**



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

**Fiscal Year 2017**

**Respectfully submitted:**

**January 29, 2016**

## Opening Statement

When the United States Congress needs inter-parliamentary cooperation with strategically important countries, they can turn to Open World to bring the rising young leaders to the United States to show them how we addresses corruption in the judicial system or transparency in local governance.

When the United States Congress wants collaboration in its efforts to create global change for the good of the world, Open World can show emerging change makers how a local council decides on issues related to the community or how open elections create accountability.

Esteemed Members of the Appropriations Committee, it is you that show these civic leaders how the American constituent exercises his or her right to meet with their elected official.

These same young professionals can explain their own processes and how their American experience on the Open World program changed their attitudes, their understanding of accountability, and their hopes. You can hear them for yourself describe their efforts to effect change in their countries because of their experience in Des Moines or Roseburg or Jackson.

Listen to them say that meeting with a Member of the United States Congress was the first time they had ever met with any such government official anywhere. When you hear what they have to say, you cannot help but be changed.

Listen to them describe the life-changing impact that living with an American host family had upon them. These observations take place one handshake at a time in the home of an American family committed to the same goals of cooperation and collaboration. These are the mainstays of the many conversations that take place at the kitchen table. In this way, the Open World program is unique – the only one of its kind in any U.S. government agency.

The conversations that follow take place with anti-trafficking specialists from **Russia**; Maidan activists from **Ukraine**; public health officers from **Azerbaijan**; judges from **Estonia**; elections observers from **Georgia**; non-proliferation scientists from **Kazakhstan**; Members of the Parliaments of **Kosovo, Mongolia and Serbia**; environmentalists from **Kyrgyzstan**; mayors from **Moldova**; journalists from **Tajikistan**; and women entrepreneurs from **Turkmenistan**. They take place every day that an American family hosts a delegate from the Open World program.

That these conversations take place at all is due to the continuing support of the United States Congress and the Appropriations Committees on the Legislative Branch Subcommittee.

## Introduction

*So many things can be done through volunteering. Like nowhere else, American progress is based on volunteer work.*

—Moldovan delegation on a Huntsville, Alabama exchange

By the end of calendar year 2015, the Open World Leadership Center had brought over 24,000 rising leaders from nineteen former Soviet bloc and other qualifying countries<sup>1</sup> to engage with their American counterparts in professional exchanges. This growing network, where many continue their relationships both with each other and with their American counterparts, enables the impact of the Open World program to continue far beyond the ten-day program in the United States. With the continued support of the Congress, Open World host families and communities will once again open their homes to help sustain this successful congressional program that

focuses on countries of profound interest to American foreign policy.



*Members of the Parliament of Kosovo with Governor Terry Branstad in Des Moines, Iowa.*

Open World alumni continue to rise in leadership positions in their home countries, bringing about changes from the periphery in and the bottom up. To that end, continued Congressional support will build on the strong and vigorous groundwork already laid in the previous sixteen years. For example: In March 2015, Gulnara Abzalova, Chair of the International Affairs Committee of Opora (a Russian business lobbying group), traveled to Tampa, FL with women

entrepreneurs and was hosted by the Rotary Club there.

Since her participation she moved up to lead the Department on Development of Women Entrepreneurship in her region and also became a member of the Committee on Development of Women Entrepreneurship on the federal level.

She keeps in touch with the leaders of the organization Working Women of Tampa, whom she met during the program, and they are working to develop a professional exchange program for young business women. They plan to apply for a Peer to Peer grant in March 2016.

The connection made between these two groups is an important one – one that emphasizes community ties and mutual respect and then seeks to further cement the bonds of friendship and professionalism.

<sup>1</sup>Armenia, Azerbaijan, Belarus, Egypt, Estonia, Georgia, Kazakhstan, Kosovo, Kyrgyzstan, Lithuania, Moldova, Mongolia, Russia, Serbia, Tajikistan, Turkey, Turkmenistan, Ukraine, Uzbekistan

Since its inception in 1999, Open World remains the only international exchange agency in the Legislative Branch dedicated to serving Members of Congress in both chambers. As a resource, the Center is available to all Members, their staff, and their constituents for information, consultation, and introduction to any Open World country. As a unique asset, it is positioned to assist the Congress in its foreign policy and oversight responsibilities. Finally, as an investment, the Center gives Congress and the American people a direct line to the future leaders of these countries.

Open World has served the Congress well, earning strong bipartisan and bicameral support. Funding **Open World's 2017 budget request of \$5.8 million** will allow this powerful global network to make an additional significant and positive mark on events in these strategically important countries.

*The most extraordinary episode that impressed all [the Ukrainian mayors] was the visit to the City Council where the Mayors had a chance to observe the City Council meeting. First of all, the delegates were impressed with the openness of the authorities and the fact that any person can come into the meeting room...and be present during the meeting.*

—Ukrainian delegation in Honolulu

The Center understands well that budget reductions happen and has responded to the reductions with increased efforts to find cost shares and interagency agreements that enable us to continue a robust program each year. While working with less has its challenges, it has taught us the value of creating priorities; of consolidating our efforts with our sister agencies; and finally of collaborating with USG agencies and non-governmental organizations across the board for broadening our reach. In these efforts the Center has been successful and will produce more results in 2017 at this funding level.

Open World programs work to invigorate some 30 sister city/sister Rotary club and other less formalized partnerships every year by providing them the opportunity to work on joint



*The mayor of Rostov Veliky, Russia meets with Stevens Point Mayor Mike Wiza*

project activity in person. Such programs cement these relationships and provide great incentive for continued project activity by sending targeted delegations from the overseas sister city. They also result in return visits focused on project promotion. For example, without Open World the sister city relationship between Cleveland, OH and Volgograd, Russia would have fallen apart. Now, it is a working and productive partnership between communities, in a Russia where such ongoing bonds are being broken regularly. In another example, Bishkek, Kyrgyzstan's sister city Colorado Springs, CO, recently hosted a delegation from Bishkek to provide their partners with first-hand experience with modern irrigation methods, crop production and water law issues.

## I. Budget Overview

### FY 2017 Budget Request: \$5.8 million

Open World continues to offer an extraordinary “bang for the buck,” serving as a model of efficiency, cost-effectiveness and value. The Center boasts an overhead rate of 7 to 8% with up to 93% of its annual expenditures going directly to program costs. The Center investigates every opportunity for savings and diligently manages its fiscal operations with a view to reducing costs while maintaining program quality.

The Center is committed to employing a series of best practices to develop the most cost-efficient and effective means to accomplish our mission. Internal controls are in place to ensure program quality, including pre- and post-program report follow-up, and weekly teleconferencing with our logistical contractor, grantees, and local hosts. A zero-based budget approach is applied to every contract, every grant budget, as well as the Center’s annual operating budget.

*In my country, everything is based on which tribe you belong to, and how you’re connected, and that’s what people rally around. But here, people gather around an idea—that’s the big difference.*

*-Delegate hosted in Kansas City for the Rumsfeld Foundation*



*Kyrgyzstan/ Denver: Discussing water cases with Judge Gregory Hobbs – Young Professionals on Energy Independence*

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, the National Endowment for the Arts, and the U.S. Embassies in Armenia, Azerbaijan, Kosovo, Mongolia, Serbia, Tajikistan, and Turkmenistan have all joined with the Open World Leadership Center in either directly hosting or funding of a number of our delegations. The Center also has a number of cooperative agreements that also enable us to keep costs down while providing high level programs. By using this approach with the

Department of Energy, for example, the Center was able to offer one of our most successful programs, the non-proliferation program, at half the cost.

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 2016 grant proposal cycle, demand for hosting Open World delegations was **four times the supply of available hosting slots.**

Open World strongly encourages grantees to cost share, making it part of our annual competitive proposal process. For example, in 2015, through home-hosting, significant volunteer time contributed to the program, and in-kind donations such as meals and tickets to various events provided by local host Rotary clubs, **Rotary International contributed more than 50 percent of OW hosting expenses** in 2015. The Center awarded a 2016 grant to Rotary International to host again in twenty different locations with an even greater cost share. 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.

*There were so many times when the [Moldovan] delegates would debate or discuss intensively after a certain meeting/visit—these were the moments when they would discuss together how US examples would work in Moldova, [like] the responsibilities of a congressman and his offices in both Washington and [home] state, maintaining close communication with the citizens and support of their needs, etc.—and how would this work in Moldova.*

—Moldovan participant on Greensboro/Winston-Salem election exchange (edited for clarity)

The dedicated and enthusiastic American citizens who host program participants in their homes and communities provide major support to the Open World program. Private American citizens freely provide social events, community-wide activities, housing, and most meals for participants. Without this in-kind support, the cost of hosting Open World delegations would be substantially higher and the Center would have brought far fewer delegates on this important program. Equally important the Open World program has a profound effect on the way our delegates view America, with 95% returning home with a positive view of our country.

In 2014, the hosting of Open World participants in homes throughout the United States and a significant contribution from the Center's logistical contractor saved the Center an estimated \$2.275 million. Statistics for 2015 will be available in April. To date, more than 7,500 American families in 2,200 communities in all fifty states have hosted Open World delegations. The appendices list the local host organizations, U.S. federal judges, and national host organizations (grantees) who have acted as hosts for an Open World delegation.



Portland, ME hosts from the Archangel Committee attorney Neale Duffett (far left) and Ed Suslovic, a city councilor, (far right, holding sign) greet their sister city delegation.

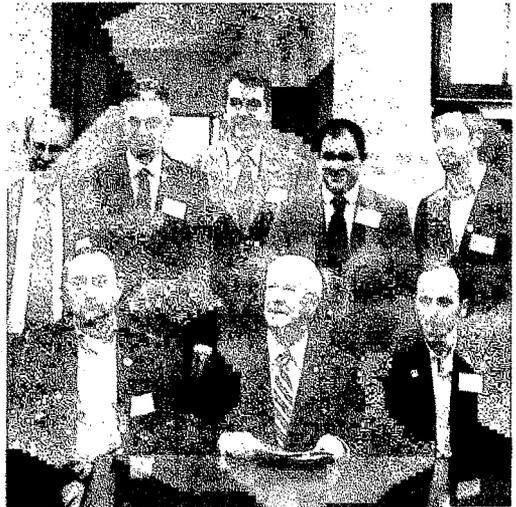
*“The visit was very well planned and organized. The delegates had the opportunity to meet government officials starting with Senator Roger Wicker down to municipality heads as well as active representatives of local communities and one of the biggest employers in the region – the port director. It gave a good overview of the processes at the Mississippi coast. The program was well-balanced and the local host coordinator was great.”*

*—Georgian delegation on Municipal Development and the Use of Public Space for Coastal Areas hosted in Gulfport, Mississippi*

Open World is a partnership with the American people, providing America’s constituents with the opportunity to bring the world into their homes, not experiencing world events through media, rather through face-to-face interaction. The fiscal year 2017 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.



*Ukrainian educators meet with Oregon Senator Jeff Merkley*



*Georgian delegates meet with Mississippi Senator Roger Wicker*

## II. Budget Request Detail

*The horizontal way of bringing things into reality totally differs from vertical “top to bottom” decision-making scheme present in Ukraine ... this was one of the most crucial lessons learned for delegates’ understanding of how decisions are passed or how citizens’ initiatives may be heard.*

—Facilitator for Ukrainian exchange to Birmingham (edited for clarity)

In this lean fiscal environment, we are committed to keeping costs down while maintaining program quality. In most Open World countries, delegates are expected to cover their domestic costs in preparation for their travel to the United States. The Center now uses an interpreter coordinator who recruits State Department certified interpreters at competitive, indeed, often below-market rates.

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 organizations across the United States; Memoranda of Agreements with most U. S. embassies in Open World countries; and the salary and benefits of the Center’s D.C. and Moscow staff.

Currently the Center has two Program Managers and one Program Assistant as well as a Foreign Service National in the U.S. Embassy in Moscow. This is the minimum program staff level required to manage 800-900 participants in a program year. Each Program Manager handles between four and seven grantees and between 400 and 450 participants. They coordinate all aspects of the delegation from initial nominations, selection and vetting; approving the program agenda in Washington, DC; and planning and monitoring activities in the host community. The staff member in the U.S. Embassy in Moscow is critical in coordinating nominations, vetting, and selections, program development, and relations municipal and officials, business leaders and NGO activists and advocates.

The Center works closely with its grantees to capture any possible reductions or savings in costs. For example, the Center works closely with grantees to find volunteer hosting organizations and requires cost-sharing in every grant proposal. We work closely with our logistical contractor to find the best airfares, to keep staff costs at a minimum, and to find savings wherever possible.

The Center’s fiscal year 2017 budget request breaks down as follows:

### A. Direct Program — \$ 5,550,000

|    |                                 |           |
|----|---------------------------------|-----------|
| 1. | Logistical Contract             | 1,900,000 |
| 2. | Grants/Other Hosting Costs      | 2,300,000 |
| 3. | Embassy Agreements              | 875,000   |
| 4. | Salary/Benefits (Program staff) | 475,000   |

The logistical services contract with a Washington-based NGO is the single largest expenditure at Open World. This contractor is responsible for coordinating the delegate nomination and vetting process and is tasked with obtaining visas and other travel documents; arranging and purchasing airfare; planning and executing the two-day D.C. orientation, and coordinating with grantees and placing delegates in American host cities, among a host of other duties.

Grants/Other Hosting Costs refer to national and local hosting organizations (such as Rotary Club, Friendship Force International, and community colleges) that plan and execute an 8-day local program for each delegation.

**B. Administration — \$ 388,000**

|    |                                |         |
|----|--------------------------------|---------|
| 1. | Salary/Benefits (Admin Staff)  | 275,000 |
| 2. | Other Admin Operating Expenses | 113,000 |

The salaries/benefits of the Executive Director, the Deputy Executive Director, and the Outreach Officers are included in this category. It also 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. Finally, agreements with other agencies for infrastructure services or for printing, webhosting, or graphic design are included here.

**TOTAL BUDGET: \$5,938,000<sup>2</sup>**

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<sup>2</sup> The amount over \$5.8 million shown here will be covered by earned revenue, donations and other offsets.

### III. Conclusion

*I love the idea of world travel and meeting people from other countries...If you put your feet under my table at breakfast, it's unlikely we will go to war with each other.*

*-Open World host in from Monticello, Iowa with Azerbaijan delegation*

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Because of the nature and focus of the Open World program, results are the product of both cultivation and patience. Some exceptional alumni examples from Ukraine and Georgia include:

- A professor in 2009 at the Kyiv-Mohyla Academy is today's **First Deputy Minister of Education and Science** in Ukraine. Thank you, Portland, Oregon.
- A journalist in 2006 leading an NGO supporting investigative journalists is today's **Deputy of the Ukraine Parliament, Head of the Lustration Committee**. Thank you, Atlanta.
- A managing director of a public consulting group in 2009 is today's **Deputy Minister of Defense of Georgia**. Thank you Maryville, Tennessee.
- The executive director of an NGO on Human Rights in 2012 is today's **Public Defender Ombudsman of Georgia**. Thank you, Granada Hills, California.
- A research director at Tbilisi State University in 2012 is today's **Deputy Chief of Mission at the Embassy of Georgia** in the United States. Thank you, San Antonio.

This is just a small selection of the results we receive weekly from our nominating partners on the ground in Ukraine and Georgia, but it illustrates Open World's excellent record on nominations of emerging leaders. This is due to the fine working relationship we have with our embassies in our countries as well as our nominators. We have a solid record of nominating and hosting future leaders of these strategically important countries.

This is also illustrative of how Open World goes beyond diplomacy, into the hard to reach places – the hearts and minds of citizens and leadership. In Russia, Open World provides a crucial counter-narrative to the information war funded by the leadership of the Russian Federation in former soviet bloc countries.

In Russia, a short list of the success stories is equally impressive:

- The Deputy Head of the Department of Tourism and International Cooperation under the Ministry of Sports, Tourism and Youth Policy of Russia in 2006 is currently serving as the first ever **Vice-Governor of Samara Oblast**. Thank you, St. Petersburg, Florida.
- A legal consultant in 2002 is now **the Deputy Chairman of the Federation Council Committee for Constitutional Legislation of the Federal Assembly of the Russian Federation**. Thank you, Washington, DC.

- A deputy of the Russian Duma in 2000 is now **head of the Federal Agency for the Commonwealth of Independent States, Compatriots Living Abroad, and International Humanitarian Cooperation**. Thank you, Tucson, Arizona.

Our support for these strategically important countries offers a lifeline and a beacon for a better life to the young leaders who are committed to furthering democratic development, the rule of law, and free-market practices. They are fighting for freedom and against corruption in their societies. These are no small tasks, greatly magnified in the face of Russian pressure to revert to a system of more closed societies and its fomenting of fear of the West. Sustaining Open World is an endorsement of the enduring spirit of democracy, especially at this critical period.

As one of the last programs left standing in Russia, Open World and the United States Congress should not capitulate to the Kremlin's drive to obliterate America's efforts to reach the people of Russia and the countries of the former Soviet Union. We urge Congress to support the budget that is justified herein. The strategic importance of this agency's mission to Congress, along with the minimal funding needed for its highly effective programming, make Open World an agency that serves the American people and Congress well.

*“The Open World program is one of the most authentic people-to-people exchange programs that I have seen. Alumni of the Open World program are found in almost every corner of this large and diverse country and their experience in the United States can be transformative. Even more impressive are some of the projects and lasting partnerships that grow out of the program. If you look at the legal system, for example, many of the bright lights in the still-evolving judicial system are Open World alumni - part of approximately 250 judges who have participated in the program since 2004.”*

*-United States Ambassador for the Russian Federation John F. Tefft*

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*“As I travel around Ukraine, I frequently meet Open World Alumni and have been impressed by the breadth of the program and its ability to build relationships with young professionals at the local level. I would also second your observation that many Open World alumni have been excellent partners to the Embassy in terms of receiving grants and implementing civic-minded initiatives in their communities.”*

*-United States Ambassador to Ukraine Geoffrey R. Pyatt*

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*“Open World’s continued focus on building capacity within the government and our civil society partners is just what we need . . . Your program has truly had a powerful impact here in Georgia, and I want to see that impact continue.”*

*-United States Ambassador to Georgia Richard. G. Norland*

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# Tab 2

**List of Grantees, Host Organizations and  
Judges by State**

**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\* (Huntsville)  
Rotary Club – Montgomery  
Rotary Club of Greater Huntsville  
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  
Empower International - Phoenix  
Flagstaff Sister Cities Organization  
Friendship Force of Central Arizona  
Friendship Force – Tucson  
Friendship Force – Phoenix  
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 – (Little Rock)\*  
 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-Baikal Institute

### Local Host Organizations

49'er Breakfast Rotary Club - Nevada City  
 Alusha-Santa Cruz Sister County Support  
 Azerbaijani-American 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 of Sacramento  
 Greater L.A. Chapter of People to People – Granada Hills  
 Hartnell College Foundation  
 Independent Television Services  
 International Visitors Council – San Diego  
 International Visitors Council – Los Angeles\*  
 International Relations Council of Riverside  
 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 – Del Mar  
 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 – Mariposa  
 Rotary Club – Merced Sunrise  
 Rotary Club – Mid San Fernando Valley

Rotary Club – Nevada City  
 Rotary Club – Oakland  
 Rotary Club – Palm Springs  
 Rotary Club – Palos Verdes  
 Rotary Club – Pasadena  
 Rotary Club – Paso Robles  
 Rotary Club – Rancho Cucamonga  
 Rotary Club – Rancho San Diego/Spring Valley  
 Rotary Club – Redlands  
 Rotary Club – Redding  
 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 Citizen Diplomacy Council\*  
 San Diego-Vladivostok Sister City Society  
 Santa Cruz Sister Cities  
 Sebastopol World Friends, Chyhyryn Committee  
 Sonoma City Opera  
 Stafford Institute – San Francisco  
 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*  
 Marilyn L. Huff, *District Judge*

Christopher M. Klein, *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*  
 Ronald H. Sargis, *Bankruptcy Judge*  
 William Shubb, *District Judge*  
 Dickran Tevrizian, *District Judge*

## COLORADO

### National Grantees

International Institute of Education/Rocky Mountain Center

### Local Host Organizations

Boulder Chorale  
 Boulder County Public Health  
 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*  
 David M. Ebel, *Circuit Judge*  
 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  
 Yale University School of Medicine

**Federal, District, and State Host Judges**

Peter Dorsey, *District Judge*  
 John Walker, *Circuit Judge*  
 Robin Tebora, *Clerk of Court*

**DELAWARE****Local Host Organizations**

Delaware Justice of the Peace Courts  
 National Council for International Visitors – Wilmington  
 United Methodist Church – Milford  
 University of Delaware Library  
 University of Delaware, Institute for Global Studies\*  
 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  
 Global Ties (formerly National Council for International Visitors)  
 National Democratic Institute for International Affairs  
 National Peace Foundation  
 Peace Links  
 Thelonius Monk Institute of Jazz  
 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  
 Initiative for Russian Culture at American University  
 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  
Friendship Force of Tallahassee  
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 – New Tampa  
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  
 Friendship Force – North Georgia  
 Georgia Council for International Visitors  
 Georgia to Georgia Foundation  
 Greater Savannah International Alliance  
 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 Paige  
 Columbia College Chicago  
 Council of International Programs – Chicago\*  
 Episcopal Church – Peoria  
 Friendship Force – Northern Illinois  
 Geneseo International Thanksgiving Fellowship Program  
 Heartland International  
 Illinois Central College  
 International Cultural Educational Association  
 International Republican Institute – Glenview  
 International Visitors Center – Chicago  
 Kyiv Mohyla Foundation of America  
 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  
 Peoria Area World Affairs Council  
 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*  
 Collins T. Fitzpatrick, *Circuit Executive*  
 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*  
 James Shadid, *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 – Fishers  
 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  
 Dubuque Chamber of Commerce  
 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 (ITEBS & Associates, LLC)  
 International Writing Program at the University of Iowa  
 Iowa Central Community College  
 Iowa Council for International Understanding  
 Iowa Sister States\*

League of Women Voters – Ames  
 Marshalltown Medical and Surgical Center  
 Marshalltown Sister Cities  
 Mary Greely Medical Center  
 Mercy Medical Center  
 Mt. Pleasant Public Library

Muscatine Sister Cities, Inc.  
 Myrtue Memorial Hospital  
 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*  
 Larry Eisenhower, former *State Court of Appeals 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  
 Global Ties – Kansas City  
 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 Moyer, *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  
 Tulane University  
 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

Archangel 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-Odesa Sister City Committee  
 Center for Democracy and the Interpretation of Civil Society,  
 St. Mary's College of Maryland  
 Center for International Programs  
 Community College of Baltimore County  
 Cultural Vistas  
 Director of International Affairs/Mayor's Office, City of Baltimore  
 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  
 Prince George's County Circuit Court, Seventh Judicial Circuit  
 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*  
 Cathy Serrette, *County Circuit Court 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  
 Cairdes Foundation  
 Cambridge-Yerevan Sister City Association (CYSCA)\*  
 Cape Cod Community College  
 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*  
 Robert Cordy, *State Supreme Court Justice*  
 Joan Feeney, *Bankruptcy Judge*  
 Richard Stearns, *District Judge*  
 Mark Wolf, *District 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  
 Kalamazoo Russian Cultural Association  
 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

Men as Peacemakers (Duluth)

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)  
 Saint Paul - Ramsey County Public Health  
 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  
 Legacy International Development Group  
 Metier Professionals  
 Mississippi Consortium for International Development  
 Mississippi State University  
 National Peace Foundation – Oxford  
 Rotary Club – Hattiesburg  
 Rotary Club – Jackson\*  
 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*  
 Leslie H. Southwick, *Appeals Court 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

Global Ties KC (formerly 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

St. Louis – Samara Sister Cities Committee

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  
WorldMontana (formerly 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**

Friendship Force of Las Vegas

International Visitors Council – Northern Nevada

Northern Nevada International Center

Rotary Club – Elko Desert

Rotary Club – Fremont\*

Rotary Club – Las Vegas

Rotary Club - Reno

Rotary Club – Reno Central

Rotary Club – Southern Nevada\*

Rotary Club – Tahoe-Douglas

Rotary District 5300

U.S. District Court for the District of Nevada

**Federal, District, and State Host Judges**

Valerie Cooke, *Magistrate Judge*

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  
 Bridges to Tajikistan\*  
 Council on International Relations  
 Episcopal Church – Santa Fe  
 Los Alamos and Sarov Sister Cities Initiative  
 People to People International, New Mexico Chapter  
 Rotary Club – Las Cruces  
 Sandia National Laboratory  
 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 of Hudson Valley  
 Friendship Force – Long Island  
 Friendship Force – Smithtown  
 Greater Rochester Area Branch of American Association of University Women  
 Hofstra University School of Law  
 International Institute of Buffalo  
 International Center of the Capitol Region\*  
 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  
 Mercy College\*

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 Global Connections, formerly 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 – Monticello\*  
 Rotary Club – Riverdale  
 Rotary Club – Shenendehowa  
 Rotary Club – Shawangunk Ridge  
 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*  
 Frank LaBuda, *County Court Judge and Surrogate*  
 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 Focus (formerly International Affairs Council of North Carolina/Research Triangle)  
 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  
 Hendersonville Sister Cities, Inc.  
 Institute for Global Collaboration, Forsyth Technical Community College  
 International Focus, formerly International Affairs Council of North Carolina/Research Triangle  
 International House of Charlotte (formerly Metrolina)  
 League of Women Voters – Charlotte-Mecklenberg  
 National Peace Foundation – Asheville  
 People for World Change  
 Rotary Club – Charlotte East  
 Rotary Club – Franklin  
 Rotary Club – Greensboro  
 Rotary Club – Guilford  
 Rotary Club – Hickory  
 Rotary Club – Marion  
 Rotary Club – Statesville  
 Rotary Club of Summit  
 Rotary District 7670  
 SCIAN-Institute for Scientific Policy Analysis  
 Sister Cities of Durham  
 Stafford Institute (formerly U.S.-Russia Mayor to Mayor Program)

United Methodist Church – Clayton  
 United Methodist Church – Greensboro  
 United Methodist Church – Lexington  
 United Methodist Church – Rutherfordton  
 United Methodist Church – Wilkesboro

U.S. Court of Appeals for the Fourth Circuit  
 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*  
 Paul Newby, *Supreme Court Justice*

**NORTH DAKOTA**

**Local Host Organizations**

Bismarck State College  
 Dacotah Territory International Visitor Program  
 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-Kharkiv Sister City Partnership  
 Cincinnati-Ukraine Partnership  
 Cleveland Council on World Affairs\*  
 Cleveland International Program  
 Cleveland State University College of Law

Columbus International Programs USA  
 Council of International Programs – Cleveland  
 Friendship Force – Dayton  
 Friendship Force – Greater Cincinnati  
 Great Lakes Consortium for International Training and  
 Development (Toledo)  
 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  
 Wright State University

**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'Scannlain, *Circuit Judge*

**PENNSYLVANIA****National Grantees**

Keystone Human Services International  
 Magee Womancare 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  
 Global Pittsburgh (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  
 PEHT - Pittsburgh  
 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 Club – Scituate  
 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  
 Charleston Council for International Visitors  
 Friendship Force – Florence  
 League of Women Voters – Bluffton Area  
 National District Attorneys Association  
 National Peace Foundation – Columbia  
 Palmetto Council for International Visitors  
 Richland School District Two  
 Rotary Club – Columbia  
 Rotary Club – Hilton Head Island  
 Rotary Club – East Spartanburg  
 Soonch  
 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. Kornmann, *District Judge*  
 Karen Schreier, *District Judge*

**TENNESSEE****National Grantees**

Nashville Health Care 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  
 Memphis Council for International Visitors\*  
 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. Varlan, *District 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  
 Global North Texas (formerly North Texas International Visitor  
 Council)  
 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  
 Palo Alto College  
 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 – Mid-Cities Pacesetters  
 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 – Forth 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  
 Firefly, Inc.  
 Friendship Force of Utah  
 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  
 Synetic Theater

**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  
 FHI360\*  
 Fredericksburg Sister City Association, Inc  
 Friendship Force – Charlottesville  
 Friendship Force – National Capitol Area  
 James Kent Inn of Court  
 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 - L. Douglas Wilder School of  
 Government and Public Affairs  
 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 - Richland  
 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*

Ronald G. Pearson, *Bankruptcy 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 Corp 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  
Madison Area Technical College  
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  
Rotary Club – Madison  
Rotary Club - Milwaukee  
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 – Barron County  
 University of Wisconsin Extension – Juneau County  
 University of Wisconsin – Marathon County  
 University of Wisconsin at Marinette, Continuing Ed/Intl Students  
 University of Wisconsin – Marshfield/Wood County  
 University of Wisconsin – Richland  
 U.S. District Court for the Eastern District of Wisconsin  
 U.S. District Court for the Western District of Wisconsin  
 Vernon County Office, Family and Children’s Center  
 Western Technical College  
 World Services of La Crosse, Inc

**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*

# Tab 3

Open World in the News

# Chechen visitors get taste of sunny San Diego, thanks to Del Mar Rotary Club

By [Kristina Houck](#) 10:23 a.m. May 14, 2015

<http://www.delmartimes.net/news/2015/may/14/del-mar-rotary-club-chechen-visitors/all/?print>



Six visitors from a Rotary Club in Grozny, Chechen Republic, were hosted by the Del Mar Rotary recently. — *Courtesy photo*

The Del Mar Rotary Club recently welcomed visitors from a Rotary Club on the other side of the globe.

Hosted by the Del Mar club and sponsored by the Open World Leadership Center, delegates from Grozny, the capital of Chechnya, visited Del Mar from March 27 through April 4.

"We're trying to build bridges through Rotary," said Del Mar Rotarian Marty Peters, who coordinated the trip. "We use sister club relationships to build trust through service."

Six Chechens endorsed by Del Mar Rotary's sister club, Grozny Rotary Club, participated in the nine-day trip: youth professional Rakhman Zaburayev, former UNICEF officer Zaret Israilova, lawyer Emiliya Salamova, journalist Khava Khasmagomadova, lawyer Magomed Israilov and facilitator Ilya Kvyatkovskiy.

Peters coordinated the program after he met a Rotarian from Del Mar Rotary's sister club, Grozny Rotary Club, at a Rotary International meeting. Rotary International is a service organization of approximately 1.2 million people in 34,000 clubs around the world.

From the Salk Institute research organization to the world-famous San Diego Zoo, Peters led the group on about 40 hours of site visits throughout Del Mar and the greater San Diego region. Other stops included the Cabrillo National Monument and USS Midway Museum.

"The whole trip was eye-opening for all these people," said Peters. Open World translator Sergei Vladov stayed with Peters during the trip.

In an effort to expose the group to the many cultures and social issues of San Diego County and the United States, Peters drove a 15-passenger van about 800 miles and also visited other local Rotary clubs, branches of the Boys and Girls Clubs of San Dieguito, Interfaith Community Services, the Islamic Center of San Diego, and more. Delegates met with government and religious leaders, including Del Mar city staff.

"We were trying to teach them, through exposure to these various places, how we work with our refugees," said Peters, a Del Mar resident since 1976, who joined Rotary soon after moving to the community.

Rotarians Al Tarkington, Haylea Minks, Pat Caughey and Pat Dougherty opened their homes to the delegates.

"I thought it would be enlightening," said Dougherty, a Solana Beach resident and Del Mar Rotarian. "I thought it would be neat to get to know someone who comes from halfway around the world, comes from a different culture and different ideals."

Khasmagomadova stayed at Dougherty's home. He noted the 27-year-old was reluctant to visit the zoo and was surprised to see "how well we take care of our animals."

Caughey, a Solana Beach resident and San Diego Rotary Club member, said he invited his guest, Salamova, to the Friday Fish Feast at St. James Catholic Church on her first night in town.

"She was very open and very comfortable sitting with us," Caughey said. He noted how the 34-year-old cried when she saw the ocean for the first time.

"It was a great opportunity to meet her and get to know her. It was an eye-opener for us as it was an eye-opener for her."

Minks, a Solana Beach resident and Del Mar Rotary Club member, said she was "compelled" to participate in the program after hearing about the wonderful experiences past host families have had.

"It was mutually beneficial," she said. "I learned a lot about their country and I hope they learned a lot about our culture and way of life. It was inspiring and humbling. I truly made a wonderful connection and friendship with a few of those that participated. I would highly recommend other Rotarians consider this act of service for their club."

For more information on the Del Mar Rotary Club, visit [www.delmarrotary.org](http://www.delmarrotary.org).

## Trauma in Ukraine: doctors exchange ideas with Mission Hospital surgeons during visit

<http://mountainx.com/news/trauma-in-ukraine-doctors-exchange-ideas-with-mission-hospital-surgeons-during-visit/>

Posted on February 19, 2015 by Pat Barcas



Intensive Care: Dr. William Shillinglaw, the medical director of trauma services at Mission Hospital, gives a tour of the intensive care unit at Mission Hospital.

Asheville is very far from Eastern Ukraine in terms of geographics, culture and stability, but the worldwide fraternity of trauma surgeons crosses cultural boundaries, sharing the same mission of saving lives.

Mission Hospital sought to educate four doctors from Ukraine Feb. 18 as they toured the level-two trauma center and gathered knowledge to bring back home.

"Trauma surgeons really are all the same. We read the same books, we are educated the same," said **Alex Linchevskyy**, a visiting thoracic and trauma surgeon who works in a military hospital on the front lines in Ukraine. "When speaking about trauma, one third of patients could die in the hospital, all due to simple decisions. My vast majority of questions today were about the decision-making techniques of the surgeons here."

The visit was part of a Congressionally funded program call Open World, which conducts international exchanges with leaders in the former Soviet republics. The local host organization is Friendship Force of WNC, which hosts the doctors during their 10-day visit. The trip to the trauma center was designed

to educate those working in the unstable region of Ukraine, where they're seeing critical injuries more and more, as well as symptoms of post traumatic stress disorder.



Patient lifeline: Dr. Shillinglaw, center, talks to the pilot of the Mountain Area Medical Airlift helicopter, with Dr. Alex Linchevskyy, right, from Ukraine.

"This is about exposing them to what might benefit them," said **Bill Hogan**, host coordinator for the WNC chapter of Friendship Force International. "The goal is for them to be exposed to this, take it back to their country, and influence policymakers back there on different techniques on how to deal with the wounded."



The Mountain Area Medical Airlift is an Airbus EC135 helicopter that typically makes about 1,000 flights per year, operating in a 120 mile radius around Asheville.

The doctors toured with Dr. **William Shillinglaw**, the medical director of trauma services at Mission Hospital. He showed them the trauma unit, the Mountain Area Medical Airlift helicopter, the intensive care unit and the neonatal intensive care unit.



Remote diagnosis: this robot allows doctors to diagnose stroke patients from 60 miles away, saving time and potentially lives.

Linchevskyy said he has toured trauma centers around the world and always values hearing opinions.

"You can have high sophisticated technologies, but if you don't understand the techniques to stabilize, you will lose patients," he said. "I enjoyed the tour today and the information exchange."



Exchanging ideas: Dr. Linchevskyy said the main questions he was asking were about decision making during critical trauma situations.

## VCU hosts group from ‘other’ Georgia

<http://wtvr.com/2015/03/02/vcu-hosts-group-from-other-georgia/>

RICHMOND – When visitors to Richmond say they’re from Georgia, Atlanta and peaches probably come to mind. But for a group of dignitaries who recently visited Virginia’s capital, Georgia conjures up Tbilisi and wine. They hailed from the country of Georgia, which is nestled between Europe and Asia and used to be part of the Soviet Union.

The visitors – a member of the Georgian Parliament and four legislative staff members – spent a week in Richmond, where they toured the Virginia Capitol, met with Gov. Terry McAuliffe and other political leaders, and learned how government works in the United States.



PHOTO CREDIT: Capital News Service

The visit was sponsored by the Open World Leadership Center, an international exchange program that was established by the U.S. Congress in 1999 and operates under the Library of Congress. The program seeks to build relationships with, and foster democracy in, former Soviet satellite states such as Georgia.

Three units at VCU collaborated in hosting the Georgians: the Global Education Office, the L. Douglas Wilder School of Government and Public Affairs, and the Richard T. Robertson School of Media and Culture.

The visit’s theme was “Accountable Governance – Legislative Development.” VCU faculty members put together an itinerary for the Georgians that included extensive interaction with state

and local officials. During their visit, the Georgians stayed at the homes of Richmond families to observe authentic American life.

None of the visitors had been to the United States before.

“We have seen many American movies, so nothing here is too strange,” said Tinatin Asatiani, an assistant to a member of the Georgian Parliament. “We are a very curious people, so we like to study other cultures.”

All members of the Georgian delegation are from their country’s capital, Tblisi. Besides Asatiani, they included:

- Gogita Mamporia, a member of the Georgian Parliament
- Natia Archvadze, a specialist for the Parliament’s Budget and Finance Committee
- Mariam Katsitadze, a specialist in the Parliament’s Public Relations and Information Department
- Solomon Songhulashvili, a specialist in the Research Department of the Parliament’s Division of Information Support

They were accompanied by Tinatin Museridze, who served as the group’s facilitator for travel and other logistics. Museridze is a manager of the Georgia office of a nonprofit organization called the National Democratic Institute for International Affairs. She speaks fluent English and has accompanied other Open World groups on visits to the U.S. – including one to the state of Georgia.

For meetings with government officials and other formal activities in Richmond, VCU arranged for a U.S.-based interpreter, Alexander Tetradze, who speaks English, Georgian and Russian. Funding for the interpreter was provided by FHI 360, a nonprofit that has a grant from the Open World Leadership Center to administer the exchange program.

During their stay in Richmond, the Georgians:

- Toured the State Capitol, attended a meeting of the Senate Finance Committee, met with Sens. Bill Stanley of Moneta and Bryce Reeves of Fredericksburg, observed the Senate and House in action and were recognized with applause by legislators from the floor
- Toured the Governor’s Mansion and met Gov. McAuliffe and first lady Dorothy McAuliffe
- Met at City Hall with Charles Samuels, president of the Richmond City Council
- Discussed government operations with officials at the Virginia State Crime Commission, the Division of Legislative Services and the Virginia Department of Planning and Budget
- Discussed open government with officials at the Virginia Freedom of Information Act Advisory Council and the Virginia Public Access Project
- Discussed the role of advocacy groups with officials of the Virginia Chamber of Commerce and McGuireWoods Consulting
- Toured the Library of Virginia and learned about Virginia history

There was also time for fun. The Georgians visited Colonial Williamsburg, toured the Virginia Museum of Fine Arts, went shopping and had dinner with various local and state officials.

Moreover, the visitors took a tour of the CBS 6 newsroom in Richmond, led by morning anchor Reba Hollingsworth Newby. They watched journalist Bill Fitzgerald anchor the evening news broadcast and then chatted and took pictures with him.



PHOTO CREDIT: Capital News Service

Members of the Robertson School faculty conducted a seminar for the group about the government and legal systems of Virginia and the United States.

On the last day of their visit, the Georgians gave a presentation of their own – about the culture, government and other aspects of their homeland – to students from VCU Globe, the university's Global Education Living-Learning Community. The students then conducted a panel discussion with the visitors.

The dignitaries cleared up some misconceptions Americans may have about Georgia. For instance, although many people refer to it as “the Republic of Georgia,” the visitors said their homeland is simply “the country of Georgia” –not a republic.

They noted that Georgia has an ancient culture; its history as a nation-state goes back to the early Middle Ages. Georgia has a unique language; it's not Indo-European, Turkic or Semitic. Georgia has a culture deeply rooted in Orthodox Christian tradition and is reportedly the oldest wine-making region in the world. Today, the country is well known for its wines.

Georgia, which borders the Black Sea, has nearly 5 million people in an area of about 27,000 square miles – slightly larger than West Virginia.

In recent years, it has been a geopolitical flashpoint following the Russo-Georgian War in 2008, with Russia continuing to occupy the Georgian regions of Abkhazia and South Ossetia. In light of this, Georgia has sought greater integration with both the European Union and NATO.

Georgia remains a firm U.S. ally in the region – a position affirmed by Gogita Mamporia, who heads the ruling Georgian Dream party in the Georgian Parliament.

“We are not perfect, but we are improving, and we are partners of the United States,” Mamporia said. “The nation of Georgia will always be your friend and ally.”

Reflecting on their visit to Richmond, the dignitaries said they were impressed by Virginia’s hospitality, the VCU campus and the state’s history. They quickly picked up on Virginia’s nickname as the “Mother of Presidents.”

“We found it interesting that Virginia, which is just a little larger than Georgia, is the birthplace of eight American presidents,” Katsitadze said.

*By Sean CW Korsgaard, Ashley Jordan, and Stefani Zenteno Rivadineira/Capital News Service*  
*Capital News Service is a flagship program of the VCU's Robertson School of Media and Culture. Students participating in the program provide state government coverage for Virginia's community newspapers and other media outlets, under the supervision of Associate Professor Jeff South.*

## From Serbia to the Smokies: Eastern European judges visit Knoxville on exchange program

Georgiana Vines

6:00 AM, Oct 24, 2015



Court historian Don Ferguson explains a model of the Howard H. Baker Jr. U.S. Courthouse during a tour for members of the Serbian judiciary on Wednesday. Pictured from left are Wanda Rogers of the Friendship Force International, Vesna Vlasisavljevic of the U.S. Embassy, Judge Ivan Nikolic, law clerk Stevan Karac, Judge Djordje Gojic and Judge Danijela Brankovic. (JESSICA TEZAK/NEWS SENTINEL)

Four Serbian judicial officials and two interpreters got a look at the U.S. judicial system in Knoxville this week — as well as a glimpse of the Smokies, Market Square and a public official's fundraiser.

"We wore them out," said Panos Ioannides, who with wife Renee helped host the Serbians as members of Knoxville's Friendship Force, an international cultural exchange program.

Ioannides is the local Friendship Force president and arranged for the visitors to be entertained by the Greek Dancers, college students who attend St. George Greek Orthodox Church, during a Monday dinner at the Tennessee Valley Unitarian-Universalist Church.

Chief U.S. District Judge Thomas A. Varlan was key to the visit of the three judges, a law clerk, a program assistant in the U.S. Department of Justice at the U.S. Embassy in

Belgrade, and an interpreter with the Open World Leadership Center. The center offers exchange programs for countries of the post-Soviet era and enables leaders to engage with U.S. officials and other Americans.

Varlan conducted an orientation session on the American legal system in Washington on Oct. 16 for the Serbians who came to Knoxville and a group that went to Charleston, W.Va. The Knoxville group arrived a week ago and leave today.

Among the places the visitors saw Wednesday was the history suite in the Howard H. Baker Jr. U.S. Courthouse, as part of a tour led by Don K. Ferguson. He is the executive director of the Court Historical Society and a retired chief deputy clerk for the U.S. District Court.

"Be sure to show them the snail darter," U.S. District Judge Pamela Reeves told Ferguson when she joined the tour.

The snail darter is a tiny fish put on the Endangered Species List in 1984 that stopped TVA from completing the Tellico Dam project in federal court — so it is an exhibit from that period. Eventually the fish was reclassified and the dam completed.

Ferguson also pointed out a painting by Knoxville artist Lloyd Branson of Edward T. Sanford, the only judge from East Tennessee to serve on the U.S. Supreme Court. Sanford served from 1923-1930, until his death.

Other official visits included the University of Tennessee College of Law, the Duncan School of Law and state courts in the City County Building. The trip also included presentations by the U.S. attorney's office and Federal Defender Services and meetings with the U.S. Probation Office and the U.S. Marshals Service.

The Serbian judges are chosen by the country's National Assembly after being recommended by an independent judicial commission, said Stevan Karac, a law clerk in Magistrate Court in Valjevo, Serbia.

"Judges are not supposed to be related to political parties," he said.

They are required to have a law degree and a certain amount of legal experience, depending on the court, he said.

"It's complicated. The American system is federal (and) state. Ours is similar to the federal," Karac said.

Danijela Brankovic, a criminal law judge in the Basic Court in Loznica, Serbia, since 2010, answered questions about how she and the others were selected for the program through translator Vesna Vlasisavljevic of the U.S. Embassy. They wrote letters of interest to their court, with one judge being selected and then the name being provided to the embassy.

"They had to be confirmed by the embassy," Vlasisavljevic said.

Vlasisavljevic stayed with Joanne and Al Schuetz while in Knoxville. Joanne Schuetz said Friday she took her to a fundraiser for Knox County Law Director Bud Armstrong, a Republican running for re-election next year, at a community center in East Knox County.

"Bud spent a lot of time talking to her. He was very nice," Joanne Schuetz said.

Leroy and Wanda Rogers took two delegates to the Foothills Parkway in Blount County. One was Ivan Nikolic, president of the Basic Court in Pirot, Serbia, and a criminal law judge, who was their house guest.

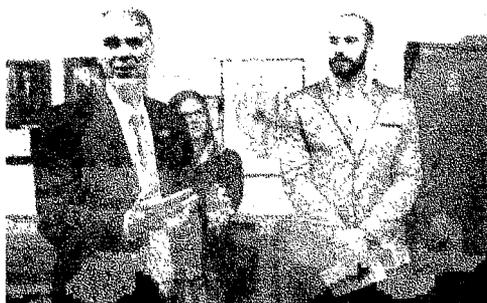
"Ivan said he was very excited to see that part of the mountains, but Friday (afternoon on free time) he wanted to tour and see more of Market Square," Wanda Rogers said.

Others in the group were Djordje Gojgic, judge and president of the Basic Court in Novi Pazar, and Ksenija Keivanzadeh, Open World interpreter.

Varlan said Friday he was pleased to host the Serbians.

"This exchange program, offered in conjunction with the Open World Leadership Center and the Administrative Office of the U.S. Courts, provides an important opportunity for these judges to learn more about our federal and state judicial systems and to share with their colleagues in Serbia many of the practices and methods of our U.S. court systems. We have enjoyed the week of exchange of ideas and professional camaraderie," he said.

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U.S. District Judge Tom Varlan, left, leads a tour of the Howard H. Baker Jr. U.S. Courthouse for visitors from the Serbian judiciary, including law clerk Stevan Karac, right, on Wednesday. (JESSICA TEZAK/NEWS SENTINEL)



Serbian judges Ivan Nikolic, left, and Djordje Gojgic take a tour of the Howard H. Baker Jr. U.S. Courthouse on Wednesday. (JESSICA TEZAK/NEWS SENTINEL)

# Judges from Mongolia to Share Fascinating Exchange with Justice Professionals in Contemporary Las Vegas

By Mary Ann Price

*Written prior to the judges' visit, this article was originally published by the Eighth Judicial District Court's blog, "EighthJDCourt." See <https://eighthjdcourt.wordpress.com/>, July 14, 2015. Reprinted with permission.*

It's really a case of East meets West and ancient meets modern, when an Open World, Rule of Law judicial delegation from Mongolia experiences an American model of justice in Las Vegas. The judges will be visiting from the ancient country situated between China and Russia to sit in on cases at the Eighth Judicial District Court civil and criminal divisions, tour the Family division and visit the Lloyd D. George U.S. Federal Courthouse. They will also hear from the professionals who make the justice system work. The delegation will be officially welcomed to Las Vegas on Monday, July 27 at 8:30 a.m. at the Lloyd D. George Courthouse (courtroom 6B), 333 Las Vegas Blvd.

On Wednesday, July 29, at 8:15 a.m., the visiting judges will see how the Eighth Judicial District Court handles civil and criminal cases at the Regional Justice Center, 200 Lewis Ave. They will be presented ceremonial gavels before they see how District Court judges use technology to manage busy caseloads and dispense justice fairly and efficiently. On Thursday, July 30, at 9 a.m., the delegation will visit the Family Court at 601 N. Pecos Road. They will also tour Opportunity Village to see how they have become one of Southern Nevada's most effective non-profits.

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, judicial and political leaders to the United States to work with their American counterparts during 10-day professional visits. It is administered by the Open World Leadership Center, an agency of the U.S. Congress. This trip is sponsored by Rotary Clubs of Southern Nevada. The delegation will be led by Senior United States District Court Judge Lloyd D. George in cooperation with the Eighth Judicial District Court, the U.S. Marshals and the Nevada Bar Association on a rigorous schedule that will provide an inside look at how the wheels of justice turn.

"I expect this to be a particularly interesting exchange with the Mongolian judges. There is such a striking contrast between our two nations," said Judge George. "An outstand-

ing program has been put together for this Open World delegation, that is intended to foster mutual understanding between our nations and further the rule of law."

The Mongolian judges will hear from representatives of the United States Attorney, Federal Public Defender, Nevada Supreme Court, District Attorney, Public Defender's offices and the Attorney General's office and will visit the UNLV William S. Boyd School of Law and a law firm. They will be hosted for lunches by the Fremont and the Las Vegas Rotary Clubs. They will also get a snapshot of what Las Vegas has to offer when they shop; take in a show, the Fremont Street Experience, the MOB museum and a few hosted dinners in family settings at the homes of locals.

"It's an honor for the Eighth Judicial District Court to participate in the Open World program," said District Court Chief Judge David Barker. "Our court has made great strides in using technology to advance access to justice. This is an opportunity to share what we've learned and hear what insight these judges bring."

"The Open World program demonstrates that regardless of what country you are from, we have a lot more similarities than we have differences," said Karen Whisenhunt. Open World, Rule of Law chair for the Rotary Clubs of Southern Nevada and past-president of the Las Vegas Rotary Club. Rotary is a worldwide service organization that has many programs and international projects promoting world peace and understanding. **☪**

*Mary Ann Price serves as the Court Information Officer for the Nevada Eighth Judicial District Court. She promotes programs that improve access to justice and is the media liaison for the 52 judicial departments. She serves on several committees including the Nevada Supreme Court Joint Public Information Committee, the Federal District Court Open World Committee, and the newly-formed Blue Ribbon for Kids Commission Public Education Subcommittee.*



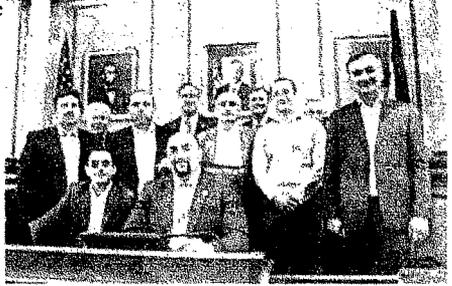
# Visitors from Azerbaijan impressed with life in Iowa

Posted: Wednesday, June 3, 2015 10:26 am | Updated: 9:03 am, Wed Jun 10, 2015.

Visitors from Azerbaijan Impressed with life in Iowa Kim Brooks Express Editor

Last week, several visitors from Azerbaijan were in Monticello for a little over week as part of the Open World Leadership Center program.

Friendship Force International contracts with Open World, which is a government program funded by Congress, to host visitors from all over the world.

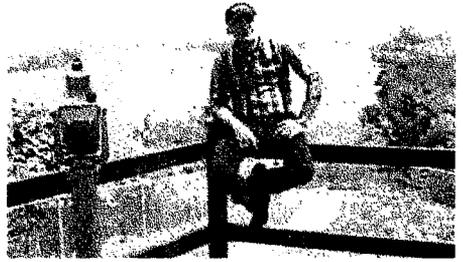


Five different residents in the Monticello area opened their homes to the people of Azerbaijan, as well as an interpreter and delegate, both from Washington, D.C. Those who offered room and board included: Nancy and Steve Williams, John Giegerich and Trish Kaiser, Marilyn and Phil Hanna, Kathy and John Harms, and Debbie and

Randy Toenjes. Williams has been a member of the Friendship Force Club in Cedar Rapids since 1987. Other local members include Joe Ironside and Giegerich. Williams has worked with Open World since 2001.

He explained the basis of Friendship Force is to establish world peace, one family at a time.

Those who visited Monticello were Kamran Shahkarimov, Jeyhun Mammadov, Anar Bayromav, Ismayl Oglu, Parvin Novruzov, Yusif Abosov, and Parviz Haktari.



Over the years, Williams said he's hosted a lot of people from all over the world, and has traveled near and far as well. The countries he's visited include: Indonesia, Azerbaijan, Peru, Russia, Germany, Great Brittan, Latvia, New Zealand, and Australia.

"I love the idea of world travel and meeting people from other countries," he said. Williams said he believes in the saying, "If you put your feet under my table at breakfast, it's unlikely we'll go to war with each other."



While in Jones County, the group and their hosts took in many sights throughout Iowa, both educational and learning experiences.

"They need to clock 32 hours of education in the field," explained Williams. In this case, that education was all about agriculture business and manufacturing.

Their visits throughout the eight-day trip included: Dubuque where they took in the Mississippi River Museum and the Fenelon Place Elevator; Ames to tour Iowa State

University's College of Agriculture and Life Sciences; Cedar Rapids to meet with staff members of Sen. Chuck Grassley, Sen. Joni Ernst, and Congressman Rod Blum, as well as Kirkwood Community College; Des Moines to tour the Capitol and meet with Rep. Lee Hein and Gov. Terry Branstad, and tour Kinze Manufacturing; Waterloo to tour the John Deere factory and Amish communities; Monticello where they toured Kraig Manternach's beef confinement, Bruce Telleen's dairy operation, and Jean Russell's swine operation.

"John Harms (fair manager) and Holly Hall (extension director) did a wonderful job lining up tours for us throughout the county," praised Williams. "It was a very good experience for everyone." Williams said he was impressed with the reception in Des Moines at the Capitol, and Branstad's interest in Russia. However, he said the visitors from Azerbaijan do not associate with Russia.

Williams said it wasn't hard finding people to host. He knew it would be a busy time for the farmers, but was thankful for their time with the tours. "Everyone was so excited," he said of the positive feedback he received from the Azerbaijanis. He said the benefit to the hosts is establishing an on-going relationship through cultural awareness. "Those who visit take home a lot of new ideas," he said. One of the Azerbaijanis, who is 26 years old, had never traveled out of his home country before.

Williams said they got the chance to take in world-class manufacturing companies like Kinzie and John Deere. "The innovations in agriculture were eye-opening for me, too," admitted Williams. By utilizing host families, Williams said trips like this really aren't all that expensive. "Travel expenses aren't that bad," he said.

While it was hard at first to communicate, Williams said after eight days, he was amazed at how fast their friends' English had improved. "They're more fluent in other countries than we are

here," he said. "It was a good learning experience. It exposed everyone to another language." He said the Azerbaijanis really got a taste for agri-business here in the Midwest.

Since their new, lifelong friends have returned home, Williams said they are keeping in touch through Facebook and e-mail. "They are really intent on us coming to Azerbaijan," he said. "Not many people generally express interest in going there. But they have a lot of potential there as a small country."

Williams said anyone, no matter their age, can join Friendship Force and take part in worldwide travel experiences. This week, Williams will be heading to Canada himself.

John Harms, who opened his home to Bayromav and Ogla, said after Williams asked whether they'd be interested in hosting, it was a no brainer. "It was fun," he said. "The ag tours were right up our alley." Harms said, personally, he and Kathy gained a better understanding of another country like Azerbaijan. "They shared their opinions about things, opinions about their own country, their government and Russia," he said. Harms said they don't consider themselves Russians at all.

"We all had a great time and it was a great experience. They were sponges of inquiry; they gathered as much knowledge as they could." One of the Azerbaijanis who stayed with the Harms is a hazel nut producer. He said he was interested in production here in the U.S. "They generally share the same interests as we do," said Harms. "They want to be efficient and prosperous." Harms said when the group landed in the U.S. and took in the sights of Washington, D.C., they later remarked to their hosts about the "rat race" that is our nation's capital.

“The people in D.C. are all on a different wave length than we are here,” said Harms. “Here, in the country, it’s a different world.” Harms said their guests were also in awe of how much they could see while out in the country. “They also said our gravel roads are nicer than theirs.”

Harms offered that we’re very fortunate here in the U.S. to be able to have the infrastructure that we utilize every day. “They were just all really appreciative of everything,” said Harms. He added that one of their friends said he has two mothers back home (his mom and his mother-in-law), and now a third mom, Kathy Harms.

## Program brings Russian delegates to Kingman

<http://kdminer.com/main.asp?SectionID=74&SubSectionID=114&ArticleID=65401>



Ryan Abellia  
Miner Staff Reporter

**KINGMAN** - Eight delegates from the Moscow area visited Kingman recently as part of Open World, a program administered by the Open World Leader Center out of Washington, D.C. They went to government institutions and local businesses to learn more about life and business in the United States.



The Open World delegates, after touring the Daily Miner last Friday. Back row, from left: Tatiana Lukenbill – interpreter, Natalya Kovalenko, Svetlana Devyanina – facilitator, Irina Dolganova, Veronika Valkovskaya, and Sofya Sheyman. Front row: Andrea Shields – Rotarian from Route 66 Rotary Club, Anna Grushina, and Irina Kopyl. (JC AMBERLYN/Miner)

The group wrapped up their visit with a dinner with Rotary, where the women shared their thoughts of the program and their experiences in Kingman. These are quotes from all the women, translated by their interpreter Tatiana Lukenbill and their facilitator Svetlana Devyanina.

- "We are very glad for it because I'm sure when we go home, we will remember this time as the best time in our life. For me, the pregnancy center was a surprise. We don't have such an agency. We got some ideas from there."
- "I would like to say thank you so very much. I loved the hospital visit. This is an incredible organization. Very big. It was a friendly atmosphere. Highly professional. We had a chance to meet so many women, and will use them as an example of how I work."
- "I was surprised with the nature of Arizona. I thought it was sand, in my mind. There are amazing mountains! And very beautiful sunsets and sunrises. Friends in Russia, they think, 'How can I go to a strange place to meet people I don't know? How can I connect with them?' Thank you so much for your hospitality. It was very cool for me. We can think outside the box. People are power. If we are united with one great idea, we can change the world. Thank you for these ideas."

The Open World Leader Center is an independent government agency of the United States Congress, and is responsible for funding and providing grants to nonprofit and educational organizations to put on programming and provide hosting for Open World delegates.

Delegates are typically brought in from the Eurasia region and are often active community

leaders and professionals. Open World delegates on average are 38 years of age, with more than half of all delegates being women. Since its inception in 1999, Open World has hosted over 17,000 delegates.

The program in Kingman has been facilitated by Andrea Shields and the Route 66 Rotary Club for the past five years.

"Open World embodies the Rotary concept of doing good in the world and peace through service," said Shields. "I think this is a life-transformative experience for the delegates and that they will take back information about Americans and how open and friendly we are, as well as information on our economy and culture."

### The 11 Things I Love About “the Open World Program”

By Evgeny Konoplev, Journalist  
Moscow, Russian Federation

It's an unreal task to cover a life-changing experience in short words, so I don't even pretend that I'll be doing it. These thoughts below are like a tip of an iceberg, or better to say, a map of a continent: each line on the map is its own universe. And [so to be sure] not to get lost in there, I'll try to be very concise.

So the phenomena I loved the most about “The Open World” program were:

1. It being actually open, proving its name. Never did we hear an answer like “You don't want to know this. Let's not discuss this topic.” Yes, the most official speakers once or twice said “I don't want to call names...,” but it was not a phrase built for us Russians, he would say it to any person, the USA citizens included. So we didn't feel like someone wanted to show us a PR-version of the USA. All our interests and all our hard questions were met with mutual sincere interest and 100% dedication from all speakers, organizers, translators, drivers, everyone.
2. The program of these 10 days is built perfectly. The dramaturgy of this cultural travel is a masterpiece. You can see how it works – three branches of the judicial system go in one day, all the philanthropy – to another one. But you can't stop admiring how wise it all links, how perfectly it all fits. The dichotomies amaze you: “big city – small town,” “regional economic center – political capital,” “skyscrapers – Victorian two-stories blocks,” “state attorneys – public defenders,” “shantytown kitchen for poor – poshy headquarters of the philanthropy foundation,” etc. It's like you're led through one huge spectacle of 10 days with laughs and tears and a catharsis in the end (which is the general understanding of American life).
3. The interconnection between the world of ideas and the real world. We could have easily discussed the judicial system of the USA with the federal judge in some conference room. But no, it will be doing it firstly in the same court room where he had just announced his ruling to an accused felon (and we sat there and saw it), then we'll go to his chambers, where we'll see his private room with all the presents from his friends and his family photos, and then we'll have lunch in their canteen, where another federal judge will stand next to us in the line. During all the trip we will talk, and talk, and talk. But it is another talk compared to what could have happened in some abstract conference-room. You can't put a price-tag on an experience like this.
4. Nice thing about this program is a reasonable amount of free time for its participants. That's why we all, having split into small groups by interests, had a chance to spread around the city. And then we shared our stories with each other during the time when we were packed together and had a chance to talk – breakfasts, bus rides, lunches. And then we tried the other roots, which were discovered before by our friends. Exploring new cities in this manner was one of the best experiences of my life.
5. Another wise thing was the balance between being managed and being free. The freedom lets you explore exactly the places (and discuss the topics) you are interested in. The tough schedule makes you do it efficiently and choose the places (and the questions) wisely – you have time only for the most important spots to visit, or for most meaningful question to ask. The free atmosphere during the program lets you approach any expert or organizer with any question. But had we been left to ourselves, some speakers could have been overwhelmed by our attention. So the constant “Guys, we have to run, we don't want to be late to our next destination” - it saved our experts and kept us in form.
6. It's all about connections. Business cards change hands every minute, in the evening you have a pocket full of them – the business card of the deputy state attorney can go next to a card of a manager of the best jazz-club in the city. All of the program organizers are in touch with us too, even after the program is over. And

as a bonus we all have 25 new friends from all over Russia – contacts exchange and deep understanding of each other took place between us as well.

7. The attitude of all the experts and speakers. Never have we felt a fence between the stage and the audience. It always was a talk of one expert, who knows the subject deeper, to the others – maybe younger but equal – experts from different fields of expertise. That's why we never had time to drink coffee properly during coffee-breaks – all the time was spent to further – now informal – discussions with the speakers.
8. My guess is that this attitude (look at 7) is an effect of the personalities of the people who organized the Open World program. All our speakers always mentioned our organizers as very respected persons with whom they are proud to be friends or to be acquainted with. Be it the mayor of Waukegan who praised Megan, the craftsmanship school leader who knows Julie from their work in the Peace Corp, of the Washington politicians who made friendly jokes about Toby (“When your team was in the White House...”). I guess that trust between the organizers and the experts means a lot.
9. Another reason for such a connection between the speakers and the audience, I think, is the group structure. First the speakers trust the organizers (look at 8) then they meet our group with our questions and it looks like they enjoy a professional exchange of ideas and opinions with us. Some of them even invite us to have an informal dinner. And here I should praise the Moscow School of Civic Education, which gathers these groups and selects the delegates. Even for us it's not only a chance to meet the USA, but simultaneously to make two dozens of new Russian friends with priceless professional baggage.
10. These days are about practice. No practical questions from us get raised brows. You want to go to a comic store? Fine, it's there. You would like to go shopping? Here's the list of the places with the best price and quality? You attended a Baptist church service? It's a pity you didn't take more friends with you. You want to go to the cinema? Nice idea and do buy popcorn for the sake of full experience. You'd like to visit a jazz-club or a night club? Here are the addresses of the best ones. So after 10 days like that it feels like you understand American life much better, as you had lots of chances to dive into its depth.
11. But the cornerstone of this program is idealism. It's not a practical school like “Today we'll learn how to make a start-up,” it's about ideas – general ideas – which the American society stands on. People who organize the Open World program are idealists in the best meaning of this word, all the speakers are as well. So after a program like that, not only are you assured that America is based on ideas, but you are familiar with the most important set of these ideas.

I could go in details on 10 pages, but I hope that the list above gives the idea why we were so impressed by this experience and why we estimate it as 100% success. And having discussed the trip with all my new friends, I'm sure that I have a right to state it on behalf of all the group.

We admire the work of the organizers.

We are grateful to all the experts.

We send our many thanks to all of you.

We are impressed by the USA.

We will spread the word around Russia and around the world.

And we hope to see you all again in the future.

Keep it going, please!

Sincerely yours,

Evgeny Konoplev



**John C. Stennis Center for Public Service**  
FY 2017 Budget Request



**Stennis Center for Public Service**  
Congressional Staff Training and Development  
Budget Request for Fiscal Year 2017

**Introduction**

Congress created the John C. Stennis Center for Public Service in 1988 (PL 100-458) as an agency of the Legislative Branch specifically to promote and strengthen public service leadership in America. It is governed by a Board of Directors<sup>1</sup> appointed by the Speaker and the Minority Leader of the House and by the Majority and Minority Leaders of the Senate and is located in Starkville, Mississippi with an office in Washington, DC.

Congressional staff training and development activities are the focal point for the Stennis Center's work. The core of this effort is a unique bipartisan, bicameral leadership development program for senior-level Congressional staff known as the Stennis Congressional Staff Fellows program. Since the program began in the 103<sup>rd</sup> Congress, work with Congressional staff has been expanded to include a mentoring program for junior staff and a program for summer interns working in Congressional offices. The Stennis Center also conducts programs connecting Congressional staff leaders with military leaders as well as a variety of learning opportunities presented to Congressional staff during each Congress.

The Stennis Fellows program brings together House and Senate chiefs of staff, committee staff directors, legislative directors and other professional staff leaders in an extensive leadership development program focused on issues confronting the Congress as a vital institution of American democracy. Each Congress, an independent committee selects 28 to 32 Congressional staff nominated by Members of Congress. The aim of the program is to strengthen the capacity of these senior-level staffers to confront the challenges facing the Legislative Branch and thereby to better serve Members and their constituents.

This program is modeled on executive development programs available in the Executive Branch and in the private sector, but it is designed specifically for the unique needs of senior-level staff in Congress. By bringing together Congressional staff expressly to strengthen their leadership skills and to build bipartisan, bicameral relationships, the program fills a need that is not addressed by any other program. To date, over 300 Stennis Fellows have participated in the program, many of whom continue to be involved in the Center's activities as Senior Stennis Fellows.

One of the ways Senior Stennis Fellows continue to support Congressional public service leadership is through the Emerging Congressional Staff Leaders program. Begun in the 106<sup>th</sup> Congress, this mentoring program was created for staff members who have served less than five years on Capitol Hill but have demonstrated a commitment to Congress and potential for future leadership. Senior Fellows serve as mentors to Emerging Leaders, providing guidance and insights that enable Emerging Leaders to strengthen their leadership potential and better serve their Member or Committee. The Emerging Leaders also develop strong and meaningful bonds

that bridge party and chamber boundaries. Almost 150 young staffers have participated in this program since its inception.

Additionally, the Stennis Center conducts a program for selected summer interns in the Congress that enhances their intern experience. Senior Stennis Fellows share their insights and expertise with these promising young leaders through a series of forums and interactive experiences that reveal both the real workings of the Congress as well as the challenges and rewards of Congressional public service. Since the program began in 2003, some 373 Congressional interns have participated.

The Stennis Center also provides other learning opportunities for senior staff, including programs for Senior Stennis Fellows. For example, senior Congressional staff members are regularly brought together with senior military leaders to build relationships and to facilitate a mutual understanding of their respective cultures. Joint programs have also been conducted with the Wharton School at the University of Pennsylvania and with the Harry S. Truman Scholarship Foundation bringing senior Congressional staff together with upcoming business leaders and public service scholars respectively.

In the 112<sup>th</sup> Congress, the Stennis Center established the William E. “Eph” Cresswell Congressional Staff Leadership Award to recognize an exceptional Congressional staff leader each Congress. The award is named for Eph Cresswell who served as Administrative Assistant and Chief of Staff for U.S. Senator John Stennis from 1958 to 1989. To date, there have been three recipients of the award.

In addition to the Congressional Staff Training and Development activities, the Stennis Center conducts a wide array of programs ranging from leadership development for promising high school students and women in public service to programs for Members of Congress.

**FY 2017 Budget Request: \$430,000**

While most Stennis Center programs are funded from interest earned on the Stennis Center’s \$7.5 million trust fund established by Congress in 1988, Congress began funding the Stennis Center’s Congressional staff leadership development programs in FY 2006 through an annual appropriation (as authorized in 2 USC 1109). This annual funding was necessitated by a decline in interest income from the trust fund, which is required to be invested in U.S. Treasury securities. Interest income had declined from 9.125 percent when the fund was established to 3.5 percent in 2006. As interest rates have continued to decline (currently at 2.0 percent), the annual appropriation for Congressional staff training and development has become critical to enabling the Stennis Center to maintain its high standard of commitment to the Congressional staff leadership programs without eliminating other programs.

The Congressional Staff Training and Development activities are conducted in a two-year cycle that corresponds to the Congressional calendar. Because of this, expenses for the programs generally peak during the second session of Congress. For FY 2017, the first session of the 115<sup>th</sup> Congress, the \$430,000 appropriation is expected to equal program costs. In FY 2018, total

expenses are expected to be more than the \$430,000 appropriation. This shortfall in the annual appropriation will be covered by earnings from the trust fund.

The Stennis Center strives to present the highest quality programs for Congressional staff at the lowest possible cost. Actual expenditures for these programs in FY 2015 included: employment of staff to conduct the programs totaling \$130,000; direct program costs including speakers, facilities, travel, food and lodging at \$253,100; office lease and utilities at \$43,000; printing, copying and postage at \$2,500; and equipment and supplies at \$1,400.

The \$430,000 appropriations request for FY 2017 is essential to enable the Stennis Center to continue to provide leadership training and development opportunities to Congressional staff as mandated by its authorizing legislation. Without the appropriation, the highly successful Congressional Staff Fellows, Emerging Leaders, and Congressional Intern programs would be severely reduced, if not eliminated.

**FY 2017 Budget Request Detail**

**Congressional Staff Programs**  
(by Program Activity)

|   |                  |
|---|------------------|
| Stennis Congressional Staff Fellows Program             | \$275,550        |
| Emerging Congressional Staff Leaders Program            | 33,900           |
| Stennis Leadership Program for Congressional Interns    | 34,300           |
| Civil-Military Leadership Program for Members and Staff | 31,200           |
| Senior Stennis Congressional Staff Fellows Program      | <u>\$ 55,050</u> |
| <b>Total</b>  | <b>\$430,000</b> |

(by Object Classification)

|  |                  |
|--|------------------|
| Personnel  | \$135,500        |
| Direct Program Costs (including speakers, facilities,<br>travel, food and lodging) | 243,950          |
| Office Lease and Utilities   | 45,000           |
| Printing, Copying and Postage  | 3,550            |
| Equipment and Supplies   | <u>2,000</u>     |
| <b>Total</b>   | <b>\$430,000</b> |

**Conclusion**

As a Legislative Branch agency established to promote and strengthen public service leadership, the Stennis Center is uniquely positioned to provide leadership development opportunities for Congressional staff. Like their counterparts in the Executive Branch and similar to professionals in the private sector, Congressional staff benefit from opportunities to strengthen their skills through leadership development. Furthermore, the design of the Center’s Congressional staff programs enables staff leaders across chamber and party lines to learn from each other and build relationships that would otherwise not be possible.

While the individual Congressional staff leaders who participate in Stennis Center programs benefit greatly from the experience, there are also significant benefits to the Members of Congress they serve, and to citizens as these staff strengthen their leadership skills. And perhaps there is no greater beneficiary than the institution they serve – the United States Congress. The primary focus of the program is to strengthen the effectiveness of Congress to fulfill its Constitutional role as a vital institution of American democracy. To meet the demands and complexities of a rapidly changing nation, Congressional staff leaders must continually sharpen their leadership skills and expand their understanding.

The Stennis Center will use the \$430,000 appropriation requested to accomplish its Congressional mandate to provide Congressional staff training and development opportunities while it continues to achieve its broader mission to promote and strengthen public service leadership in America. We are grateful for the opportunity to work with such highly-qualified individuals who are committed to public service in the Legislative Branch and who are eager for opportunities to further develop their leadership abilities.

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<sup>1</sup> – List of current board members.

Marsha Blackburn  
U.S. Representative from Tennessee

Rex G. Buffington, II  
Executive Director of the Stennis Center for Public Service

Travis W. Childers (VICE CHAIR)  
Former U.S. Representative from Mississippi

Christopher Coons  
U.S. Senator from Delaware

Mike Moore (CHAIRMAN)  
Former Attorney General of Mississippi

Terri A. Sewell  
U.S. Representative from Alabama



