

# LEGISLATIVE BRANCH APPROPRIATIONS FOR FISCAL YEAR 2013

THURSDAY, MARCH 22, 2012

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

The subcommittee met at 2:33 p.m., in room SD-124, Dirksen Senate Office Building, Hon. Ben Nelson (chairman) presiding.  
Present: Senators Nelson and Hoeven.

U.S. SENATE

OFFICE OF THE SECRETARY

## STATEMENT OF NANCY ERICKSON, SECRETARY OF THE SENATE

### OPENING STATEMENT OF SENATOR BEN NELSON

Senator NELSON. The subcommittee will come to order.

Good afternoon, everyone, and welcome. My colleague and friend, the Ranking Member, Senator Hoeven, is on his way. He should be here shortly, and when he arrives, we will ask him to make any opening comments that he would like to make.

We welcome today, to take the testimony for the fiscal year 2013 budget request for the Secretary of the Senate, the Senate Sergeant at Arms, and the U.S. Capitol Police.

This is our final hearing for fiscal year 2013, and I would like to thank everyone for being here. I would like to thank Nancy Erickson, the Secretary of the Senate; Terrance W. Gainer, the Senate Sergeant at Arms (SAA); and Phillip D. Morse, Sr., the Chief of the United States Capitol Police (USCP).

This is our last hearing of the year for fiscal year 2013 budgets for the agencies of the legislative branch. In the near future, my ranking member and I, along with our colleagues, will begin making those tough funding decisions.

And I want to thank everyone today, particularly the witnesses and everyone else who has testified thus far before this subcommittee.

The testimony has been vital and will continue to be vital in helping us prioritize everybody's priorities. That is what the process is all about. Lean budgets do not mean that employees are not doing their job. It simply means that we are in tough economic times, and we have to ask our employees to do more with less.

The dedication and hard work of all of your staffs under these circumstances is commendable, and we mean that.

The Senate is a very demanding place to work, whether it is behind-the-scenes requirements that allow both Senate floor and the committees to proceed to operate smoothly, or maintaining the infrastructure that allows our staffs to do their jobs efficiently, or ensuring the safety of everyone who enters the Capitol Grounds against the daily threats and those who visit the Capitol Grounds, as well.

We're grateful to all of the men and women who keep the Senate operating flawlessly, except for the floor, and the Capitol a safe place to work and to visit every day.

Ms. Erickson, we are pleased to have you here this afternoon, and I look forward to your testimony. For fiscal year 2013, your office is requesting a total of \$30.1 million, which is the same level of funding recently provided to your office in fiscal year 2012. You are requesting \$4.2 million for the Senate Information Services (SIS) program, which was transferred to your office from the SAA in fiscal year 2011.

I look forward to hearing more about the specifics of your budget request, and how you are clearly doing more with less, because, obviously, that is what you are doing.

I also look forward to receiving an update on the progress of the new Senate payroll system.

Mr. Gainer, first I want to commend you for your handling of the recent mail threats. It was a matter of grave concern for all who work here and who visit here. We have come a long way since the anthrax attack, and your diligence in keeping our staffs who handle the mail safe is greatly appreciated by all of our colleagues across the entire Senate.

SAA's requests for fiscal year 2013 total \$205 million, an increase of \$1.7 million more than the fiscal year 2012 enacted level. I look forward to hearing your priorities, given the tight budget that you submitted.

Finally, Chief Morse, your fiscal year 2012 request totals \$373.8 million, which is an increase of \$34 million, or 10 percent more than the fiscal year 2012 enacted level.

Clearly, we're going to need to look carefully at the request, given how tight the budgets are going to be and continue to be in fiscal year 2013.

In particular, we will be reviewing your request for overtime, given that it is a 15-percent increase when you include your overtime costs that are in the Architect of the Capitol's (AOC) budget.

Further, your request for a total increase of \$5.1 million in overtime is in addition to your request to increase your total number of sworn officers by 17. I look forward to receiving an update on the radio modernization project, as well.

In anticipation that Senator Hoeven will be here shortly, perhaps we can go ahead and begin with the witnesses. As always, we try to hold the statements to about 5 minutes, but it is not a hard-and-fast rule. It is just sort of a guideline.

With that in mind, Ms. Erickson, the floor is yours.

#### SUMMARY STATEMENT OF NANCY ERICKSON

Ms. ERICKSON. Chairman Nelson, I appreciate this opportunity to provide testimony on behalf of the Office of the Secretary. I ask

that my statement, which includes our department reports, be included in the record.

In 1789, the first Secretary of the Senate, Samuel Otis, was tasked with legislative, financial, and administrative responsibilities that remain the hallmark of our organization today. While Otis founded the office, Secretary Asbury Dickins, who served from 1836 until 1861, was credited with stabilizing the office with a staff of six people.

After hearing Senator complaints about staff disorganization, Dickins prepared a manual of job descriptions and instructed his staff that their hours of business would be 9 a.m. until 3 p.m., until such later hour as the Senate may remain in session, and that it would be expected of a gentleman of the office to be ready at all times.

Today, I have the good fortune to be surrounded by a strong, but lean organization of men and women with institutional and subject expertise, who are always ready to serve the Senate, no matter the time of day. They are the people who support the legislative process, including the first female Senate parliamentarian; the people who process your office vouchers, I might add 23-percent faster than last year; the people who ensure our public Web site, [www.senate.gov](http://www.senate.gov), is updated with the latest legislative and educational information; the people who counsel members and senior staff on employment laws, process staff security clearances, respond to staff research requests, implement the lobbying disclosure laws, and educate our Senate pages.

I recognize that you have asked our legislative branch agencies to lead by example again. Our budget request for fiscal year 2013 is \$30,101,459. The salary budget represents an increase of \$91,000 more than fiscal year 2012 as a result of the costs associated with the cost-of-living adjustment. No increase is requested for operating expenses, and we have not requested an increase in the operating budget for the SIS program.

From fiscal year 2008 to fiscal year 2011, our operating budget had remained flat, despite new statutory mandates. I believe this is a reflection of the careful spending decisions over the past few years.

In fiscal year 2012, our operating budget was cut 19 percent in order to shield cuts to the online research and new services provided to Senate staff through the SIS program. Despite the condition when the program was transferred from SAA to the Secretary's budget that there be a firewall between the SIS budget and the Secretary's budget, we knew the SIS program would not survive the magnitude of cuts last year. As a result, we felt we had no choice but to offer to take a larger cut in our operational budget in order to save online information services that Senate staff rely on to do their jobs.

I hope to keep the firewall next year.

Even though the SIS program was shielded from fiscal year 2012 budget cuts, because of vendor price increases, we were still required to cut two information contracts from the program. My staff has projected that the overall cost of providing the current mix of research services to the Senate through fiscal year 2016 could escalate at a rate as much 2.8 percent per year.

With respect to our financial responsibilities, the Disbursing Office staff, along with our colleagues in the SAA technical support office, is working closely with the vendor that was awarded the SAA contract to implement the PeopleSoft payroll software. We're working extremely hard toward a fall implementation.

I think it is fair to say that our staff is spread extremely thin while they continue with their enormous responsibilities to correctly administer the Senate's payroll twice a month.

Mr. Chairman and Senator Hoeven, the Senate generates a great many records, some published, some not. As Secretary, it is my responsibility to oversee the regular transfer of Senate Committee records to the National Archives, where they can be preserved both for the Committees' future use and for historical research. The archivists in the Senate Historical Office are also providing advice to the individual Senators on how and where to archive the records of their own offices.

The task has grown exceedingly more complex with the enormous expansion of electronic communications.

Recently, President Obama directed all executive branch agencies to reform their records management to improve performance, accountability, and increase Government transparency by better documenting their actions and decisions. I am pleased to report that the Senate began well before and is well ahead of the executive branch. The Senate has preserved an average of 3,000 to 4,000 feet of textual records for each Congress. Those papers have been supplemented by 2.6 terabytes of electronic records that are stored at the Center for Legislative Archives.

Finally, the Office of the Secretary continues to support the Senate's emergency preparedness program with our legislative partners. Our staff who support the chamber can vouch that years of training paid off on August 23, 2011, when an earthquake forced the temporary evacuation of the Capitol.

The Senate was scheduled to convene in a pro forma session that day and did so at a nearby alternate facility with the support of SAA and the party secretaries.

All materials required to support a session of the Senate had been remotely stored for just such an occurrence. Not since 1814 had the Senate relocated to an alternate facility to conduct business.

#### PREPARED STATEMENT

History happens every day in the Senate, and the Secretary's staff remains proud of our role in supporting the Senators and their staff in their important work, as well as preserving this institution's great history.

Thank you.

[The statement follows:]

#### PREPARED STATEMENT OF NANCY ERICKSON

Mr. Chairman, Senator Hoeven, and members of the subcommittee, thank you for your invitation to present testimony in support of the budget request of the Office of the Secretary of the Senate for fiscal year 2013.

It is a pleasure to have this opportunity to draw attention to the accomplishments of the dedicated and outstanding employees of the Office of the Secretary. The annual reports which follow provide detailed information about the work of each de-

partment of the office, their recent achievements, and their plans for the upcoming fiscal year.

My statement includes:

- presenting the fiscal year 2013 budget request;
- implementing mandated systems, financial management information system (FMIS), and the legislative information system (LIS);
- continuity of operations planning; and
- maintaining and improving current and historic legislative, financial, and administrative services.

#### PRESENTING THE FISCAL YEAR 2013 BUDGET REQUEST

I am requesting a total fiscal year 2013 budget of \$30,101,459. The request includes \$24,285,115 in salary costs and \$5,816,344 for the operating budget of the Office of the Secretary. The salary budget represents an increase of \$91,000 more than the fiscal year 2012 budget as a result of the costs associated with the annual cost of living adjustment. No increase is requested for our operating expenses. In addition, the operating budget for the administration of Senate Information Services (SIS) program that was assumed by this office in 2011 has not been increased.

#### OFFICE OF THE SECRETARY APPORTIONMENT SCHEDULE

Items	Amount available fiscal year 2012	Budget estimates fiscal year 2013	Difference
Departmental operating budget:			
Executive office .....	\$444,495	\$444,495	.....
Administrative services .....	5,323,359	5,323,359	.....
Legislative services .....	48,490	48,490	.....
Total operating budget .....	5,816,344	5,816,344	.....

#### IMPLEMENTING MANDATED SYSTEMS

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

##### *Financial Management Information System*

FMIS is used by approximately 140 Senate offices. Consistent with our strategic plan, the Disbursing Office continues to modernize processes and applications to meet the continued demand by Senate offices for efficiency, accountability, and ease of use. Our goals are to move to an integrated, paperless voucher system, improve the WebFMIS system, and make payroll and accounting system improvements.

During fiscal year 2011, specific progress made on the FMIS project included two upgrades of WebFMIS:

- FMIS 2011–2 was implemented in June 2011. This release included an enhancement to electronic invoicing that allows an office (or an auditor in the Disbursing Office) to split a single charge on an invoice into two accounting lines. The expense summary report (ESR) line entry module was also updated to implement some minor enhancement and corrections. Release 2011–2 also implemented the third of three major phases in WebPICS, which effectively replaces and improves ADPICS (the mainframe procurement application). The first two phases of WebPICS provided functionality for requisitions and vouchers. This release allowed purchase orders to be created, approved, and posted.

One of the larger changes in this release was the addition of online access to the month end ledger statements (Statement of Funding Authorization and Expense Activity). A pilot group was given access to their May 2011 statements first. After positive feedback, all offices were given access to their June 2011 statements, and paper distribution was eliminated.

- FMIS 2011–3 was implemented in August 2011. The most significant feature in release 2011–3 was the image viewer and repository that allows users to attach documentation to their vouchers. A pilot of three offices began attaching their supporting documentation electronically only—the paper vouchers themselves were still required to provide approving signatures. Unfortunately, system performance for the auditors fell less than acceptable levels, and Disbursing asked its pilot offices to suspend testing until the issue was resolved. The matter was quickly identified, and we are now positioned to scale up for

a Senate-wide rollout. Initial testing at the end of the year showed a vast improvement.

The most significant improvement to WebPICS was the implementation of an insufficient funds limitation, on the submission and approval of requisitions. The entry of specific limits will be rolled out in 2012. After this release, the information technology (IT) section discontinued granting new procurement users access to mainframe ADPICS.

The computing infrastructure for FMIS is provided by the Sergeant at Arms (SAA). Each year SAA staff upgrades the infrastructure hardware and software. During 2011, SAA implemented two upgrades to the FMIS infrastructure. These included a maintenance update to the database (DB2), and a maintenance update to the mainframe operating system (Z/OS).

In October 2010, a task order for the adding document imaging and electronic signatures to WebFMIS was signed. This task order outlines work to be completed between then and spring 2013 in three phases. The revised schedule is:

- Phase 1.—Imaging only pilot—fall 2011;
- Phase 2.—Office imaging and signatures pilot (March 2012), and full roll-out (June 2012); and
- Phase 3.—Staffer imaging and signatures pilot (fall 2012), and rollout (spring 2013).

During 2008, the Disbursing Office and SAA worked together to develop detailed system requirements desired for our new payroll system. We reviewed several different products and in 2009 selected a new software program for the system. In March 2010, the Senate selected a system integrator to assist with implementing the new software. The system integrator began work on the project in November 2010 with a very aggressive implementation plan of 15 months.

—The Senate Payroll System (SPS) includes several phases. The initial phase is the implementation of functions for processing payroll and managing Senate office budgets and payroll projections. The second phase is to implement and conduct a pilot test for self-service applications which will allow Senate employees to enter and change certain personal data and benefits selections. The third phase will be replacement of the current Senate Office Personnel System (SOPS).

—The first phase of the project is currently scheduled to go live the first week of September. The systems integrator has experienced several delays in the course of the project. As the project lead, SAA has maintained a close review of contract expenditures and is working closely with the vendor to ensure costs remain within the existing contracted levels.

During the remainder of fiscal year 2012 the following FMIS activities are anticipated:

- Coordinating with SAA the timeframes for the implementation of the smart card ID project for electronic signatures;
- Continuing the implementation and the required updates to the Hyperion Financial Management application to provide the Senate the ability to produce auditable financial statements;
- Continuing the implementation of online financial reports;
- Participating in the yearly disaster recovery test;
- Implementing FMIS 2012–1, which includes imaging infrastructure upgrade and voucher printing fixes;
- Implementing FMIS 2012–2, imaging and signatures roll out—this release will provide capacity and stability enhancements to support rollout to all offices and committees, as well as enhancements to the pilot functionality based on feedback gained through user group meeting and training sessions and new ESR functionality;
- Continuing with SPS implementation, conversion, training and user acceptance, and parallel testing for Phase I; and
- Reviewing existing systems and develop a long-term modification and replacement plan for key financial systems.

Anticipated projects for fiscal year 2013:

- Implementing FMIS 2013–1, deployment of an imaging and electronic signatures pilot for staffers;
- Implementing FMIS 2013–2, deployment of an imaging and electronic signatures pilot for all Senate staff;
- Continuing to coordinate with SAA and participate in the yearly disaster recovery activities;
- Continuing to support the SAA in any upgrades to the infrastructure software and hardware; and

—Continuing with the postimplementation support for SPS and the roll out of Phase II—employee self-service.

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

#### LEGISLATIVE OFFICES

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

Additionally, the Legislative Clerk acts as supervisor for the Legislative Department, responsible for overall coordination, supervision, scheduling, and cross-training. The department consists of eight offices:

- the Bill Clerk;
- Captioning Services;
- the Daily Digest;
- the Enrolling Clerk;
- the Executive Clerk;
- the Journal Clerk;
- the Legislative Clerk; and
- the Official Reporters of Debates.

#### *Summary of Activity*

The Senate completed its legislative business and adjourned on January 3, 2012. During the first session of the 112th Congress, the Senate was in session 170 days, conducted 235 rollcall votes and 5 live quorum calls. There were 185 measures reported from committees and 17 special reports submitted to the Senate. There were 402 total measures passed or agreed to. In addition, there were 1,467 amendments submitted to the desk.

#### *Cross-Training and Continuity of Operations Planning*

Recognizing the importance of planning for the continuity of Senate business, under both normal and possibly extenuating circumstances, cross-training continues to be strongly emphasized among the Secretary's legislative staff. To ensure additional staff are trained to perform the basic floor responsibilities of the Legislative Clerk, as well as the various other floor-related responsibilities of the Secretary, approximately one-half of the legislative staff are currently involved or have recently been involved in cross-training.

Each office and staff within the Legislative Department participated in numerous ongoing Continuity Of Operations (COOP) discussions and exercises, including an off-site mock session, throughout the past year. These discussions and exercises are a joint effort involving the Office of the Secretary, the party secretaries, the U.S. Capitol Police (USCP), and SAA.

#### *Succession Planning*

The average number of years of Senate service among the Secretary's Legislative Department supervisors is 22 years. It is critical that the Secretary's Legislative Department attract and keep talented employees, especially the second tier of employees just behind the current supervisors because of the unique nature of the Senate as a legislative institution. The arcane practices and voluminous precedents of the Senate make institutional experience and knowledge extremely valuable.

#### BILL CLERK

The Office of the Bill Clerk collects and records data on the legislative activity of the Senate, which becomes the historical record of official Senate business. The Bill Clerk's Office keeps this information in its handwritten files and ledgers and also enters it into the Senate's automated retrieval system so that it is available

to all House and Senate offices through the LIS. The Bill Clerk records actions of the Senate with regard to bills, resolutions, reports, amendments, cosponsors, Public Law numbers, and recorded votes. The Bill Clerk is responsible for preparing for print all measures introduced, received, submitted, and reported in the Senate. The Bill Clerk also assigns numbers to all Senate bills and resolutions. All the information received in this office comes directly from the Senate floor in written form within moments of the action involved, so the Bill Clerk's Office is generally regarded as the most timely and most accurate source of legislative information.

#### *Assistance From the Government Printing Office*

The Bill Clerk's Office maintains an exceptionally good working relationship with Government Printing Office (GPO) and seeks to provide the best service possible to meet the needs of the Senate. GPO continues to respond in a timely manner to the Secretary's request, through the Bill Clerk's Office, for the printing of bills and reports, including the expedited printing of priority matters for the Senate chamber.

#### *Legislative Activity*

For comparative purposes, the following table provides summaries of the first sessions of the 111th and 112th Congresses:

	111th Congress, 1st Session	112th Congress, 1st Session	Percentage change
Senate bills .....	2,920	2,031	- 30.44
Senate joint resolutions .....	25	33	+ 32.00
Senate concurrent resolutions .....	48	33	- 31.25
Senate resolutions .....	387	351	- 9.30
Amendments submitted .....	3,298	1,467	- 55.52
House bills .....	382	188	- 50.79
House joint resolutions .....	10	7	- 30.00
House concurrent resolutions .....	67	23	- 65.67
Measures reported .....	199	185	- 7.04
Written reports .....	113	130	+ 15.04
<b>Total legislation .....</b>	<b>7,449</b>	<b>4,448</b>	<b>- 40.29</b>
Rollcall votes .....	397	235	- 40.81
House messages <sup>1</sup> .....	292	178	- 39.04
Cosponsor requests .....	7,205	6,621	- 8.11

<sup>1</sup> This number reflects how many messages from the House are typed up by the Bill Clerks for inclusion in the Congressional Record. It excludes additional activity on these bills.

#### CAPTIONING SERVICES

The Office of Captioning Services provides real-time captioning of Senate floor proceedings for the deaf and hard-of-hearing and unofficial electronic transcripts of Senate floor proceedings to Senate offices on Webster, the Senate Intranet.

#### *General Overview*

Captioning Services strives to provide the highest-quality closed captions. The overall accuracy average rate for the Office is a stellar 99.57 percent. This marks the 18th year in a row the Office has achieved an accuracy rate more than 99 percent. Overall caption quality is monitored through daily translation data reports, monitoring of captions in real-time, and review of caption files on Webster. In an effort to decrease paper consumption and printing costs, accuracy reviews, and reports were completed and archived in electronic form. Also, newspaper and magazine subscriptions used for preparation and research were cancelled to achieve added cost savings and replaced with already available electronic copies.

The real-time searchable closed caption log, available to Senate offices on Webster, continues to be an invaluable tool for the entire Senate community. Legislative floor staff, in particular, continues to depend upon its availability, reliability, and contents to help them in the performance of their duties. The Senate caption log will undergo an upgrade during 2012, and work has begun to develop and enhance the software while maintaining the accuracy and dependability the Senate community has come to expect from the caption log.

#### *Continuity of Operations Planning*

COOP planning and preparation continue to be a top priority to ensure that the Office is prepared and confident about the ability to relocate and successfully function from a remote location in the event of an emergency. Continual updates and



review of the COOP plan and discussion with staff throughout the year prepare individuals to have confidence if called upon to execute the plan. The Office participates with the Senate Recording Studio in two off-site location exercises related to COOP annually and also tests monthly the reliability of equipment and readiness of staff to relocate to additional sites in the event of an emergency.

DAILY DIGEST

The Office of the Senate Daily Digest is pleased to transmit its annual report on Senate activities during the first session of the 112th Congress.

*Chamber Activity*

The Senate was in session a total of 170 days, for a total of 1,101 hours and 44 minutes. There were five quorum calls and 235 record votes. (See the following chart for 20-Year Comparison of Senate Legislative Activity).

20-YEAR COMPARISON OF SENATE LEGISLATIVE ACTIVITY<sup>1</sup>

	1992	1993	1994	1995	1996	1997	1998	1999	2000	2001
Senate convened	1/3	1/5	1/25	1/4	1/3	1/3	1/27	1/6	1/24	1/3
Senate adjourned	10/9	11/26	12/01	1/3/96	10/4	11/13	10/21	11/19	12/15	12/20
Days in session	129	153	138	211	132	153	143	162	141	173
Hours in session	1,091'09"	1,269'41"	1,243'33"	1,839'10"	1,036'45"	1,093'07"	1,095'05"	1,183'57"	1,017'51"	1,236'15"
Average hours per day	8.5	8.3	9.0	8.7	7.8	7.1	7.7	7.3	7.2	7.1
Total measures passed	651	473	465	346	476	386	506	549	696	425
Rollcall votes	270	395	329	613	306	298	314	374	298	380
Quorum calls	5	2	6	3	2	6	4	7	6	3
Public Laws	347	210	255	88	245	153	241	170	410	136
Treaties ratified	32	20	8	10	28	15	53	13	39	3
Nominations confirmed	30,619	38,676	37,446	40,535	33,176	25,576	20,302	22,468	22,512	25,091
Average voting attendance	95.4	97.6	97.02	98.07	98.22	98.68	97.47	98.02	96.99	98.29
Sessions convened before 12 noon	112	128	120	184	113	115	109	118	107	140
Sessions convened at 12 noon	6	6	9	2	15	12	31	17	25	10
Sessions convened after 12 noon	10	15	17	12	7	7	2	19	24	21
Sessions continued after 6 p.m.	91	100	100	158	88	96	93	113	94	108
Sessions continued after 12 midnight	9	7	3	1	.....	.....	.....	.....	2	3
Saturday sessions	2	2	3	5	1	.....	.....	.....	1	1
Sunday sessions	.....	.....	.....	3	.....	.....	.....	.....	.....	.....

20-YEAR COMPARISON OF SENATE LEGISLATIVE ACTIVITY—Continued

	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011
Senate convened	1/23	1/7	1/20	1/4	1/3	1/4	1/3	1/6	1/5	1/5
Senate adjourned	11/20	12/9	12/8	12/22	12/9	12/31	1/2	12/24	12/22	1/3/12
Days in session	149	167	133	159	138	189	184	191	158	170
Hours in session	1,043'23"	1,454'05"	1,031'31"	1,222'26"	1,027'48"	1,375'54"	988'31"	1,420'39"	1,074'40"	1,101'44"
Average hours per day	7.0	8.7	7.7	7.7	7.4	7.2	5.37	7.44	6.8	6.5
Total measures passed	523	590	663	624	635	621	589	478	569	402
Rollcall votes	253	459	216	366	279	442	215	397	299	235
Quorum calls	2	3	1	3	1	6	3	3	8	5
Public Laws	241	198	300	169	313	180	280	125	258	90
Treaties ratified	17	11	15	6	14	8	30	1	6	2
Nominations confirmed	23,633	21,580	24,420	25,942	29,603	22,892	21,785	23,051	23,327	19,815
Average voting attendance	96.36	96.07	95.54	97.41	97.13	94.99	94.36	96.99	95.88	97.08

Sessions convened before 12 noon .....	119	133	104	121	110	156	147	148	116	127
Sessions convened at 12 noon .....	12	4	9	1	4	4	4	2	6	4
Sessions convened after 12 noon .....	23	23	21	36	24	32	33	41	36	39
Sessions continued after 6 p.m. ....	103	134	129	120	129	144	110	152	116	120
Sessions continued after 12 midnight .....	8	2	3	3	4	4	2	2	1	1
Saturday sessions .....	.....	1	2	2	2	1	3	5	2	2
Sunday sessions .....	.....	1	1	2	.....	1	1	4	1	1

<sup>1</sup> Prepared by the Senate Daily Digest—Office of the Secretary.

*Committee Activity*

Senate committees held a total of 939 meetings during the first session, of the 112th Congress, as contrasted with 827 meetings during the second session, of the 111th Congress.

All hearings and business meetings (including joint meetings and conferences) are scheduled through the Daily Digest and are published in the Congressional Record, on the Digest's Web site on Senate.gov, and LIS, the Web-based applications system. Meeting outcomes are also published by the Daily Digest in the Congressional Record each day and continuously updated on the Web site.

*Computer Activities*

The Daily Digest staff continues to work closely with Senate computer staff to refine the LIS/document management system (DMS), including further refinements to the Senate Committee Scheduling application which will improve the data entry process.

## ENROLLING CLERK

The Enrolling Clerks prepare, proofread, input amendments, and print all legislation passed by the Senate prior to its transmittal to the House of Representatives, the National Archives, the Secretary of State, the United States Claims Court, and the White House.

During the first session of the 112th Congress the Enrolling Clerk's office prepared the enrollment of 20 Senate bills (transmitted to the President); 4 Senate enrolled joint resolutions (transmitted to the President); 8 Senate concurrent resolutions (transmitted to the National Archives); and 143 Senate appointments (transmitted to the House of Representatives). In addition, 192 House of Representatives bills, 25 House Concurrent Resolutions, 7 House Joint Resolutions, and three conference reports were either amended, passed, or acted on by the Senate requiring the Enrolling Clerk's office staff to process hundreds of amendments in a tightly managed schedule prior to messaging the legislation to the House of Representatives for further action. In all, there were 69 messages delivered to the Clerk's office and 42 delivered to the House Chamber by the Enrolling Clerk's office relative to Senate action and passage of legislation. The Enrolling Clerk's office also delivered to the House Clerk's office of approximately 62 House enrolled bills and 4 House joint resolutions after they had been signed by the President pro tempore as customary.

A total of 402 pieces of legislation were passed or agreed to during the first session of the 112th Congress. Many other Senate bills were placed on the calendar, all of which were processed in the Enrolling Clerk's office including 61 Senate engrossed bills, 4 joint resolutions, 17 concurrent resolutions, and 234 Senate simple resolutions. The Enrolling Clerk's office keeps the original official copies of bills, resolutions, and appointments from the Senate floor through the end of each Congress. At the end of each Congress, the Enrolling Clerk's office carefully organizes all official papers sequentially in archival boxes, each labeled accordingly, accompanied by a report detailing the contents of each box which are then transmitted to the Senate Archivist for proper storage at the National Archives.

The Senate Enrolling Clerk's office is also responsible for transmitting the original files of all Senate bills and resolutions engrossed and enrolled in the Senate to GPO.

*Continuity of Operations Planning*

The Enrolling Clerks participated in two continuity of operations (COOP) exercises in 2011. In addition to testing printers for the COOP fly-away kits, the exercises also encompassed the important details of our operations necessary for the engrossment and enrollment of legislation involving the use of printers and specific paper stock supplied by GPO.

## EXECUTIVE CLERK

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

*Nominations*

During the first session of the 112th Congress, there were 1,200 nomination messages sent to the Senate by the President, transmitting 20,517 nominations to positions requiring Senate confirmation and 23 messages withdrawing nominations sent to the Senate during the first session of the 112th Congress. Of the total nominations transmitted, 503 were for civilian positions other than lists in the Foreign Service, Coast Guard, National Oceanic and Atmospheric Administration, and Public Health Service. In addition, there were 3,469 nominees in the “civilian list” categories named previously. Military nominations received this session totaled 16,545 (5,983 B Air Force; 5,908 B Army; 3,405 B Navy and 1,249 B Marine Corps). The Senate confirmed 19,815 nominations this session. Pursuant to the provisions of paragraph six of Senate Rule XXXI, 12 nominations were returned to the President during the first session of the 112th Congress.

*Treaties*

There were four treaties transmitted to the Senate by the President during the first session of the 112th Congress for its advice and consent to ratification, which were ordered printed as treaty documents for the use of the Senate (Treaty Doc. 112-1 through 112-4).

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

*Executive Reports and Rollcall Votes*

There were five executive reports relating to treaties ordered printed for the use of the Senate during the first session of the 112th Congress (Executive Report 112-1 through 112-5). The Senate conducted 51 rollcall votes in executive session, all on or in relation to nominations and treaties.

*Executive Communications*

For the first session of the 112th Congress, 4,400 executive communications, 62 petitions and memorials, and 35 Presidential messages were received and processed.

*Environmental Impact*

In an effort to save money and eliminate the use of unnecessary paper, the Executive Clerk reduced the copies of treaties, executive reports of treaties, and the Executive Calendar printed for distribution as they are available online.

*Online Archive of Executive Calendars*

At the request of committees and the public for more information on past nominations and treaties, an archive of Executive Calendars from 1997 to present can now be viewed through [Senate.gov](http://Senate.gov). This historical information was compiled by the Senate Library through files provided by the Executive Clerk. The Secretary’s Office of Web Technology was responsible to converting and placing the archived files on the [Senate.gov](http://Senate.gov) Web page. Calendars created prior to 1997 will be placed in the online archive as they are converted.

## JOURNAL CLERK

The Journal Clerk takes notes of the daily legislative proceedings of the Senate in the “Minute Book” and prepares a history of bills and resolutions for the printed Journal of the Proceedings of the Senate, or Senate Journal, as required by Article I, section V of the Constitution. The content of the Senate Journal is governed by Senate Rule IV, and is approved by the Senate on a daily basis. The Senate Journal is published each calendar year.

The Journal staff take 90-minute turns at the rostrum in the Senate chamber, noting the following by hand for inclusion in the Minute Book:

- all orders (entered into by the Senate through unanimous consent agreements);
- legislative messages received from the President of the United States;
- messages from the House of Representatives;
- legislative actions as taken by the Senate (including motions made by Senators, points of order raised, and rollcall votes taken);
- amendments submitted and proposed for consideration;
- bills and joint resolutions introduced; and
- concurrent and Senate resolutions as submitted.

These notes of the proceedings are then compiled in electronic form for eventual publication of the Senate Journal at the end of each calendar year. Compilation is efficiently accomplished through utilization of the LIS Senate Journal Authoring System. The Journal Clerk completed production of the 925-page calendar year 2010

volume in 2011, and it is anticipated that work on the calendar year 2011 volume will conclude by September 2012.

*Continuity of Operations Planning*

In 2011, in support of the Office of the Secretary's commitment to continuity of operations programs, the Office of the Journal Clerk participated in the annual Chamber Protective Actions/Briefing Center exercise, the alternate chamber exercise in May, and legislative staff-specific exercises. Real-world implementation of emergency procedures occurred when the Senate met in an alternate location in the immediate aftermath of the August earthquake. Additionally, monthly tests of BlackBerry emergency notification and laptop remote access procedures are conducted. The Journal Clerk continued the practice of scanning the daily Minute Book pages into a secure directory. The files are also copied onto a flash drive storage device weekly, and transported off-site each night. Although the actual Minute Books for each session of a Congress are sent to the National Archives a year following the end of a Congress, having easily accessible files, both on a remote server and on portable storage device, will ensure timely reconstitution of the Minute Book data in the event of damage to, or destruction of, the physical Minute Book.

*Cost Savings*

In 2011, the Office of the Journal Clerk undertook efforts to reduce already-conservative consumption of paper volume used in a traditionally paper-driven office. Lesser consumption of paper used in the office resulted from reduction in printing of draft copies of work product as updated, and from elimination of the paper copies of daily Minute Book pages used by the Journal Clerk team in production of the Senate Journal, by the Daily Digest office in compiling statistics, and the Senate Library, for reference by Senate staff. Instead, electronic copies are accessed via an office network drive and are emailed to the Library and Daily Digest staffs.

OFFICIAL REPORTERS OF DEBATES

The Office of the Official Reporters of Debates is responsible for the stenographic reporting, transcribing, and editing of the Senate floor proceedings for publication in the Congressional Record. The Chief Reporter acts as the editor-in-chief and the Coordinator functions as the technical production manager of the Senate portion of the Record. The office interacts with Senate personnel on additional materials to be included in the Record.

On a continuing basis, all materials to be printed in the next day's edition of the Record are transmitted electronically and on paper to GPO. Much of the transcript of Senate floor proceedings and Morning Business is sent to GPO electronically to allow for production of the Record in a cost conscious and timely manner. In most instances, the paper copy of the Record is delivered by GPO within 2 to 3 hours of its content being placed on the Internet at approximately 7 a.m. every day.

The Chief Reporter, in conjunction with Senate office and committee staff, works to ensure compliance with the "2-page rule" to cut down on the printing costs of the Record by controlling the amount of extraneous printing to be done by GPO. As a result, these materials are often condensed so as not to exceed the rule and/or are cited and printed on Web sites with referencing so that they are available to the interested public.

The Official Reporters of Debate purchased three new ProCat Stylus steno machines for continuity of operations purposes. This purchase also allows this office to have a steno machine in reserve should a malfunction occur with a machine used for the daily floor proceedings.

PARLIAMENTARIAN

The Parliamentarian's Office continues to perform its essential institutional responsibilities to act as a neutral arbiter among all parties with an interest in the legislative process. These responsibilities include advising the chair, Senators and their staff, as well as committee staff, House members and their staffs, administration officials, the media and members of the general public, on all matters requiring an interpretation of the Standing Rules of the Senate, the precedents of the Senate, and unanimous consent agreements, as well as provisions of Public Law affecting the proceedings of the Senate.

The parliamentarians work in close cooperation with the Senate leadership and their floor staffs in coordinating all of the business on the Senate floor. The Parliamentarian or one of her assistants is always present on the Senate floor when the Senate is in session, ready to assist the Presiding Officer in his or her official duties, as well as to assist any other Senator on procedural matters. The parliamentarians

work closely with the staff of the Vice President of the United States and the Vice President himself whenever he performs his duties as President of the Senate.

The parliamentarians serve as the agents of the Senate in coordinating the flow of legislation with the House of Representatives and with the President, and ensure that enrolled bills are signed in a timely manner by duly authorized officers of the Senate for presentation to the President. The parliamentarians are a critical point of contact for emergency planning for representatives of the President.

The parliamentarians monitor all proceedings on the floor of the Senate, advise the Presiding Officer on the competing rights of the Senators on the floor, and advise all Senators as to what is appropriate in debate. The parliamentarians keep track of time on the floor of the Senate when time is limited or controlled under the provisions of time agreements, statutes or standing orders. The parliamentarians keep track of the amendments offered to the legislation pending on the Senate floor, and monitor them for points of order. In this respect, the parliamentarians reviewed more than 1,400 amendments during 2011 to determine if they met various procedural requirements (such as germaneness).

The Office of the Parliamentarian is responsible for the referral to the appropriate committees of all legislation introduced in the Senate, all legislation received from the House, as well as all communications received from the executive branch, State and local governments, and private citizens. In order to perform this responsibility, the parliamentarians do extensive legal and legislative research. During 2011, the parliamentarians referred 2,203 measures and 4,496 communications to the appropriate Senate committees. The office worked extensively with Senators and their staffs to advise them of the jurisdictional consequences of countless drafts of legislation, and evaluated the jurisdictional effect of proposed modifications in drafting.

During 2011, as has been the case in the past, the staff of the Parliamentarian's Office was frequently called on to analyze and advise Senators on a great number of issues arising under the Congressional Budget Act of 1974, the Trade Act of 1974, the Congressional Review Act, and many other provisions of law that authorize special procedural consideration of measures.

In the early weeks of 2011, the parliamentarians held many meetings with the proponents and opponents of changes to the Senate's rules and procedures, and counseled all interested parties in the intricacies of both the content of these proposals and the disputed processes for bringing about these changes. The Parliamentarian's Office was also heavily involved in the legislative procedures to address the debt ceiling and has been interpreting the text of what eventually became the language of the law ever since. Finally, in October 2011, the Senate confronted the issue of Motions to Suspend the Rules in a postcloture procedural situation in which the ruling of the Chair, given on the advice of this office, was overturned creating a new precedent for the Senate.

The parliamentarians participated in multiple orientation sessions for new staff in 2011 as part of the ongoing effort to inform the Senate community about its various procedures and the avenues of assistance available to them. As in the past, the parliamentarians also conducted several briefings on Senate procedure to various groups of Senate staff and visiting international parliamentary staff, on a non-partisan basis.

#### *Continuity of Operations Planning*

The parliamentarians have taken the lead in the Senate in analyzing the need for emergency procedural authorities of the Congress generally, and the Senate in particular. The parliamentarians have each been trained on and successfully remotely accessed the office's computers and hard drives, facilitating communications, research, and other work after hours, and enabling them to have the office function during possible emergencies. The Parliamentarian's Office continues to participate extensively in emergency preparedness training for the Senate Chamber.

Of note with respect to emergency procedures in 2011 was the earthquake that struck Washington, DC on August 23. The Senate was scheduled to hold a pro forma session that afternoon and of necessity was forced to hold a session outside of the Capitol building. The situation tested our emergency response protocols, and we are proud of our contributions that day to ensure the seamless functioning of the Senate in emergency situations.

#### FINANCIAL OPERATIONS

##### DISBURSING OFFICE

The mission of the Senate Disbursing Office is to provide efficient and effective central financial and human resource data management, information and advice to the offices, Members, and employees of the United States Senate. The Senate Dis-

bursing Office manages the collection of information from the distributed accounting locations within the Senate to formulate and consolidate the agency-level budget, disburse the payroll, pay the Senate's bills, and provide appropriate counseling and advice. The Senate Disbursing Office collects information from Members and employees that is necessary to maintain and administer the retirement, health insurance, life insurance, and other central human resource programs and provides responsive, personal attention to Members and employees on an unbiased and confidential basis. The Senate Disbursing Office also manages the distribution of central financial and human resource information to the individual Member offices, committees, administrative and leadership offices in the Senate while maintaining the confidentiality of information for Members and Senate employees.

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

#### *Executive Office*

The primary responsibilities, among others, of the Executive Office are to:

- oversee the day-to-day operations of the Disbursing Office;
- respond to any inquiries or questions;
- maintain a fully and properly trained staff;
- ensure that the office is prepared to respond quickly and efficiently to any disaster or unique situation that may arise;
- provide excellent customer service;
- assist the Secretary of the Senate in the implementation of new legislation affecting any of her departments;
- handle all information requests from the Committee on Appropriations and the Committee on Rules and Administration; and
- provide budget information and financial assistance to all accounting locations within the Senate.

During the first half of 2011, the Disbursing Office continued to offer administrative support to the Congressional Oversight Panel established by Public Law 110-343. Final payment from the Department of the Treasury was received in June, and this task order has been closed.

The Disbursing Office, GPO, the Committee on Rules and Administration, and the Secretary of the Senate webmaster held meetings to finalize the development of the online version of the Report of the Secretary of the Senate for the 6-month period ending September 30, 2011. On November 29, 2011, the online version of The Report was accessible on Senate.gov and the GPO Web site.

The Budget Control Act of 2011, Public Law 112-25, authorized the establishment of the Joint Select Committee on Deficit Reduction (JSC). Section 401(b)(5) of the act authorized the Senate to disburse the actual and necessary expenses of the JSC. The Senate Disbursing Office is responsible for the payment of the expenses and the House of Representative has been billed for its respective share. The expenses for the JSC ceased with the termination of the Committee on January 31, 2012.

The Financial Clerk and senior Disbursing management have been attending status meetings held by our payroll implementers and received 2 weeks of training on the new SPS. Disbursing is in the process of finalizing a final cutoff schedule for Phase I and is working closely with SAA, the project manager and the Committee on Rules and Administration to implement this new payroll system as seamlessly as possible.

#### *Front Office—Administrative and Financial Services*

The Front Office is the main service area for all general Senate business and financial activity. The Front Office staff maintains the Senate's internal accountability of funds used in the group's daily operations. The reconciliation of such funds is executed on a daily basis. The Front Office staff also provides training to newly authorized payroll contacts along with continuing guidance to all contacts in the execution of business operations. It is the receiving point for most incoming expense vouchers, payroll actions, and employee benefits related forms, and is the initial verification point to ensure that paperwork received in the Disbursing Office conforms to all applicable Senate rules, regulations, and statutes. The Front Office is the first line of service provided to Senators, officers, and employees. All new Senate employees (permanent and temporary) who will work in the Capitol Hill Senate offices are administered the required Oath of Office and Personnel Affidavit in the



Front Office. Staff is also provided verbal and written detailed information regarding pay and benefits. Advances are issued to Senate staff authorized for official Senate travel through the Front Office and cash and check advances are entered and reconciled in WebFMIS. After the processing of certified expenses is complete, cash travel advances are repaid.

Numerous inquiries are handled daily, ranging from pay, benefits, taxes, and voucher processing to reporting, laws and Senate regulations; and must always be answered accurately and fully to provide the highest degree of customer service. Cash and checks received from Senate entities as part of their daily business are handled through the Front Office and become part of the Senate's accountability of federally appropriated funds and are then processed through the Senate's general ledger system. The Front Office maintains the Official Office Information Authorization Forms that authorize individuals to conduct various types of business with the Disbursing Office. The Front Office also provides Notary services for Members and staff. Nearly 500 documents were notarized for Members during 2011. We anticipate a larger number of documents to be notarized in 2012 as it will be an election year. Such items that will be notarized in 2012 are absentee ballots and primary election ballots.

The Disbursing Office was relocated from August through November 2011 due to the Disbursing Office renovation project. Preparations for the move took months of planning, purging, archiving, and packing. The Front Office successfully conducted business as usual during the moves and renovation. Success during this transition was truly a team effort and many sacrifices were made as the Disbursing Office operated out of three different locations. Our return was equally successful and staff members are enjoying the modern facilities.

#### *General Activities*

Processed approximately 500 cash advances during the year and initialized more than 1,000 check/direct deposit advances.

Received and processed more than 20,000 checks.

Administered Oath of Office and Personnel Affidavits to more than 1,600 new Senate staff and advised them of their benefits eligibility.

Maintained brochures for 12 Federal health insurance carriers and distributed more than 3,000 brochures to existing staff during the annual Federal Benefits Open Season and to new Senate employees during their Federal Employees Health Benefits (FEHB) selection process.

Assisted employees with electronic resources for researching and comparing benefit plans and programs, as we continue to move away from paper.

Provided training sessions to 16 new and existing administrative managers and assisted them in getting their offices up and running.

For the first time since 2009, the Internal Revenue Service (IRS) increased the annual limit on elective deferrals. This resulted in approximately 900 employees filing new Thrift Savings Plan (TSP) elections in December alone. Many customers sought assistance from the Front Office with the TSP calculations.

The Front Office advises eligible staff of their TSP catch up provisions and advises enrollees of changes in their plans.

Due to the congressional changeover, there was a large volume of S. Res. 9 certifications to be processed and monitored. This required additional processing of documentation to facilitate the continuance of compensation to certified employees.

#### *Payroll Section*

The Payroll Section maintains the human resources management system (HRMS) and is responsible for processing, verifying, and warehousing all payroll information submitted to the Disbursing Office by Senators, committees, and other appointing officials for their staff, including appointments of employees, salary changes, title changes, transfers, and terminations. It is also responsible for input of all enrollments and elections submitted by Members and employees that affect their pay (e.g., retirement and benefits elections, tax withholding, TSP participation, allotments from pay, address changes, direct deposit elections, levies, and garnishments) and for the issuance of accurate salary payments to Members and employees. The Payroll Section is responsible for the administration of the Senate Student Loan Repayment Program (SLP) and for the audit and reconciliation of the Flexible Spending Accounts (FSAs) and Federal Employees Dental and Vision Insurance Program (FEDVIP) bill files received each pay period. The Payroll Section jointly maintains the automated clearing house (ACH) FedLine facilities with the Accounts Payable Section for the normal transmittal of payroll deposits to the Federal Reserve. Payroll expenditure, projection, and allowance reports are distributed electronically to all Senate offices semimonthly. The Payroll Section issues the proper withholding

and agency contribution reports to the Accounting Department and transmits the proper TSP information to the National Finance Center. In addition, the Payroll Section maintains earnings records, which are distributed to the Social Security Administration and employees' taxable earnings records, which are used for W-2 statements. This section, is also responsible for the payroll expenditure data portion of the Report of the Secretary of the Senate and calculates, reconciles, and bills the Senate Employees Child Care Center for their staff employee contributions and forwards payment of those contributions to the Accounting Section. The Payroll Section provides guidance and counseling to staff and administrative managers on issues of pay, salaries, allowances, and projections.

#### *General Activities*

In January 2011, the Payroll Section conducted all year-end processing and reconciliation of pay records and produced W-2 forms for employees and Federal and State tax agencies. They also facilitated the imaging of those documents to the Document Imaging System. The Payroll Section maintained the normal schedule of processing TSP election forms. Other minor changes were made to the HRMS as the need arose as a result of regulated and policy changes.

A major objective of the Payroll Section is the design and implementation of a new Payroll System. The Payroll staff participated in Fit-Gap sessions, development and design sessions, and one-on-one meetings to share their system expertise with the system implementers. The staff received extensive training and helped to develop requirements, business processes, and specifications. The staff provided procedural guidance and input on document and report design, interfaces, and customizations. The Payroll Section began duplication of all Payroll system documents for parallel testing that will occur in 2012. Their continued participation, expertise, and dedication will be required as design, testing, and implementation efforts continue.

In April 2011, the Payroll Section began extensive research and preparation for a potential furlough, including working with the SAA on plans to cease Senate pay to employees in the event of such an event, and the contingencies based on the anticipated potential outcomes.

As a result of the 2011 congressional changeover, the Payroll Section provided assistance and guidance to the offices of the 13 incoming and 13 outgoing Members. The Payroll staff also worked with the staff of a resigning and appointed Senator and administered provisions of S. Res. 9.

Administration of the SLP includes initiation, tracking, and transmission of the payments; determination of eligibility; coordination and reconciliation with office administrators and program participants; provision of monthly SLP reports, fiscal year report to oversight committees; and administration of SLP repayment. Due to regulatory changes within the Department of Education, extensive vendor processing changes continue to be needed. This leads to a higher than usual need for payment tracking, reconciliation and check reissue. The SLP Administrator continues to improve processes for administration of the program and documenting procedures as well as implementation of procedural changes as required.

#### *Employee Benefits Section*

The primary responsibilities of Employee Benefits Section (EBS) are administration of health insurance, life insurance, TSP, and all retirement programs for members and employees of the Senate. This includes counseling, processing of paperwork, research, dissemination of information, and interpretation of retirement and benefits laws and regulations. EBS staff is also expected to have a working knowledge of the FSA program, the Federal Long Term Care Insurance Program (FLTCIP), and FEDVIP. In addition, the sectional work includes research and verification of all prior Federal service and prior Senate service for new and returning appointees. EBS provides this information for payroll input. It also verifies the accuracy of the information provided and reconciles, as necessary, when official personnel folders and transcripts of service from other Federal agencies are received. Senate transcripts of service, including all official retirement and benefits documentation, are provided to other Federal agencies when Senate Members and staff are hired elsewhere in the Government. EBS is responsible for the administration and tracking of employees placed in leave without pay to perform military service, including counseling with regard to continued benefits, TSP make-up contributions and reservist differential payments. EBS participates fully in the Centralized Enrollment Clearinghouse System (CLER) program sponsored by the Office of Personnel Management (OPM) to reconcile all FEHB enrollments with carriers through the National Finance Center. EBS is responsible for its own forms inventory ordering and maintenance, as well as all benefits, TSP, and retirement brochures, for the

Disbursing Office. EBS processes employment verifications for loans, bar exams, the Federal Bureau of Investigation, OPM, and the Department of Defense (DOD), among others. Unemployment claim forms are completed and employees are counseled on their eligibility. Department of Labor billings for unemployment compensation paid to Senate employees are reviewed in EBS and submitted by voucher to the Accounting Section for payment, as are the employee fees associated with FSAs. Designations of Beneficiary for Federal Employees' Group Life Insurance (FEGLI), retirement, and unpaid compensation are filed and checked by EBS.

#### *General Activities*

The year began with EBS finalizing retirement estimates and processing many retirement cases associated with 13 outgoing Senators and their staffs, as well as those staff on committees who were affected by the changes. All outgoing offices were given an "Outgoing Office Presentation" by a member of the EBS. Many regular retirement, death, and disability cases were also processed throughout the year.

EBS met with all new Senators to go over benefit choices available to them. New Members appointed numerous employees from the House of Representatives and the executive branch, and many other employees left with their outgoing Members, many of whom were appointed to positions in the executive branch. This caused a dramatic increase in appointments to be researched and processed, retirement records to be closed out, termination packages of benefits information to be compiled and mailed out, and health insurance enrollments to be processed. Transcripts of service for employees going to other Federal agencies, and other tasks associated with employees changing jobs were at a high level this year. These required prior employment research and verification, new FEHB, FEGLI, FSA, FEDVIP, Civil Service Retirement System, Federal Employees Retirement Service (FERS) and TSP enrollments, and the associated requests for backup verification. EBS also counseled many employees who were affected by these employment changes.

FLTCIP experienced significant plan changes in 2009 with unexpected rate increases and the creation of FLTCIP 2.0. Due to the significant changes in the plan, FLTCIP held an Open Season (OS) in the spring of 2011. EBS worked directly with our FLTCIP account manager, to inform Senate employees of the FLTCIP OS and what options were available to them. EBS attended meetings at OPM related to the FLTCIP OS and developed the Senate's plan for informing employees of their options. EBS created Senate wide emails announcing and reminding employees of the FLTCIP OS and what their options were and ordered OS materials including brochures and posters. EBS also created a 1-page summary of FLTCIP and the OS information to include in a mass mailing sent to all Senate employees. EBS worked with the Secretary's Webmaster to create an FLTCIP OS Webster page containing articles and links to assist employees with decisions regarding long-term care insurance as well as information on how to attend one of the webinars available to those who could not attend an in-person workshop. EBS organized two onsite workshops in which FLTCIP representatives explained what long-term care insurance is and what opportunities employees had during open season. The feedback from employees regarding these presentations was very positive. Our FLTCIP account manager was very pleased and impressed with our organized approach and the steps we took to inform Senate employees of the OS and stated that the Senate really went above and beyond to assist them with the FLTCIP OS.

With the design and implementation of a new Payroll System underway, EBS has been extensively involved in participation in fit-gap sessions, design sessions, training, procedural review meetings, developmental sessions, data clean-up, and conference room pilots. EBS staff have provided their expertise in SME meetings. The staff has participated in development of specifications, customizations, configurations, interfaces, and needed reports. The staff have drafted and collected documentation relating to procedures and in preparation for the various testing phases. EBS staff has provided and continues to provide expertise and feedback throughout this process.

Many employees changed health plans during the annual benefits open season. These changes were processed and reported to carriers very quickly. The Disbursing Office also hosted an Open Season Benefits Fair, which was informational and well-attended. The Benefits Fair included representatives from local and national FEHB plans, as well as representatives from FLTCIP, FSA, and FEDVIP.

Beginning January 1, 2011, the Affordable Care Act extended health benefits to children until age 26. The Health Care Reform changes also redefined dependent eligibility rules for both FEHB and FSA. EBS fielded many calls regarding these changes and also took all necessary steps to update our Web page on Webster and all literature given out by the Disbursing Office to reflect these very important changes.

EBS conducted agency-wide FERS seminars for Washington, DC area employees, as well as a live video seminar for offices located in the States. EBS attended inter-agency Benefits Officers and TSP meetings. This was especially important this year due to the many ongoing changes to many of the benefits programs, including the upcoming offering of a Roth investment option in the TSP program.

*Disbursing Office Financial Management*

Headed by the Deputy for Financial Management, the mission of Disbursing Office Financial Management is to coordinate all central financial policies, procedures, and activities; to process and pay expense vouchers within reasonable timeframes; and to provide professional customer service, training and confidential financial guidance to all Senate accounting locations. In addition, the Financial Management group is responsible for the compilation of the annual operating budget of the United States Senate for presentation to the Committee on Appropriations, and for the formulation, presentation and execution of the budget for the Senate. On a semi-annual basis, this group is also responsible for the compilation, validation, and completion of the Report of the Secretary of the Senate. Disbursing Office Financial Management is segmented into three functional departments:

- Accounting;
- Accounts Payable; and
- Budget.

The Accounts Payable Department is further subdivided into three sections:

- Vendor Administration;
- Disbursements; and
- Audit.

The deputy coordinates the activities of the three functional departments, establishes central financial policies and procedures, and carries out the directives of the Financial Clerk and the Secretary of the Senate.

*Accounting Department*

During 2011, the Accounting Department approved more than 55,000 expense reimbursement vouchers and vendor uploads including deposits for items ranging from receipts received by the Senate operations, such as the Senate's revolving funds, to cancelled subscription refunds from Member offices. General ledger maintenance also prompted the entry of thousands of adjustment entries that include the entry of all appropriation and allowance funding limitation transactions, all accounting cycle closing entries, and all nonvoucher reimbursement transactions such as payroll adjustments, budget uploads, stop payment requests, travel advances and repayments, and limited payability reimbursements. The Department continues to scan all documentation for journal vouchers, deposits, accounting memos, and letters of certification to facilitate both storage concerns and COOP planning. The section also completed the 2011 year-end process to close and reset revenue, expense, and budgetary general ledger accounts to zero.

The Disbursing Office also continued working with Member offices and the Senate Stationery Room to establish and design an online flag ordering system using the Department of the Treasury's Pay.gov system. The Member offices and Stationery went live in the production region of Pay.gov. As a result of this usage, we experienced almost a 30-percent increase in the volume of credit card transactions. Two more offices were slated to start using Pay.gov toward the spring of 2012, and the pilot is expected to expand to include additional offices during the upcoming year.

The Department of the Treasury's monthly financial reporting requirements includes a "Statement of Accountability" that details all increases and decreases to the accountability of the Secretary of the Senate, such as checks issued during the month and deposits received, as well as a detailed listing of cash on hand. Also, Disbursing provides the "Statement of Transactions According to Appropriations, Fund and Receipt Accounts," to the Department of the Treasury on a monthly basis. The statement is the summary of activity of all monies disbursed by the Secretary of the Senate through the Financial Clerk of the Senate. All activity by appropriation account is reconciled with the Department of the Treasury on a monthly and annual basis. The annual reconciliation of the Treasury combined statement is also used in the reporting to OMB as part of the submission of the annual operating budget of the Senate. The FAMIS system report, tested and implemented in 2010, was used in 2011 to calculate the Treasury Combined Statement which is used for the OMB budget submissions.

The Accounting Department continues to transmit Federal tax payments for Federal, Social Security, and Medicare taxes withheld from payroll expenditures, as well as the Senate's matching contribution for Social Security and Medicare to the Federal Reserve Bank through the IRS Electronic Federal Tax Payment System

(EFTPS). EFTPS is also used to transmit the quarterly 941 reports to the IRS. Payments for employee withholdings for State income taxes were reported and paid on a quarterly basis to each State with applicable State income taxes withheld. System modifications installed in 2008 allow ACH payment of quarterly State taxes has resulted in a 64-percent participation rate by taxing jurisdictions. Twenty-seven of 42 tax jurisdictions are receiving their quarterly State tax payments via ACH. System modifications are necessary to transmit the remaining 15 tax jurisdictions via ACH because of the unique State requirements for their transmissions. Monthly reconciliations were performed with the National Finance Center regarding the employee withholdings and agency matching contributions for the TSP.

There are also internal reporting requirements, such as the monthly ledger statements. These ledger statements detail all of the financial activity for the appropriate accounting period with regard to official expenditures in detail and summary form. It is the responsibility of the Accounting Department to review and verify the accuracy of the statements before Senate-wide distribution. During 2011, the Accounting Department worked with the SAA computer staff to implement electronic distribution of these monthly reports. The reports have been distributed electronically since July 2011 as part of WebFMIS release 2011-2.

The Accounting Department, in conjunction with the Deputy for Financial Management and the Assistant Financial Clerk, continues to work closely with the SAA Finance Department in creating Senate-wide financial statements in accordance with OMB Bulletin 01-09, "Form and Content of Agency Financial Statements" and any updates required by OMB Circular A-136, "Form and Content of the Performance and Accountability Reports." Work continues toward the implementation of the fixed asset system and the financial management software has been upgraded and the license renewed.

Accounting also has a budget division whose primary responsibility is compiling the annual operating budget of the United States Senate for presentation to the Committee on Appropriations. The Budget division is responsible for the preparation, issuance, and distribution of the budget justification worksheets. The budget justification worksheets for fiscal year 2013 were mailed to the Senate accounting locations and processed in November 2011. The budget baseline estimates for fiscal year 2013 were reported to OMB by mid-January 2012. The budget analyst is also responsible for the preparation of 1099s and the prompt submission of forms to the IRS before the end of the January.

#### *Accounts Payable: Vendor Administration*

The Vendor Administration Section maintains the accuracy and integrity of the Senate's central vendor (payee) file for the prompt completion of new vendor file requests and service requests related to the Disbursing Office's Web-based payment tracking system. This section also assists the IT department by performing periodic testing and by monitoring the performance of the vendor system. Currently, more than 17,300 vendor records are stored in the vendor file, in addition to approximately 10,000 employee records. Daily requests for new vendor addresses or updates to existing vendor information are processed within 24 hours of receipt. Besides updating mailing addresses, the section facilitates the use of ACH by switching the mode of vendor payment from paper check to electronic deposit. Whenever a new remittance address is added to the vendor file, a standard letter is mailed to the vendor requesting tax and banking information, as well as contact and email information. If a vendor responds indicating they would like to receive ACH payments in the future, the method of payment is changed.

All WebFMIS users are using the Staffer Functionality exclusively, and new offices are automatically established with it. Senate employees can electronically create, save, and file expense reimbursement forms, track their progress, and get detailed information on payments using this system. The most common service requests are for system user identification and passwords and for the reactivation of accounts. Employees may also request an alternative expense payment method. Employees can choose to have their payroll set up for direct deposit or paper check, but can have their expenses reimbursed by a method that differs from their salary payment method.

The Vendor section works closely with the Accounts Payable (A/P) Disbursements group to resolve returned ACH payments. ACH payments are returned periodically for a variety of reasons, including incorrect account numbers, incorrect routing numbers, and, in rare instances, a nonparticipating financial institution.

The Vendor section electronically scans and stores all supporting documentation of existing vendor records and new vendor file requests. When this section receives replies asking for ACH participation, the vendors are asked if they wish to be noti-

fied by email when payments are sent. Currently, more than 95 percent of ACH participants also receive email notification of payment.

During 2011, the Vendor section processed more than 2,100 vendor file additions, completed more than 2,700 service requests, mailed approximately 950 vendor information letters, and converted more than 400 vendors from check payment to electronic payment.

*Accounts Payable: Disbursements Department*

The Disbursements Department is the entry and exit point for voucher payments. The department physically and electronically receives all vouchers submitted for payment. It also pays all of these vouchers, as well as the items submitted by upload and the various certifications and adjustments that are submitted periodically. The department received approximately 108,000 vouchers. All of these items were paid by the department via Treasury check or ACH. Multiple payments to the same payee are often combined. As a result, 17,000 checks were issued, while 69,700 ACH payments were required. The volumes of both were down slightly from the previous year which is a reflection of newly elected Senators starting out and others leaving.

After vouchers are paid, they are sorted and filed by document number. Vouchers are grouped in 6-month "clusters" to accommodate their retrieval for the semi-annual Report of the Secretary of the Senate. Files are maintained in-house for the current period and one prior period, as space is limited, due mainly to the office renovation which took place in the fall. One result is that more documents are stored in the Senate Support Facility (SSF). The inventoried items are sorted and recorded in a database for easy document retrieval. Document retrieval missions increased, but were successfully conducted, and the department continues to work closely with warehouse personnel. The renovated area has led to more efficient use of space here and at the SSF.

A major function of the department is to prepare adjustment documents. Adjustments are varied, and include re-issuance of items held as accounts receivable collections, re-issuance of payments for which nonreceipt is claimed, and various supplemental adjustments received from the Payroll Department. Such adjustments are usually disbursed by check, but an increasing number are now handled electronically through ACH. The department maintains a spreadsheet that tracks cases of nonreceipt of salary checks, including stop payment requests and re-issuance.

The department also prepares the stop payments forms as required by the Department of the Treasury. Stop payments are requested by employees who have not received salary or expense reimbursements, and vendors claiming nonreceipt of expense checks. The Treasury Check Information System (TCIS) allows the department to electronically submit stop-payment requests and provides online access to digital images of negotiated checks for viewing and printing. Once a check is viewed, it is printed and may be scanned. Scanned images are then forwarded to the appropriate accounting locations via email. During 2011, approximately 500 digital images of negotiated checks were provided, and an additional 77 requests were received for stop payments. The stop payment volume is a significant reduction of 39 percent from 2010, and is attributable to increased ACH payment and TCIS check copy retrieval. TCIS saves the Disbursing Office time, a \$7.50 processing fee for each request, is Web-based, and is accessible from multiple workstations in Disbursing.

*Accounts Payable: Audit Department*

The Accounts Payable Audit Section is responsible for auditing vouchers and answering questions regarding voucher preparation and the permissibility of expenses and advances. This section provides advice and recommendations on the discretionary use of funds to the various accounting locations; identifies duplicate payments submitted by offices; monitors payments related to contracts; trains new administrative managers and chief clerks about Senate financial practices and the Senate's Financial Management Information System; and assists in the production of the Report of the Secretary of the Senate. The Report was issued electronically for the first time in November 2011, concurrent with the printed version. The printed version is available as always, and the online version is available through the Senate and GPO Web sites.

The section is organized at three different levels. The first level is the supervisor. In addition to performing managerial tasks, the supervisor also audits and sanctions vouchers as needed, and coordinates testing related to system implementation and upgrades. Eleven auditors process all incoming vouchers and uploads, and 3 of them have the authority to sanction, on behalf of the Committee on Rules and Administration, vouchers not exceeding \$100. They also sanction all travel and petty cash

advances as well as non-Contingent Fund items such as Legal Counsel, Legislative Counsel, and the Office of Congressional Accessibility Services, as well as the for the Congressional Oversight Panel.

A major function of the section is monitoring the fund advances for travel and petty cash. Travel advances must be repaid within 30 days of trip completion and petty cash advances must be repaid whenever new funding authority is established. The system accommodates the issuance, tracking, and repayment of advances. It also facilitates the entry and editing of election dates and vouchers for Senators-elect. In addition to other functionality, an advance type of petty cash was created and is in use. Regular petty cash audits are performed by the section, and all petty cash accounts were successfully audited in 2011.

The Accounts Payable Audit Section processed more than 108,000 expense items in 2011. Audit sanctioned approximately 53,000 vouchers under authority delegated by the Committee on Rules and Administration. This translates to roughly 9,800 vouchers processed per auditor, and 10,500 vouchers posted per certifier. The voucher processing consisted of providing interpretation of Senate rules, regulations and statutes and applying the same to expense claims, monitoring of contracts, and direct involvement with the Senate's central vendor file. On average, vouchers greater than \$100 that do not have any issues or questions are received, audited, and/or sanctioned electronically by the Senate Committee on Rules and Administration using WebFMIS, and are expected to be paid within 8 to 10 business days. These vouchers comprised approximately 50 percent of all vouchers, and, as in the previous year, Disbursing passed two postpayment audits performed by the Committee on Rules and Administration for items of \$100 or less. In 2011, the average for Committee on Rules and Administration-sanctioned items was 4.83 days, and the average for Disbursing sanctioned items was 2.73 days, roughly 12-percent faster overall and 23-percent faster than the previous year.

Uploaded items are of two varieties:

- certified expenses; and
- vendor payments.

Certified expenses have been around since the 1980s, and include items such as stationery, telecommunications, postage, and equipment. Currently, the certifications include mass mail, franked mail, excess copy charges, Photography Studio, and Recording Studio charges. Expenses incurred by the various Senate offices are certified by SAA to the Disbursing Office on a monthly basis. The expenses are detailed on a spreadsheet which is also electronically uploaded. The physical voucher is audited and appropriate revisions are made. Except for telecommunications charges, concentrated effort is put forth to ensure certified items appear as paid in the same month they are incurred. Telecommunications charges usually run 1 month behind as the SAA must wait for the bills from external vendors.

Vendor uploads are used to pay vendors for the Senate Stationery Room, Senate Gift Shop and State office rentals, and refund security deposits for the Senate Page School. The methodology is roughly the same as that for certifications, but the payments rendered are for the individual vendors. Although these items are generally processed and paid quickly, the State office rents are generally paid a few days prior to the month of the rental, which is consistent with the general policy of paying rent in advance.

The Accounts Payable Audit Group provided training sessions in the use of new systems: the process for generation of expense claims and the permissibility of expenses. They also participated in seminars sponsored by the Secretary of the Senate, the SAA, and the Library of Congress. The section trained 13 new administrative managers and chief clerks and conducted five informational sessions for Senate staff through seminars sponsored by the Congressional Research Service (CRS). The Accounts Payable group also routinely assists the IT department and other groups as necessary in the testing and implementation of new hardware, software, and system applications. The implementation of WebFMIS 2011-1 enhanced document creation and document search. WebFMIS 2011-2 enhanced the expense summary report and electronic invoicing. WebFMIS 2011-3 allowed the SAA to use a Web-based system more extensively for purchase orders and requisitions and created new posting logic as well as increased system security.

The Accounts Payable Department has participated in the testing of the new imaging project that the IT department has been tasked with. The staff has provided valuable feedback to the IT department on system problems, system restraints, and areas that need improvement. A/P has devoted a lot of time in detailing system problems and reporting them to the IT department. There were several performance problems experienced during the first testing phase, resulting in the project's suspension until system performance could be improved.

The Accounts Payable Department has participated and helped to design an itinerary wizard. A/P consistently provided feedback about itinerary situations and variables to aid the IT department with this project.

*Disbursing Office Information Technology*

*Financial Management Information System*

The Disbursing Office Information Technology department provides both functional and technical assistance for all Senate financial management activities. Activities revolve around support of WebFMIS which is used by staff in all Senate accounting locations (i.e., Senate personal offices, committees, leadership and support offices, the Office of the Secretary of the Senate, the SAA, the Senate Committee on Rules and Administration Audit section, and the Disbursing Office).

Responsibilities of the department include:

- supporting current systems;
- testing infrastructure changes;
- maintaining contact with system users to ensure their needs are met;
- managing and testing new system development;
- implementing changes for the 112th Congress;
- planning upgrades to systems and hardware;
- managing the FMIS project, including contract management;
- administering the Disbursing Office's local area network (LAN); and
- coordinating the Disbursing Office's disaster recovery activities.

The Disbursing Office is the "business owner" of FMIS and is responsible for making the functional decisions about FMIS. The SAA Technology Services staff is responsible for providing the technical infrastructure, including hardware (e.g., mainframe and servers), operating system software, database software, and telecommunications; technical assistance for these components, including migration management and database administration; and regular batch processing. The office utilizes the support of a contractor, along with the SAA who are responsible for operational support and application development. The three organizations work cooperatively.

Highlights of the year include:

- supporting more than 4,800 FMIS users, of which 87 percent are staff preparing ESRs;
- implementing two releases of FMIS, including one pilot for attaching imaged documentation to vouchers, and completing the move to Web-based interfaces for the SAA;
- implementing an improvement to the WebFMIS reporting extract program;
- testing infrastructure changes that included upgrades to the Z/OS and the DB2;
- increasing the number of offices using the electronic invoicing module—there are now 41 offices participating;
- implementing changes for the 112th Congress;
- resuming the effort to convert all user identification to a format that does not include any portion of an individual's SSN—this effort will continue into 2012.

*Supporting Current Systems*

IT supports WebFMIS users in all accounting locations, the departments in the Disbursing Office (e.g., A/P, Accounting, Disbursements, Vendor Administration, and Front Office sections), and the Senate Committee on Rules and Administration Audit staff. The activities associated with this responsibility include:

*User Support.*—

- providing functional and technical support to all Senate FMIS users;
- staffing the FMIS help desk;
- answering hundreds of questions; and
- meeting with chiefs of staff, administrative managers, chief clerks, and directors of various Senate offices as requested;

*Technical Problem Resolution.*—Ensuring that technical problems are resolved;

*Monitor System Performance.*—Checking system availability and statistics to identify system problems and coordinate performance tuning activities such as those for database access optimization;

*Security.*—Maintaining user rights for all ADPICs, FAMIS, and WebFMIS users;

*System Administration.*—Designing, testing, and making entries to tables that are at the core of the system;

*Support of Accounting Activities.*—Performing functional testing and production validation of the cyclic accounting system activities. This includes rollover, the process by which tables for the new fiscal year are created, and archive/



purge, the process by which data for the just lapsed fiscal year are archived for reporting purposes and removed from the current year tables;

*Support of the Senate Committee on Rules and Administration Postpayment Voucher Audit Process.*—providing the data from which the Committee on Rules and Administration Audit staff selects a statistically valid sample of vouchers for \$100 or less. In this way, the Committee on Rules and Administration Audit staff review vouchers sanctioned under authority delegated to the Financial Clerk; and

*Training.*—Providing functional training to all Senate FMIS users.

*Testing Infrastructure Changes*

SAA provides the infrastructure on which FMIS operates, including the mainframe, the database, security hardware and software, and the telecommunications network. Activities for changes to the infrastructure include testing of all functionality prior to implementation and validating critical functionality post implementation. During 2011, the SAA implemented two upgrades to the FMIS infrastructure. These included a maintenance update to the DB2, and a maintenance update to the Z/OS.

*Maintaining Contact With System Users To Ensure Their Needs Are Met*

Communicating with our large user base is critical to provide the excellent service. IT meets on a regularly scheduled basis with representatives from Accounting, A/P, and the SAA. In addition, IT meets with user groups as it gathers requirements for new functionality. Meetings are advertised, and users self-select to participate. This year, IT met with SAA users who prepare vouchers to discuss voucher and inquiry functionality developed in the third phase of “WebPICS”, a Web-based front end to ADPICS with additional functionality developed to address SAA user needs.

*Managing and Testing New System Development*

During 2011, IT supervised development, performed extensive integration system testing, and implemented changes to FMIS subsystems. The implementation and production verification activities were completed over a weekend in order to minimize system downtime to users. Since 2006, multiple subsystem upgrades have been consolidated into 2 or 3 releases each year. This reduced the amount of regression testing required. In order to accurately reflect the variety of changes in each release, the releases are now numbered by fiscal year. During 2011, Disbursing implemented the following two major releases:

- FMIS r2011-2, implemented in June 2011; and
- FMIS r2011-3, implemented in August 2011.

*FMIS 2011-2—June 2011*

This release included an enhancement to electronic invoicing that allows an office (or an auditor in Disbursing) to split a single charge on an invoice into two accounting lines. This allows an office to distribute a charge across locations and/or split a charge into two expense categories.

The ESR line entry module was also updated to implement some minor enhancement and corrections, most notably:

- certain expense types now allow an optional location (it is no longer required); and
- ESR printing is disabled until after the ESR is submitted. This reduces the likelihood of submitting and printing different data.

Release 2011-2 also implemented the third of three major phases in WebPICS, which effectively replaces and improves ADPICS (the mainframe procurement application). The first two phases of WebPICS provided functionality for requisitions and vouchers. This release allowed purchase orders to be created, approved, and posted. One of the features included was direct requisition, which automatically directs the user to immediately create the purchase order. Other WebPICS improvements included the addition of commodity table maintenance, and functionality for the last two types of change orders. After implementing this release, the vast majority of ADPICS users were able to abandon the mainframe application in favor of the more user-friendly WebPICS.

One of the larger changes in this release was the addition of online access to the Month End Ledger Statements (Statement of Funding Authorization and Expense Activity). A pilot group was given access to their May 2011 statements first. After positive feedback, all offices were given access to their June 2011 statements, and paper distribution was eliminated.

*Financial Management Information System 2011–3—August 2011*

The most significant feature in release 2011–3 was the image viewer and repository that allows users to attach documentation to their vouchers (see more in the FMIS Imaging and Electronic Signatures section below). A pilot of three offices began attaching their supporting documentation electronically only—the paper vouchers themselves were still required to provide approving signatures. Unfortunately, system performance for the auditors fell below acceptable levels, and Disbursing asked the pilot offices to resume attaching paper documentation to their vouchers. In each case, they also continued to attach documentation electronically. The cause was quickly identified, which was the low resource availability for the image viewer when running in the mainframe environment. The solution, which is included in the first release for 2012, was to move the image viewer onto Windows virtual servers, which will also allow significant room to scale up for a Senate-wide rollout. Initial testing at the end of the year showed a vast improvement.

As part of the continuous effort to keep information secure, Disbursing implemented a limit of five unsuccessful login attempts for WebFMIS. Users whose accounts are locked after the fifth failed attempts must contact Disbursing to have their account unlocked and a new temporary password issued.

New staffer accounts are created automatically when an administrative director requests. The staffer profile feature improved to show administrative directors the date the staffer's account was created, date password last changed, and provides option to send request to reset staffer's password.

The most significant improvement to WebPICS was the implementation of an insufficient funds limitation, on the submission and approval of requisitions. The entry of specific limits will be rolled out in 2012. After this release, the IT section discontinued granting new procurement users access to mainframe ADPICS. This significantly simplifies user training and account maintenance.

Other WebPICS improvements included:

- a fix to purchase order viewer balance display;
- a fix to allow update to effective date and delivery date on requisitions while in approval phase; and
- fixes for preparing and approving vouchers from purchase orders.

*Financial Management Information System Imaging and Electronic Signatures*

During 2008, Disbursing implemented a prototype imaging system in which paper vouchers and supporting documentation were imaged by Disbursing staff and routed electronically. The hands-on experience of this prototype was especially useful in refining system requirements. Under the FMIS Imaging Product Analysis project, begun in 2009 and completed in 2010, software for the image database and image viewer was selected, and imaging and electronic signature requirements were finalized. This information was coordinated with a separate SAA smart ID card project. The smart cards will be used for electronic signatures.

In October 2010, a task order for the adding document imaging and electronic signatures to WebFMIS was signed. This task order outlines work to be completed between then and the spring 2013 in three phases:

- Phase 1: imaging only pilot—fall 2011 (originally spring 2011);
- Phase 2: office imaging and signatures pilot—winter 2012 (originally summer 2011), (extended pilot—combined with the initial pilot, originally winter 2012), and full roll-out (summer 2012); and
- Phase 3: staffer imaging and signatures pilot (winter 2012), and rollout (spring 2013).

*Planning*

The Disbursing IT department performs two main planning activities:

- schedule coordination: planning and coordinating a rolling 18-month schedule; and
- strategic planning: setting the priorities for further system enhancements.

*Schedule Coordination*

In 2011, this department continued to hold two types of meetings between Disbursing and the SAA to coordinate schedules and activities. These were:

- project specific meetings: a useful set of project-specific working meetings, each of which has a weekly set meeting time and meets for the duration of the project (e.g., archive/purge meetings and WebFMIS budget function meetings); and
- technical meetings: a weekly meeting to discuss the active projects, including scheduling activities and resolving issues.

### *Strategic Planning*

During 2010 Disbursing drafted a 5-year schedule based on earlier meetings to “envision the future”. This is still under discussion and review and will be affected by the schedule for implementing a new payroll system, which will require substantial changes to current systems, including the interface from payroll into the General Ledger (FAMIS) of payroll expenditures and projections, the interface from the payroll system into the master vendor file (in FAMIS), and the payroll reports provided to the offices via WebFMIS.

In 2011 the IT section decided to build a design backlog of FMIS features, where desired features are designed and planned well in advance of the release for which they are scheduled. This process has occurred at a strategic level for many years, but is now being implemented at a more tactical level. The design backlog will provide for a more continuous and fluid process for identifying, designing, building, testing, and implementing the features. This should result in a slightly faster design-build cycle.

### *Managing the Financial Management Information System Project*

The responsibility for managing the FMIS project was transferred to the Disbursing IT department in 2003, and includes developing the task orders with contractors, overseeing their work, and reviewing invoices. In 2011, the Service Year 2012 Extended Operational Support task order was executed, which covers activities from September 2011 to August 2012.

Work also continued under the Service year 2011 Extended Operational Support (covering activities from September 2010 to August 2011).

### *Administering the Disbursing Office’s Local Area Network*

The Disbursing Office continued to administer its own LAN, which is separate from the network used by the rest of the Secretary’s Office. It is used by more than 50 staff. Upkeep of the LAN infrastructure, including performing routine daily tasks and replacing equipment regularly, is critical to providing services. In addition, there are a number of specialized administrative applications that are housed on the Disbursing Office LAN. During 2011, LAN administration activities included:

- performing maintenance on the LAN;
- installing specialized software;
- maintaining projects for the payroll and benefits section; and
- upgrading existing workstations with appropriate upgrades including:
  - installation of an automated client software cataloging and updating program. This software provides a more aggressive approach toward applying software patches that address vulnerabilities in our platform; and
  - imaging critical PCs for easy recovery from hard disk crash or other PC failure.

### *Maintaining Projects for Payroll and Employee Benefits Sections*

During 2011, Disbursing supported three specialized applications for the Payroll and Employee Benefits Sections:

- imaging system, developed by SAA staff, that electronically captures and indexes payroll documents submitted at the front counter, and is critical for the Payroll and Employee Benefits sections;
- CLER application, a health insurance benefits validation service; and
- retirement benefit software, which enables benefits counselors to easily estimate retirement benefits based on different scenarios, is also supported.

### *Continuity of Operations Planning*

Disaster recovery activities are an important part of Disbursing’s COOP Plan. We work closely with SAA to coordinate our planned exercises. Basic tests were performed to ensure our recovery capabilities with more extensive plans for testing in 2012.

## ADMINISTRATIVE OFFICES

### CHIEF COUNSEL FOR EMPLOYMENT

The Office of the Senate Chief Counsel for Employment (SCCE) is a nonpartisan office established at the direction of the Joint Leadership in 1993 after enactment of the Government Employee Rights Act (GERA), which allowed Senate employees to file claims of employment discrimination against Senate offices. With the enactment of the Congressional Accountability Act of 1995 (CAA), as amended, Senate offices became subject to the requirements, responsibilities, and obligations of 12 employment laws. The CAA also established the Office of Compliance (OOC). Among

other things, the OOC accepts and processes legislative employees' complaints that their employer has violated the CAA.

The SCCE is charged with the legal defense of Senate offices in all employment law cases at both the administrative and court levels. The SCCE attorneys also provide legal advice to Senate offices about their obligations under employment laws. Accordingly, each of the employing offices of the Senate is an individual client of the SCCE, and each office maintains an attorney-client relationship with the SCCE.

The areas of responsibilities of the SCCE can be divided into the following categories:

- Litigation (defending Senate offices in courts and at administrative hearings);
- Mediations to resolve lawsuits;
- Court-ordered alternative dispute resolutions;
- Occupational Safety and Health Act (OSHA) compliance;
- Union drives, negotiations, and unfair labor practice charges;
- Americans with Disabilities Act (ADA) Compliance;
- Layoffs and office closings in compliance with the law;
- Management training regarding legal responsibilities; and
- Preventive legal advice.

*Litigation; Mediations; Alternative Dispute Resolutions*

The SCCE provides legal advice to and defends Senate employing offices in all court actions, hearings, proceedings, investigations, and negotiations relating to labor and employment laws. The SCCE handles cases filed in the District of Columbia and cases filed in any of the 50 States.

*Compliance With the Occupational Safety and Health Administration and the Americans With Disabilities Acts*

The CAA mandates that, at least once each Congress, OOC shall inspect each Senate office to determine whether each office complies with the OSHA and the public accommodation portion of the ADA. The CAA authorizes the OOC to issue a public citation to any office that is not in compliance.

The SCCE provides legal assistance and advice to each Senate office to ensure that it is complying with the OSHA and the ADA. The SCCE also represents each Senate office during OOC inspections and advises and represents each Senate office when a complaint of an OSHA or ADA violation is filed against the office or when a citation is issued.

In 2011, the SCCE pre-inspected 1,977 Senate rooms and work areas to ensure that Senate offices are complying with the OSHA and the ADA. The SCCE conducted pre-inspections of member offices, SAA, offices of the Secretary of the Senate, the Senate Child Care Center, the Webster Hall Page Facilities, and offsite buildings used by the Senate.

At the conclusion of the OOC's inspection process, Senate offices had no significant ADA problems and no citations were issued in 2011. The OOC has not yet issued a report regarding its OSHA inspections.

*Management Training Regarding Legal Responsibilities*

The SCCE regularly conducts legal seminars for the managers of Senate offices to assist them in complying with employment laws, thereby reducing their liability.

In 2011, the SCCE gave 85 live, legal seminars to Senate offices, including, among others:

- The Congressional Accountability Act of 1995: Management's Rights and Obligations;
- Conducting the Interview: Effective and Legal Methods of Getting the Best Employees for Your Office;
- Maintaining a Harassment-Free Workplace;
- Management Staff Beware: Your Office Can Be Sued: Employment Laws You Must Comply With;
- The Genetic Information Non-Discrimination Act: Practical Guidance for Managers;
- A Manager's Guide to Preventing and Addressing Harassment in the Workplace;
- But He Interviewed So Well: How to Interview Job Applicants, Check References and Backgrounds, and Give References;
- Military Service Academies Interview Training; and
- Diversity in the Workplace.

In addition to the previously mentioned 85 seminars, the SCCE conducted a series of monthly seminars covering all major employment laws that govern Senate offices. The purpose of the seminars was to educate all Senate management staff about their responsibility to ensure that their respective offices comply with the CAA. The

series was open to all chiefs of staff, staff directors, administrative directors, chief clerks, and office managers. Individuals who complete the series receive a certificate of completion signed by the Secretary of the Senate. The SCCE, working with the Senate Recording Studio, streamed these monthly seminars to State offices so that all State managers could participate and to allow staff members in Washington, DC to view the seminars from their offices. In addition, the SCCE rebroadcast each of its monthly seminars on the SCCE Web site to accommodate managers who were unable to attend the initial seminars. Further, the SCCE online registration technology was used extensively by Senate management staff in 2011 to register online for attending the seminars in the series.

The SCCE also held 11 1-hour, lunchtime meetings, referred to as “Brownie Brown Bags”, open to all office managers and administrative directors of member offices and all chief clerks of committees. The purpose of the Brownie Brown Bags is to allow attendees to ask the SCCE attorneys any legal issues they would like to discuss. These meetings have been well-attended.

#### *Legal Advice*

The SCCE meets daily with Members, chiefs of staff, administrative directors, office managers, staff directors, chief clerks, and counsel at their request to provide legal advice. For example, on a daily basis, the SCCE advises Senate offices on matters such as disciplining and terminating employees in compliance with the law; handling and investigating harassment complaints; accommodating the disabled; determining wage law requirements; meeting the requirements of the Family and Medical Leave Act (FMLA); management’s rights and obligations under union laws and the OSHA; management’s obligation to give leave to employees for military service; veterans’ rights; and interviewing, hiring and counseling employees. In 2011, SCCE had more than 2,544 client legal advice meetings.

Also, the SCCE provides legal assistance to Senate offices to ensure that their office policies, supervisors’ policies, intern policies, job descriptions, interviewing guidelines, and performance evaluation forms comply with the law. In 2011, the SCCE significantly revised or prepared 197 policy manuals for Member offices and committees.

To keep clients abreast of legal developments, the SCCE prepares and distributes timely client alerts to all Senate offices and committees explaining the impact of newly enacted employment-related laws. In 2011, the SCCE prepared and distributed eight such alerts.

#### *Union Drives, Negotiations and Unfair Labor Practice Charges*

In 2011, the SCCE reviewed one union contract and provided guidance to managers and supervisors regarding their legal and contractual obligations under union contracts.

#### *Environmental Impact and Cost Savings*

In 2011, for the third consecutive year, the SCCE continued with its project of eliminating a significant amount of hard copy legal reference materials to further benefit the environment, cut costs, and clear valuable office space. This project has resulted in cost savings of more than \$9,200 and has reduced the area required for storing our hard copy legal reference materials from 129 square feet to 50 square feet.

### CONSERVATION AND PRESERVATION

The Office of Conservation and Preservation develops and coordinates programs directly related to the conservation and preservation of Senate records and materials for which the Secretary of the Senate has statutory and other authority. Initiatives include:

- deacidification of paper and prints;
- phased conservation for books and documents;
- collection surveys;
- exhibits; and
- matting and framing for the Senate leadership.

#### *Senate Library*

As mandated in the 1990 Senate Library Collection Condition Survey, the office continued to conduct an annual treatment of books identified by the survey as needing conservation or repair. In 2010, conservation treatments were completed for 173 volumes of a 7,000-volume collection of House hearings. Specifically, treatment involved recasing each volume as required, using alkaline end sheets, replacing acidic tab sheets with alkaline paper, cleaning the cloth cases, and replacing black spine

title labels of each volume as necessary. The Office of Conservation and Preservation will continue preservation of the remaining 3,410 volumes.

#### *Preservation*

The Office of Conservation and Preservation completed 106 volumes of House and Senate hearings and Congressional Records for the Senate Library. These books were rebound with new end sheets and new covers using the old spines when possible.

#### *Committees*

Conservation and Preservation assisted the Committee on the Budget, Select Committee on Ethics, and the Joint Economic Committee with their books being sent to GPO for binding.

#### *Exhibition*

Conservation and Preservation assisted the Senate Historical and Curator's offices in the installation of a new exhibition to mark the 150th anniversary of the Civil War. The exhibition replaced the Inauguration exhibit in the Senate wing's first floor connecting corridor.

### CURATOR

The Office of Senate Curator, on behalf of the Senate Commission on Art, develops and implements the museum and preservation programs for the United States Senate. The Curator collects, preserves, and interprets the Senate's fine and decorative arts, historic objects, and specific architectural features; and the Curator exercises supervisory responsibility for the historic chambers in the Capitol under the jurisdiction of the Commission. Through exhibitions, publications, and other programs, the Curator educates the public about the Senate and its collections.

#### *Collections: Commissions, Acquisitions, and Management*

Forty-nine objects were accessioned into the Senate collection this year. A large number of the items catalogued included tickets, invitations, programs, and other ephemera related to events in which the Senate participated. The Curator's office actively collects contemporary artifacts in an effort to preserve and document the present for future generations. Other items added to the collection included three historic writing tables, several historic chairs, three memorial drapes and two vases used on the desks of Senators who have passed away, mementos from the 1985 Presidential Inauguration, a 1892 wax seal used by the Secretary of the Senate on envelopes, a diagram of the Senate Chamber from the 78th Congress, and a painted plaque previously displayed in the Vice President's Ceremonial Office.

The new Architectural Fragment collection, comprising original, significant, or unique objects or building fabric removed from Senate spaces, was created in 2011. The collection was established to better understand the architecture, ornamentation, and decoration of Senate spaces within the Capitol complex; to serve as a resource for historic reconstructions; and to enhance knowledge of the Senate. It is based on similar collections at other historic sites, and standard museum management procedures and documentation have been established for the Senate's collection.

Twenty-nine new foreign gifts were reported in 2011 to the Select Committee on Ethics and deposited with the Senate Curator's office on behalf of the Secretary of the Senate. The office currently is responsible for 217 foreign gifts, which are catalogued and maintained in accordance with the Foreign Gifts and Decorations Act. Appropriate disposition of 26 foreign gifts was completed following established procedures.

The Curator's office continued to work with the Capitol Visitor Center (CVC) project staff, Architect of the Capitol (AOC) representatives, and their consultants to resolve problems with the heating, ventilating, and air conditioning (HVAC) equipment in the Curator's two CVC collection storage spaces. In February 2011, project staff turned one room to the AOC, following successful completion of testing for its new HVAC system. It is the largest storage space for the Senate collections available in the Capitol complex and has provided much needed temporary storage for items during renovations of spaces in the Senate, as well as for long-term storage. Testing for the HVAC system in the second room was successfully completed in November 2011 and final preparation of the room is underway. The space will provide cooler temperature storage for paper-based items, in support of the Curator's mission to preserve the Senate's significant collections. Procedures and policies have been established for use of the two rooms, and include disaster preparation plans.

The office continued its multi-year project to photograph all objects for the collection database. More than 250 objects were photographed and a total of 252 images out of 4,598 were resized for consistency. Staff also worked with the Senate Photographic Studio and the AOC Photography Branch to capture special events and projects, such as moving art and the extensive work in the Old Senate Chamber. Such documentation is important for recordkeeping, disaster preparedness, use on Senate.gov, and for publications promoting the Senate's collections.

In keeping with scheduled procedures, all Senate collection objects on display were inventoried this year, noting any changes in location. In addition, as directed by S. Res. 178 (108th Congress, 1st Session), the office submitted inventories of the art and historic furnishings in the Senate to the Senate Committee on Rules and Administration (Rules Committee). The inventories, which are submitted every 6 months, are compiled by the Curator's office with assistance from the SAA and the AOC's Superintendent of Senate Office Buildings (Superintendent). This year the Curator's office worked with the SAA to physically inventory all of the assets listed in the Senate's historical furnishings inventory. More than 800 objects were inspected and their location verified. As part of this internal review effort, the Curator's office developed a master list of assets and established procedures for adding and deleting objects from the inventory. This documentation is part of the Curator's standard procedures and applies equally to all collections under the auspices of the Commission on Art. Next year the Curator's office will work with the SAA and the Superintendent to ensure their policies and procedures for historic items are consistent with the Senate Curator's Collections Management Policy.

Staff worked with the SAA Cabinet Shop to complete a comprehensive survey of the writing boxes that are part of the Senate Chamber desks. The project included collecting detailed information on the construction, size, and mode of attachment to the top of each desk, along with condition information. During the 19th century, mahogany writing boxes were added to the desktops to provide more space for books and papers. Today, only one desk—the "Webster Desk"—lacks a writing box. Many of the writing boxes have sustained damage over the years from daily use, and the survey is part of a comprehensive effort to preserve the desks. The survey results were used to create prioritized reports and computerized drawings that will guide the Cabinet Shop's efforts to refurbish the writing boxes.

The Curator's office continued to advance documentation and care of the historic Russell Senate Office Building furnishings by surveying the mirrors. Fourteen historic mirrors were identified, recorded, assessed, and added to the Senate collection. Guidelines were drafted and shared with the Superintendent to ensure proper protection of the mirrors during building projects and housekeeping. Information on the significance of the mirrors and care practices will be provided to the occupants. The historic Russell Senate Office Building mirrors have been included in the established maintenance program conducted by the Curator's staff.

Of special interest as it regards the Russell Senate Office Building furnishings are the historic flat-top desks. Beginning with the 110th Congress, the Curator's office has conducted a yearly inventory and inspection of these desks. Each desk location and occupant information is added to the Curator's database, which documents the use and location of the remaining 62 historic desks.

Electronic recordkeeping and collection guidelines related to the Senate's Capitol historic mirrors again received considerable attention. In 2010, the paper files and the database entries were addressed, and this year the effort expanded to the electronic files and digital images of all 94 mirrors. The electronic records were reviewed and updated based on established registration and file standards. Another initiative that improved the mirror collection administration was the approval of a scope for the collection. With a clear scope in place, the office reviewed existing objects and will deaccession those few without historic significance.

The official Senate chinaware was used at 12 receptions for distinguished guests, both foreign and domestic, including a tea for the President of Mexico, luncheon for the King of Jordan, and tea for the Prime Minister of New Zealand. The Secretary's chinaware was used at three receptions sponsored by the chairman of the Senate Foreign Relations Committee.

#### *Conservation and Restoration*

Providing for the conservation needs of the Senate's historic clock collection continues to be a priority. Although the floor clock in the Vice President's Ceremonial Office was originally scheduled for conservation this year, the Seth Thomas perpetual calendar clocks in the collection became a priority. The floor clock received some interim treatment in 2009 to repair problems with the second hand, and has been running accurately ever since, whereas the calendar clocks, which date to the late 19th century, have had ongoing problems, especially related to their calendar

functions. The earthquake on August 23 caused both calendar clocks to stop running, and after they were restarted, their timekeeping was erratic. In addition, the paint on the dials of one of the clocks was actively flaking, making prompt conservation treatment imperative to stop further losses. The clocks were conserved and are now in working order.

The most prominent and extensive project the Curator's office undertook this year was the renovation of the Old Senate Chamber. Prior to the start of this effort, two iconic works of art that were displayed in the room beginning in the 1830s—the gilded *Eagle and Shield* and the 1823 painting by Rembrandt Peale, *George Washington*, (Patrie Pater)—were removed for conservation. In 2010, a comprehensive review of records pertaining to both art works began and was used to develop a report outlining the history of their treatments and placement during their time in the Capitol. These histories, along with condition analyses conducted by conservators in 2004, provided necessary information to solicit treatment proposals. Conservation experts from the Senate Curatorial Advisory Board and the National Gallery of Art aided in the process. Three separate conservations were undertaken, one for treating the *Eagle and Shield*, and one each for the painting and the frame of *George Washington*, (Patrie Pater). Treatments for the painting and the frame were completed, and the portrait will remain in storage until the renovations in the Old Senate Chamber are completed. Treatment for the *Eagle and Shield* requires more time, and it will return to the Capitol in spring 2012.

The office completed the restoration of the eight Senate Reception Room Flemish oak benches purchased in 1899. This project was undertaken as part of the Reception Room restoration project. Over time, the original carved back panels were removed, the seats and backs upholstered, and the benches poorly refinished multiple times. The conservation sought to return the furnishings to their original appearance. The process included research into the original carved panels and finish, and the difficult repair of the extensive upholstery damage. The benches returned to the Capitol in September, and the Curator's office is working with the SAA to ensure proper housekeeping and handling practices regarding these historic benches.

Regular care of the Senate's gilded objects was a priority in 2011. A program to provide routine, on-site professional care for the Senate's gilded mirror and picture frames, as well as other gilded objects, continued. Eleven gilded pieces were treated. Additionally, to increase the skill and knowledge of the Curator's office, several staff participated in hands-on training related to basic gilded frame repair. This will reduce the need for professional conservators, improve the response to urgent repairs, and save the Senate time and money.

#### *Historic Preservation*

The Senate's historic preservation program seeks to formulate a solid preservation policy reflective of the Senate's interests and the need to preserve the Capitol's historic fabric and historical artistic intent. Through various initiatives, the preservation program has positioned itself as a valuable resource for the Senate, ensuring that all projects are carefully considered and weighed in light of sound preservation practices.

The Curator's office continued to work closely with the AOC and the SAA to review, comment, plan, and document Senate-side construction projects (many of which are long-term initiatives) that involve or affect historic resources. Such construction and conservation efforts included smoke purge system installation, Senate Reception Room wall and ceiling restoration; scagliola conservation; third floor plaster repair; Brumidi Corridors restoration; Strom Thurmond Room wall and ceiling restoration; fire grate installation; storm window installation; Republican Whip's suite improvements; first responder radio system; and ceiling repairs. Through this work, the Curator's office was able to ensure that the highest preservation standards possible were applied to all Capitol projects. In order to provide further protection to the Senate's architectural elements, the Curator's office drafted guidelines for the preservation of restored spaces and the protection of historic assets.

The protection of public spaces and historic assets remained a focus of the Curator's office, with continued participation in a working group (whose other members are the SAA, the AOC, and the Rules Committee) to devise uniform furnishings and protection solutions. In the areas with conserved and faux scagliola, the office continued working with the SAA and AOC to stop unauthorized furniture storage and to install much needed protective measures. Related to this charge, the rounds program, which was established in 2007 to monitor the collections on display, was expanded to include maintenance issues. The program now helps identify preventable damage so staff can address the root cause. The rounds program also reports needed maintenance, so public spaces can look their best for Capitol staff and visitors.



The pilot phase of the Senate Reception Room wall conservation was successfully completed. The original wall decoration comprised a very complex pattern of surface treatments with delicate toned glazes and precise application methods. Over the years, layers of overpaint obscured the original fresco, and conservation was necessary to reveal the true colors. Throughout the pilot project, the Curator's office kept Capitol staff and visitors informed through regularly updated signage. The Reception Room restoration and rehabilitation project is a joint effort between the Senate Curator and the AOC Curator, and includes various work in the room. In addition to restoring the historic Reception Room benches, the Curator's office developed a furnishing plan for the room, based on use surveys. As a first step, one of the historic benches was replaced with a row of chairs, thus allowing easy access to a closet and better use of the space by Members and Senate staff. The office is also working with the Senate Committee on Rules and Administration, the AOC, and the SAA on various furnishing initiatives for the room.

The office continued to assist the AOC in the procurement process for a 5-year plan for finishing the Brumidi Corridors restoration. Curator's staff reviewed the proposal request and will serve on the selection board. Similarly, the office was involved in the procurement for the Strom Thurmond Room restoration and subsequent treatment.

The Curator's office provided significant input on the AOC smoke purge project. After requesting an air flow study to better predict how air will move through the building and at what speed, the Curator's office engaged a team of environmental and art experts to review the project plan, identify potential threats to Senate art, establish an area of impact during construction and testing, and determine appropriate levels of protection measures. Curator's staff developed an art protection needs document, detailing expectations, and presented it to the AOC. In reaching agreement with the AOC, conversations centered on physical protection, climate control, and dust control. An updated set of art protection specifications were drafted and incorporated into the scope of work, thus ensuring a satisfactorily plan of protection for the Senate's art treasures during this complex project, which is scheduled to begin in 2013.

#### *Historic Chambers*

During 2011, the Curator's office, with assistance from the AOC and SAA, initiated a long anticipated project to address major plaster repairs in the Old Senate Chamber, which had been restored in 1970. The initial scope included removing failing areas of plaster and lead paint, patching, and repainting with the existing 1975 colors. Additionally, the Curator's staff requested paint analysis, which had never been undertaken in the room, in order to better understand the chamber's architectural history and to increase the Senate's knowledge of the space. Given the long history of major work in the room, early paint layers were not expected to be discovered, but to everyone's great surprise they were. Working closely with the AOC's historic preservation officer, the Curator's office combined microscopic paint analysis with exposures of target paint layers and archival research to identify an historic paint scheme. The early colors consisted of a warm gray on the ceiling, a slightly darker version of the gray on the walls, and a cream color on the trim. The effect will be a monochromatic scheme in contrast to the highly accented style used in the 1975 restoration which featured shades of peach and salmon with metallic highlights. Given this new knowledge, it was decided to repaint the chamber to a more correct historic appearance. Along with painting the walls, ceiling, and trim, the project expanded to include repainting the extensive 1975 faux marble, badly yellowed due to multiple layers of varnish.

With the support of the Senate Commission on Art, the Old Senate Chamber was closed and the task of repairing and repainting the room began. One exciting discovery was an original section of marble cornice that had been painted over. The marble was stripped and cleaned and it will remain exposed. Throughout the project, the Curator's office has continued to conduct extensive research as new questions arise that require immediate curatorial decisions. The staff is overseeing the schedule to ensure all tasks are completed and that thorough documentation occurs, both photographic and written. Justification for each and every decision and action is important for the historic record.

The Old Senate Chamber project is on schedule, and the new and more historically correct chamber will be reopened to the Senate and public in March 2012.

The Curator's staff continued to maintain the Old Senate and Old Supreme Court Chambers and coordinated periodic use of both rooms for special occasions. The staff worked with USCP to record after-hours access to the historic chambers by current Members of Congress. Sixty-eight requests were received from Members for after-hours access to the Old Senate and Old Supreme Court Chambers.

#### *Loans to and From the Collection*

A total of 66 historic objects and paintings are currently on loan to the Curator's office on behalf of Senate leadership and offices in the Senate wing of the Capitol. The staff returned two loans, accessioned one loan into the collection, coordinated seven new loans, and renewed loan agreements for 54 other objects. More than 20 loans are projected to be renewed next year.

The Curator's office was proud to have contributed the Senate's only landscape painting, *Niagara, Table Rock-Winter* by François Régis Gignoux, to the Smithsonian American Art Museum exhibition *The Great American Hall of Wonders*. The show examined the 19th-century American belief that the people of the United States shared a special genius for innovation. The exhibition featured 161 objects and ended January 8, 2012.

#### *Publications and Exhibitions*

A new exhibition was installed in the Hart Senate Office Building atrium highlighting the maquette, or model, of Alexander Calder's monumental sculpture *Mountains and Clouds*. It is the sculptor's last project and his only creation combining a separate mobile and stabile in a single sculptural work. The display explores the commissioning of the sculpture, the career of Calder, and the ongoing care and conservation of the sculpture itself. The display was the result of a collaborative effort coordinated by the Curator's office with the Secretary's Office of Preservation and Conservation, the SAA Printing, Graphics and Direct Mail branch (PGDM), the AOC Sheet Metal and Paint Shops, and the Creative Services Division of GPO. The exhibit was built using in-house resources at minimal cost to the Senate.

The office continued to increase its presence on Senate.gov this year by supplementing the Senate collections already featured with information on new objects. More than 30 artifact pages were added to the sections on decorative art, ephemera, and graphic art. Objects highlighted include ballot boxes, Sévres vases, inkstands, Argand lamps, stereographs, and gallery tickets for the 1868 Andrew Johnson impeachment trial.

#### *Collaborations, Educational Programs, and Events*

A painting of Senator William H. Frist by artist Michael Shane Neal was unveiled in the Old Senate Chamber on March 2, 2011, as part of the Senate Leadership Portrait Collection.

In conjunction with the Office of Web Technology and the Senate Historical Office, the Curator's staff developed a comprehensive bibliographic and publications site, combining various lists in one and organizing publications by subject. Viewers may now access all bibliographies and available publications from links throughout the art and history section of Senate.gov site.

Curator's staff assisted with numerous CVC-related projects throughout the year, including participating in the morning briefings to the Capitol Visitor's Service, conducting exhibition lectures for the public, reviewing exhibition text and images, and evaluating products and publications for the CVC gift shop.

The Curator's staff also gave lectures on the Senate's art and historical collections to various historical groups and art museums, as well as to members of the USCP Chamber Division. The office continued to assist with the Secretary's Senate staff lecture and tour series, and was a regular contributor to UNUM, the Secretary's newsletter.

#### *Office Administration and Automation*

The Senate Curatorial Advisory Board for the 112th Congress was empanelled. Two new and five returning members were welcomed. Composed of respected scholars and curators, this 13-member board provides expert advice to the Commission on Art regarding the Senate's art and historic collections, preservation programs, and review and acquisition of new objects for the collection. As an improvement to the Senate Curatorial Advisory Board empanelment procedures, the staff developed a standardized system to chart the appointment process for future board members.

The Curator's office coordinated with staff from the Government Accountability Office (GAO) as they conducted an audit of the Senate Preservation Fund: Audit of fiscal years 2009 and 2010. The final result of the audit was that the Commission on Art and the Secretary of the Senate continue to be in compliance with all applicable laws and operating standards as deemed by GAO.

In the area of file management, the Curator's office continued to advance the implementation of the new organizational matrix, file naming protocols, and improved project documentation through a series of file work days. This effort has greatly improved the usability of the office resources, streamlined office recordkeeping, and enhanced research capabilities.

The Rights and Reproductions program was improved by subscribing to the Large File Transfer System, a program administered by the SAA. This allows Senate collection images to be transmitted to customers digitally, providing cost and time savings as well as an environmental alternative to mailing disks.

*Continuity of Operations Planning*

In the area of COOP, the office conducted monthly exercises to develop the ability to work remotely. The exercises proved effective in identifying problems and troubleshooting issues in advance of a true emergency.

*Objectives for 2012*

Conservation and preservation of the Senate's collections continue to be a priority, and several major projects are planned for 2012. The office has already contracted with a professional conservator to restore two companion tables that were purchased around 1860 for the Vice President's Ceremonial Office. Repair and treatment is also planned for the 100 inkwells and 100 sanders in the Senate Chamber desks. Over time these containers have suffered from daily use, resulting in heavy corrosion, loose or broken hinges, and chipped or missing glass liners. The containers are no longer used as originally intended, and treatment will focus on cleaning and stabilizing the containers. The office will continue to expand the care of the Russell mirrors by completing the comprehensive, on-site conservation of one of the impressive committee room mirrors. Repair work will begin on the Senate Chamber desk writing boxes.

A major initiative will begin to provide on-site conservation treatment to preserve the collection of historic furnishings that are in daily use by the Senate. Of particular note in the collection are the Senate Chamber desks. In August 2011, Curator's staff visited the Department of State to observe and consult about a similar program in place for the furnishings in the Diplomatic Reception Rooms. A multi-step procurement process, coordinated through the SAA Procurement Office, began in fall 2011 to select conservation studios with the required experience and technical ability to provide periodic condition assessments and treatment for the collection. As a result of this program, ongoing care of the Senate's historic furnishings will be provided on a regular basis, to maintain their appearance and ensure their preservation for future use. The contract is anticipated to be in place before the end of 2012.

In conjunction with the AOC's work in the Senate Reception Room, the Curator's office will oversee the refinishing and reupholstering of the existing table and six chairs in the room. Similarly, during the wall conservation in the Strom Thurmond Room, the office will restore the historic 19th century overmantel mirror.

Several sculpture moves are anticipated for 2012, including:

- moving the original marble pediment sculpture, *Justice and History*, from its location in the Senate subway area to the vestibule outside the Old Supreme Court;
- moving the three plaster reliefs made by Lee Lawrie from their location in the Senate subway area to the main corridor on the third floor of the Capitol; and
- relocating the marble bust of George Washington to the entrance of the President's Room.

These new locations will help preserve the objects by offering more protected environments, and will provide more convenient and enjoyable viewing for staff and visiting public.

The four sculptures currently in the Senate subway area will receive conservation treatment to repair damage to their surfaces in conjunction with their planned moves. Of particular concern to *Justice and History*, is the grease now coating the surface due to its current proximity to the Senate subway.

All of the prints in the Senate collection will be re-housed using advanced archival methods and materials. Advantages to this project include sturdier protection for individual prints, front and back viewing capabilities, and easier access to objects.

The Curator's staff will confer with the AOC regarding preservation issues related to Senate restoration and remodeling projects, establish project records as appropriate, disseminate project information to the Senate, develop preservation projects at the request of the Senate, conduct condition inspections, and arrange necessary maintenance. The bulk of the office's project management will involve advancing the restoration and rehabilitation of the Brumidi Corridors, the Senate Reception Room, and the Strom Thurmond Room. The brochure for the Strom Thurmond Room will be updated following the completion of the restoration work.

An exhibit will be mounted for four Constantino Brumidi paintings. These oil-on-canvas sketches, painted as studies for Capitol murals, will be displayed in a public area so staff and visitors can appreciate these important works of art.

The office will assist the Joint Congressional Committee on Inaugural Ceremonies in various capacities for the 2013 Presidential Inauguration.

In the area of COOP preparedness, the office will conduct its annual table top exercise, and will continue with its series of remote desktop exercises to best prepare staff for an emergency situation.

#### EDUCATION AND TRAINING

The Joint Office of Education and Training provides employee training and development opportunities for all Senate staff in Washington, DC and the States. There are two branches within the office:

- Education and Training; and
- Health Promotion.

The Education and Training branch is responsible for providing management and leadership development, training on human resource issues, writing, editing, legislative research and time management, as well as offering technical training support for approved software packages and equipment and new staff and intern orientation in either Washington, DC or the State offices. This branch provides training as instructor-led classes, one-on-one coaching sessions, specialized vendor provided training, video teleconferencing, webinars, Internet-based training, documentation, job-aids, and quickcards. The Health Promotion branch provides seminars, classes and screenings on health and wellness issues. This branch also coordinates an annual health fair for all Senate employees and plans blood drives every year.

##### *Capitol Hill Training Events*

The Office of Education and Training offered 1,058 classes and events on Capitol Hill in 2011, drawing more than 12,000 participants. The registration desk handled more than 25,000 email and phone requests for training and documentation.

The previous total includes 160 customized training sessions for 2,667 staff members. These sessions ranged from in-depth training of Senate office system administrators, conflict resolution, and organizational development. The office provides individual consultation on Web site development and office systems training, as well as classes in résumé and interviewing skills building for staff whose Members have announced their retirements.

The Senate's intern program is also a focus of the office. The office provides training for intern coordinators as well as 10 orientation and training sessions for approximately 1,225 interns.

The biannual Senate Services Expo for Senate office staff had 36 presenters from the offices of the Secretary of the Senate, SAA, AOC, USCP, and the Library of Congress providing an overview of their services to 260 staff. This is part of the orientation for new staff and the aides to the Senators-elect in addition to the eight orientation sessions held January through March.

##### *State Training Events*

The Office of Education and Training provided 94 learning opportunities and training sessions to State office for which 2,625 State staff registered.

The office continues to offer the State Training Fair Program and video teleconferencing and webinars as a means to train State staff. In 2011, one session of the State Training Fair was attended by 40 State staff. In addition, 42 State administrative managers and directors attended the State Directors Forum, 57 State staff participated in a Constituent Services Forum, and 41 staff attended the Outreach Conference.

Education and Training also provided advanced all-staff meeting facilitation to more than 30 offices that were attended by more than 500 staff. Additionally, the office offered 20 video teleconferencing classes for which 718 State staff registered and 22 webinars that were attended by 200.

To date, 826 State and Washington, DC staff have registered and accessed a total of 1,780 different lessons and publications using Internet-based training covering technical, professional, and language skills. This allows staff in both Washington, DC and State offices to take training at their convenience. Education and Training also provides 64 Senate-specific self-paced lessons that have been accessed more than 4,800 times.

##### *Health Promotion*

In the Health Promotion area, approximately 2,000 staff participated in 64 activities throughout the year. These activities included:

- lung function and kidney screenings;
- eight blood drives;
- the Health and Fitness Day;

- seminars on health related topics; and
- the Annual Senate Health Fair.

#### *Cost-Saving Measures*

This office reduced each of our Washington, DC-based State training sessions by one-half day to reduce per diem costs to the offices. We have added to our catalog of self-paced training to allow State and Hill staff to learn at their own time and place. Video teleconferencing and webinar training offerings have also been expanded. Education and Training continues to distribute documents electronically to reduce paper costs.

#### *Continuity of Operations Planning*

This office has upgraded the video and audio in the spaces used as the Emergency Operations Centers for SAA and Secretary of the Senate. We have begun work with the SAA Continuity and Emergency Preparedness Operations Office to provide staffing for alternate office space, alternate computing center, and alternate chamber support. Our office is also working with the Senate Employee Assistance Program Office to develop, deliver, and staff our response to emotionally challenging events.

#### GIFT SHOP

Since its establishment in 1992 (2 U.S.C. 121d), the Senate Gift Shop has continued to provide outstanding service and products that maintain the integrity of the Senate while increasing the public's awareness of its mission and history. The Gift Shop serves Senators, their spouses, staffs, constituents, and the general public, including many visitors to the U.S. Capitol complex. The products available include a wide range of fine gift items, collectibles, and souvenirs created exclusively for the U.S. Senate.

#### *Facilities*

In addition to providing products and services from three physical locations, the Gift Shop has an online presence on Webster, the Senate's intranet. The Web site currently offers an increasing selection of products that can be purchased by phone, email, or by printing and faxing the order form provided on the site. Along with offering over-the-counter and walk-in sales, as well as limited intranet services, the Gift Shop Administrative Office provides mail order service via phone or fax, and special order and catalogue sales via in-person visit, email, phone, or fax.

The Gift Shop maintains two warehouse facilities. The bulk of the Gift Shop's stock is held in the Senate Storage Facility (SSF), an offsite warehouse. While SAA is in charge of the overall management of the SSF, the director of the Gift Shop has responsibility for the operation and oversight of the interior spaces assigned for Gift Shop use. Storing inventory in this centralized, climate-controlled facility provides protection for the Gift Shop's valuable inventory in terms of physical security as well as improved shelf life for perishable and nonperishable items alike.

The second Gift Shop warehouse is maintained within the Capitol complex. This facility serves as the point of distribution of merchandise to the Gift Shop store and the Capitol Gift Shop counter, both of which have limited storage space. This warehouse accommodates the Gift Shop's receiving, shipping, and engraving departments, as well as supplying the inventory sold through the administrative and special order office.

#### *Sales Activities*

Sales recorded for fiscal year 2011 were \$1,608,728.55. Cost of goods sold during this same period was \$1,216,191.66, accounting for a gross profit on sales of \$392,536.89.

In addition to tracking gross profit from sales, the Senate Gift Shop maintains a revolving fund and a record of inventory purchased for resale. As of October 1, 2011, the balance in the revolving fund was \$3,149,788.37. The inventory purchased for resale had an end of the year value of \$3,101,301.

#### *Additional Activity*

##### *Government Accountability Office Audit*

At the request of the Secretary of the Senate, in September 2010, GAO conducted an inventory observation and audit of the Gift Shop financial operations. The formal results of this audit were received in April 2011. The established departmental procedures and policies implemented on a daily, monthly, and annual basis proved to be instrumental in the Gift Shop's achieving a positive review. The recommendations provided by GAO at the conclusion of their observation had either already been implemented or have been adapted.

*Environmental Fair*

The Gift Shop participated in the 2011 U.S. Senate Environmental and Energy Fairs sponsored by AOC. Environmentally friendly products that were displayed included wooden flag and desk boxes, wooden pens, custom-designed wrapping paper produced from recycled paper, aluminum water bottles, Nalgene BPA-free water bottles, biodegradable travel mugs, and a travel mug produced from 100-percent U.S. natural corn products.

*Selected Accomplishments in Fiscal Year 2011*

*Official Congressional Holiday Ornaments*

The Official 2011 Congressional Holiday Ornament features a view of the east front of the Capitol backed by a translucent blue window. The ornament is crafted of layered cutwork brass with a 24 karat gold finish and multicolored enamel detailing.

Sales of the 2011 holiday ornament exceeded 26,000 ornaments, of which more than 6,400 were personalized with engravings designed, proofed, and etched by Senate Gift Shop staff. This is an increase in engraved ornaments of more than 12 percent. This highly successful effort was made possible by the combined efforts of our administrative, engraving, and store staffs.

*Candlesticks*

The Members' staircases in the Capitol feature railings that are masterworks of bronze casting. The banisters of the railings, embellished with finely detailed foliate decoration, have been replicated in miniature as 12-inch tall solid pewter candlesticks. They are available in either a polished silver or a matte gold finish, and are sold singly or in sets of two.

*Webster Intranet Site*

The Web site continues to expand with the addition of new merchandise, photographed with assistance from the Senate Photography Studio. Product descriptions are written in-house.

The Gift Shop contributes an article highlighting products and services to each issue of the Secretary's UNUM newsletter. In turn, the Web site links to the electronic version of UNUM, a practice that has increased traffic to the Web site and may be responsible for an increase in the use of Gift Shop services by State offices.

*Projects Recently Produced and New Initiatives for 2012*

*Capitol Visitor Center*

The Senate Gift Shop continues to supply them with a wide variety of inventory product, offering service when needed and advice on purchase order, invoice, and operational processes.

*Congressional Plate Series*

The latest 8-year, four-plate series of the 112th, 113th, 114th, and 115th Congress has been produced. The 112th plate is currently being offered for sale. The plates for each of the future congresses will be made available during that respective congressional session. The designs depict art and architecture from four of the most historically significant rooms in the Capitol:

- the Senate Appropriations Room;
- Old Senate Chamber;
- Old Supreme Court Chamber; and
- President's Room.

*Laser Engraver*

Recently purchased and soon to be installed, the laser engraver will allow the Senate Gift Shop to expand engraving services to include additional materials including wood, acrylic, glass, plastic, stone, marking metals, and anodized aluminum.

*New Color Printer*

The Senate Gift Shop acquired a color printer which prints in quantity on card stock, allowing in-house production of educational inserts for merchandise in smaller quantities than would be possible using outside printers. This results in cost, time, and resource savings.

HISTORICAL OFFICE

Serving as the Senate's institutional memory, the Historical Office collects and provides information on important events, precedents, dates, statistics, and historical comparisons of current and past Senate activities for use by Members and staff,

the media, scholars, and the general public. The Office staff advises Senators, officers, and committees on cost-effective disposition of their noncurrent office files and assists researchers in identifying Senate-related source materials. The historians keep extensive biographical, bibliographical, photographic, and archival information on the more than 1,900 former and current Senators. The staff edits for publication historically significant transcripts and minutes of selected Senate committees and party organizations, and conducts oral history interviews with key Senate staff. The photo historian maintains a collection of approximately 40,000 still pictures that includes photographs and illustrations of Senate committees and nearly all former Senators. The Office staff develops and maintains all historical material on the Senate Web site, [Senate.gov](http://Senate.gov).

#### *Editorial Projects*

##### *Sesquicentennial of the Civil War*

In connection with the commemoration of the 150th anniversary of the Civil War, the Historical Office published and distributed a booklet on "The Senate's Civil War", which is also available to the public for purchase in the CVC gift shops, an arrangement that reduced printing costs. The historians, working with the Office of the Senate Curator, designed and mounted a 13-panel exhibit in the Senate wing of the Capitol exploring the role played by the Senate and its Members during the war years. The historians have also posted online and updated monthly features relating to the Senate's Civil War experiences on the Senate's Web site, and have worked with the CVC staff in selecting items for display related to the Civil War and Reconstruction.

##### *Documentary Histories of the U.S. Senate*

The Historical Office continued working on its online documentary history series, which presents case studies and primary-source documentation for all contested Senate elections, censure and expulsion cases, impeachment trials, and major investigations. Intended for use within the Senate and by the general public, these documentary histories are particularly valuable for teachers who seek to include primary-source documents in their lesson plans. This project also allows the Historical Office to update case studies of past events and add recent case studies, eliminating the need for new print editions of past publications, reducing costs, and paper use. Existing case studies in three categories (contested elections, censures, and expulsions) of this five-stage project have been completed and posted on [Senate.gov](http://Senate.gov), with new revisions and updated cases added throughout this year. Substantial progress also has been made in the remaining two categories (impeachment trials and investigations). Three case studies were added into the investigations category, on the Truman Committee, the investigation into air and ocean mail contracts, and the investigation of the attack on Pearl Harbor.

##### *States in the Senate*

The States in the Senate project, featured on [Senate.gov](http://Senate.gov), highlights persons and events in each State's history that relate to the U.S. Senate, which informs Senators, staff, and constituents alike. Historians and staff have collaboratively created timelines and compiled selected illustrative images for each of the 50 States. A Web design for the project was created in partnership with GPO and the Office of Web Technology that provides an interactive timeline for each State with links to relevant documentary and visual material, along with a table of Senators from each class with service dates. Staff entered data and collected more than 1,000 images for all of the States.

##### *Administrative History of the Senate*

The associate historian continued to prepare a historical account of the Senate's administrative evolution since 1789. This study traces the development of the offices of the Secretary of the Senate and SAA, considers 19th and 20th century reforms that resulted in reorganization and professionalization of Senate staff, and looks at how the Senate's administrative structure has grown and diversified.

##### *Rules of the United States Senate, Since 1789*

In 1980, Senate parliamentarian emeritus Floyd M. Riddick, at the direction of the Senate Committee on Rules and Administration, prepared a publication containing the eight codes of rules that the Senate adopted between 1789 and 1979. In the 1990s, the Senate Historical Office staff, in consultation with Dr. Riddick, developed a project to incorporate an important feature not contained in the 1980 publication. Beyond simply listing the eight codes of rules, the Office's goal is to show how—and why—the Senate's current rules have evolved from earlier versions. The Senate's historian emeritus has continued work on this project, which will con-

tain eight narrative chapters outlining key debates and reasons for significant changes. Appendices will include the original text of all standing rules and, for the first time in one publication, all changes adopted between each codification.

*Biographical Directory of the U.S. Congress, 1774–Present*

The Historical Office continues to expand and update the *Biographical Directory of the U.S. Congress* as needed, including adding new Member biographical entries and bibliographical citations that incorporate recent scholarship. The Senate historians work closely with the historical staff of the House of Representatives to maintain accuracy and consistency in this joint Senate-House database, and to promote this valuable resource among historians, teachers, students, and the public. Senate and House historians and technical staff for the House of Representatives continue to collaborate on a planned update of the online site in appearance and functionality and have approved a new template and overall appearance for the Directory. The Senate archivist and her deputies continue to expand and revise the “Research Collections” aspect of the database, taking advantage of new resources on archival collections.

*Senate Manual and Congressional Directory*

The Historical Office has assisted the Senate Committee on Rules and Administration with the preparation of the statistical data sections of the *Senate Manual* and the *Congressional Directory*. Staff worked to research, edit, and revise statistical information on the 1,931 Senators who have served since 1789, along with Senate officers, executive Cabinet members, and sessions of Congress.

*Party Conference Minutes, 1965–1977*

Previously, the Historical Office staff edited, indexed, and published the Minutes of the Senate Democratic and Republican Conferences covering the years prior to 1964, and they are currently preparing a similar volume for the Democratic Conference including its minutes from 1965 to 1977. After January 1973, verbatim transcripts were prepared for each Conference meeting, considerably enlarging the documentation. This project has involved scanning and editing 2,869 pages of transcripts for 102 meetings of the Conference and inclusion of an index and explanatory annotations. With the approval of the Conference, the minutes will be published, and a similar editorial project will be proposed for the Republican Conference minutes for this time period. The office has scanned an additional 3,115 pages of transcripts for the 73 conferences between 1977 and 1982, for future publication.

*Dirksen Senate Office Building Exhibits*

Senate historians, working with the staff of the Senate Curator and the Senate Library, continue to prepare new exhibits for the entrance room to SDG-50 in the Dirksen Senate Office Building. The first exhibits dealt with the life and career of Senator Everett M. Dirksen and on the design and functioning of the office building named in his memory. These are being replaced with exhibits on the changing design of Senate committee rooms in the Capitol and Senate office buildings, and on some of the notable investigations held by Senate committees.

*Oral History Program*

The Historical Office staff conducts a series of oral history interviews to record personal recollections of various Senate careers. Interviews were conducted with former Senator Edward E. (Ted) Kaufman, who previously served as chief of staff to Senator Joseph R. Biden, Jr.; Richard Murphy, who served on the staff of Senator Hugh Scott; Barry Piatt, former communications director for Senator Byron L. Dorgan; Rufus Edmisten, deputy counsel to the Watergate committee; and Barbara Hines, one of the Senate’s first female pages. An interview with Senate telecommunications personnel was released for research. The complete transcripts of 35 interviews conducted since the 1970s have been posted on Senate.gov. That site features a different oral history interview series each month, including digital audio-clips along with the interview transcripts. The Historical Office has worked with the National Archives to digitize past oral history interviews, which had been archived on magnetic tape, for preservation purposes. Digitization also allows for inclusion of short audio segments on Senate.gov. For UNUM, the Secretary of the Senate’s newsletter, the staff has created a regular series entitled “Senate Voices”, which includes excerpts from the oral histories with a contextual introduction.

*Member Services*

*Educational Outreach*

The historian and associate historian delivered a series of “Senate Historical Minutes” at the weekly Democratic and Republican Conference luncheons. These “min-



utes” highlighted significant events and personalities associated with the Senate’s institutional development. Many of them are now included on Senate.gov as “Historical Minute Essays”.

*Members’ Records Management and Disposition Assistance*

Whenever Senators announced their retirements, the Senate archivist held meetings with their staffs to discuss schedules for closing and to ascertain specific archiving needs. A new “closing an office” notebook was compiled to better address the numerous and recurring issues involved in preserving a Senate collection. H. Con. Res. 307, adopted on June 20, 2008, serves as the introduction to the notebook and has proved to be an effective outreach tool to Senators and their senior staff. As a result of these meetings, some Senators have hired archivists to assist with this specialized process; others have dedicated staff to perform the necessary work. All offices appear to be working more closely with their selected archival repository. This planning has become increasingly valuable in the digital era.

Eighteen offices closed at the end of the 111th Congress. This presented a good opportunity to observe recordkeeping practices in 18 percent of Members’ offices. While some offices still relied on paper to transact business, the majority used a variety of electronic systems. Senators increasingly used computer notepads to view their daily briefing memos. Senators have also made use of social media, particularly YouTube, Facebook, and Twitter. Offices showed variations in levels of understanding how to preserve these files, and were curious about what services a research repository can provide. These insights led to an Office Archives Toolkit specifically designed for new offices. Amid the demands of setting up the office, staff can begin to create filing systems that not only can be of immediate use but can lead to long-term archival preservation. The Toolkit contains 18 readily accessible “tools” ranging from an office policy statement to a records management control table. It includes suggestions for the systems administrator, personal records management advice, and archiving email strategies sandwiched in between. The Toolkit is available in hard copy, on a disk or on the Senate’s intranet, Webster. The Toolkit points out that from the start there will be archival records in the form of constituent communications that need to be managed. It also covers what Senators should look for in an archival repository and what they should keep for their research collections.

The archivist made extensive revision of the *Records Management Handbook for U.S. Senators and Their Archival Repositories*. Archival guidance in the form of “Quick Cards” were updated and augmented by a fourth card on social media communications archiving. A staff exit-interview form designed to provide better context of their records, was supplemented by a new checklist for locating records among portable media.

The Senate archivist held a series of brown-bag lunch discussions for archivists in committees and Senators’ personal staffs. These focused on records management, storage and electronic records. Informal meetings of Capitol Hill Archivists and Records Managers (CHARM) focused on description standards, electronic records description, and improving capture of email.

The archivist listserv serves as an effective means for updating archival staff about records management and archival guidance. The Senate archivist continues to work with the repositories receiving senatorial collections to ensure the adequacy of documentation and the transfer of records with adequate finding aids, helping to lower costs for the receiving repositories and providing guidance on electronic records. The archivist and Senate historian presented a talk on the history of the Senate’s archives to Senate staff. The talk was also presented to a graduate class on documentation at the University of Maryland.

*Committee Records Management and Disposition Assistance*

The Senate archivist provides Senate committees with staff briefings, guidance on preservation of information in electronic systems, and instructions for the transfer of permanently valuable records to the National Archives’ Center for Legislative Archives. A survey conducted of the committees’ electronic archiving revealed that almost all committees had voluminous electronic record backlogs that require archival review. The backlogs fall into three categories:

- files of committee staff that have departed the committee;
- share drives; and
- accumulated email.

Because of the Senate’s increasing employment of electronic records, the Senate archivist continues to encourage committees to hire their own archivists. Over the past year, the Committee on the Budget and Select Committee on Indian Affairs added archivist positions, making a total of nine archivists on eight committees. The

result has been a positive improvement in the quality of historical documentation of these committees.

There remains a danger of losing electronic records that are sitting in backlogs. This year the archivist began offering direct electronic records processing assistance to committees and is currently working on electronic records backlogs of six committees, some dating from the 1990s. Thirteen of the 17 committees (75 percent) are engaged in archiving electronic records. The Senate now has 2.5 terabytes of data stored at the National Archives and Records Administration's Center for Legislative Archives. There is a growing gap between the documentary qualities of the records being archived from committees that have archivists as opposed to those without archivists or those that have not sought specific help with their electronic records.

Direct processing of electronic records rendered valuable insights about contemporary staff record-keeping. Close evaluation of staff email accounts for the purposes of description, revealed some unusual gaps indicating that staff members were not totally aware of how to use the email archive folder function. These were addressed with targeted guidance. Dealing with large digital backlogs also has allowed for a refinement of the description of digital records.

Working with the Office of Senate Security, the archivist created an appraisal chart specifically for classified records. The chart is designed for use by security officers and archivists to identify historically valuable classified records and to eliminate the hundreds of feet of such material regularly sent in multiple copies to the Senate. A top concern is the preservation of the classified notes staff take at briefings, usually the only record of such meetings.

Three new archives IT initiatives began during the past year. A large file transfer system for transferring records accessioning and description documentation to the Center for Legislative Archives was implemented and has cut down substantially on the use of paper. The archivists compiled specifications for a Senate archives virtual server that eventually can archive electronic records. The archivists also worked with the Center for Legislative Archives Holding Maintenance System to provide better tracking of loans back to the Senate.

The Senate Committee on Rules and Administration has accepted a gift of five original Senate Appropriations Committee ledgers covering the period from 1870 to 1909. The ledgers were purchased privately by an antiquarian bookseller, who then donated them back to the Senate. They provide an inventory of appropriations "by item and by Congress" and fill a significant gap in the historical record of the committee. The five ledgers are divided as follows:

- Agriculture;
- Army;
- Fortifications;
- Pensions; and
- Post-Office;
- Diplomatic and District of Columbia;
- Legislative;
- Military Academy; and
- Naval and Sundry Civil Appropriations.

During 2011, the Senate archivist oversaw the transfer to the Archives of 607 accessions of Senate records totaling 2,303 cubic feet of textual records and 732.78 gigabytes of electronic records. The archivist and deputy archivists responded to 155 requests for loans of archived records back to committees. Responsibility for archiving the records of the Joint Select Committee on Deficit Reduction was assigned to the Senate archivist, who briefed the committee staff as the office was setting up. Archiving of those records continues into 2012.

#### *Advisory Committee on the Records of Congress*

This 11-member permanent committee, established in 1990 by Public Law 101-509, meets semiannually to advise the Senate, the House of Representatives, and the Archivist of the United States on the management and preservation of the records of Congress. Its membership representing the Senate includes the Secretary of the Senate, who is chairing the panel during the 112th Congress; the Senate Historian; and appointees of the Secretary and the Majority and Minority Leaders. The Historical Office furnishes support services for the Advisory Committee's regular meetings. The archivist and deputy archivist served as appointed members of the Next Generation Finding Aid Task Force established by the Advisory Committee to develop criteria to improve the finding aids for the Senate's archival records. The task force's report, which was approved by the Advisory Committee at its June meeting, outlines significant steps needed to bring finding aids to Senate collections up to contemporary standards. Implementation of its recommendations began with training for the archivists in metadata, EAD, EAC-CPF, DACS, and Archivists

Toolkit, all standards and systems required to automate accessioning and description of the Senate's historical records. A Task Force on a New Descriptive Tool has been created to compile system requirements for a new accessioning and description system. When fully implemented, the system will streamline the description, accessioning, and management of the Senate's archival collections from their origin within committees to their use for research.

#### *Educational Outreach*

The Historical Office's correspondence with the general public has increasingly taken place through Senate.gov. The historians maintain and frequently update the Web site with timely reference and historical information, and each month select related material to be featured on the site. During the past year, the Office responded to more than 1,500 inquiries from the public, the news media, students, family genealogists, congressional staffers, and academics, through the public email address listed on Senate.gov. The diverse nature of their questions reflected varying levels of interest in Senate operations, institutional history, and former Members.

Working closely with the Webmaster's staff, the historians have substantially redesigned all the principal pages of Senate.gov, to better utilize the online environment to provide timely, accurate, and interesting historical material. Beginning in October 2011, the historians began monthly thematic presentations of historical essays, images, cartoons, and statistics, along with exhibition of primary-source documents from the National Archives, Library of Congress, and other sources, to better serve Senators, staff, and the public. Underway are major revisions to the online oral history collection and the "historical minutes", to make these valuable features more interesting and easier to navigate.

Staff presented seminars on the general history of the Senate, Senate committees, women Senators, Senate floor leadership, relations between the press and the Senate, the U.S. Constitution, the history of Senate impeachment trials, and notable Senate investigations. The historians also participated in Senate staff seminars and conducted briefings for specially scheduled groups. The associate and assistant historian met with teachers from the National Council for the Social Studies, and offered specialized tours to Senate staff, including a tour of Capitol locations associated with the Civil War.

#### *Photographic Collections*

The Senate photo historian consulted with other image professionals in planning the renovation of the collection space, to create an environment conducive to the preservation and access of the image collection. She successfully oversaw the physical transfer of the Senate's image collection to the newly renovated office space, and arranged for the transfer of thousands of historic negatives to the Center for Legislative Archives.

The photo historian ensured history-focused photographic coverage of the contemporary Senate by photographing Senate committees, collecting formal photo portraits of new Senators, and capturing significant Senate events in cooperation with the Senate Photographic Studio. She provided timely photographic reference service by phone and email, while cataloging, digitizing, relocating, and expanding the Office's 40,000-item image collection. She assisted several Senate offices in creating collages of all the Senators who previously served in that seat.

The photo historian assisted in the creation and production of the brochure, "The Senate's Civil War", selecting images to illustrate the text and sought permissions to use the images, and collaborated with the historical editor and GPO staff to design and publish the brochure. The photo historian also selected and obtained an estimated 1,500 images for the upcoming online exhibit, "States in the Senate", for its illustrated timelines.

The photo historian collaborated with the Senate Curator's Office, the Center for Legislative Archives, and the Senate Office of Conservation and Preservation to select and obtain historic images and documents for the Senate Committee on Rules and Administration.

As the founder of CHARM, an informal group of Senate archivists, the photo historian planned tours and professional development events for committee and member archivists, and planned its 10th anniversary luncheon.

#### *Continuity of Operations Planning*

As the Historical Office's COOP Action Officer and Emergency Coordinator, the Senate photo historian continued to update the Office's COOP plan in the emergency preparedness database. She made regular back-ups of the office's electronic records to store off-site in a secure environment. She trained new staff members and interns in the Office's emergency evacuation procedures. She updated staff members' contact information in the ALERTS system. She provided SAA's Continuity

and Emergency Preparedness Office with an after-action report after the August 2011 earthquake incident and worked to ensure that staff members have the resources needed to work off-site in the event of an evacuation of the office.

#### *Capitol Visitor Center*

The historians supplied information and guidance to the staff of the CVC related to the educational component of the exhibition gallery. They have provided material and general editorial review for a new Web-based training program for staff and tour guides. They made regular presentations on the history of the Senate in training seminars for Senate staff and interns, and gave morning briefings to the Capitol Guide Service. They gave exhibit talks in the CVC, contributed to the training of visitor assistants who guide visitors through the exhibition gallery, worked with exhibit staff to plan rotations of documents and images, and advised the CVC staff on its educational outreach programs.

#### HUMAN RESOURCES

The Office of Human Resources was established in June 1995 by the Secretary as a result of the CAA. The office focuses on developing and implementing human resources policies, procedures, and programs for the Office of the Secretary of the Senate that fulfill the legal requirements of the workplace and complement the organization's strategic goals and values.

These responsibilities include:

- recruiting and staffing;
- providing guidance and advice to managers and staff;
- training; performance management;
- job analysis;
- compensation planning, design, and administration;
- leave administration;
- records management;
- maintaining the employee handbooks and manuals;
- internal grievance procedures;
- employee relations and services; and
- organizational planning and development.

The Human Resources staff administers the following programs for the Secretary's employees:

- the Public Transportation Subsidy program;
- SLP;
- FMLA program;
- parking allocations; and
- the summer intern program that offers college and other postgraduate students the opportunity to gain valuable skills and experience in a variety of Senate support offices.

Human Resources staff has completed migration of eligible commuters to the Smart Benefits Program, which is operated by the Washington Metropolitan Area Transit Authority.

#### *Recruitment and Retention of Staff*

Human Resources has the ongoing task of advertising new vacancies or positions, screening applicants, interviewing candidates, and assisting with all phases of the hiring process. Human Resources staff coordinate with SAA Human Resources Department to post all SAA and Secretary vacancies on the Senate intranet, Webster, so that the larger Senate community may access the posting from their own offices. In an effort to reach a larger and more diverse applicant pool, the department uses multiple posting forums to reach potential applicants for employment. As a result, the Human Resources Department processed more than 3,000 applications for vacancies in the Secretary's Office, including review of applications, coordinating scheduling of candidates for interview, sending out notices to both successful and unsuccessful candidates, and finalizing new hire paperwork. All new hires also receive orientation from the Human Resources staff when they come on board.

#### *Training*

In conjunction with the Senate Chief Counsel for Employment, staff continues to develop and deliver training for department heads and staff. Training topics include sexual harassment, interviewing skills, FMLA administration, and an overview of the CAA. Human Resources staff also works with different department employees on topics specific to their group in outreach efforts to enhance teamwork in the workplace.

*Veterans Employment Opportunity Act of 1998*

In 2011, the rights and protections of the Veterans Employment Opportunity Act of 1998 (VEOA) became applicable to the Office of the Secretary of the Senate through the CAA. Eligible veterans now receive hiring preferences over nonveterans for most of the job openings in the Secretary's Office and can seek legal redress if they believe they have been denied their veterans' preference rights. Consistent with its new obligations under the VEOA, the Secretary's Office has identified more than 204 VEOA preference-eligible positions within its organization, has instituted a process for proper application of the veterans' preference law and, to date, has invited preference-eligible veterans to apply for 19 job openings.

*Congressional Internship for Individuals With Intellectual Disabilities*

In February 2012, the Office of the Secretary of the Senate received approval to participate in a unique internship program for students with intellectual disabilities—the Congressional Internship Program for Individuals with Intellectual Disabilities. The internship program, which lasts 12 weeks, gives students with intellectual disabilities the same educational and enrichment opportunities typically afforded to congressional interns here in our Nation's capital. Interns work for one 2-hour session each week. The interns work with their congressional offices, as well as job coaches specifically trained to assist the students, to complete various office tasks as assigned.

*Interns*

Human Resources manages the Secretary's internship program. From posting vacancies, conducting needs analyses, communicating, screening, placing and following up with all interns, the staff keeps a close connection with these program participants in an effort to make the internship most beneficial to them and the organization.

*Operation Warfighter*

In December 2010, Human Resources, on behalf of the Secretary, received approval to host Wounded Warriors from DOD's Operation Warfighter (OWF) program. The unpaid internship program is open to all wounded and ill servicemembers assigned to a Military Treatment Facility, an Army Warrior Transition Unit, the USMC Wounded Warrior Regiment, the Air Force Wounded Warrior Program, or the Navy Safe Harbor Program. The program positively impacts the recuperation process, and provides meaningful activity outside of the hospital environment that positively impacts wellness.

*Combined Federal Campaign*

The office has again taken an active role in the Combined Federal Campaign for the Senate community at-large. The office serves as co-directors of the program. The staff participates in kick-off meetings, identifies key workers in each office, and disseminates and collects necessary information and paperwork.

## INFORMATION SYSTEMS

The staff of the Department of Information Systems provides technical hardware and software support for the office of the Secretary of the Senate. Information Systems staff also interface closely with the application and network development groups within SAA, GPO, and outside vendors on technical issues and joint projects. The department provides computer-related support for all LAN servers within the office of the Secretary of the Senate. Information Systems staff provide direct application support for all software installed workstations, initiate and guide new technologies, and implement next-generation hardware and software solutions.

*Mission Evaluation*

The primary mission of the Information Systems Department is to continue to provide the highest level of customer satisfaction and computer support for the office of Secretary of the Senate. Emphasis is placed on creating and transferring legislative records to outside departments and agencies, fulfilling Disbursing Office financial responsibilities to the Member offices, and complying with office mandated and statutory obligations.

*Fiscal Year 2011 Technology Initiative Summary*

- The department technology initiatives concentrated in four specific areas:
- Improvements in workflow process, efficiency, and security;
  - Deployment of improved hardware and software technologies;
  - Business continuity planning and disaster recovery improvements; and
  - Network Perimeter and End Point Security Awareness.

*Improvements in Workflow Process Efficiency and Security*

Each Secretary of the Senate department has adopted IT security policies and improved procedures for the handling and migration of business-related electronic documents. In partnership with the SAA Security and Operation staff, educational awareness training is now mandated for all staff, intern, and contractor personnel. Each department head is required to assess the data involved, how it might be accessed on a variety of devices, and insures all data is encrypted when migrated out of the office environment.

Since November 2008, Information System staff has worked in partnership with SAA development staff testing improved access methods of virtual private networks. In 2010, new technology was implemented to provide the Senate community with improved access to their office workstations when working from home or outside of the office. Improved Web-based secure access is now available to establish secure network routing to an employee's office workstation when working remotely.

Improved security token hardware and software was installed in 2011 to ensure compliance with evolving security standards and to minimize threats to the Senate network.

Implemented and installed an improved version of legislative reporting in order for staff to run LIS reports via a Web browser session. This feature allows all of the reporting features of the existing clerk LIS application and eliminates the installation of client software at each workstation. Additionally it provides the Senate Library staff additional research tools when accommodating requests from the senate community.

*Deployment of Improved Hardware and Software Technologies*

Completed third phase of network printer hardware replacement program by replacing all color network printers with improved high-speed models that reduce energy use up to 50 percent with instant-on technology.

Improved BlackBerry devices support by utilizing new Web-based administrative tools to manage devices, and applied backup process in managing service accounts. This provides a much quicker response to securely lock down devices in the event of a misplaced or stolen device.

Upgraded the reporting functionality for the hardware server application which remotely deploys system and application patches for server and workstation hardware. Improved reporting means higher levels of asset management and additional accuracy when deploying patches to hardware systems.

Completed laptop hardware upgrades for all department head staff and legislative floor dais staff. Upgraded all COOP laptop hardware located on campus at the emergency operations center and at the leadership coordination center. Replaced and refreshed all COOP laptop hardware located at multiple offsite locations.

Retired three hardware servers in the Office of Public Records and virtualized the primary office database applications. This project, in part, minimized the impact of the office renovations in August 2011, providing the staff the ability to continue business as usual in their alternate location.

Completed 21 major LIS software upgrades and installed updated LIS application software in all legislative clerk offices, alternate computing facility, and offsite home laptop locations. Virtualized the LIS applications for the Senate Library staff which streamlined the availability of application for LIS users. Added LIS web reporting functionality to allow staff to retrieve reports via a secure Web browser.

Retired hardware server in the office of Human Resources. Virtualized the human resource information system application and relocated the application to an existing platform located at the datacenter in Postal Square (higher availability).

Replaced three hardware platforms at the primary computing facility (PCF) and upgraded the BlackBerry Exchange server hardware platforms to a virtual infrastructure. This was accomplished for the Secretary of the Senate, Disbursing, and SCCE offices. Additionally, three hardware platforms for each respective office were retired at the alternate computing facility (ACF). These ACF servers are the major active directory server for each office and critical in the failover capability when moving network resources to an alternate location.

Upgraded unclassified workstations in the Office of Senate Security. Finalized the design and delivery of a new improved SharePoint server hardware platform for the office classified network. This new design will accommodate the increase workload with the room reservation system, and provide additional efficiency using a virtual server instance to manage classified data.

Information Systems staff initiated new technologies to reduce ongoing application support cost by introducing a "virtual application" in the office. Virtual applications are installed once and available on a centralized server and need not be installed multiple times on all workstations. The first application candidate for all staff use

is an XML editing application and this is now hosted as the first Secretary “thin application” for staff use.

Evaluated multiple portable teleconferencing solutions to be used by the executive office staff.

Implemented a low-cost computing terminal emulation hardware solution for the Office of Public Records, the Office of Printing and Document Services, and the summer internship program. This evolving hardware technology is a network appliance that replaces the standard office personal computer with a low-cost hardware device. Multiple appliances can then be networked to a single host to run software applications. A cost saving is realized not only in foregoing the purchase of additional personal computers, but also with the reduction of ongoing support for the additional system patches and updates.

*Business Continuity Planning and Disaster Recovery Improvements*

Replaced all laptop hardware for department heads, the Disbursing Office, and SCCE.

Added portable servers in the Disbursing office at the ACF. This solution provides a nightly scheduled backup and a replica of the Hart location data to the ACF facility.

Upgraded legislative staff with improved laptop hardware at the dais chamber location for a more streamlined and secure connection to the Senate network.

Created a “virtualized” and encrypted software solution for the Senate Enrolling Clerk in order to process legislation when staff reside offsite. Virtualization of mission critical workstation applications provides for a way to lower the support time and cost required to keep offsite laptops updated with current software revisions. It also provides a more efficient process to migrate existing applications to numerous systems thus making it available to a wider range of key personnel who require the application access.

Parallel in completing the Enrolling Clerk virtual host project, Information System staff partnered with GPO technical staff to provide two functional offsite hardware printers for use during a COOP event. This functionality provides the Enrolling Clerk staff the ability to print multiple types of parchment style documents for delivery to the White House in the event of an office closure or relocation.

Updated and migrated the Member accountability client application to function with the SAA Windows SQL 2008 Server platform. Configured four virtual hosts, one reserved specifically for training purposes, and one virtual “always on” instance that resides at the PCF datacenter. Configured and made this available virtual solution for the Secretary of the Majority and the Secretary of the Minority offices.

Demonstrated the capability during the COOP offsite exercise in May 2011 to transfer data files directly from the Official Reporters of Debate Stentura device to GPO. During a COOP event key personnel may not always be available, and this test functionality eliminated three personnel in the floor proceeding data transfer process. The test data transferred to GPO was compiled successfully by their staff to produce the Congressional Record for the exercise.

Configure http protocol “quick links” on the improved Senate Web portal appliance for staff to remotely connect to the office workstation. Presently 70 percent of the staff has some method of secure remote access to Senate network resources.

In the event GPO “fails-over” their operation at North Capitol Street, NW, changes to the legislative file transfer process to support transactions between the Secretary’s office and GPO have been implemented. A secondary backup (encrypted) file transfer method has also been implemented between GPO, the Senate Office of Legislative Counsel, and the Office of the Secretary. Demonstrated secure file transfer capability during the May 2011 offsite exercise.

In partnership the SAA Security Operations Center, selected and tested COOP offsite laptops operation using the Senate vulnerability assessment software tool. This software tool is now available to the Senate community. Future testing in 2012 will involve the testing of the Executive office workstation.

IT staff continue to monitor email spam filtering applications. Present rate of undesirable email messages average 6,000 messages per day, which is approximately a 30-percent reduction from fiscal year 2010. Email messages to staff who are no longer employed by the Secretary’s office continue to be removed from the messaging server.

Information Systems staff continue to monitor network security ensuring best practice information is available to all staff. Developed global security server policies to automatically lock computer terminals after 1 hour of application inactivity.

Staff continues to provide a BlackBerry scanning service for staff prior to travel outside of the United States.

Staff continues to manage the alerts notification database for all Secretary staff. Database information is verified nightly to ensure email, voice, and BlackBerry personal identification number information is valid and will function during an emergency.

After implementation of the Lumension Deployment server, Information Systems staff continues to maintain the inventory of all applications for 300 workstation installations. The office now has the ability to review in real time which systems require application updates, and can deploy security patches without interruption to the business owner.

*Ongoing and Future Projects in 2012*

As server and laptop hardware nears the end of the maintenance lifecycle, replace older hardware servers with virtual server solutions. All active directory server hardware was updated in fiscal year 2010. PCF and ACF domain controllers were virtualized for fail-over capability in 2011.

Evaluate new Senate active directory enterprise solution for Secretary of the Senate, Disbursing Office, and SCCE.

Migrate to next generation of Microsoft Exchange E-mail Server. This was accomplished in January 2012.

OFFICE OF INTERPARLIAMENTARY SERVICES

Office of Interparliamentary Services (IPS) is responsible for administrative, financial, and protocol functions for all interparliamentary conferences in which the Senate participates by statute, for interparliamentary conferences in which the Senate participates on an ad hoc basis, and for special delegations authorized by the Majority and/or Minority Leaders. The office also provides appropriate assistance as requested by other Senate delegations.

The statutory interparliamentary conferences are:

- NATO Parliamentary Assembly;
- Mexico-United States Interparliamentary Group;
- Canada-United States Interparliamentary Group;
- British-American Interparliamentary Group;
- United States-Russia Interparliamentary Group;
- United States-China Interparliamentary Group; and
- United States-Japan Interparliamentary Group.

In 2011, IPS was responsible for organizing the following interparliamentary conferences:

- the U.S.-China Interparliamentary Group;
- the Mexico-U.S. Interparliamentary Group; and
- the British-American Parliamentary Group.

As in previous years, all foreign travel authorized by the Majority and Minority Leaders is arranged by the IPS staff. In addition to delegation trips, IPS provided assistance to individual Senators and staff traveling overseas. Senators and staff authorized by committees for foreign travel continue to call upon this office for assistance with passports, travel arrangements, and reporting requirements.

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

IPS maintains regular contact with DOD, the Department of State and foreign Embassy officials. The office staff organizes visits for official foreign visitors and assists them in setting up meetings with leadership offices. The staff continues to work closely with other offices of the Secretary of the Senate and SAA in arranging programs for foreign visitors. In addition, IPS is consulted by individual Senate offices on a broad range of protocol questions. Occasional questions come from state officials regarding congressional protocol.

On behalf of the Senate Majority and Minority Leaders, IPS arranges official receptions for heads of state, heads of government, heads of parliaments, and parliamentary delegations. Required records of expenditures on behalf of foreign dignitaries under authority of Public Law 100-71 are maintained by IPS.

*Continuity of Operations Planning*

IPS regularly reviews its COOP plan with ongoing discussions, updating materials kept offsite, evaluating evacuation procedures, and working from remote sites.

LEGISLATIVE INFORMATION SYSTEM PROJECT

LIS is a mandated system (section 8 of the 1997 Legislative Branch Appropriations Act, 2 U.S.C. 123e) that provides desktop access to the content and status of



legislative information and supporting documents. The 1997 Legislative Branch Appropriations Act (2 U.S.C. 181) also established a program for providing the widest-possible exchange of information among legislative branch agencies. The long-range goal of the LIS Project is to provide a “comprehensive Senate Legislative Information System” to capture, store, manage, and distribute Senate documents. Several components of the LIS have been implemented, and the project is currently focused on a Senate-wide implementation and transition to a standard system for the authoring and exchange of legislative documents that will greatly enhance the availability and re-use of legislative documents within the Senate and with other legislative branch agencies. The LIS Project Office manages the project.

*Background: Legislative Information System Augmentation Project*

An April 1997 joint Senate and House report recommended establishment of a data standards program, and in December 2000, the Senate Committee on Rules and Administration and the Committee on House Administration jointly accepted XML as the primary data standard to be used for the exchange of legislative documents and information. Following the implementation of LIS in January 2000, the LIS Project Office shifted its focus to the data standards program and established LIS Augmentation Project (LISAP). The over-arching goal of the LISAP is to provide a Senate-wide implementation and transition to XML for the authoring and exchange of legislative documents.

The current focus for LISAP is the continued development and implementation of the XML authoring system for legislative documents produced by the Office of the Senate Legislative Counsel (SLC), the Office of the Enrolling Clerk, the Senate Committee on Appropriations, and GPO. The XML authoring application is called LEXA, an acronym for the Legislative Editing in XML Application. LEXA replaces the DOS-based XyWrite software used by drafters to embed locator codes into legislative documents for printing. The XML tags inserted by LEXA provide more information about the document and can be used for printing, searching, and displaying a document. LEXA features many automated functions that provide a more efficient and consistent document authoring process. The LIS Project Office has worked very closely with the SLC, the Enrolling Clerk, and the editorial and printing staff of the Committee on Appropriations to create an application that meets the needs for legislative drafting.

*Legislative Information System Augmentation Project: 2011*

The LIS Project Office continued to provide support to the SLC, the Senate Committee on Appropriations, and the Senate Enrolling Clerk in their use of LEXA for drafting, engrossing, and enrolling. In addition, drafters in the Committee on Commerce began using LEXA in mid-2011 to create measures in XML instead of locators. With the addition of the Commerce drafters, it is now possible that all measures in the second session of the 112th Congress will be produced in XML. In addition, GPO uses LEXA to complete measures for printing. Several new features and fixes were added in LEXA releases to make the drafting process faster, more efficient, and more consistent. LIS staff trained new drafters and interns in the use of LEXA.

Changes to LEXA included upgrading all users to Xmetal 6.0 and to Perl 5.8.9 libraries. Xmetal is the underlying software for LEXA, and the 6.0 version is compatible with Vista and the 32-bit version of Windows 7. Perl is the main programming language used in building the LEXA application. The upgrade projects required extensive testing of LEXA on multiple operating systems including XP, Vista, and Windows 7.

Several new features and improvements were made to LEXA in the past year. One new feature allows a user to easily create a valid XML document from multiple XML documents. The Enrolling Office often has to work with very large documents, and changes were made to speed up the printing of large documents. The project to convert, edit, and print the compilations of existing laws continued with improvements to printing to portable document formats and quicker access to open compilations from an index document. Several enhancements were made to correctly set form, endorsement, and printing parameters for bills reported by the Senate Committee on Appropriations. New document templates and printing procedures were created for the Committee on Commerce. Because the text of new documents can come in many different formats, an important update to LEXA is improvements in copying non-XML-formatted text and pasting into LEXA in a valid XML format. The previous paste process added the text, but a great deal of time and effort was required to conform the document to valid XML.

*Continuity of Operations Planning*

Several procedures have been implemented to provide for COOP. All source code and data files are backed up nightly to a drive in the office, and each LIS Project Office staff member carries an encrypted flash drive containing the office COOP plan, documentation, and the most recent version of LEXA. All the software and documentation required to create the development environment and a LEXA end user environment are available in duplicate copies of the LIS Project Office fly-away kit. The COOP plan and the fly-away kits are updated frequently, and one fly-away kit is kept in an off-site location. Regular testing of the ability to work remotely is conducted via Senate laptops and personal computers to ensure that application development and user support can continue if access to the office is not possible.

*Legislative Information System Augmentation Project: 2012*

The LIS Project Office will continue to work with and support all the Senate offices now using LEXA and will continue to work with the House, GPO, and the Library of Congress on projects and issues that impact the legislative process and data standards for exchange. Several offices within these organizations will participate in two projects. The LIS Project Office is working with staff from the Legislative Computer Systems (LCS) in the Office of the Clerk and GPO on a pilot project to create and print committee reports in XML. A second group project to collaborate on changes needed for using XML for codification bills and the U.S. Code includes participants from the Law Revision Counsel, the Senate and House Legislative Counsel, and LCS.

Xmetal 7.0 will be released in 2012, and the LIS Project Office will conduct extensive testing before upgrading LEXA users. Xmetal 7.0 will be certified to operate on the 64-bit version of Windows 7, and it will provide interfaces to content management systems. Following the Xmetal upgrade, testing will begin on an interface between Xmetal and Sharepoint and on upgrading to the .Net4 framework.

## LIBRARY

The Senate Library provides legislative, legal, business, and general information services to the United States Senate. The Library's collection encompasses legislative documents that date from the Continental Congress in 1774; current and historic executive and judicial branch materials; an extensive book collection on American politics, history, and biography; a popular collection of audiobooks; and a wide array of online resources. The Library also authors content for three Web sites—LIS.gov, Senate.gov, and Webster, the Senate's intranet.

The Library marked 140 years of service to the Senate with the complete transfer of the SIS program from the SAA, a full program review, the launch of a redesigned FrontPage portal to include all electronic resources available Senate-wide, the release of a new State NewsWatch portal focused on regional and local news sources, the upgrade and replacement of the Senate's Westlaw custom search interface, the continued development of a redesigned custom search interface for LexisNexis, the full implementation of new internal processes and a Web-based application to log SIS support requests, and the issuance of new contracts for the procurement of online research services for the delivery beginning in fiscal year 2012.

Senate-wide access to several specialized products was terminated as of December 31, 2011. In light of price increases incurred in several online products, overall Senate usage of these news and research services did not justify the cost of continuing access. Available SIS program funds were reallocated to preserve Senate-wide access to core services identified in the Senate research services survey conducted in November 2010. These changes in service were authorized by the Secretary of the Senate with the approval of the Senate Committee on Rules and Administration and are a consequence of reductions in program funding.

The Library's creation of new Web-based content, judicious selection and investment in online resources, expanded outreach and training opportunities, and use of technology to support alternative means for information delivery continues to meet the Senate's increasing demand for information.

*Notable Achievements*

Successful outreach efforts contributed to an increase in Library usage in the following areas over the past year:

- the Library catalog experienced a 24-fold increase in visits from 3,804 Senate staff;
- patron computer accounts are up 66 percent; and
- online book requests are up 23 percent. Loans of audiobooks increased 13 percent and travel books by 46 percent.

Targeted efforts to reach underserved State staff and interns were rewarded with a total of 830 staff participating in 150 classes, tours, and webinars. This represents a 65-percent increase in the number of training opportunities offered and a 119-percent increase in the number of staff trained.

The Library catalog now provides Senate staff with desktop access to more than 39,649 full-text electronic documents and online resources, an increase of 15 percent more than 2010.

Library staff and interns completed the retrospective digitization of Senate Executive Calendars from 1997 to the present, creating the only digital archive of this material with the goal of making it publicly available.

Catalog records for confirmation hearings on appointments to the Federal judiciary and the armed forces have been enhanced to allow searching by the names of all individual nominees.

Three well received display cases were completed on *African Americans in the Civil War*; *Philip Reid and the Slaves Who Built the Capitol*; and *19th Century Gilded Book Bindings in the Senate Library*.

The online Senate Services Directory (Red Book) was released on Webster, featuring a new taxonomy developed by the Library in collaboration with the Office of Web Technology and the Sergeant at Arms' Assistant Sergeant at Arms (ASAA)/Chief Information Officer (CIO) Office.

#### *Senate Library Inquiries, Online Book Requests, and Patron Accounts*

The increase in requests for online materials, the availability of new and enhanced database offerings, and the expanded availability of resources on the Web have not dampened the overall demand for high-quality Library resources and services. Librarians answered 25,123 walk-in and email reference requests in 2011.

Senate staff continued to demonstrate an increasing preference for Web-accessible resources. Use of Library-created resources on Webster increased to 184,551 page visits, an increase of 108 percent from 2010. Links to the Library's Hot Bills, appropriations, and cloture table content from LIS added 13,954 page visits while referrals from LIS to FrontPage and the Library's Web site totaled 6,924. Usage statistics for Library's popular Virtual Reference Desk on Senate.gov are not available for 2011 as a consequence of a change in the overall site architecture.

The January launch of the Library's new FrontPage electronic resources portal marked a seamless transition of the site from the SAA to the Library. The new portal received 82,016 page visits in its first year. Senate staff turned to SIS program support 147 times for help with accounts, resource access, and custom news profile requests. Program staff logged an additional 150 requests with program vendors related to program site maintenance and support during 2011.

The Library received 818 online book requests in 2011, a 23-percent increase more than the previous year. The increase can be attributed to the online book request form on the Library catalog, as well as to the promotion of online topical bibliographies that highlight the Library's collections of audiobooks, travel books, and new books. Audiobook loans increased by 13 percent, travel books increased by 46 percent, and new books decreased by 8 percent from 2010 levels.

#### ONLINE BOOK REQUESTS

	Number
2006 .....	127
2007 .....	192
2008 .....	332
2009 .....	489
2010 .....	666
2011 .....	818

Seventy-two percent of the Library's patrons are Senate office and committee staff members while the remaining users include support office staff, members of the accredited press, and government agencies.

A total of 889 new patrons were registered in 2011, a decrease of 10 percent more than the number of new staff registered in 2010. Targeted outreach to Senate interns resulted in an increase of 63 percent in the number of intern borrowing accounts during the same period.

Other activities for 2011 included setting up 458 new computer accounts for our patron workstations, a 67-percent increase from 2010, as well as providing the following document printing and delivery services:

## INFORMATION SERVICE SUPPORT ACTIVITIES, 2011

Category	Total
Circulation:	
Document deliveries .....	4,391
Item loans .....	3,371
Pages printed:	
Microform pages printed .....	648
Photocopies .....	51,278
Document delivery total .....	59,688

*Senate Library Content Creation**Senate.gov Web site Content*

A new page, New Senators, 2001–present, was launched in May that lists all new Senators by Congress as they are sworn in, including Senators whose service begins at the start of a Congress as well as those whose service begins later that year or during the second session. The table is arranged in reverse chronological order by Congress and Senate service start date.

Dates of Sessions of the Congress, present to 1789 was revised in November. The page lists the convening and adjournment dates for both the House and Senate for every session of Congress beginning in 1789.

*Senate Webster Content**Senate Information Services Program Content*

The Library's new SIS FrontPage portal was launched in January with the collaboration of the Office of Web Technology featuring a tabbed format highlighting online resources for news, legislative, legal, and general policy research. Key parts of the site include a display of current course offerings and a graphical ad that are linked to current service promotions. The addition of a linked program news page provides an efficient and timely means to alert users to changes in SIS program services.

A new portal, State NewsWatch, focused on regional and local news sources, was also launched in January. The site was created in response to an expressed need by Senate staff for more access to local news. The design was the result of a collaborative effort of a team of Library staff and the platform vendor. In 2011, Senate staff viewed 28,561 pages on the site that now includes all news feeds authorized for redistribution by SIS program vendors.

A revised Senate Westlaw custom search interface was released in August. The new site highlights frequently used business, news, legislative, and legal content. Development was a collaborative effort between a team of Library staff and the vendor.

*Senate Library Web Site Content*

A Library team revised and updated the Library training related pages on the Library's Web site to create a unified page presenting Library and SIS vendor course offerings, to modify course listings to accommodate the new webinar format, and to provide a link to the Library's monthly promotional flyer. All training related pages on the Library's site received 27,424 visits from Senate staff.

*Other Digital Content*

Library staff completed the first phase of the retrospective digitization of the Senate Executive Calendars from 1997 to the present in response to staff requests for older editions of the calendar. Work will continue on the digitization of the remaining Executive Calendars in the Library's collection. This collaborative project between the Library, the Senate Executive Clerk, the Office of Web Technology, and the LIS Project Office will build a complete digital collection from the Library's bound editions and form the basis for a future online digital archive available on Senate.gov and Webster.

In anticipation of an update to Senate Committee Print 99–95, Senate Cloture Rule, substantial improvements were made to the Library's XML cloture tables by adding Congressional Record volume and page numbers for each motion and vote from 1917 to the present. Summer interns collaborated on this project helping with research and data entry.

#### *Senate Knowledge Base*

The Senate knowledge base is an institutional repository of data to support the Webster site taxonomy project and Webster search enhancement. To date, 1,129 document records, 1,960 term records, and 480 organization records in the Senate knowledge base are supporting the Webster taxonomy and search projects. The 45-percent increase in the number of terms and 19-percent increase in the number of documents created this year is a result of a restructuring of the database to support the online Senate Services Directory (Red Book) and reporting for “keymatches”.

#### *Webster Online Services Directory (Red Book)*

The online Services Directory was launched in January as a joint effort between the SAA ASAA/CIO office and the Library. The online directory combines Web page links to internal and selected external services, links between related terms and services, along with contact information contained in the Red Book. The Red Book was a printed directory (last published in November 2010) created by the Senate telephone operators as a finding aid for commonly requested numbers and services. The online Senate Services Directory is driven by a completely new taxonomy that is managed through the Senate knowledge base.

#### *Webster Search Enhancement*

Librarians improve Webster search results by analyzing popular search terms and matching them with topically relevant pages or search engine “keymatches” (which are managed through the Senate knowledge base). This improves the chances a searcher will find what he or she is looking for on Webster. During 2011, 237 “keymatches” were established and 719 changes were made to update Web page links.

#### *Instruction and Outreach Programs*

Reference librarians conduct a wide variety of classes and tours for Senate staff, including Insider’s Guide to Webster, Introduction to LIS, Research Tools on Your Desktop, Services of the Senate Library, and Got Questions? Targeted efforts to reach underserved State staff and interns were rewarded with a total of 830 staff participating in 150 classes, tours, and webinars. This represents a 65-percent increase in the number of training opportunities offered and a 119-percent increase in the number of staff trained. Library trainers offered no cost Web-based training using Watson conference sessions targeted at State staff. Webinars proved to be extremely popular with State office staff, which constituted the majority of the 190 session attendees.

SIS program sponsored vendor training was expanded to include both in person and Web-based training from LexisNexis and Westlaw in an effort to reach underserved State staff.

A new course offering titled “Using the Legislative Information System (LIS)” was taught to 50 participants as part of the Legislative Survival Guide training series in collaboration with the Joint Office of Education and Training in the fall of 2011.

The Library gave numerous tours to outside library professionals including each semester’s Senate Page School class, law library interns from the Library of Congress, Catholic University library school students, Federal Depository librarians, CRS librarians, and a group of visiting Special Library Association member librarians. The Library also participated in the CRS District State Institute, instructing 30 State staff, and participated in the Senate Services Fair, making contact with 60 Senate staff.

Efforts to reach Senate staff more directly through the use of small graphics with links to featured resources in staff email signatures and by engaging mobile device users with quick response (QR) codes in promotions in posters and flyers resulted in 378 click throughs on email signatures and 42 page views using mobile devices. The QR codes and email signatures change monthly to coordinate with the Library’s overall promotional program. In 2011, a total of 24 Webster ads for Library services were run and 660 flyers were distributed.

Monthly book displays and online bibliographies highlight the Library’s collections and stimulate interest in reading new titles. Five new bibliographies were created during the year, including *From the Gilded Age to the Information Age*; *September 11: A Look Back*; *Bill of Rights: Then and Now*; *Award Winning Books from the Senate Library*; and *War Stories: Remembering Veterans*. The graphical ads featured on Webster that linked to the reading lists have resulted in 2,023 downloads of the new bibliographies and an increase in books requested online and in the number of books loaned. October’s *Award Winning Books from the Senate Library* proved to be the most popular with staff, accounting for 1,150 downloads. The Library’s *Great Reads for New Senate Staff* continued to draw in readers as did the Library’s 140th anni-

versary promotional list *From the Gilded Age to the Information Age*. The Library's permanent online bibliographies, travel guides, and style guides received 28,718 visits from Senate staff.

*Collection Development*

*Audiobooks*

The Library acquired 45 new audiobook titles in 2011, bringing the total number to 170 titles. Designed to assist users with diverse needs, including those who may be visually challenged, as well as to draw patrons into the Library, the program remains popular with patrons whose 902 loans were equivalent to circulating each item in the collection more than five times over. An online bibliography of audiobooks on Webster contains links to the catalog and the online book request form.

*New Digital Resources*

The overall number of searches using the Serials Solution A–Z list was 3,156, 60 percent of which were the result of users finding and using SIS program content from LexisNexis, ProQuest, and Westlaw. The 26-percent decline in usage following the launch of the State NewsWatch platform in January was because of improved access to State and local newspapers and Library efforts to focus training on and increase user awareness of the new site. Content was updated to include two new databases that resulted from changes in vendor offerings.

The Library added the Bar Journals Library to its Hein Online subscription expanding digital access for librarians to more than 80 journal titles, and also subscribed to the online version of the legal encyclopedia *Corpus Juris Secundum* on Westlaw which provides a thorough, contemporary statement of American laws as derived from reported cases and legislation. Senate-wide access was provided to the 2011 e-book edition of the *Gale Directory of Publications & Broadcast Media*. These resources increase the scope of material available and the efficiency with which reference librarians can answer questions from Senate staff.

The Library began offering Senate-wide access to a legislative histories database on the ProQuest Congressional platform. The legislative histories database provides information on all hearings and reports associated with a law and provides direct links to the full text of these congressional documents.

*Government Documents*

As a participant in GPO's Federal Depository Library Program, the Library receives selected categories of legislative, executive, and judicial branch publications. The Library received 8,997 Government publications in 2011. In response to the trend of issuing Government documents in electronic format, 5,206 links were added to the Library catalog, bringing the total number to 39,649, an increase of 15 percent more than last year. The links provide Senate staff desktop access to the full text of each document.

ACQUISITIONS, 2011

Category	Total
Congressional documents .....	7,048
Executive and judicial branch publications .....	1,949
Books (including audiobooks and e-books) .....	841
Electronic links .....	5,206
<b>Total acquisitions .....</b>	<b>15,044</b>

*Legislative Validation*

The Library's Legislative Validation Clerk verifies and edits the accuracy and consistency of data and legislative information published by Secretary of the Senate staff in LIS, DMS, the Congressional Record, Senate.gov, and Webster. The clerk's work also requires the verification of selected Congressional Record Index entries (print and electronic) and includes comparing electronic entries made by legislative staff or data entry clerks from various agencies with the printed Congressional Record Index and notifying the offices of discrepancies.

Between January and December 2011, the Legislative Validation Clerk submitted 271 corrections out of hundreds of thousands of verified legislative actions that took place during the year.

## LEGISLATIVE VALIDATION CLERK CORRECTIONS, 2011

Office	Number submitted
Bill, Enrolling, Executive, Journal, and Legislative Clerks .....	88
Reporters of Debates, Morning Business Editor, and Daily Digest .....	146
GPO and Library of Congress—LIS .....	37
Total corrections .....	271

*Cataloging*

The Library's productive cataloging staff draws on years of experience to produce and maintain a catalog of more than 217,000 bibliographic items. During 2011, they added 4,673 new titles to the catalog (an increase of more than 25 percent from the previous year) and performed 28,137 record maintenance and enhancement activities (an increase of 18 percent from the previous year), including correcting subjects and names that have become obsolete and retrospectively adding links to full-text content and book jacket images to existing records.

Catalogers' time and skills at categorizing and describing content are increasingly in demand for taxonomy-related projects designed to enhance Webster. These include creating the records that drive functionality in the new online Red Book Senate Services Directory, analyzing logs of unsuccessful searches to create "keymatches" that target Webster search results, and developing a topical framework to support the development of news alerts, improve content organization, and enhance the effectiveness of predefined searches in Senate NewsWatch and the InfoViewer client.

Catalogers created 623 bibliographic records for Senate hearings not yet printed using information in the Congressional Record Daily Digest and the combined hearings schedule on Webster. This includes field hearings that are not listed in the Daily Digest. These records provide preliminary access for Senate staff and remain in the catalog until the printed hearing is received and cataloged.

The catalog is updated nightly to ensure that Senate staff will retrieve accurate and current information on Library holdings. The addition of 740 book jacket images in 2011, an increase of 38 percent, enhanced the catalog's visual appeal.

2011 was a milestone for the Library catalog, marking its first-time availability to Senate users via remote access through the Senate's virtual private network gateway. Visitors to the catalog increased 24 fold as a result of promotional efforts to highlight the Library's collection coupled with this expanded access. The Library catalog was used by 3,804 Senate staff accounting for 7,210 visits in 2011.

*Library Automation*

An upgrade to the Library's integrated library system was installed in September. Among the many fixes, the patch provided support for various fields and codes recently introduced by the Library of Congress, including a new genre/form thesaurus code and new fields intended to support the future implementation of the Resource Description and Access (RDA) cataloging rules. The OCLC Connexion software, used to create bibliographic records for the catalog, was also upgraded on Technical Services staff computers in October.

The Library purchased a Cognos report writer authoring license as an add-on for the integrated library system. This product will enable Library staff to write structured query language queries against the cataloging and circulation database to create custom reports as needed, facilitating catalog maintenance projects, streamlining data exports from the catalog, and improving the gathering of statistics.

The Library and the Information Systems Office worked with SAA staff to upgrade and fully implement a Web-based, off-the-shelf call tracking application to log, track, and route incoming SIS support requests. Clearly defined processes and procedures were also established to monitor email and telephone requests and establish data entry and statistical requirements prior to use. The result has been efficient tracking of calls, vendor support requests, and prompt response to the needs of Senate staff.

*Preservation, Binding, and Collection Maintenance*

Technical Services staff continued to participate in book repair training sessions led by the director of the Office of Conservation and Preservation. Trainees repaired 281 volumes, making significant progress in the preservation of the Library's bound book collection.

The Library continues to preserve and protect rare and fragile print materials in its collections using commercial binding services procured through GPO. In 2011, a total of 48 volumes were sent out for binding, and 153 volumes were completed, with excellent results.

#### *Budget*

Budget negotiations with database vendors resulted in flat or reduced pricing for online research services and subscriptions. Budget savings from price reductions in 2011 online research services and cuts in subscriptions totaled \$6,000. After 14 years of budget monitoring, savings total \$155,013. This continual review of purchases eliminates materials not meeting the Senate's current information needs. This oversight is also critical in containing and offsetting cost increases for core materials and for acquiring new materials.

#### *Special Projects*

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

UNUM, the Secretary's quarterly newsletter, has been produced by Senate Library staff since October 1997 and is distributed throughout the Senate and to former staff and Senators. It serves as an historical record of accomplishments, events, and personnel news in the Office of the Secretary of the Senate. Highlights from the 2011 UNUM issues include articles on letters donated by Senator Fred Harris that shed light on the process for choosing the "Famous Five" Senators whose portraits now hang in the Senate Reception Room; a feature on the Senator Bill Frist leadership portrait; an article on the 20th anniversary of the Office of Captioning Services; book reviews on Civil War books and on "great reads for new Senate staff"; an article by Senate Associate Historian Betty Koed setting the record straight about the Russell Senate Office Building basement as a horse stable; and the continuation of the "Senate Voices" series prepared by the Historical Office that contains excerpts of oral histories of former staffers.

##### *National Library Week*

James Swanson, author of *Bloody Crimes: The Chase for Jefferson Davis and the Death Pageant for Lincoln's Corpse*, was the featured speaker at the Library's 13th annual book talk in honor of National Library Week with 90 people in attendance. Other events included a book display, *Rarities and Oddities of the Senate Library*, and a well-attended dessert reception.

##### *Display Cases*

Hallway display cases continue to educate staff and visitors alike while highlighting the Library's collections. Display cases featured this year include:

- African Americans in the Civil War*;
- Philip Reid and the Slaves Who Built the Capitol*; and
- 19th Century Gilded Book Bindings in the Senate Library*.

##### *Cooperative Projects*

Hearing Universal Resource Locator (URL) data from the Library catalog is exported weekly to provide LIS and THOMAS with full-text links to Senate hearings. The Library contributed 2,905 new Senate hearing links to the LIS database during 2011, a 176-percent increase more than 2010.

##### *Major Library Goals for 2012*

Implement a rebuilt Senate NewsWatch platform to accommodate anticipated changes in news feed delivery with better integration and presentation of available State and local news content on the site.

Continue team evaluation and enhancement of instructional course offerings, review available applications to create online course offerings, and expand Web-based training opportunities to reach State staff.

Complete project to create an online archive of the Senate Executive Calendar, in collaboration with the Senate Executive Clerk and the Office of Web Technology.

Complete and release a redesigned LexisNexis customized user search interface for the Senate.

Begin the collaborative development of a topical framework for Senate NewsWatch to support the development of news alerts, improve content organization, and enhance the effectiveness of predefined searches in Senate NewsWatch and the InfoViewer client.

Create and install two new displays for the entrance to the Dirksen Senate Auditorium, SDG-50, under the direction of Senate Committee on Rules and Administration in collaboration with the Office of Senate Curator and the Senate Historical Office.



Prepare for the anticipated implementation of new cataloging rules, called RDA by the Library of Congress and other libraries worldwide in 2013.

Begin project to improve access to the Library's collection of unpublished Senate hearings on microfiche by adding item-level records to the catalog with links to full-text content.

SENATE LIBRARY ACQUISITIONS STATISTICS FOR CALENDAR YEAR 2011

	Books		Government documents			Congressional publications				Total
	Ordered	Received	Paper	Fiche	Hearings	Prints	Bylaws	Reports/ Documents		
January .....	21	63	108	49	320	15	65	227	847	
February .....	18	72	60	80	311	42	137	107	809	
March .....	14	48	401	72	335	39	123	141	1,159	
1st Quarter .....	53	183	569	201	966	96	325	475	2,815	
April .....	12	64	103	83	239	30	91	140	750	
May .....	14	45	68	11	257	20	110	165	676	
June .....	15	41	82	70	232	11	112	208	756	
2nd Quarter .....	41	150	253	164	728	61	313	513	2,182	
July .....	26	131	39	2	283	7	169	294	925	
August .....	35	90	83	70	452	7	109	171	982	
September .....	74	63	66	85	283	9	88	226	820	
3rd Quarter .....	135	284	188	157	1,018	23	366	691	2,727	
October .....	23	105	95	79	228	6	99	166	778	
November .....	20	50	52	82	188	10	100	197	679	
December .....	22	69	97	12	188	14	92	185	657	
4th Quarter .....	65	224	244	173	604	30	291	548	2,114	
2011 Total .....	294	841	1,254	695	3,316	210	1,295	2,227	9,838	
2010 Total .....	299	761	1,589	699	3,719	135	1,210	2,726	10,839	
Percentage change .....	-1.67	+10.51	-21.08	-0.57	-10.84	+55.56	+7.02	-18.31	-9.24	

SENATE LIBRARY CATALOGING STATISTICS FOR CALENDAR YEAR 2011

	S. Hearing numbers added to LIS	Bibliographic records cataloged										Total records cataloged
		Books		Government documents			Congressional publications			Total records cataloged		
		Paper	Audio/ E-Books	Paper	Fiche	Electronic	Hearings	Prints	Documents/ Publications/ Reports			
January .....	17	80	3	19	.....	19	174	126	103	524		
February .....	64	47	4	10	.....	19	185	55	47	367		
March .....	18	39	5	4	18	9	273	170	61	579		
1st Quarter .....	99	166	12	33	18	47	632	351	211	1,470		
April .....	40	16	4	3	31	10	158	38	47	307		
May .....	13	12	9	.....	.....	10	206	9	28	274		
June .....	48	13	2	3	.....	13	140	60	61	292		
2nd Quarter .....	101	41	15	6	31	33	504	107	136	873		
July .....	47	24	1	6	.....	10	120	74	74	309		
August .....	73	40	6	4	3	26	315	76	65	535		
September .....	7	41	11	4	.....	7	227	73	55	418		
3rd Quarter .....	127	105	18	14	3	43	662	223	194	1,262		
October .....	10	63	6	2	.....	9	89	3	156	328		
November .....	38	34	7	3	5	23	163	1	121	357		
December .....	.....	41	6	7	1	16	174	1	137	383		
4th Quarter .....	48	138	19	12	6	48	426	5	414	1,068		
2011 Total .....	456	450	64	65	58	171	2,224	686	955	4,673		
2010 Total .....	312	338	46	58	7	122	1,796	234	1,135	3,726		
Percentage change .....	+46.15	+33.14	+39.13	+12.07	+728.57	+40.16	+23.83	+193.16	-15.86	+25.42		

## SENATE LIBRARY DOCUMENT DELIVERY STATISTICS FOR CALENDAR YEAR 2011

	Volumes loaned	Materials delivered	Facsimiles	Micro-graphics center pages printed	Photocopiers pages printed
January .....	245	433	26	50	4,629
February .....	251	361	25	47	4,652
March .....	249	369	41	11	3,996
1st Quarter .....	745	1,163	92	108	13,277
April .....	255	415	19	63	3,570
May .....	239	388	14	85	3,089
June .....	296	307	22	101	5,696
2nd Quarter .....	790	1,110	55	249	12,355
July .....	273	328	17	101	5,256
August .....	339	313	28	64	2,998
September .....	331	366	19	52	3,879
3rd Quarter .....	943	1,007	64	217	12,133
October .....	298	385	15	22	5,776
November .....	296	361	16	47	3,002
December .....	299	365	9	5	4,735
4th Quarter .....	893	1,111	40	74	13,513
2011 Total .....	3,371	4,391	251	648	51,278
2010 Total .....	3,251	4,349	223	857	71,983
Percentage change .....	+ 3.69	+ .97	+ 12.56	- 24.39	- 28.76

## PAGE SCHOOL

The United States Senate Page School exists to provide a smooth transition from and to the students' home schools, providing those students with as sound a program, both academically and experientially, as possible during their stay in the Nation's capital, within the limits of the constraints imposed by the work situation.

*Summary of Accomplishments*

Accreditation by the Middle States Commission on Secondary Schools continues through April 2013. The midpoint re-accreditation process began with review of the standards by staff in the fall of 2011.

Two page classes successfully completed their semester curriculum. Closing ceremonies were conducted on June 10, 2011, and January 27, 2012, the last day of school for each semester.

Orientation and course scheduling for the spring 2011 and fall 2011 pages were successfully completed. Needs of incoming students determined the semester schedules.

English usage pre- and post-tests were administered to students each semester and the results were reviewed by faculty to determine what usage instruction or remediation was needed.

A general study skills tutorial was presented to all students, and study skills sessions were provided to identify students in need of training in specific areas.

Faculty and staff provided extended educational experiences to pages, including 21 field trips, four guest speakers, opportunities to play musical instruments and vocalize, and foreign language study with the aid of tutors. Summer pages took eight field trips to educational sites and heard two guest speakers as an extension of the page experience. In addition, a panel of former pages spoke with current pages during the fall semester. They presented their views on the value of the program and advice on how to make the experience meaningful.

Fourteen pages took 27 Advanced Placement (AP) exams in eight subjects for qualification in scholarship programs.

The community service project embraced by pages and staff in 2002 continues. Items for gift packages were collected, assembled, and shipped to military personnel serving in various locations. Pages included letters of support to the troops.

All Page School staff attended continuing education and training classes. New tutors were trained in evacuation procedures.

All Page School staff attended continuing education and training classes.

Communication among SAA, Secretary of the Senate, Party Secretaries, Page Program, and Page School is ongoing.

Equipment purchased included an Optoma Projector for enhanced teaching and communication in social studies classes, three power supply units for the science laboratory, an electronic lab for science classes, dry erase board overlays for use in math and social studies classes, and additional copies of a novel for English classes.

#### *Continuity of Operations Planning*

The evacuation plan and COOP have been reviewed and updated. Pages and staff continue to practice evacuating to primary and secondary sites. Pages participated in escape hood training.

#### *Summary of Plans*

Our goals include:

- Individualized small group instruction and tutoring by teachers on an as-needed basis will continue to be offered, as well as optional academic support for students preparing to take AP tests.
- Foreign language tutors will provide assistance to students.
- The focus of field trips will be sites of historic, political, and scientific importance which complement the curriculum.
- English usage pre- and post-tests will continue to be administered to students each semester to assist faculty in determining needs of students for usage instruction. Pre- and post-tests will be devised to administer to students each semester to assist faculty in determining course placement and achievement in both math and science.
- Staff development options include attendance at seminars conducted by Education and Training and subject matter and/or educational issue conferences conducted by national organizations.
- The community service project will continue.
- Continuation of the work for re-accreditation will proceed.

#### PRINTING AND DOCUMENT SERVICES

The Office of Printing and Document Services (OPDS) serves as liaison to GPO for the Senate's official printing, ensuring that all Senate printing is in compliance with title 44, United States Code as it relates to Senate documents, hearings, committee prints, and other official publications. The office assists the Senate by coordinating, scheduling, delivering and preparing Senate legislation, hearings, documents, committee prints and miscellaneous publications for printing, and provides printed copies of all legislation and public laws to the Senate and the public. In addition, the office assigns publication numbers to all hearings, committee prints, documents, and other publications; orders all blank paper, envelopes, and letterhead for the Senate; and prepares page counts of all Senate hearings in order to compensate commercial reporting companies for the preparation of hearings.

#### *Printing Services*

During fiscal year 2011, OPDS prepared 3,568 requisitions authorizing GPO to print and bind the Senate's work, exclusive of legislation and the Congressional Record. Since the requisitioning done by OPDS is central to the Senate's printing, the office is uniquely suited to perform invoice and bid reviewing responsibilities for Senate printing. As a result of this prepared office's cost accounting duties, OPDS is able to review and assure accurate GPO invoicing as well as play an active role in helping to provide the best possible bidding scenario for Senate publications.

In addition to processing requisitions, the Printing Services Section coordinates proof handling, job scheduling and tracking for stationery products, Senate hearings, Senate publications and other miscellaneous printed products, as well as monitoring blank paper and stationery quotas for each Senate office and committee. OPDS also coordinates a number of publications for other Senate offices, such as the Curator, Historian, Disbursing, Legislative Clerk, Senate Library, as well as the U.S. Botanic Garden, USCP, AOC, and the CVC. These tasks include providing guidance for design, paper selection, print specifications, monitoring print quality, and distribution. Last year's major printing projects included:

- Semi-Annual Report of the Secretary of the Senate;
- The Senate Civil War brochure;
- The U.S. Senate Leadership Portrait Collection brochure;
- The U.S. Senate Appropriations Committee brochure;

- The Senate Manual;
- Authority and Rules of Senate Committees;
- 2011 Senate Telephone Directory;
- Senate gallery passes and visitor badges; and
- CVC tour tickets and informational brochures.

#### *Hearing Billing Verification*

Senate committees often use outside reporting companies to transcribe their hearings, both in-house and in the field. OPDS processes billing verifications for these transcription services to ensure that costs billed to the Senate are accurate. OPDS utilizes a program developed in conjunction with the Sergeant at Arms Computer Division that provides greater billing accuracy and information gathering capacity; and adheres to the guidelines established by the Senate Committee on Rules and Administration for commercial reporting companies. During 2011, OPDS provided commercial reporting companies and corresponding Senate committees a total of 894 billing verifications of Senate hearings and business meetings, a 9-percent increase more than fiscal year 2010 levels. More than 62,920 transcribed pages were processed at a total billing cost of \$573,974.

During fiscal year 2011, the office processed all file transfers and billing verifications between committees and reporting companies electronically ensuring efficiency and accuracy. Department staff continues training to apply today's expanding digital technology to improve performance and services.

#### *Secretary of the Senate Service Center*

The Service Center within OPDS is staffed by experienced GPO detailees who provide Senate committees and the Secretary of the Senate's Office with complete publishing services for hearings, committee prints, and the preparation of the Congressional Record. These services include keyboarding, proofreading, scanning, and composition. This allows committees to decrease, or eliminate, additional overtime costs associated with the preparation of hearings. Additionally, the Service Center provides work for GPO detailees assigned to legislative offices during Senate recesses.

#### *Document Services*

The Document Services Section coordinates requests for printed legislation and miscellaneous publications with other departments within the Secretary's office, Senate committees, and GPO. This section ensures that the most current version of all material is available, and that sufficient quantities are available to meet projected demands. The Congressional Record, a printed record of Senate and House floor proceedings, Extension of Remarks, Daily Digest and miscellaneous pages, is one of the many printed documents provided by the office on a daily basis. In addition to the Congressional Record, the office processed and distributed 7,770 distinct legislative items during the first session of the 112th Congress, including Senate and House bills, resolutions, committee and conference reports, executive documents, and Public Laws.

The demand for online access to legislative information continues to be strong. Before Senate legislation can be posted online, it must be received in the Senate through OPDS. Improved database reports allow the office to report receipt of all legislative bills and resolutions received in the Senate which can then be made available online and accessed by other Web sites, such as LIS and Thomas, used by congressional staff and the public.

#### *Customer Service*

The primary responsibility of OPDS is to provide services to the Senate, but documents are also made available to the general public and other Government agencies. During 2011, more than 10,000 requests for legislative material were received at the walk-in counter, through the mail, by fax, and electronically. Online ordering of legislative documents and the Legislative Hot List Link, where Members and staff can confirm arrival of printed copies of the most sought after legislative documents, continued to be popular. The site is updated several times daily each time new documents arrive from GPO to the Document Room. In addition, the office handled thousands of phone calls pertaining to the Senate's official printing, document requests, and legislative questions. Recorded messages, fax, and email operate around the clock and are processed as they are received, as are mail requests. The office stresses prompt, courteous customer service while providing accurate answers to Senate and public requests.

#### *On-Demand Publication*

The office supplements depleted legislation when needed by producing additional copies in the DocuTech Service Center, staffed by experienced GPO detailees who

provide Member offices and Senate committees with on-demand printing and binding of bills, reports and other legislation. On-demand publication allows the department to cut the quantities of documents printed directly from GPO and reduces waste. In particular the decrease in the number of documents routinely received by Senate Committees during the last quarter of 2011 increased the need for DocuTech services. OPDS anticipates that need to further increase over the next year. The office produced 132 on-demand jobs for committees during 2011, a 94-percent increase more than the previous year. Total jobs run on the DocuTech increased 62 percent more than 2010. The DocuTech is networked with GPO, allowing print files to be sent back and forth electronically. This allows OPDS to print necessary legislation for the Senate floor, and other offices, in the event of a GPO COOP situation.

#### *Accomplishments and Future Goals*

Over the past year, OPDS has faced challenges by providing new services for customers and improving existing ones. Of particular note is the office's commitment to help "green" the Senate. During 2011 more than 12.9 million sheets of 100-percent recycled paper were ordered by Senate offices, representing a 235-percent increase in the use of recycled paper over the previous year. Additionally, the office anticipates its print-on-demand capabilities will continue to grow in 2012, answering the Senate's needs in light of decreased GPO distribution of legislative documents. The office works diligently to track document requirements, monitor print quantities, and reduce waste and associated costs.

The office continues working with the GPO on behalf of its customers to improve efficiency and help answer the evolving needs of the Senate. Focus on COOP planning and emergency preparedness will continue.

#### PUBLIC RECORDS

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

The office provides for the inspection, review, and publication of these documents. From October 2010 through September 2011, the Public Records office staff assisted more than 2,000 individuals seeking information from reports filed with the office. This figure does not include assistance provided by telephone or email, nor help given to lobbyists attempting to comply with the provisions of LDA, as amended. In addition, the office works closely with the Federal Election Commission, the Senate Select Committee on Ethics, and the Clerk of the U.S. House of Representatives concerning the filing requirements of the aforementioned acts and Senate rules.

#### *Fiscal Year 2011 Accomplishments*

The office continued to implement S. 1, the Honest Leadership and Open Government Act, which amended the LDA and the Senate Code of Conduct. The office posted two LDA guidance updates and concentrated on developing additional research tools to assist with LDA compliance issues, referring 305 cases of potential non-compliance to the U.S. Attorney for the District of Columbia. The Senate Office of Public Records continued to test COOP plans and pandemic response plans.

#### *Plans for Fiscal Year 2012*

The Public Records office will continue to assess technology infrastructure needs, as well as continue to work with the Clerk of the House of Representatives (Clerk) and her staff to semiannually review and update the LDA Guidance as needed. Additionally, the office will work with the Clerk to initiate a review and update of the LDA filing system. The office will also continue to develop and implement educational information and tools that will help all report filers comply fully with the law and assist customers in accessing the information they seek.

#### *Automation Activities*

During fiscal year 2011, the Senate Office of Public Records continued to work with SAA to enhance database performance for all issue areas and improve public query programs.

#### *Federal Election Campaign Act, as Amended*

The act requires Senate candidates to file quarterly and pre- and postelection reports. Filings totaled 4,740 documents containing 394,676 pages.

*LDA, as Amended*

The LDA requires semi-annual contribution reports, and quarterly financial and lobbying activity reports. As of September 30, 2011, there were 4,738 registrants representing 18,510 clients. The total number of individual lobbyists disclosed on 2011 registrations and reports was 13,609. The total number of lobbying registrations and reports processed was 124,849.

*Public Financial Disclosure*

The filing date for Public Financial Disclosure Reports was May 16, 2011. The reports were made available to the public and press by June 15, 2011 as required by statute. Public Records staff provided copies to the Select Committee on Ethics and the appropriate State officials. A total of 3,765 reports and amendments were filed containing 23,923 pages. There were 293 requests to review or receive copies of the documents.

*Senate Rule 35 (Gift Rule)*

The Senate Office of Public Records received 223 Gift Rule/Travel reports during fiscal year 2011.

*Registration of Mass Mailing*

Senators are required to file mass mailing reports on a quarterly basis. The number of pages submitted during fiscal year 2011 was 380.

## STATIONERY ROOM

The Senate Stationery Room is the provider of office and administrative supplies, health and personal security supplies, personalized stationery, and special order items for official Government business. The Stationery Room serves all Members, both current and retired; support offices, and other authorized organizations.

The Stationery Room fulfills its mission by:

- Utilizing open market, competitive bid or General Services Administration (GSA) schedules for supply procurement.
- Maintaining sufficient in-stock quantities of select merchandise in order to best meet the immediate needs of the Senate community.
- Developing and maintaining productive business relationships with a wide variety of vendors to ensure sufficient breadth and availability of merchandise.
- Maintaining expense accounts for all authorized customers and preparing monthly activity statements.
- Managing all accounts receivable and accounts payable reimbursement.
- Ensuring the integrity and security of all funds and Government assets under our control.

	Statistics	
	Fiscal year 2011	Fiscal year 2010
Gross sales .....	\$3,535,526.90	\$3,343,167.00
Sales transactions .....	36,198	44,626
Purchase orders issued .....	6,041	6,354
Vouchers processed .....	6,441	7,022
Office deliveries .....	6,578	5,986
Number of items delivered .....	142,132	136,021
Number of items sold .....	351,408	390,528
Total cartons received offsite .....	25,192	22,583
Total of all items received .....	161,431	149,762
Average office deliveries per day .....	27	25

*Fiscal Year 2011 Overview**Wireless Point of Sale System*

During fiscal year 2011, the Stationery Room purchased mobile point-of-sale licenses for three existing MC-70 handheld computers. Used primarily for inventory control and merchandise ordering, the MC-70 can now be used as a wireless mobile sales station. These devices are used in conjunction with the Stationery Room's retail management system (RMS) and can be deployed at times of extremely heavy sales volume to shorten checkout lines or to improve customer service with "concierge" type personal shopping, whereby the sales associate can accompany the customer around the store, scan the desired items, finalize the sale, and package the order for delivery.



### *Credit Card Acceptance*

Continuing to improve customer service, the Senate Stationery Room began accepting credit card payments for in-store purchases. The stand-alone terminals utilized to process payments via local area network connection are secure and compliant with industry standards. No fees are incurred by the Stationery Room or the customer. Purchases are accepted from all Members, staff, and others who are authorized.

### *Credit Card Payment for Flags*

Utilizing the Pay.gov service offered by the Department of the Treasury, the Stationery Room began to accept flag requests and payments online from constituents. Five offices are currently utilizing this service, and feedback has been very positive. Wait time for the constituent has been drastically reduced, payment inaccuracies have been almost eliminated, and the workload for office representatives is much more manageable. The service will eventually be offered to all offices.

### *Permit Mailing of Flags*

With the assistance and support of SAAs' PGDM branch, the Stationery Room has begun the transition from using a postage meter to mail flags to a much more economical permit mailing and manifest process. PGDM personnel will utilize their experience with this process (already in use by several other offices) to mail flags, saving the Stationery Room approximately \$2,000 per year in fees for rent, maintenance, and supplies. Additionally, the Stationery Room will realize savings in general postage fees and, while no accurate estimate is possible until the process is fully operational, these savings could amount to several more thousand dollars each year.

## WEB TECHNOLOGY

The Department of Web Technology is responsible for the Web sites that fall under the purview of the Secretary of the Senate:

- the Senate Web site (Senate.gov)—available to the world;
- the Secretary's internal Web site (Webster.senate.gov/secretary)—available to the Senate Staff;
- central portions of the Senate Intranet (Webster.senate.gov)—available to the Senate Staff; and
- the Senate Legislative Branch Web site (Legbranch.senate.gov)—available to the Senate, House of Representatives, Library of Congress, AOC, GAO, GPO, Congressional Budget Office (CBO), and USCP.

*The Senate Web Site—Senate.gov*

The screenshot shows the Senate.gov website. At the top, there is a search bar and a navigation menu. The main content area features a large article titled "Senate Meeting Places" with a historical painting. To the left, there is a "Capitol Camera" section with a "Live video stream" link. To the right, there is a "Floor Schedule" section with the date "Friday, Jan 13, 2012" and the time "12:00 p.m.:". Below the schedule, it says "Previous Meeting Tuesday, Jan 10, 2012".

The Senate Web site content is maintained by more than 30 contributors from seven departments of the Secretary's office and three departments of SAA. Content

team leaders regularly share ideas and coordinate the posting of new content. All content is controlled through the Secretary's Web content management system (CMS) managed by the Office of Web Technology.

*Major Additions to the Site in 2011*

*Civil War Sesquicentennial Exhibit.*—This exhibit has provided a continuing series of online features exploring the Senate's wartime experiences. The components of this exhibit have been updated monthly to highlight various events, people, and locations related to the Senate during the war and connecting users to rich historical information throughout the site.

Nine featured documents were also added as part of the Civil War exhibits. These provide pictures of the original historic documents, portable document format versions of the text, and in some instances transcripts. These documents are a great primary source reference and range in topics from Charles Sumner's speech on the Trent Affair to Civil War era petitions.

[http://www.senate.gov/artandhistory/history/common/civil\\_war/CivilWar.htm](http://www.senate.gov/artandhistory/history/common/civil_war/CivilWar.htm)  
[http://www.senate.gov/artandhistory/history/common/civil\\_war/Petitions\\_FeaturedDoc.htm](http://www.senate.gov/artandhistory/history/common/civil_war/Petitions_FeaturedDoc.htm)

[http://www.senate.gov/artandhistory/history/common/civil\\_war/TrentAffair\\_FeaturedDoc.htm](http://www.senate.gov/artandhistory/history/common/civil_war/TrentAffair_FeaturedDoc.htm)

Civil War Chronology Based on the interactive display created for the Senate Chronology page, this tab-based exhibit groups Civil War-related Senate events on a yearly basis. This page has a great wealth of knowledge displayed in a small amount of space with a useful display leveraging Web 2.0 technologies that appeals to a wide audience.

[http://www.senate.gov/pagelayout/history/one\\_item\\_and\\_teasers/CivilWar\\_chronology.htm](http://www.senate.gov/pagelayout/history/one_item_and_teasers/CivilWar_chronology.htm)

*Civil War Senate Virtual Reference Desk Page.*—The virtual reference desk provides links to all the various features that comprised the Civil War Sesquicentennial Exhibit along with additional resources relating to the Senate and the Civil War. The page is useful to many different audiences and conveniently organizes this vast information set by chronology, featured documents, historical minutes, powers and procedures, and Senators.

[http://www.senate.gov/reference/Index/Civil\\_War\\_Senate.htm](http://www.senate.gov/reference/Index/Civil_War_Senate.htm)  
*Historical Senate Floor Reports.*—Legislative floor reports are now available for the previous 5 legislative days. An archive of previous reports is also now available online and is being incorporated to other ongoing projects to increasing their usefulness and accessibility.

[http://www.senate.gov/pagelayout/legislative/g\\_three\\_sections\\_with\\_teasers/legislative\\_home.htm](http://www.senate.gov/pagelayout/legislative/g_three_sections_with_teasers/legislative_home.htm)

*Report of the Secretary of the Senate.*—In conjunction with the Disbursing Office, Web Technology enabled online electronic access of the Report of the Secretary of the Senate. The display housing the links will expand nicely to serve as a hub to access various Secretary Reports for many upcoming years, while ensuring accuracy and security of the information via GPO's electronic certification and hosting.

[http://www.senate.gov/legislative/common/generic/report\\_secsen.htm](http://www.senate.gov/legislative/common/generic/report_secsen.htm)  
*Executive Calendar Archive.*—Web Technology created new display, upload method, and automatic updating routines to display historic executive calendars. The archive goes back to 1997 and includes star prints and multiple versions for the same day when they exist. The fully automated system does not require any human intervention for the updates to appear nightly.

[http://www.senate.gov/legislative/LIS/executive\\_calendar/2011/exec\\_calendar.htm](http://www.senate.gov/legislative/LIS/executive_calendar/2011/exec_calendar.htm)

*Custom 404 Page.*—The new advanced error page provides more options for missing content through providing a listing of current Senators by State, access to the search box, webmaster email, and general navigation. In revamping the global error page, we provide assistance to public users accessing the central, Committee, and Member sites that may have lost their way.

[http://www.senate.gov/pagelayout/general/one\\_item\\_and\\_teasers/file\\_not\\_found.htm](http://www.senate.gov/pagelayout/general/one_item_and_teasers/file_not_found.htm)

*This Week in Senate History.*—Senate.gov added an exciting new interactive slideshow displaying what happened on a particular date in Senate history. The repurposing of this legacy content makes it much more interesting for the user, provides more information on a single page, links to related content, and utilizes Web 2.0 technologies.

[http://www.senate.gov/pagelayout/history/g\\_three\\_sections\\_with\\_teasers/origins.htm](http://www.senate.gov/pagelayout/history/g_three_sections_with_teasers/origins.htm)

*Officers and Staff.*—This revamped historical section includes richer content and a more visually pleasing display. Pictures are now associated with various categories making browsing more intuitive and interesting. Greater depth of content is provided for each officer section in an easier to update format.

[http://www.senate.gov/pagelayout/history/one\\_item\\_and\\_teasers/officers.htm](http://www.senate.gov/pagelayout/history/one_item_and_teasers/officers.htm)

*Party Leadership.*—Newly developed side-by-side images helped rework this historical section and maintain equal emphasis on multiple parties. The visually pleasing display presents updated content in a useful and interesting way, and the new format is much easier to maintain and update for content authors.

[http://www.senate.gov/pagelayout/history/one\\_item\\_and\\_teasers/leader.htm](http://www.senate.gov/pagelayout/history/one_item_and_teasers/leader.htm);

*Senators.*—Leveraging new content templates and organization methods, the new historical Senators page provides an even greater wealth of information on previous Members than was available online before. The new format makes access easier and more logically presents information about featured Senators and distinctions.

[http://www.senate.gov/pagelayout/history/one\\_item\\_and\\_teasers/senators.htm](http://www.senate.gov/pagelayout/history/one_item_and_teasers/senators.htm)

*Timepieces.*—The Decorative Arts section on Senate.gov was expanded to include timepieces of the Senate. These artifacts were added as individual pages then grouped using an advanced browse list with a searching feature as well.

[http://www.senate.gov/artandhistory/art/common/collection\\_list/Timepieces.jsp](http://www.senate.gov/artandhistory/art/common/collection_list/Timepieces.jsp)

*Information About the Archives.*—New pages were added on various aspects of archiving in the Senate, related reports, and other useful resources for scholars. Complex reports broken down by section facilitating quick browsing and more robust searching, making pages useful and relevant to a wide audience.

[http://www.senate.gov/artandhistory/history/common/generic/Information\\_about\\_Senate\\_Archives.htm](http://www.senate.gov/artandhistory/history/common/generic/Information_about_Senate_Archives.htm)

*Enhanced Calendars and Schedules Virtual Reference Page.*—The greatly improved calendars and schedules virtual reference page makes finding information on the various Senate calendars much easier for all audiences. Also, now included are useful links to similar House information and resources to find out more about schedules, adjournments, and recesses.

[http://www.senate.gov/reference/Index/Calendars\\_schedules.htm#BrowseExecutiveCalendars](http://www.senate.gov/reference/Index/Calendars_schedules.htm#BrowseExecutiveCalendars)

*New Officers and Treaties Virtual Reference Pages.*—The virtual reference pages continue to be some of the most popular and useful on the public site. The new versions of the officers and treaties provide a great wealth of information in well-organized and easy to use matter.

<http://www.senate.gov/reference/Index/Officers.htm>

<http://www.senate.gov/reference/Index/Treaties.htm>

*Senate Art and History Publications.*—The new display groups all Senate Art and History publications in one place making them much easier to locate and take advantage of the cleaner bibliography displays.

[http://www.senate.gov/reference/bibliography/Art\\_History/index.shtml](http://www.senate.gov/reference/bibliography/Art_History/index.shtml)

*Privileged Nominations.*—The new report lists privileged nominations received. Initially, the report is posted as a simple text file in the same manner as other nominations on Senate.gov. Web Technology is working with the LIS/DMS group to make this XML-based and the foundation for a new format for delivering reports that will provide greater flexibility for display.

[http://www.senate.gov/pagelayout/legislative/one\\_item\\_and\\_teasers/nom\\_priv.htm](http://www.senate.gov/pagelayout/legislative/one_item_and_teasers/nom_priv.htm)

*Biographies and Oral Histories.*—Seven featured biographies and five oral histories conducted by the Senate Historical Office were added to Senate.gov this year.

[http://www.senate.gov/pagelayout/history/one\\_item\\_and\\_teasers/featured\\_biographies.htm](http://www.senate.gov/pagelayout/history/one_item_and_teasers/featured_biographies.htm)

[http://www.senate.gov/pagelayout/history/g\\_three\\_sections\\_with\\_teasers/oralhistory.htm](http://www.senate.gov/pagelayout/history/g_three_sections_with_teasers/oralhistory.htm)

*Homepage Feature Articles.*—

—What Happens When a New Congress Begins?

—Locate Senate Speeches

—Discover the Senate Chamber Desks

—Locating Senate Legislation

—Notable Senate Investigations

—Focus on the Constitution: The Seventeenth Amendment

—Learn about the Senate: Officers & Senate Leaders

—Advice & Consent: Treaties

—The Senate and the Second World War

**SECRETARY OF THE SENATE**

**Secretary of the Senate's Office: Services for the Senate**

The **secretary of the Senate** is the chief legislative, clerical, and administrative officer of the U.S. Senate. Since 1789, the secretary was responsible for keeping the minutes and records of the Senate, paying senators, supplying paper and calls, and receiving and transmitting official messages to and from the president and the House of Representatives. As the Senate grew to become a major national institution, numerous other duties were assigned to the secretary, whose jurisdiction now encompasses clerks, curators, the education of Senate pages, and the maintenance of public records.

**Secretaries of the Senate**

Nancy Erickson was elected **secretary** of the Senate when the Senate convened on January 4, 2007.

[Complete list of Secretaries of the Senate](#)

**Executive Office Staff**

Nancy Erickson, Secretary, S-312	4-3622
Sheila M. Dwier, Asst. Sec., S-414C	4-3622
Adam Bramwell, Counsel, S-333	4-8786
Robert Faxon, COJ, S-353	4-5636
Neil Tobias, Deputy COJ, S-312	4-9451
Col Swenson, S-133	4-3626
Gerald Thompson, Cap Ofcs Liaison	4-1483
Zoraida Torres, Senior Exec. Acds. Admin.	4 7005
Stephanie Wrich, Staff Assistant	4-6254
*Information	4-2115

**Frequently Requested Links**

- Archiving in the Senate
- Employee Benefits (Disburs. no Office)
- Floor Orientation Guide
- Reserve the U.S. Room (S-211)
- Telephone Directory

**Monthly e-newsletter** (archive) (unsubscribe) (send generated e-mail)

- December 2011
- November 2011

**UNUM** (archive)

- Autumn 2011
- Summer 2011
- Spring 2011
- Winter 2011

The Secretary of the Senate intranet (<http://webster.senate.gov/secretary>) continued to expand in information and services offered. Web-based order forms were maintained, expanded, and enhanced for the requesting of specific legislative documents, class registration, blank paper, room reservations, and stationery product suggestions.

The catalog-based ordering system developed for the Stationery Office continues to be a large success. The system is managed with the content directly from the Stationery Office's existing Microsoft RMS, which underwent several successful inventory updates during this past year. For the 2011 calendar year, 145 orders were successfully placed and filled using the online order form.

Web Technology added on-demand videos for required sexual harassment courses on the SCCE site on Webster. These videos are required to be viewed annually by Senate staff and interns. Having the video on the intranet facilitates the timely consumption of this seminar by all staff.

A new Archiving in the Senate section adds many useful sources regarding archiving. Utilizing Web 2.0 technologies we were able to display lots of information in a small amount of space and have it still be useful to a wide range of audiences ([http://webster.senate.gov/secretary/departments/Historical\\_office/Archiving/archiving\\_services.htm](http://webster.senate.gov/secretary/departments/Historical_office/Archiving/archiving_services.htm)).

Frontpage, the Web portal for SIS, continued to be heavily utilized. Adjustments were made to accommodate information architecture changes to guarantee consistent access on and off campus. A newly launched interface for [news.senate.gov](http://news.senate.gov) was put in place seamlessly to the users and an enhanced class registration system was launched.

A new survey template was developed and utilized for internal use. The survey, [http://webster.senate.gov/secretary/library/survey/westlaw\\_survey.htm](http://webster.senate.gov/secretary/library/survey/westlaw_survey.htm), was successfully used to collect information on a newly launched Westlaw interface. It was designed and developed in a way to easily be repurposed for any subject.

Webster Central Web site—[Webster.senate.gov](http://Webster.senate.gov)

The screenshot displays the Webster Central Web site interface. At the top, there is a header with the Webster logo and navigation links for Staff, Webster, Search, Emergency? Dial 811, Webster Help, and Feedback. Below the header, a navigation bar includes Home, Services (Red Book), Staff, Leadership, Legislative, News & Research, and About the Senate. The main content area is divided into several sections:
 

- Floor Schedule:** Lists the next meeting on Tuesday, January 25, 2011, at 10:00 a.m., and the previous meeting on Wednesday, January 5, 2011, at 12:30 p.m.
- Announcements:** Features a green box titled "Casework Getting Started in a New Senate Office" with a link to view the online video.
- Events:** Includes a calendar for January 2011 and a list of events for Wednesday, January 19, 2011, such as "Think Your Way to Better Relationships" and "Inside's Guide to Senate.gov".
- Did You Know?:** A section with a tip about children's books about Congress and government.
- Image of the Week:** A section featuring a photograph of a building.

 The left sidebar contains search filters for Webster, Staff, and Senators, along with a "System Outage Status" indicator and a "Legislative Branch Sites" section with links to Senate Sites and Quick Links.

In conjunction with SAA, Chaplain, and Senate Committee on Rules and Administration, Web Technology continued administering, managing, and enhancing the central section of Webster. We were happy to partner with the SAA and the Senate Library to add a unique services directory search. This was accomplished through the creation of a separate Google onebox that enables automated creation of indexes based on XML files.

Enhancements made to the floor schedule include an RSS feed and direct population of the information on the home page from the same source file used on Senate.gov. These are both good examples of how management of content on the central site continues to be streamlined by repurposing additional files that are already updated through existing systems on Senate.gov. The expansion of repurposed data continues to reduce duplicative efforts, increase consistency, relevancy, and timeliness of data displayed on Webster. Standardizing XML across both sites and having them integrated into the CMS was essential to making this possible.

#### *Senate Legislative Branch Web site ([Legbranch.senate.gov](http://Legbranch.senate.gov))*

The legislative branch server is accessible by the Senate, House of Representatives, Library of Congress, AOC, GAO, GPO, CBO, and USCP. The Office of Web Technology maintains a basic Web site for a Capitol Hill email messaging working group managed by the SAA. In the future the server will be used to share more information with other Capitol Hill entities.

#### *Accomplishments of the Office of Web Technology in 2011*

States in the Senate Project. Worked extensively over the past year with the Historical Office and GPO in the design and implementation of a new stand-alone site for States (<http://www.senate.gov/states>). The interactive exhibit will be useful to many different audiences and provides information about each State's history that relates to the U.S. Senate in a fun and interesting manner. Links to contact information for Senators from each State have contact information linked to, which will further aid constituents with connecting to their Senators. Dynamic pieces of content are pulled from existing lists, making updating much more fluid, timely, and accurate.

Senate Floor Webcast on Senate.gov. In a joint project with the SAA's Chief Information Officer and Senate Recording Studio and the Committee on Rules and Administration, launched live streaming video of its floor proceedings, along with a searchable archive of previous proceedings (<http://www.senate.gov/floor>). An internal clipping tool was also developed for staff, greatly streamlining the process of generating and posting a video clip from the Senate floor to a Member's Web site or social networking site.

SCCE Seminar streams added to SCCE internal Web site. The streaming service allows for viewing of live events and on-demand viewing of previous sessions in a

secure manner. Worked in conjunction with SAA, Senate Recording Studio, and SCCE to establish procedures to easily produce, publish, and control the various streams from yearly seminar series. This is the first system of its kind at the Senate and sure to be used for future developments.

Electronic Report of the Secretary of the Senate available online for the first time ([http://www.senate.gov/legislative/common/generic/report\\_secsen.htm](http://www.senate.gov/legislative/common/generic/report_secsen.htm)). Completed a year-long initiative with the Disbursing Office, GPO, and the Senate Committee on Rules and Administration on the generating, authenticating, securing, and publishing of the report. The implemented solution guarantees accurate and valid information is available for this first online report and all future versions.

Senate.gov Web Audit. Audited pages regularly; updating, enhancing, and correcting pages; verifying content; and reviewing individual page designs throughout Senate.gov for accessibility and usability. Additionally, attended training on the latest advances in coding techniques to ensure accessibility and applied them to our sites.

Constantly monitored data feeds from the LIS/DMS system ensuring content on Senate.gov was current and all processes were functioning properly. This is of vital importance regarding information such as Committee hearing schedules, vote data, and Member contact information.

Responded to approximately 1,204 emails from the general public regarding senate.gov sites. Worked with various content providers, Web support groups, SAA, Member, and committee offices to make suggestions and resolve issues. This marks a slight increase from the previous year.

Continually reviewed and adjusted search operations and canned matches for both Senate.gov and Webster based on user tendencies and requests. A major addition was the creation and maintenance of a new Google onebox for services (Redbook) recently released. Also, investigated other search technologies as alternatives to existing searches and as ways to accomplish potential future projects.

Conducted user testing with Senate staff and interns to increase understanding of current Web site interactions, desires, and best practices.

Helped organize Capitol Hill-wide Webmaster meetings, where best practices were shared across entities. Regularly gave presentations and facilitated conversations during meetings.

Continually trained and practiced working from remote locations to be prepared should the need arise. All staff members are fully capable of accomplishing their job functions from any location with Internet access. This was accomplished largely through configuring virtual machines that mimic workstations on office laptops. Regardless of which staff member uses which laptop, the experience will be ubiquitous and consistent with being in the office. Additionally, completed new emergency action plan and director completed the eight course Emergency Coordinator Certificate Program.

Aided the Senate Library in aspects of SIS transition. The new FrontPage interface exposes many more resources in an easy to use manner. In leveraging advances in Web 2.0 technologies we are able to take greater advantage of available space and provide robust information concisely. Through designing and developing the system in XML and leveraging the CMS, it is easy for nontechnical users to update and maintain.

Worked extensively with the Senate Library in the continued development, implementation, and maintenance of taxonomies utilizing the knowledge base system. Participated in the planning, design, development, and administration for including the "Red Book" data in the knowledge base and then on Webster.

Maintained virtualized production and development server for the Secretary's intranet. Also, maintained virtualized production server for the Secretary's dedicated Google onebox server and transfer mechanisms to keep indices current.

Administered content management system constantly throughout year and resolved issues as they arose. Modified existing system for enhancement requests and changes in general Senate information architecture for both production and development systems. Resolved tricky update bug to ensure the CMS worked with most recent security updates to our computer systems. Ensured continuity of operations with fully functional alternate computer facility system.

Implemented new coordinated monthly features across Senate.gov, highlighting various topics. Worked in conjunction with Historical Office, Curator's Office, and the Senate Library to produce and publish interesting content about historical events with current significance. Generating this fresh content also helped emphasize other sections of the public site by incorporating many useful hyperlinks.

Aided in the generation of a printed cloture brochure containing information up to the 110th Congress. Worked in conjunction with the Congressional Research Service, GPO, Senate Committee on Rules and Administration, and the Senate Li-

brary to provide mapping of XML content on senate.gov to print version. This marks the first time GPO has produced a printed document on XML-based senate.gov content. Utilizing the content in XML greatly simplified the overall workflow and ensured the accuracy of information across delivery mediums.

A major architecture change was made to the hosting of the central site in 2011. We worked closely with the SAA as a proof of concept for a distributed network approach to hosting Senate Web content for the public. This project has been highly successful and guarantees greater security of our site and even faster response times to users. This approach, fine tuned through the central site, is being implemented to Member and Committee sites. The change in architecture has made our methods for capturing Web statistics obsolete. We are currently exploring new ways to capture this information.

Senator NELSON. Senator Hoeven, are there any opening remarks you might like to make?

STATEMENT OF SENATOR JON HOEVEN

Senator HOEVEN. Thank you, Mr. Chairman, I would like to make some remarks.

I apologize for being late, and I appreciate the opportunity be with you and want to thank all of you for coming in today, but also for the really great job you do.

I've been here only a little more than 1 year, but I have to tell you, I am impressed with the work you do and your people. They don't treat it as just a job. They care about what they do, and it shows. That is a reflection of them and their good work, but it is a reflection of your leadership, too.

So I do thank you for that, and I appreciate it very much.

As a way of starting my comments, I want to note that this will actually be the last hearing that Senator Nelson has as chair of the Legislative Branch Subcommittee, so I just want to take a minute to recognize him for his service here.

I actually first got to know Senator Nelson when he was elected Governor of his State. He, of course, served two terms as Governor of Nebraska. When I met him, he was just transitioning from his governorship to coming down here and serving in the Senate. I can remember, I was a new Governor or maybe I was just running, I'm not sure. But I had come to Washington, DC for some event and met him. Our States have a lot in common, strong agriculture background.

But what I would say, having observed Senator Nelson, is that he really brings a grounded, common-sense attitude and approach, he is easy to work for and with, and he is very straightforward in how he handles things. I think as I have observed the legislative branch now over the past year, it has made for a very, very good working relationship.

I think that has enabled all of you and others that are in the legislative branch to do the outstanding job that you do. It has helped support you in that effort, and particularly helped do it at a time when it's really tough with the budget situation.

It's one of those situations where we're going to have to do more. You're going to have to continue to do more. That is a reality, and you know that, and we know that.

My observation, though, would be that you are doing a good job at finding savings, even when it is tough and in these circumstances. You're doing a good job.

My overall sense is that, in terms of discretionary spending, you are doing your share and what has to be done to address the discretionary spending issues. I think there are other drivers of our debt and deficit that are much bigger factors, which I won't go into here, but that we're going to have to address. We're going to have to try to find ways to do more in terms of generating savings to really get on top of the challenge we face.

So, number one, thank you, Senator Nelson, for your leadership on the legislative branch. I appreciate the opportunity to work with you.

I appreciate the great job all of you do. We are going to have to continue to find more savings. As you know, we will get a topline number, and we'll have to work to get there.

You did it last year, and you did a good job. We'll work with you to do the best job again this year in finding savings while doing the best job we can with the dollars we have, in terms of trying to accomplish all the things, and covering all the bases that you have to cover in your very important tasks.

Senator NELSON. Thank you, Senator Hoeven, for those kind remarks. I want to thank the audience for their suppressed applause when you said it was my last hearing.

Before you arrived, I already leaked out the word "cheap" in introducing Chief Morse, so I appreciate you not using that word to describe me, but I have been described that way more than once.

I appreciate working with you, because we've created a partnership here where we can work together and share ideas. Which makes this job a lot easier from this side of the bench, and I think it makes it a lot more doable from the other side, to know that we are all going to work together to get through where we are, because we're all in it together. And if we begin to think otherwise, then it is very hard for you to function and it is impossible to function over here, so I want to thank you very much for those nice remarks.

Senator HOEVEN. Absolutely. Thank you, Senator.

Senator NELSON. Thank you.

Sergeant at Arms Gainer, the floor is yours.



## SERGEANT AT ARMS AND DOORKEEPER

### STATEMENT OF TERRANCE W. GAINER, SERGEANT AT ARMS

Mr. GAINER. Thank you very much, Mr. Chairman and Ranking Member Hoeven, for the opportunity to appear before you today on behalf of the Sergeant at Arms team and to present our budget request for fiscal year 2013.

I do ask that my written testimony be submitted and made part of the record.

Senator NELSON. It will be.

Mr. GAINER. Thank you.

Before I begin, in addition to my two colleagues here, I would like to acknowledge in the audience House Sergeant at Arms Paul Irving, who is new to his position, and Ken Eads, who is representing the AOC. They are here because of our partnership in our oversight of the police department and here to affirm the work that the Chief has been doing.

As to my office, our primary goals for fiscal year 2013 are to maintain a safe and secure environment, to support the Senate's information and communications technology infrastructure, and to deliver printing, parking, photography, mail delivery, and other services to the Senate community in an efficient, cost-effective manner.

The budget request, as you indicated for this year, totals a bit more than \$205 million. This is an increase of \$1.7 million, or 0.8 percent more than last year's budget.

As I went through some of the remarks my staff was preparing, I noticed that probably every paragraph we mentioned something about tough budget.

I do want to talk a little bit about how we are maintaining what we do and our slight budget increase.

Aside from additional funding for the State office security programs, which is \$1.2 million, our overall expense budget would decline next year. The tragic shooting of Congresswoman Giffords and the recent white powder letter event that you referred to are just two examples of the necessity for this extra security.

This increase is fully offset within our overall expense budget. Mr. Chairman, and Senator Hoeven, as you know, the Sergeant at Arms budget was reduced by nearly 7 percent in the current fiscal year. We have worked through the impact of that reduction. However, continued reductions in our budget will eventually have an adverse impact on the way we support our customers, especially in the areas of information and communications technology.

We have had to reduce our services, scale back allocations, reduce our subsidies for some services, and defer the critical improvements that are required to keep pace with continued demands for improved technology. At some point, the price will be paid.

And even today, the Stop Trading on Congressional Knowledge (STOCK) Act, which the Senate passed this afternoon and sent to the White House, places new and expensive burdens on our department. This legislation requires the Sergeant at Arms to create and deploy a new electronic financial disclosure application and database that will allow the public to search, sort, and download filers' financial information. As worthy as the policy goals of this legislation are, they do come with a cost. We estimate that it will cost approximately \$1.5 million to develop the system and another \$200,000 a year to maintain it.

The range of services we provide to the Senate take place both here in Washington and in the 454 State offices.

My written testimony covers our accomplishments and challenges during the past year. Allow me to share some highlights.

We are more than one-third of the way through the installation of the new Watson phone system and are on track to complete the project by the end of this fiscal year. This is one of the largest communication projects in the history of my office, replacing a more than 30-year-old telephone system. The new system is based on modern, expandable, and cost-efficient technology.

The new system's redundancy and flexibility will prove invaluable in a continuity of operations event and in accommodating the Senate's many changes, while reducing the cost by more than \$2 million annually. Working with Members and other stakeholders, we adopted a schedule that reduced installation time from 3 years to less than 1 year.

We had other major successes in the information technology (IT) realm this year, including our ongoing server virtualization project, where we reduce energy, maintenance, and support costs by running more than 800 servers in a virtual environment.

Our help desk team continued to perform extremely well, and they achieved a customer satisfaction rate of 99 percent.

We successfully processed 356 million email messages during the past calendar year while protecting our customers from spam and malicious messages.

We also completed a major upgrade of our messaging infrastructure that significantly increased mail storage capacity, while reducing overall costs.

We continue to update and expand the tools available to Senators and staff can use to stay connected with one another and the people they represent. We are supporting the latest Apple and BlackBerry smart phones and tablets as well as enhancing email functionality on the Apple iPhone and iPad to include file editing and local file storage. These functions were demanded by many Members and staff.

We upgraded our already robust videoconferencing capabilities to make it significantly more reliable and resilient in the instance of a catastrophic event.

We also improved our IT security posture. Despite numerous and extensive attempts, the Senate has not suffered any major compromises of information security over the past year.

Our emergency plans and procedures ensure the safety of Senators, staff, and visitors within our facilities, and equip them with the necessary tools to respond to any emergency.

Mr. Chairman, the SAA always tries to be good stewards of the funds appropriated to us. As you know, this subcommittee granted us approval 2 years ago to relocate our printing, graphics, and direct-mail printing function from Postal Square here on Capitol Hill to a new facility in Landover, Maryland. From July through September 2011, the relocation was completed in a two-part move without any break in service to the Senate. This new facility, which was completed on time and under budget, projects a net cash flow of \$2.8 million, which means a 3.6-percent return on investment over 20 years.

Fifty-nine staffers now work in Landover, and they remain committed to providing exceptional service in a state-of-the-art facility.

Another cost-saving project involves our cabinet shop, which we will move from the basement of Postal Square to a space in the Government Printing Office on North Capitol Street. This move will not only improve the working environment of our employees, it will also generate a saving of \$2.4 million over the first 20 years, reflecting a 64-percent reduction in cost.

The Senate Post Office processed the second-highest volume since the year 2000. During the past year, the Senate Post Office received and tested 18.5 million items to the Senate offices, including U.S. mail, internal mail, packages, and courier items.

During the same time period, the Senate Post Office off-site staff intercepted 383 suspicious pieces of mail that were addressed to Senators with the intent to disrupt Senate business. All suspicious items were reported to USCP and investigated by them and their partners.

Our dedicated postal employees, as you mentioned, Mr. Chairman and Mr. Hoeven, did a great job on intercepting those pieces of mail, working with USCP, the Senate Post Office, and the Federal Bureau of Investigation (FBI) to ultimately bring that offender to justice.

For the convenience of retail customers, our Senate Post Office began accepting credit cards, which has improved service and increased overall sales.

Our five Senate appointment desks, processed nearly 200,000 visitors during this past year, and we have had the second-highest issuing of badges for those visits that we've had in 25 years.

The Senate Recording Studio produced 1,300 television shows, 1,100 radio productions, and 845 Senate committee hearings. They also played a vital role in launching a new service, the live streaming of the Senate floor to the public online at [www.senate.gov](http://www.senate.gov).

Our offices work closely with the Secretary of the Senate, USCP, AOC, the Senate Committee on Rules, and this subcommittee to provide quality of service to the Senate.

I think our team do an outstanding job. They are industrious. They are smart and honest. And I am very grateful for the leadership of the Deputy Sergeant at Arms, Martina Bradford. And I would just like to acknowledge Chris Dey, our chief financial officer (CFO). He has served me and my predecessors for more than 20 years. He is an unbelievable CFO. This is the fifth agency I have been in, and fourth one in which I have had a leadership role. I've never worked with a finer individual than Chris. He does a great job.

## PREPARED STATEMENT

We're here to serve you and answer any of your questions. Thank you.

Senator NELSON. Thank you.  
[The statement follows:]

## PREPARED STATEMENT OF TERRANCE W. GAINER

## INTRODUCTION

Mr. Chairman and members of the subcommittee, thank you for inviting me to testify before the subcommittee today. I am pleased to report on the progress the Office of the Senate Sergeant at Arms (SAA) has made over the past year and our plans for the coming year.

For fiscal year 2013, SAA respectfully requests a total budget of \$205,447,000. This is a modest increase of \$1.7 million, or 0.8 percent more than the fiscal year 2012 enacted level. This budget will allow us to maintain the high level of service we provide to the Senate community, while continuing to be good stewards of the public's resources. Mr. Chairman, as you know the SAA is currently operating under a 7-percent reduction less than last year's funding level. Our funding was cut by \$4 million in salaries and \$11 million in expenses from the fiscal year 2011 level. We understand the tremendous economic challenges this subcommittee is facing and we are committed to doing our part to reduce costs and streamline our operations.

Although we have taken extraordinary steps to mitigate the impact of this reduction, continued decreases in our budget have had an adverse effect on the way we support our customers, especially in the areas of information and communications technology. We have had to reduce services, scale back allocations, and reduce our subsidies for some services, as well as defer the capital improvements that are required to keep pace with continued demands for improved technology. In addition, the pending STOCK Act, S. 4038, would place new and expensive burdens on SAA, if enacted. For example, this legislation would require us to create and deploy a new electronic financial disclosure application and a data-base that will allow the public to search, sort, and download filers' financial information. We estimate that it will cost approximately \$1.5 million to develop the system and \$200,000 annually to maintain it.

In developing our proposed fiscal year 2013 budget and our operating plans, we are guided by priorities framed in our Strategic Plan. These priorities include ensuring the U.S. Senate is as secure and prepared for an emergency as possible, and providing the Senate with outstanding service and support, including the enhanced use of technology.

Our emergency plans and procedures are designed to ensure the safety of Senators, staff, and visitors within our facilities and to equip Senate staff with the necessary tools to respond to any emergency situation. Throughout 2011 we were committed to improving these procedures using industry best practices, training, and lessons learned through exercises and scheduled events. We made significant strides to ensure staff preparedness through enhanced Emergency Action Plans, mobility-impaired evacuation procedures, internal relocation actions, and the annual Chamber Protective Actions exercise.

Our preparedness efforts during the past year placed a premium on our interaction with Senate offices. During 2011, 100 percent of Senate offices possessed a customized Emergency Action Plan based on their unique circumstances and needs. Over this past year, 85 percent of all Senate office Emergency Action Plans were reviewed and validated using guidelines set forth by the Occupational Safety and Health Administration (OSHA) and the Congressional Accountability Act (CAA). With a goal of maintaining current levels of protection while holding down costs, my office, together with the House SAA, requested an analysis of the current supply of emergency escape hoods to determine whether their shelf life could be extended. The results of the analysis showed the escape hoods were still effective and the procurement of replacements could be postponed for another year. This allowed us to defer more than \$4.5 million in fiscal year 2013.

This year we continued our server virtualization efforts, whereby we reduced energy, maintenance, and support costs by running more than 800 servers in a virtual environment. Our Help Desk team continued to perform extremely well, with a customer satisfaction rating of more than 99 percent at the very satisfactory or excellent level. Our telecommunications modernization effort has moved into the deployment phase; we are now in the process of installing the new Watson phones in all

Senate offices. We are about one-third complete, including all Members' offices in the Russell Senate Office Building. We will complete installations in Member offices by Memorial Day, and the remainder of all Senate offices by the end of the current fiscal year.

In addition, we successfully processed 356 million email messages during calendar year 2011, while protecting our customers from spam and malicious messages. We also completed a major upgrade of our messaging infrastructure that significantly increased email storage capacity yet reduced overall costs. We continued to upgrade and expand the tools that Senators and staff can use to stay connected with one another and their constituents. We are supporting the latest Apple and BlackBerry smartphones and tablets and enhancing email functionality on the Apple iPhone and iPad to include file editing and local file storage. We upgraded our already robust video conferencing capabilities to make them significantly more reliable and resilient in the event of a catastrophic event. We also continued to evaluate new equipment and vendors to ensure that office equipment offerings stay current. In addition, we launched a new, highly anticipated application that allows offices to review their equipment inventories online and submit corrections electronically, as well as to report stolen or lost equipment and request moves. We also improved our IT security posture, to ensure that the Senate does not suffer any major compromise of information security.

I am also pleased to report that the Committee Hearing Room Upgrade Project, which began in 2003, will be completed later this year. This project provides the Senate community with greater flexibility and audio/visual capability for committee hearings. This subcommittee has been very generous over the years in allowing us to use end-of-year Senate carry-over funds to accelerate this important project. When completed in June, your constituents will have far more extensive access to Senate committee and subcommittee hearings than ever before.

Mr. Chairman, as you know, this subcommittee granted us approval 2 years ago to relocate our Printing, Graphics, and Direct Mail (PGDM) main printing function from the Postal Square building, on Capitol Hill, to a new facility in Landover, Maryland. In September 2011 the two-phase relocation was completed without any break in services to the Senate. This new facility, which was completed on time and under budget, projects a net positive cash flow of \$2.8 million, a 3.6-percent return on investment over 20 years. Fifty-nine staffers now work in the Landover facility and remain committed to providing exceptional service to the Senate from this state-of-the-art facility.

My organization continues to be a good steward of taxpayers' dollars. Our productivity increased to unprecedented levels, exemplified by the Senate Post Office processing the second-highest volume of mail in the last decade, surpassed only by 2009. This past year, 2011, was another busy year within the Capitol and for the SAA units that support Capitol operations. From 2007 through 2011, the Senate was in session an average of 178 days a year, a 19-percent increase more than the previous 10 years. Once again, SAA staff responded to this increased activity with professionalism, diligence, and outstanding customer service.

For example, personnel staffing the five Senate Appointment Desks processed nearly 195,000 visitors to the Capitol during 2011. The total number of visitor badges issued was the second highest in any year since the appointment desks were created more than 26 years ago. Additionally, our Doorkeepers assisted more than 211,000 visitors to the Senate Gallery.

The Senate Recording Studio helped Senators communicate more efficiently with their constituents back home. During 2011, we produced 1,330 shows from our television studios and more than 1,100 radio productions, as well as broadcast coverage of 845 Senate committee hearings—all increases from 2010. The Recording Studio also provided 1,102 hours of gavel-to-gavel coverage of Senate floor proceedings, and played a vital role in launching a new service: the live streaming of the Senate floor to the public online at [www.senate.gov](http://www.senate.gov).

These are just a few examples of how the SAA continues to respond to the challenges of more activity and more demands with reduced resources. Our customer satisfaction levels remain high.

As you can see, the SAA team continually works toward the vision of our Strategic Plan: Exceptional Public Service. Exceeding the Expected.

Leading the efforts of the SAA is an outstanding senior management team including Martina Bradford, who serves as my Deputy; Republican Liaison Mason Wiggins; General Counsel Joseph Haughey; Legislative Liaison Nancy Olkewicz; Assistant Sergeant at Arms for Continuity and Emergency Preparedness Operations Rich Majauskas; Assistant Sergeant at Arms for Intelligence and Protective Services Mike Stenger; Assistant Sergeant at Arms and Chief Information Officer (CIO) Kimball Winn; Assistant Sergeant at Arms for Operations Bret Swanson; Deputy

Assistant Sergeant at Arms for Capitol Operations Kevin Morison; and Chief Financial Officer Chris Dey. The many goals and accomplishments set forth in this testimony would not have been possible without this team's leadership and commitment.

We are grateful for our relationship with USCP. I value the input of the other members of the Capitol Police Board—newly appointed House Sergeant at Arms Paul Irving, serving as Chairman; Architect of the Capitol Stephen T. Ayers; and USCP Chief Phillip D. Morse, Sr., who is an ex officio member of the Capitol Police Board.

SAA also works with other organizations that support the Senate. I would like to take this opportunity to mention how important their contributions have been in helping us achieve our objectives. In particular, we work regularly with the Secretary of the Senate (SOS), AOC, and the Office of the Attending Physician. When appropriate, we coordinate our efforts with the United States House of Representatives and the agencies of the executive and judicial branches. I am impressed by the people with whom we work and greatly appreciate the quality of the relationships we have built together.

I am very proud of all the men and women of the SAA team who help keep the Senate running. While serving as Sergeant at Arms, I have seen their great work and devotion to this institution. Our employees are among the most committed and creative in Government. A perfect example of this occurred last August 23, when a 5.8 magnitude earthquake shook the Washington, DC, region and forced the evacuation of the Capitol—just 30 minutes before a scheduled pro forma session of the Senate. Working with leadership and the SOS, our personnel relocated to the briefing center at the Postal Square building and made it ready for Senate business. Thanks to the hard work, ingenuity, and practice of our staff, Senator Coons was able to gavel in the historic session—the first routine session of the Senate held outside the Capitol in 197 years—at just after 3:30 p.m., about 1 hour after the session was originally scheduled to start.

As always, my staff and I are grateful for the support and guidance of your subcommittee, the full Committee and the Senate Committee on Rules and Administration.

#### CONTINUITY AND EMERGENCY PREPAREDNESS OPERATIONS

##### *Emergency Planning*

Our emergency plans and procedures are designed to ensure the safety of Senators, staff, and visitors within our facilities and equip them with the necessary tools to respond to any emergency situation. Throughout 2011 we were committed to improving these procedures using industry best practices, training, and lessons learned through exercises and scheduled events. We made significant strides to ensure staff preparedness through enhanced Emergency Action Plans, mobility-impaired evacuation procedures, internal relocation actions, and the annual Chamber Protective Actions exercise.

The central document that reflects our preparedness efforts across the Senate is the Emergency Action Plan. In 2011, 100 percent of Senate offices possessed a customized Emergency Action Plan based on their unique circumstances and needs. Over this past year, 85 percent of all Senate office Emergency Action Plans were reviewed and validated using guidelines set forth by OSHA and CAA. Significant areas of improvement included the addition of office-specific shelter-in-place locations, emphasis on using the secondary assembly area as an AIRCON assembly point, internal relocation actions, and AIRCON threat procedures.

Accommodating staff with accessibility needs is outlined in each office's Emergency Action Plan and is an integral part of our training efforts. A major enhancement to our program was the addition of Victim Rescue Unit (VRU) public caches at each emergency staging area, with each cache containing eight VRUs. The VRU is a special smoke hood that is issued to self-declared mobility-impaired staff members and their "buddies" for use in an evacuation emergency. Another addition to our mobility impaired program for 2011 was a new ADA-accessible exit located at 1st and C Streets, NE. We trained Senate staff on the location of the new exit and have updated all Russell Senate Office Building Emergency Action Plans to reflect this new ADA-accessible exit. We also collaborate with the House of Representatives to promote emergency preparedness among our special needs community. In December, we jointly hosted a seminar with the House Office of Emergency Management on emergency planning for individuals with access and functional needs.

The protection and preparedness of Senators, staff, and visitors within the Senate Chamber continues to be a focus. Each year we test and validate the Chamber Protective Actions Guide by conducting a full-scale exercise. The guide serves as a comprehensive summary of the complementary actions each organization will take if the

Chamber is required to evacuate, shelter-in-place, relocate, or don escape hoods. The 2011 exercise addressed evacuation due to an AIRCON threat and procedures to shelter in place. Additional areas of emphasis for this exercise included setting up portable comfort stations, Doorkeepers' duties in the Capitol Visitor Center (CVC) gallery check-in room, fourth floor ALERTUS notification system activation, and transportation of mobility-impaired Senators to the briefing center during an AIRCON evacuation. The addition of a transportation capability for Senators represents a further refinement in our plans and capabilities that was previously absent.

#### *Emergency Communications and Accountability*

We continue to improve notification and communication programs to ensure devices and systems are ready to support the Senate during local or large-scale emergencies. The Accountability and Emergency Roster System (ALERTS) is the primary alert and notification system that provides a single interface for delivering emergency email, PIN, and voice messages to the Senate community. Key achievements during 2011 included training 128 Office Emergency Coordinators on ALERTS and remote check-in procedures, updating emergency contact information for all Member offices, increasing the number of Senators receiving ALERTS notifications from 35 to 51, and signing up all Senate chiefs of staff to receive ALERTS and be listed on the emergency contact list.

We conducted monthly emergency notification tests for staff and biannual tests for Senators in conjunction with the USCP, SOS, party secretaries, and other stakeholders. These tests are designed to ensure our emergency messaging system is reaching all intended recipients. We conducted monthly communications tests with executive branch agencies to verify contact information for each other's continuity sites.

In 2010, we introduced the ALERTS Dashboard to provide the Senate and USCP with real-time accountability data through a user-friendly graphic interface. This year we extended this capability to the USCP Command Center SAA duty desk. This provides the USCP Command Center with real-time accountability data for incidents that occur both after hours while the Senate is in session and during normal duty hours. We consistently reinforce the importance of accountability with Senate staff by conducting remote check-in drills and training using BlackBerry devices.

We provide "watch standers" in the USCP Command Center after normal business hours when the Senate is in session or during emergency incidents and special events. Watch standers are trained to use the Senate Dialogic and Chyron systems to assist USCP as necessary and provide senior leadership with amplifying information regarding ongoing events. Because we rely on these two systems, the Dialogic Communicator System was upgraded to improve our voice messaging connectivity to desk and mobile phones. Upgrades were made to the Chyron Cable TV Alert System to provide the capability to broadcast over digital and high-definition channels. We are developing a new Chyron Web interface for 2012 that will improve our capability to edit and review alert messages during an emergency and release them faster to the Senate community.

We procured and installed WebEOC Mapper Professional, a geospatial information system that provides Senate emergency managers with the ability to create a dynamic, geographically based operating picture of an incident and its effects. Multi-layered mapping has proven to be a highly effective emergency management technique for government and law enforcement agencies throughout the country, and we successfully used this feature during the last State of the Union Address. Recent improvements to the core emergency operations center management application provide better situational awareness during emergencies and special events and were used to a limited degree following the August 2011 earthquake. These improvements include the ability to track the setup of individual rooms in continuity facilities as they become available and to track and report on the locations of contingency staff.

Information sharing between legislative and executive branch emergency managers was further improved through the installation of a Homeland Secure Data Network (HSDN) terminal in February 2011. Our mission requires access to classified email, messaging, data analysis, and collaboration tools along with law enforcement, emergency management, and National Capital Region intranet resources. The use of HSDN assists in intelligence gathering, situational awareness, decision-making, and event reporting.

#### *Training and Equipment*

Training and outreach programs are designed to provide interactive classroom and personalized instruction to the Senate community. These valuable programs

give staff a wealth of preparedness and life-safety awareness information to enhance office and personnel preparedness. This year, we conducted 246 training sessions in which more than 5,000 staff were trained on a variety of preparedness topics. We initiated an Office Emergency Coordinator (OEC) certification program in 2008 for staff that completed requisite emergency preparedness courses. In 2011, 15 staff members received this certification.

The culmination of our emergency preparedness training and outreach programs is the Senate's annual National Preparedness Day observance held each September as part of National Preparedness Month. This event invites members of the National Capital Region emergency management community to set up equipment displays, provide program capability awareness training, and demonstrate new products. More than one dozen regional emergency preparedness partners participated in this past year's event.

One of the keys to our preparedness posture is the continued management and support of emergency protection and communication equipment in each Senate office. Every office is issued escape hoods, emergency supply kits, and wireless emergency annunciators. These annunciators allow offices to receive notifications from USCP to shelter in place, deploy to their designated internal relocation site, receive situational updates, or use specified equipment to evacuate the building. The SAA ensures functionality of all equipment through an annual inventory and operations check of assigned equipment, and replacement of faulty or expired items. More than 270 offices and more than 28,000 pieces of equipment were inventoried in the past year. Enhancements to the equipment preparedness posture included additional emergency equipment for Continuity of Operations vehicles.

In 2011, we released an updated version of the Roadmap to Readiness, which included a condensed Emergency Response Guide and portable pocket guide providing concise critical emergency information. The Roadmap to Readiness is a comprehensive guide designed to provide offices with the necessary tools to create emergency plans for Washington, DC, and State offices. It also outlines ways to educate and train staff to respond appropriately in emergencies. New Web-based training classes on personal preparedness and shelter in place have been developed to provide staff with the means to educate themselves from the convenience of their desktops. Additionally, we developed a new Web site that provides staff with the resources and information required to begin preparing for emergencies.

The Senate Emergency Operations Center (EOC) is utilized during emergencies and special events to coordinate information, resources, and our response efforts. Training for EOC staff is critical for understanding roles and responsibilities. During 2011, two exercises and several training classes were conducted to provide staff with the opportunity to improve their skills.

#### *Exercises*

We continue to manage a comprehensive exercise program that ensures Senate plans are practiced and validated regularly. The Test, Training, and Exercise (TT&E) Program administered by the SAA serves to validate our ability to respond in times of crisis as well as identify areas where better planning and procedures would be beneficial. As the August 2011 earthquake event demonstrated, nearly every Senate support organization has a role and responsibility that supports successful implementation of Senate emergency plans. It is important that each organization knows and is able to execute its respective tasks. A viable Senate TT&E program provides training and includes practicing individual and group responsibilities as well as overall emergency plans on a regular basis to ensure preparedness to implement those plans. Our program is outlined in an annual guidance document that is coordinated with stakeholders and that I sign jointly with the Secretary of the Senate. This document provides overarching guidance for three TT&E program areas:

- a 6-year exercise program that focuses on areas relating to our key capabilities;
- regular TT&E-supporting activities that occur throughout the year; and
- a calendar of annual exercises that reflects contingency program goals and objectives.

During 2011, in collaboration with the SOS, we led several joint exercises with the USCP, AOC, Office of the Attending Physician, party secretaries, and other key congressional stakeholders. Primary among these were the Chamber Protective Actions; Briefing Center; Alternate Office Space; and alternate Chamber exercises. We completed more than 20 exercises, tabletops, tests, and guided discussions in 2011, covering all aspects of emergency response including Offsite Alternate Chamber; Emergency Operations Center; Chamber Protective Actions; Briefing Center; Transportation; Contingency Telecommuting, Accountability Measures; Evacuation; Internal Relocation; Mass Casualty; Alert Notification; Continuity of Government; and



Alternate Office Space. We successfully exercised an offsite alternate Chamber to test our abilities to quickly set up a contingency facility away from Capitol Hill in a timely manner. An offsite emergency operations center exercise was conducted to test the ability to quickly move staff to a location distant from Capitol Hill and begin operations. The general exercise format included functional capabilities demonstrations and tabletop scenarios designed to test the Senate's ability to function during an event that requires relocating to alternate facilities or contingency sites. After-action reports were generated for each of our exercises to document lessons learned for future plan improvement. We plan to conduct more than 15 exercises during 2012 in addition to numerous training events and smaller-scale tests and drills designed to maintain and strengthen existing capabilities while addressing emerging needs.

#### *Continuity of Operations*

In 2011, we focused on developing contingency transportation and site-specific plans while continuing to refine and validate other existing plans and procedures. We continued collaborating with Member offices and committees to develop internal COOP plans and train staff accordingly. We acquired new transportation assets and developed accompanying activation and operations plans. We worked with our counterparts in the House to develop the Personnel Accountability System to enhance accountability during contingency transportation. The program is now in the final stages of development.

A full-scale exercise at the Postal Square Briefing Center was conducted to validate movement of Members to a safe and secure environment in the aftermath of an incident. We also improved plans to utilize alternate office space in the event the Senate is no longer able to occupy its regular office building work space. COOP materials and vital records were placed at contingency facilities and on classified networks for convenient access. We acquired space in the Ford House Office Building for use as a briefing center should Senators evacuate to the House side of the Capitol complex in an emergency. We also recently negotiated with the Government Printing Office for use of their auditorium and conference rooms for Senate and House briefing centers.

We finalized the first edition of an Alternate Office Space Plan that establishes set-up and operational procedures for the COOP space. Our focus has been on establishing and validating connectivity to the Senate network, and working with USCP security teams on establishing access control requirements for the facility when the Senate is operating there. We successfully tested our planning assumptions by conducting a functional exercise at the alternate site.

Maintaining a viable COOP program is critical to the Senate's ability to continue performing constitutionally mandated functions during local emergencies. Our team worked closely with Member offices and committees to produce individualized COOP plans utilizing a simplified template which was designed and tested within my departments. The resulting COOP template is a simplified and proven tool for use by Member and committee offices throughout the Senate.

We conducted an exercise that validated that facilities at our offsite location could be used as an alternate Chamber and identified additional improvements to enhance the facilities' capabilities.

We established the COOP Council to assist planners in all SAA departments with the development of coordinated plans for our COOP sites. The inclusion of key stakeholders in a forum where critical decisions may impact our operations during emergencies is essential while planning for contingencies.

#### *Continuity of Government*

To assist in coordinating plans and resolving issues affecting the House of Representatives as well as the Senate, we developed a Congressional Contingency Planners Group that meets monthly to coordinate Continuity of Government planning for the House and Senate. That planning group has worked through issues concerning strategy, design, and plan implementation. We expect this effort to continue to help resolve issues as we encounter them in the joint planning environment.

We are working with the House, USCP, and others to consolidate our separate operational plans into a single coordinated plan. Progress has been made, but additional work must be done to finalize the plans. This will require all parties involved to remain focused on the objective—a consolidated operational plan.

We developed and implemented the concept of a Continuity of Government Council to provide invaluable planning guidance and internal coordination at the executive level for continuity planners. This has been extremely valuable in helping guide the development of site and activation plans.

## INTELLIGENCE AND PROTECTIVE SERVICES

The Intelligence and Protective Services division of the Office of the Sergeant at Arms represents the integrated plans and programs for:

- Execution of law enforcement support and coordination;
- Security of the Senate as both an institutional body and a campus; and
- Protection of Members and staff in the District of Columbia and their State offices.

*Security Policy and Planning*

The State Office Readiness Program is a single security and preparedness resource that mirrors programs currently available to Washington, DC offices. Nearly two-thirds of the 450 State offices located across the United States occupy office space in commercial buildings with no internal security. The remaining offices are located in Federal buildings with some level of building security, but may be routinely targeted for disruptive activity. Violent incidents in and around State offices, including the January 8, 2011, shooting that critically injured U.S. Representative Gabrielle Giffords, have increased State office awareness of, and participation in, this voluntary but critical program. Participating offices are provided with a variety of security enhancements including secure reception areas to screen visitors, emergency duress buttons, burglar alarm systems, and closed-circuit camera systems. SAA pays for installation, maintenance, and alarm monitoring services including annual inspections and equipment testing.

During 2011, 333 or 73 percent of State offices received direct assistance in completing or updating their Comprehensive Emergency Plan (CEP). The CEP combines security, emergency preparedness, and Continuity of Government processes into one document. It meets CAA requirements and prepares offices to continue services during an event with minimal negative impact. A streamlined template and an online component to enter preliminary plan information allow us to offer CEP assistance to the remaining offices not currently participating in the program.

State office hazard overviews were completed or updated for 349 offices during 2011; these identify natural or manmade hazards to be considered during plan development. Additionally, 79 new State offices received program briefings and emergency equipment similar to Washington, DC offices. A monthly Office Emergency Coordinator (OEC) bulletin is distributed to all State offices and State OECs complete a certification program. Online and video teleconferencing security and preparedness training is now regularly offered to State office staff.

Security enhancements were provided for 90 State offices during 2011. The program has provided security enhancements in 86 percent of all State offices including 90 percent of offices located in commercial spaces and 76 percent of offices located in Federal buildings. Additionally, more than 300 State office alarm systems were tested and inspected this year.

For 2012 the focus of the State Office Readiness Program is on using an all-hazard risk assessment to survey State offices and offering security enhancements to nonparticipating offices. Site visits and collaboration with USCP, GSA, Federal Protective Service, and U.S. Marshals Service representatives will continue.

*Police Operations*

The Senate Campus Access Program coordinated inspections of construction vehicles and special deliveries with the USCP during recent renovations at the Sewell-Belmont House. The program also processed 795 special requests for vehicle clearances, deliveries, and bus access during 2011. Additionally, we developed the successful Committee Hearing Security Assistance Program to provide a single point of contact to coordinate USCP coverage at committee hearings. We collaborated with USCP and other law enforcement agencies to monitor and secure special events such as the State of the Union Address, Senatorial party retreats, summer concert series, and various joint sessions of Congress.

The SAA Duty Desk continues to assist in the USCP Command Center by utilizing staff to monitor and track security events and incidents within the National Capital Region during normal business hours and after hours while the Senate is in session. Staff members monitoring these events provide direct and timely information necessary to make key decisions. The program provides a cost-saving measure as it uses existing full-time equivalents (FTEs) with appropriate communication training instead of vendor support.

The January, 2011 shooting of Representative Giffords prompted our office to greatly expand monitoring law enforcement investigations involving threats to Members. Our goal is to provide updates to affected offices from case opening through adjudication. We routinely process Senate office requests for local law en-

forcement assistance at public events and coordinate security evaluations and assessments with the USCP.

*Intelligence and Threat Assessment*

Our office recognizes the value of identifying potential security risks early, so that appropriate awareness, mitigation, and prevention strategies can be deployed. The Threat Assessment Program proactively identifies and analyzes open-source online information in order to detect potential security threats targeting the Senate community and to enhance situational awareness of possible security risks. The program is fundamentally designed as an effective security and prevention tool to assess and mitigate risks in collaboration with the USCP.

We have been reviewing open-source information and creating daily threat reports since December 2011. A total of 283 incidents, an average of almost 7 incidents per work day, were reported between December 2011 and February 2012. Each incident was reviewed and an average of 2 incidents per work day, or a total of 86 incidents in 3 months, was forwarded to USCP for follow-up investigation. This program has allowed us to provide important early warnings and situational awareness of possible security risks. It has also guided protection and prevention efforts regarding specific threats against Senators, possible civil disobedience activities regarding specific topics, and cyber threats to online Senate assets.

The Threat Assessment Program is a tool designed to help us collaborate with the USCP and other partner agencies to stay ahead of the curve in a constantly changing threat environment. The program was initiated as a pilot effort to test processes and evaluate outcomes. The next key step is to properly evaluate the program. We have engaged the National Academy of Public Administration as an experienced, knowledgeable, and independent organization to conduct the formal program evaluation.

Even though a formal evaluation has not been completed, it is clear the Threat Assessment Program has elevated situational awareness of security-related issues and events among my organization, USCP, and Member offices. The program supports the Senate's collective safety and prevention efforts.

INFORMATION TECHNOLOGY

*Enhancing Service, Security, and Stewardship*

We continue to provide a wide range of effective IT solutions to facilitate the Senate's ability to perform its legislative, constituent service, and administrative duties; to safeguard the information and systems the Senate relies upon; and to be ready to respond to emergencies and disruptions. As in our other areas, we also emphasize stewardship—the careful use of all of our resources, including the funding we are provided, our personnel, and the external resources that we consume—in all aspects of our IT operation.

As we do each year, we have updated, and are performing under, our 2-year Information Technology Strategic Plan. The current version, under which we will be operating in fiscal year 2013, continues to emphasize our five strategic IT goals and their supporting objectives that drive our programmatic and budgetary decisions:

*Secure.*—A secure Senate information infrastructure.

*Customer-Service Focused.*—A customer service culture top-to-bottom.

*Effective.*—IT solutions driven by business requirements.

*Accessible, Flexible, and Reliable.*—Access to mission-critical information anywhere, anytime, under any circumstances.

*Modern.*—A state-of-the-art information infrastructure built on modern, proven technologies.

Our fourth strategic IT goal—Accessible, Flexible, and Reliable—may be the most far-reaching of the five goals. This goal undergirds everything we do from a technology standpoint. We must ensure that almost every system and every service we deploy can withstand disruptions to our operating environment, can be reconfigured if necessary to cope with disruptions, and can be used regardless of the user's location. We continuously re-evaluate existing services and systems to identify areas for improvement and make those improvements as soon as we can, in an effort to ensure the Senate can continue to do its work under any circumstances.

From a budgetary standpoint, more than one-half of the CIO organization's fiscal year 2013 request will cover the installation and support of the equipment acquired by offices through the economic allocation, and for other programs that benefit offices directly. One-third will be devoted to providing services at the enterprise level, such as information security, the Senate data network, email infrastructure, and telephone systems. The remainder is almost equally divided between supporting the office of the Secretary of the Senate with payroll, financial management, legislative

information, and disclosure systems; and our own administrative and management systems.

#### ENHANCING SERVICE TO THE SENATE

##### *Customer Service, Satisfaction, and Communications*

Our IT strategic plan stresses customer service as a top priority, and we actively solicit feedback from all levels and for all types of services. For instance, we ask for customer feedback on every Help Desk ticket opened. In major contracts that affect our customers, we include strict service levels that are tied to the contractors' compensation—if they do well, they get paid more; if they do poorly, they get paid less. Because of reductions to our budget, we have had to relax the service level requirements, reducing services to our customers. During the past year, the percentage of on-time arrivals for the IT installation team never dropped less than 99 percent. The percentage of Help Desk calls that were resolved during the initial call averaged 57 percent, and 99 percent of customer surveys rated the IT Help Desk and installation services as either “very satisfactory” or “excellent”. We expect this excellent level of performance to continue through fiscal year 2013.

We satisfy our customers' demands for the latest in mobile wireless technology by keeping our catalog up to date with the latest offerings. Last year, we made available several new models of iPhones, iPads and BlackBerry devices, as well as enhanced iPhone and iPad email and tools integration that include secure intranet browsing, and document editing and storage features. We will continue to offer the Senate community the latest smartphone technology as well as add MiFi mobile hotspots to our technology catalog in fiscal year 2013. Our CIO staff also continues to work extensively with third-party software providers to enhance our iPhone and iPad corporate email client. Finally, we continue to monitor and test Android devices for support with the goal of supporting these devices when we can do so with adequate security.

In fiscal year 2013 we will continue to communicate effectively with our customers through a well-developed outreach program that includes IT newsletters, periodic project status reviews, IT working groups, weekly technology and business process review meetings with customers, and joint project and policy meetings with the Committee on Rules and Administration, the Senate Systems Administrators Association, and the administrative managers steering group.

##### *Robust, Reliable, and Modern Communications*

We provide robust, reliable, and modern data network and network-based services that the Senate relies upon to communicate electronically within and among offices on Capitol Hill and in the States; to and from other legislative branch agencies; and through the Internet to the public, other agencies, and organizations.

We continue to make progress toward modernizing the Senate's entire telecommunications infrastructure to provide improved reliability and redundancy in support of daily and emergency operations, and to take advantage of technological advances to provide a more flexible and robust infrastructure. We completed the replacement of the main telephone switch this year, and have processed more than 3 million phone calls since it came online. We are currently installing up to 250 new telephones a week in Senate offices and are scheduled to complete the Watson phone migration by the end of the current fiscal year. Moving forward, we will replace systems such as the cloakroom alerts and conference services systems over the coming year. We are securing the Watson implementation with the same high level of diligence as we secure the whole of the Senate's IT infrastructure. We also conduct rigorous vulnerability testing on Watson, which exemplifies our proactive and preventive approach to information security.

Our wired and wireless data network forms the core of our IT infrastructure. This past year we improved the ability of Members and staff to gain access to the Senate network remotely, which is a critical function for our customers and a key to success for our support organizations. We integrated client-based and clientless remote access services into a single platform. We did this without any significant effects on our customers, while improving our internal efficiency.

In 2011, we also enhanced the security of the Senate's wireless LAN or “WiFi” service by introducing a new network—Odyssey—that supports a more secure authentication mechanism and allows us to support mobile devices such as the Apple iPhone and iPad. Over the course of the next year, we will continue to enhance our wireless network by replacing more than 700 access points.

We continued reducing costs for the wide area network services that support State offices, achieving a \$200,000 reduction in fiscal year 2012; less than the fiscal year

2011 cost. A portion of this reduction results from better contract pricing for services in Alaska.

In order to support our new PGDM facility in Landover, Maryland, we invested in a direct fiber-optic connection, both to provide high-speed service to the location and to save money in the long-term less than the cost of a leased connection. We received favorable monthly pricing by using the same contract and vendor that provides us "dark fiber" service to the Alternate Computing Facility (ACF) and other locations off Capitol Hill. The direct fiber-optic connection to this new facility closely matches the connection PGDM had while on Capitol Hill and does so at a reduced cost. The monthly rate for our direct dedicated connection is approximately 40 percent less than comparable shared bandwidth with a contract commitment of 10 years. Because it is a private connection, we also eliminated the need for security equipment, which is necessary when using a commercial-based service. We plan to extend this service to the nearby Senate Support Facility to substantially increase the level of network service there.

We continue to make effective use of our investment in performance monitoring equipment to manage service levels on our connections to the Internet. This has allowed us to keep service capacity levels constant, without sacrificing performance for our customers. However, we will not be able to ensure this critical resource meets our customers' demand indefinitely without additional funding.

Because our data network is vital to everything we do, we must continue to invest in performance monitoring equipment to proactively identify and resolve problems within the network as quickly as possible, including before our customers recognize a problem exists. This also allows us to use statistical information for trend analysis purposes so that we can be in front of the need for additional network capacity. With more than 1,500 devices supporting our enterprise data network, it is imperative that our CIO organization be well positioned to identify problems (fault management), traffic levels (performance management) and modifications (change management).

We use many tools in our efforts to monitor the health of the Senate data network, which spans Capitol Hill, more than 450 State offices, and two data centers. We processed more than 1,800 incident tickets during calendar year 2011 and more than 1,400 network change requests associated with data center services. As 2011 was the first year of the 112th Congress, with attendant changes in Senate membership, we provided 90 new State office connections and decommissioned 60 others.

In partnership with other legislative branch agencies, our CIO organization participated in the replacement of the legislative branch intranet known as CapNet. This private network provides all legislative branch agencies the ability to communicate with each other without traversing the Internet. The Senate has been one of the leading voices in promoting the value of this network for inter-agency communications and business services. The replacement of older technology enables the entire legislative branch to maintain existing services and expand into new services. Our CIO organization led the effort to develop the redundant CapNet solution centered at the Alternate Computing Facility. In combination with the new primary network, we are well-positioned to support new and expanding inter-agency services in a highly available environment.

Another significant undertaking in 2011 was the upgrade of all of the Senate's data network chassis equipment. This upgrade was essentially a replacement of 100 chassis units spread across the Senate campus to ensure we remained well-positioned for growth within the data network. The upgrade also provided additional redundancy and increased power supplies to support power over Ethernet for the new Watson phones.

Also in support of telecommunications modernization, we designed and implemented a quality of service architecture to ensure that voice services are prioritized as they traverse the data network. Due to its real-time nature, it is critical to the quality of a phone call that the corresponding data traffic be properly processed and not be delayed by other non-real-time communications.

In addition to our robust messaging infrastructure that processed approximately 356 million Internet email messages during the past calendar year, we also support effective communication through the use of videoconferencing. Our videoconferencing infrastructure processes an average of 300 video calls per day when the Senate is in session. Recent enhancements include the ability to call anyone in the world through a secure, publicly available client, as well as to make a point-to-point call into a multipoint call regardless of bandwidth or whether the system has multipoint capability installed. We are also strengthening the resiliency of the core services we currently provide by designing and deploying a high-availability infrastructure for those core services. This will result in less downtime and increased reliability.

This past year we upgraded the Microsoft Office Communicator application to Microsoft's latest product, Lync, enabling a convenient multi-party desktop sharing feature and preparing the environment so we can deliver additional unified communication capabilities such as integrated audio and Web conferencing. More than 5,000 people in 80 offices take advantage of the service.

In a more visible effort, we collaborated with the Secretary of the Senate and the Committee on Rules and Administration to offer, beginning with the second session of the 112th Congress, the ability to view Senate sessions live on computers and many common mobile devices via senate.gov. The public also will be able to use our video archives as a powerful research tool by utilizing keyword searches for topics of interest.

The new streaming capability enhances the ability of Members and committees to incorporate video into communications with constituents by offering the live video of floor activity on their official Web sites. We also introduced a video clipping tool, to enable staff to capture video segments from archived sessions to post on their official Web sites.

The Large File Transfer System (LFTS), which has been in use for nearly 2 years, has streamlined the process of sending large files. Currently, 45 offices use it to correspond with other offices in the Senate as well as with external entities, including other government agencies, the media, and constituents. For example, during the weeks and months following the Deepwater Horizon oil spill in the Gulf of Mexico, the Committee on Environment and Public Works used LFTS to send and receive video files containing extensive footage of the incident. In addition, the Senate Recording Studio uses the LFTS to send video files to Senators' offices not only on Capitol Hill, but also in their home States. Since January 2011, LFTS has processed more than 3,800 files with 500 gigabytes of data.

#### *Web-Based and Customer-Focused Business Applications*

As in past years, we continue to add functionality to TranSAAct, which is our platform for moving business online. Based on the business requirements of offices and the Committee on Rules and Administration, we continue to develop TranSAAct to eliminate paper-based manual processes and move them to the Web. Because it is built on an extensible modern database framework, TranSAAct allows indefinite expansion as new requirements are identified. This year we completed several enhancements to TranSAAct, giving staff the ability to make telecommunications service requests online, and integrating with the asset management system to allow administrative managers and chief clerks to view the assets assigned to their office. They can report inaccuracies and lost or stolen items and generate reports on the fly. We also started development of a depot to house the forms and documents that chief clerks use, with links to a collection of how-to documents and checklists for chief clerks to collaborate on best practices. We look forward over the coming months and years to moving additional business processes to the Web; delivering increasing functionality to administrative staff; and reducing the time, paper, and errors associated with the current manual processes.

We are working in collaboration with the Secretary of the Senate to replace the current payroll system with a new one that is built on a modern technological platform. It will provide additional capabilities to benefit members and employees, office management and the Secretary's staff. We plan to implement Phase I of the new system, which replaces the current payroll functionality, later this year. Phase II will follow that implementation and will provide self-service capabilities to Members and employees.

We expanded the services of other Web-based applications such as a program that more than 60 offices use on their Web sites for accepting service academy nomination requests, intern applications, budget requests and other types of applications and requests. To date, constituents have submitted more than 24,000 different requests through this system. We also modernized CapFOR, the application that allows offices to request services from our Capitol Facilities department.

We provide numerous Web-based systems to enhance the productivity of office staff, such as one for the Placement Office that allows external applicants to electronically submit job applications for positions in Senate offices. Currently, there are more than 36,000 accounts in the system. We provided significant enhancements to the lobbyist registration application to create more robust search functionality as well as improve the application's overall performance. Committees extensively use streaming video to broadcast their hearings over the Internet. This year we transitioned from Flash video to the more ubiquitous MPEG4 video standard. This is a huge improvement—using the MPEG4 standard allows us to stream and archive video in high definition with only a minimal increase in bandwidth usage.

*Showcasing and Promoting Modern Information Technology in the Senate*

We will continue to highlight new technologies in the Information Technology Demonstration Center through demo days, which have been well-attended in the past. After products are tested and validated in our technology assessment laboratory, they are then available for staff to try in the Demo Center. The demo days feature live demonstrations of new and emerging technologies.

In order to perform technology assessments, feasibility analysis, and proof of concept studies, and to ensure we are considering technologies that will directly support the Senate's mission, we continue to improve the capabilities in our technology assessment laboratory. Technologies and solutions are vetted and tested here prior to being announced for pilot, prototype, or mass deployment to the Senate. To ensure we focus on the most relevant technologies and solutions, the Technology Advisory Group, consisting of CIO staff and our customers, performs high-level requirements analysis and prioritizes new technologies and solutions for consideration for deployment in the Senate.

We continue to work toward providing unified communications capability, tying together voice, video, and data communications into a single tool. This allows the user to choose the best communication option available—based on the capabilities of the device they are using and the preferred method of communication.

We will continue these efforts in fiscal year 2013 to ensure that the Senate is always well-equipped to perform its functions. To keep our customers informed of our efforts, we publish the results of our studies on the emerging technology page of the CIO's area on Webster.

ENHANCING SECURITY FOR THE SENATE

*Enhancing Security Through System and Information Resiliency*

As I mentioned earlier, we build security, accessibility, flexibility, and reliability into every system and service. We continue to test our technology in scenarios in which our primary infrastructure and primary work locations have become inaccessible. This includes the simulated loss of our primary data and network facilities, as well as simulated loss of staff work spaces. All mission-essential Senate enterprise information systems continue to be replicated at our ACF, using our upgraded optical network and storage area network technology. We have created a high-availability videoconferencing infrastructure that operates simultaneously at the primary and alternate facilities. This allows for automated recovery from a loss of either the primary or alternate facility without loss of core videoconferencing network services. We also upgraded the redundant active directory domain controllers in the ACF to the latest operating system. The new servers were deployed in virtual machines, removing more than 20 physical servers from the facility. We conduct a variety of exercises to ensure we are prepared from an IT standpoint to cope with events ranging from a burst water pipe, to a pandemic, to an evacuation of Capitol Hill. These exercises demonstrate our ability to support mission-essential systems under adverse conditions, and the ability to support substantial numbers of people working from home. We continue to exercise the ability to support our Senate customers in the event of an emergency situation which may limit our ability to get to work. This includes weekly and monthly exercises designed to ensure technical support is available from the ACF and other remote locations. Our diligence in this initiative has proved worthwhile during various weather events.

With the knowledge that the business of the Senate continued and that State office locations were not affected by the weather in Washington, DC, our staff continued to support the Senate community remotely throughout these events. This included answering the phones from home-based locations, highlighting the capabilities that our current migration to IP telephony will bring to the rest of the Senate.

*Securing our Information Infrastructure*

As I have described in previous testimony, active and aggressive adversaries continue to target Senate information and technology assets. These adversaries use increasingly sophisticated tools, techniques, and procedures; rapidly shift their attack methods in response to new countermeasures; and continually refine their targeting of Senate information. Our key strategy to meet this threat has been to improve our coordination with other Federal agencies to share and adopt current best practices. We have greatly improved and expanded our relationships with other agencies over the past year. In addition we have undertaken a number of other efforts that we will continue throughout this fiscal year.

Training on information security awareness is mandatory for every member of my staff. The information we provide in this training helps our staff better identify and respond to suspected attempts to gain unauthorized access to Senate resources. We

have also made this training available to the rest of the Senate community, and have received positive feedback.

We continue to develop and conduct individual threat briefings for system administrators, office leadership, and other staff to educate them on the evolving threat environment and to recommend services that we provide at no cost to help them reduce their risk. We incorporate current best practices into our general awareness materials that we provide through Webster and in-office presentations. In the last year our training and awareness briefings have paid off as office staff members are better equipped to detect and respond appropriately to possible malicious events.

Last year's inclusion of an IT security briefing in the new system administrator training process was a great success. In these briefings we inform new system administrators of our services and help them enroll, so that they may make the best use of our offerings soon after they are hired. We also help system administrators identify critical systems under their control that our adversaries would consider high-value targets. This asset identification enhances situational awareness for continuity of operations by allowing us to focus our efforts on protecting IT assets for which we have actionable threat intelligence. We work to continuously improve the quality of our training and, using office feedback regarding such training, we have improved both content and delivery.

Two other programs that support situational awareness and help us maintain a common operating picture (giving stakeholders at all levels the same relevant information) are the vulnerability assessment and systems management services. Together, these programs help us identify and remove threats as quickly as possible.

Our Systems Management Service (SMS) allows an office to automatically apply critical security patches to non-Microsoft software, saving staff time and effort and improving the security posture of the individual workstations in an office. It has been widely accepted with 134 offices enrolled, which is nearly 97-percent participation. We saw an immediate decrease in the average security vulnerability of systems as the service was implemented. SMS serves as an excellent enhancement to our vulnerability assessment (VA) program and to Windows Server Update Services, (WSUS) which automatically patches Microsoft software. The vulnerability assessment program, SMS, and WSUS combine well to serve as a "success enabler" for offices by giving them the tools they need to continuously assess and improve their IT security posture. We are looking at expanding our SMS service within the next year to better reach perimeter systems, such as laptops that remotely connect to the Senate network. We will also seek to provide automated update capability for operating system and third-party software security updates to Apple systems.

Our objectives call for maintaining strong relationships with our customers and improving customer care processes. The Senate community enthusiastically received both the SMS and the VA programs, which operate synergistically to mitigate operational cybersecurity risk. We devote considerable effort to helping the Senate community maximize their benefit from the VA and SMS programs. We pay careful attention to the feedback from offices concerning these vital programs, and this attention to detail helps us strengthen our relationships with those we serve and protect in the Senate community.

We also provide our staff and contractors with the tools, training, and skills necessary to quickly respond to potential threats. These ongoing skill training initiatives support our commitment to develop and nurture an agile CIO team. Because we are continuously leveraging and augmenting our knowledge base as technologies evolve, we quickly and productively respond to the challenges that new technology poses.

To detect, defend against, and pre-empt threats when possible, we are employing new operating concepts to protect networks and systems. An example of our evolving conceptual innovation is that we employ and continuously monitor a strong core of layered defenses. This defensive posture enhances IT security. If our adversaries create a challenge at one layer, we have multiple, robust security layers making it difficult for them to successfully navigate all the security layers.

We strongly believe that integrating key concepts from the Department of Defense's Active Defense doctrine with our strategic goals bolsters our cybersecurity posture. As a result, we awarded a new cybersecurity contract to a provider with extensive defense sector experience. The new service provider is now applying its security experience to the protection of Senate information assets. The contractor has already taken the initiative to reconfigure network monitoring tools for improved performance.

As mentioned earlier, we share our awareness material and best practices with other agencies and adopt useful material and practices they have shared with us. We have achieved improved cybersecurity as a result of this cooperation, always with a view toward proactive risk prevention. Sharing information with other gov-



ernment agencies and the private sector also helps us fulfill our objectives of pre-empting threats. Such cooperation enables us to put other agencies' experiences to good use in effectively and confidently pre-empting threats that may not yet have reached us.

Using best practices from other Federal agencies also helps us ensure that the cybersecurity services we offer are aligned with and support the Senate's business needs. We continue to expand our reach in partnership with other government agencies and the private sector in implementing reciprocal mutual trust mechanisms for exchanging email. These mutual trust mechanisms guarantee that we can trust messages that originate in participating agencies, and they can trust that our messages are genuine as well. We described this trust program in last year's testimony, and we continue to expand our exchange of encrypted messages with more agencies and public-private partnerships.

Many Members and committees have embraced social media services and technology, and are increasingly using these services to communicate with constituents. Consequently, we forged direct partnerships with leading social media companies to ensure quick and effective communications with them. As a result, we are able to provide the quickest possible cybersecurity response when required. In this way we enable our community to maintain the confidence of constituents that each message is actually from the member or committee.

We have also faced significant challenges. For instance, last March we learned of a security breach associated with the company that is a major supplier of user authentication devices, RSA. This affected the Senate because we make extensive use of RSA's SecurID tokens and the breach compromised the security of these tokens. In June, RSA initiated the replacement of all "hard tokens", or SecurID devices. We were tasked with replacing more than 2,500 SecurID tokens for our customers. Additionally, we were able to reduce the number of tokens in service by almost 1,100 units, working with each office to identify tokens that were no longer being used. This saved the Senate approximately \$43,000 in device costs alone and, by reducing the overall count, allowed us to avoid a more costly upgrade in license support.

In an effort to protect data past the useful life of the systems it is stored on, this past year we upgraded our on-site degausser to one that is better able to erase data from increasingly denser media and which will support future improvements and refinements to tapes and disks as the data density increases. The model we have is also the only degausser approved by the National Security Administration that can accommodate multiple drives per cycle.

We continued our BlackBerry scanning program designed to detect security intrusions on wireless devices used during international travel. In fiscal year 2011, we upgraded our scanning software from AutoBerry to Fixmo's Sentinel, allowing us to scan up to 10 devices simultaneously. This past year, we scanned more than 370 BlackBerry devices, some multiple times, and found no discrepancies that we could not resolve. In fiscal year 2013 we will continue to seek ways to improve and enhance our scanning program.

#### ENHANCING STEWARDSHIP

Stewardship of our resources is integral to everything we do. We are always looking for ways to improve our processes or technologies so that we save time, money, electricity, paper, and other resources. Our CIO organization is a good steward of the fiscal resources of the Senate, consistently and continuously improving the services offered to our customers while seeking only modest increases in funding. Many of these initiatives can save an office hundreds or thousands of dollars in costs that would otherwise be paid out of their official accounts. As most of these initiatives save money due to a reduction in the purchase of some commodity, they also fit in with our efforts toward environmental stewardship. Following are some examples of our efforts to enhance fiscal and environmental stewardship:

- We completed a major upgrade of our messaging infrastructure that significantly increased email storage capacity yet reduced overall costs. The upgrade also provided for further consolidation and virtualization of the Senate's messaging environment, reducing by more than half the physical servers in use. Improvements in high-availability capabilities have further reduced service disruptions for routine maintenance, and a change to leverage native email archiving features resulted in additional cost savings in software maintenance, administrative support, and storage.
- Our SMS for automated deployment of applications and updates to workstations and servers reduces the maintenance burden on users and aids in maintaining a secure systems baseline. Almost every office currently uses this service.

- We have continued our virtualization efforts, where we now reduce energy, maintenance, and support costs by running more than 800 of our servers in a secure, virtual environment. We will continue an aggressive campaign to virtualize every server that can be virtualized.
- Offices have taken great advantage of our virtual machine infrastructure that allows us to centrally host their file and application servers on shared hardware at our primary and alternate facilities. This greatly increases server hardware efficiency, and, through system duplication and data replication, offers enterprise class data redundancy and recovery in the event of a critical local failure or crisis. The virtual solution also relieves offices of considerable noise and excess heat, and increases usable working area for staff. It also removes the single point of failure from existing office servers and meets continuity of operations and data replication requirements for approximately one-half the cost of existing solutions. To date we are providing 97 Member and committee offices with a total of 131 virtual servers. Virtual servers running in the data center consume only 25 percent of the energy of a comparable number of physical servers. This means a reduction in power consumption and air conditioning requirements, saving Senate funds, while enhancing our ability to provide reliable and redundant services. Fewer servers used by the Senate also mean fewer servers that need to be disposed of at the end of their lives. This is greening on a national scale.
- Work continues on offering offices the ability to host their constituent support systems and SharePoint collaboration systems offsite or in a virtual environment. This will provide offices the opportunity to operate without any physical servers in their offices. Three offices are currently participating in the pilot test for this effort.
- We continue to use our catalog to highlight the energy-efficient aspects of our supported IT and general office equipment, and we participated in the Senate Environmental and Energy Showcase.
- We continue our efforts to dispose of surplus electronic equipment through such initiatives as the Computers for Schools program. Last year we fulfilled 35 Member office requests and packed and shipped 775 surplus computers to eligible public schools. We send other surplus equipment to the GSA for redistribution or resale.
- We also ensure that the devices we recommend to the Senate meet the applicable ENERGY STAR guidelines and, where feasible, the guidelines for the responsible manufacture of IT equipment.

#### OPERATIONS

##### PRINTING, GRAPHICS, AND DIRECT MAIL

PGDM provides high-level, direct customer support to the Senate community through photocopying, graphic design, printing, mailing, archiving, logistics, and security. During fiscal year 2011, in an ongoing effort to continuously improve and serve Senate offices, PGDM introduced 10 new products and services:

- retractable signs;
- pocket folders;
- Quick Response (QR) codes;
- CD/DVD high-level production;
- transportation of Library of Congress (LOC) books;
- Constituent Services System (CSS) letter address validation reports;
- full-color CSS letter printing;
- secure scanning;
- Section 9 mail imaging; and
- panel panoramic picture printing.

As a good steward of fiscal resources, PGDM garnered notable savings for the Senate. We saved more than \$1.1 million in postage costs by pre-sorting 6.9 million pieces of outgoing Senate franked mail; \$55,000 in postage by using new software to identify 124,960 undeliverable addresses before they were introduced into the United States Postal Service mail stream; and approximately \$687,000 by producing 7,731 charts in-house for Senate floor proceedings and committee hearings.

PGDM continued to improve operations and responded to 65,810 individual Senate job requests in fiscal year 2011, an increase of 8 percent more than fiscal year 2010. PGDM met Senate office demands for archiving by scanning and digitizing 3.8 million pages of Senate documents during fiscal year 2011, an increase of 23 percent more than fiscal year 2010. PGDM recently expanded its document scanning service to include special requests for very large volumes of documents from Members' storage attics and from the Suitland storage facility. In one such request, PGDM con-

verted more than 451,000 documents from paper to digital media. This conversion service helps offices organize documents from their desktop and reclaim scarce storage space.

PGDM's document management system, OnBase, continues to gain popularity among Senate office staff. This service, which allows offices their own private document management space, imported more than 78,500 documents to individual office accounts during fiscal year 2011 compared to 27,600 in fiscal year 2010, an increase of 184 percent.

Senate offices increased requests for CD/DVD production by 16 percent—PGDM produced 7,383 CDs/DVDs in fiscal year 2011 as compared to 6,361 in fiscal year 2010. PGDM offers secure disposal for obsolete documents, and during fiscal year 2011, we shredded and disposed of 4,615 boxes of obsolete documents as compared to 3,898 boxes in fiscal year 2010, an increase of 18 percent. Printing volumes PGDM-wide totaled more than 30 million printed pages during fiscal year 2011, and more than 4 million pages were produced utilizing self-serve copy centers. In an effort to assist Member offices to more efficiently direct constituent mailings, PGDM can individually address and seal mail pieces simultaneously. In fiscal year 2011, PGDM individually addressed 1,649,794 mail pieces to target specific constituents, as compared to 1,354,304 in fiscal year 2010, an increase of 22 percent.

PGDM's commitment to teamwork and excellent customer service extends to its legislative branch partners as well. Collaborative work with AOC fulfilled 94,045 flag requests during fiscal year 2011, an increase of 14 percent compared to fiscal year 2010. By working in tandem with the Government Printing Office, PGDM delivered more than 2 million documents (Pocket Constitutions, Our Flag, Our American Government, etc.) to requestors.

Through effective communication and teamwork, PGDM's Senate Support Facility upheld the SAA mission for operational security during fiscal year 2011 by receiving 1,006,337 items from the USCP off-site inspection facility and transferring them to the Senate Support Facility. This process eliminated 460 truck deliveries to the Capitol complex, reducing traffic, and allowing the USCP to focus on other aspects of safety.

PGDM is committed to assisting the USCP with innovative methods of managing crowds and access for special events taking place on Capitol Hill. PGDM provides large format printing of signs and banners for major events, plus security enhancements for tickets, badges, and placards through the use of hologram foil stamping and clear toner technology that cannot be easily reproduced.

During fiscal year 2011, SAA successfully relocated 2 of the 3 sizeable sections that make up PGDM. The Logistics and Operations section was relocated in early fiscal year 2011 to allow for structural renovation on the lower level of the southwest corner of the Russell Senate Office Building. Later in the year, the Printing, Mailing, and Archiving sections were relocated from the Postal Square building to Landover, Maryland, to improve efficiency of production and reduce facility lease costs. This relocation will generate substantial savings in the years to come.

During fiscal year 2011, PGDM's Logistics and Operations staff worked very closely with the AOC to relocate the PGDM Logistics and Operations section from SR-B31F to the Hart Senate Office Building loading dock, now SH-B08. Construction of the Hart Senate Office Building location began in early January and was completed by early April. PGDM and AOC staff collaborated on the design of the space to efficiently accommodate material, documents, and staff in less square footage than had been available in SR-B31F.

From July through September 2011, PGDM relocated its main printing, mailing, and archiving facility from the basement of Postal Square to the new Landover Print Facility (LPF). This facility, which was completed on time and under budget, projects a net positive cash flow of \$2.8 million, a 3.6-percent return on investment over 20 years. All equipment and the significant PGDM computer infrastructure was re-established at Landover without any break in services to the Senate. During this move, PGDM produced more than 1,577,400 mass mailing pieces and more than 704,200 town meeting notices as well as standard printing requests that happen year-round. Fifty-nine staffers now work at LPF, and they remain committed to providing exceptional service to the Senate from this state-of-the-art facility.

#### CENTRAL OPERATIONS

##### *Smart Card Programs—ID Office*

The implementation of Homeland Security Presidential Directive (HSPD) 12, the Policy for a Common Identification Standard for Federal Employees and Contractors, will significantly impact Senators and staff whose State offices are located in Federal buildings across the country. While the legislative branch adoption of

HSPD-12 is optional, compliance will allow Senators and staff unhindered access to work freely within Federal facilities. Staffers from the ID Office and Technology Development Services are collaborating with executive branch counterparts to implement compatible access cards to paid staff within the 112th Congress.

Although a substantial cost is associated with system architecture, we continue to explore advantages of Smart Card deployment. Sophisticated Smart Card credentials can provide multiple functions beyond current “flash pass” identification badges. While maintaining proximity technology used in USCP’s current physical access control system, digital certificates on Smart Cards may be used for encryption of personally identifiable information exchanged with executive branch agencies in the processing of constituent casework. Other future benefits within the Senate community for digital certificates include digital signatures on financial documents and a secure, single network sign-on.

The ID Office continues to research the expanding field of biometric security and study potential applications for this enabled technology.

#### *Parking Operations*

Having implemented numerous changes to policies and procedures at the beginning of the 112th Congress, the Parking Operations team continues to seek areas of improvement. Parking Operations has increased monitoring of parking usage in order to effectively manage the Senate’s limited number of spaces and maximize space utilization. Enhancements to TranSAAct, SAA request processing application, and modifications to SPARK, the Senate Parking Operations’ management system, have improved customer service experiences for office administrators.

Parking operations continues to accommodate all permit holders, even though repair and renovation projects frequently impact parking spaces. Projects such as sidewalk replacement, window repair, steam tunnel rehabilitation, and building revitalizations resulted in a temporary reduction of available spaces in almost every parking area during calendar year 2011. Parking operations continues to work with USCP and the District of Columbia government to reach viable solutions regarding appropriate enforcement measures in order to ensure spaces are available to permit holders.

#### *Transportation and Fleet Operations*

Transportation and fleet operations safely and securely procures, manages, and maintains SAA vehicles; provides transportation information to offices; and manages the Senate Parking Shuttle service. The SAA fleet includes trucks, vans, buses, SUVs, and a handicapped-accessible van to support the Senate community. Transportation and Fleet Operations is responsible for completing work orders, equipment installations, tag/registration renewals, and vehicle inspections for all fleet vehicles. Fleet staff transported more than 20,500 passengers through the SAA Fleet Shuttle service in fiscal year 2011.

Transportation and Fleet Operations is a leader in “go green” initiatives with flex-fuel/E-85 vehicles, gas-electric hybrids, all electric vehicles, Segway Personal Transports, diesel exhaust fluid-certified trucks, and a MAXXFORCE-equipped diesel engine with Exhaust Gas Recirculation (EGR) to meet the latest EPA standards.

#### *Photography Studio*

The Photography Studio provides photography and imaging services for Senate offices, capturing more than 74,000 photo images and producing more than 95,000 photo prints in fiscal year 2011. The studio’s popular image archiving service was used to scan, organize, and transfer more than 47,000 photo images for archiving purposes in fiscal year 2011.

In fiscal year 2011, the Photo Studio converted photo print production to chemical free, inkjet printing systems, eliminating the use of photo chemicals for the majority of the photos produced. The Photo Browser application continues to provide Senate offices a secure location to store and organize photos with the capability to download and upload photos, as well as place orders for photo prints through a Web-interface.

### OFFICE SUPPORT SERVICES

The Office Support Services team continues to ensure all SAA services to Senate offices are provided efficiently through timely communication, and consistently meet high-quality standards.

Office Support Services staff serve as liaison between Senators’ State offices and the commercial or Federal landlords. The State Office Liaison oversees 450 State offices and assists Members in negotiating leases for commercial and Federal office space and mobile offices in their home States.

Staff continue to consult Members, leadership, and committees regarding the most efficient use of office automation, and analyze functional operations and workflow in Senate offices to determine how new office technology might improve efficiency and productivity. We continue to provide training on Office Application Manager, a secure Web-based, user-friendly application that allows Senate office staff to create and manage online forms such as service academy nominations, flags, internships, and fellowships.

During fiscal year 2011, Customer Support assisted 16 newly elected Senators and one appointed Senator in setting up DC offices. The State Office Liaison negotiated 101 leases for State Senate offices, including 72 in new commercial space, 27 in new Federal buildings, and 82 renewals. Customer Support and the State Office Liaison have begun preparations for upcoming elections by ensuring all documentation and procedures are current.

#### SENATE POST OFFICE

The Senate Post Office continues to be a good steward of taxpayers' dollars as it continues to elevate performance. Productivity increased in unprecedented levels, exemplified by processing the second-highest volume of mail since 2000, surpassed only by 2009. For the convenience of our retail customers, the Senate Post Office began accepting credit and debit cards in February 2011. Our customers have praised this service upgrade and overall retail sales exceeded \$946,000.

Mail remains a key medium for constituents to communicate with Senators and their staff. During fiscal year 2011, the total volume of mail addressed to the Senate's Washington, DC offices was significant. The Senate Post Office received, tested, and delivered 18,432,995 safe items to Senate offices, including 11,703,600 pieces of U.S. Postal Service (USPS) mail; 6,729,395 pieces of internal mail routed within the Senate and to/from other government agencies; 72,108 packages; and 302,122 courier items. Mail received by the Senate has increased substantially over the past 3 years as compared to the nationwide trend showing USPS mail volumes declining.

All mail and packages addressed to the Senate's DC offices are tested and delivered by Senate Post Office employees. During fiscal year 2011, highly trained Senate Post Office off-site mail staff intercepted 383 suspicious pieces of mail that were addressed to Senators with the intent to disrupt Senate business. All suspicious items were reported to USCP and investigated.

Senate Post Office management has also worked with the Committee on Appropriations and the Committee on Rules and Administration to build and operate one of the best facilities within the Government to process time-sensitive documents delivered to the Senate. The Congressional Acceptance Site ensures all same-day documents are xrayed, opened, tested, and are safe for delivery to Senate offices. During fiscal year 2011, more than 300,000 items were successfully tested with zero safety incidents. Working in conjunction with the USCP, the Senate Post Office was able to upgrade xray technology and redesign monitoring stations to improve the flow of mail intake.

The Senate's method for processing mail has become the model for other Government agencies.

The Senate Post Office has demonstrated its procedures and showcased its facilities for some of the Nation's allies, as well as other government agencies, including the Department of Defense, Department of Homeland Security, FBI, and the Secret Service. Organizations that know the most about mail safety cite our highly trained staff and the Senate mail facilities as among the most efficient and secure in existence.

Additionally, Senate Post Office staff worked collaboratively with its scientific subject matter experts to introduce the first device designed to provide Senate staff who work in State offices with a level of protection when handling mail. The scientific subject matter experts believe that the Postal Sentry, if used properly, provides the best level of protection to State offices and their staff should they receive mail containing a potentially harmful substance. The Senate Postmaster has requested that all Senate State office staff utilize the Postal Sentry mail processing system whenever mail is opened in their offices. All newly elected Senators' State offices have been equipped with the Postal Sentry and many other Senators have opted for the device as well. Currently, 268 State offices have the Postal Sentry, an increase of 30 units since 2010.

The Senate Post Office initiated a recycling program of the Tyvek suits utilized by Post Office Mail Specialists when testing the mail. To date more than 4,000 pounds of Tyvek suits have been successfully recycled.

## CAPITOL FACILITIES

Capitol facilities serves the Senate community by providing a clean and professional work environment through its Environmental Services branch. This branch cleans Capitol spaces, moves Capitol furniture, and provides special event setups in the Capitol—including 10 event spaces in the CVC Senate expansion space among other service requests. To meet cyclical customer demands during peak event setups and furniture moves, Capitol facilities ensures labor cost efficiency by supplementing the full-time workforce with contracted labor in place of additional FTEs. This resulted in a third-year cost savings of \$150,000.

During fiscal year 2011, Capitol facilities completed 3,532 special event setups in the Capitol and CVC Senate expansion space. Service requests from Capitol offices for moving furniture and supplies totaled 4,735, an increase of nearly 3 percent more than fiscal year 2010. Staff also completed 520 service calls to Capitol offices for minor repairs, furniture touch-ups, and lock changes by the Cabinet Shop, an 18-percent increase more than fiscal year 2010.

The Furnishings branch provides framing services to all Senators and committees. Demand for framing services increased by nearly 14 percent more than fiscal year 2010 with a total of 4,031 orders completed. The branch also provides custom cabinets and other high-quality furniture, carpeting and draperies to Capitol offices. During fiscal year 2011, the Cabinet Shop designed, built, and installed 165 pieces of furniture including cabinets and a work station in the highly visible area outside the Senate Lobby near the Clay painting.

Capitol facilities, with the assistance of the Senate Curator, Senate Historian and other individuals responsible for the appearance of the Capitol public spaces, was able to produce a set of furnishing standards to ensure a cohesive appearance of furniture built for Capitol public spaces in the future. These standards have been approved by the Committee on Rules and Administration and are being used for other projects. To support SAA “green” initiatives, Capitol facilities implemented a recycling program for sawdust generated by the Cabinet Shop. Sawdust is now converted into compostable material for the U.S. Botanic Garden.

## CAPITOL OPERATIONS

*Senate Appointment Desks*

Personnel staffing our five Senate Appointment Desks collectively processed 194,776 visitors during 2011. The total number of guest badges issued was the second highest in any year since the appointment desks were created more than 26 years ago. Our appointment desk system enables visitors to the Capitol to be processed in an efficient, safe and customer-friendly manner.

Capitol Appointment Desk staff alone processed 40,094 guests through the North Door in 2011, up more than 7 percent from the 37,577 guests in 2010. Another 57,499 visitors entered the Capitol through the CVC with its state-of-the-art security features and accommodations. Processing visitors through the CVC Appointment Desks has improved safety, reduced wait time for official business visitors entering the Capitol through the North Door, improved visitor flow, and reduced congestion within the Capitol proper.

Assisting guests with getting to the Capitol and CVC from the Senate office buildings is an important role of the Senate Appointment Desks. In 2011, 88,053 guests entered the Capitol via the Russell Appointment Desk, including 69,914 who were destined for the CVC. This represented the most badges issued by personnel at the Russell Appointment Desk in its history. Another 13,804 visitors entered through the Hart Appointment Desk. Begun as a pilot project in May 2010, the Hart desk was made permanent in 2011. We have worked collaboratively with the Senate Committee on Rules and Administration, USCP, and the AOC to design a secure and welcoming process for staff who escort Senate guests to the Capitol from the Hart building. This desk is now contributing to the safe and efficient processing of visitors from the Senate office buildings.

## DOORKEEPERS

*Facilitating the Needs of the Senate*

Our Doorkeepers play an important role in supporting the Senate. Doorkeepers provide access to those with Senate floor privileges and enforce the rules of the Senate while facilitating the needs of Senators, Senate floor staff, and Pages. They also assist the tens of thousands of people who visit the Senate Gallery each year. Demands on our Doorkeepers, and expectations for excellence, have increased in recent years. From 2007 through 2011, the Senate has been in session an average of 178

days. This represents a 19-percent increase from the 150 average days the Senate was in session from 1996 through 2006.

Doorkeepers train and regularly exercise procedures for performing their duties outside the Senate Chamber. As a result, when the Capitol was evacuated due to an earthquake last summer, our team stood ready to support the historic offsite pro forma session that took place that day in the Postal Square building.

Doorkeepers provide exceptional support for a number of special events attended by Senators, their families, and special guests. In 2011, these events included the swearing in of Senators elected for the 112th Congress, the reenactments that followed in the Old Senate Chamber, and the movement and seating of Senators during the 2011 State of the Union Address and three Joint Sessions of Congress conducted in the House of Representatives. Congressional tributes and Congressional Gold Medal ceremonies also require the services of Doorkeepers who assisted with professionalism and poise at these historic events which included the 50th Anniversary of the Inaugural Address of President John F. Kennedy, the September 11th Congressional Remembrance Ceremony, the Apollo 11/John Glenn Congressional Gold Medal Ceremony, and the Japanese-American World War II Congressional Gold Medal ceremony.

#### *Improving the Senate Gallery Visitor Experience*

For many people who visit the Capitol, sitting in the Senate Gallery is a highlight. Doorkeepers ensure their experiences are memorable and safe. Last year, Doorkeepers assisted 211,004 visitors in viewing the Senate Chamber both when the Senate was in session and when it was in recess. Reopening the Gallery during scheduled recesses has provided thousands of people with the opportunity to take in the beauty of the Chamber and see where the “world’s greatest deliberative body” conducts its business. The increased use of pro forma sessions in recent years has also provided our Doorkeepers with the opportunity to educate visitors about the practice and purpose of this procedure.

Doorkeepers routinely collaborate with USCP and CVC representatives at working group meetings and information sharing sessions with Senate office staff in an effort to provide the best possible experience to our visitors. As part of that effort, Doorkeepers have become increasingly skilled at welcoming visitors to the Capitol and educating them on the history of the Senate Chamber. The visitors’ experience has improved over the past year as a result of continued training for the Doorkeeper staff and the development of handout materials. The feedback that we have received from Senate Gallery visitors has been consistently positive. Senate Gallery visitors regularly comment on our Doorkeepers’ ability to process groups in an efficient, friendly, and helpful manner.

#### SENATE RECORDING STUDIO

##### *Expanded Broadcast Capability*

The Senate Recording Studio had another busy and productive year in 2011. Staff produced a total of 1,330 television shows for Senators, a 25-percent increase from the year before. Radio productions increased as well, from 1,074 in 2010 to 1,108 in 2011. Additionally, last year, we provided 1,102 hours of gavel-to-gavel coverage of Senate floor proceedings and broadcast coverage of 845 Senate committee hearings. Recording Studio staff successfully tested, installed, and commissioned eight new high-definition cameras on the Senate floor which replaced the first generation high-definition cameras that were installed more than a decade ago. In an era of rapidly changing technology, the Recording Studio strives to stay abreast of the latest solutions that will allow the Senate to stay accessible to the public and enable Senators to communicate with their constituents across the country.

##### *Noteworthy Efforts and Groundbreaking Firsts*

Support of major congressional events is another important role for the Recording Studio. This past year, our Recording Studio provided full coverage of the Apollo 11/John Glenn Congressional Gold Medal ceremony and transmitted the coverage to the National Aeronautics and Space Administration (NASA) to air on NASA TV. Similarly, coverage of the Japanese-American WWII Veterans Gold Medal ceremony was shared with the Department of Defense for airing on the Pentagon Channel, as well as to the CVC overflow rooms (Congressional Auditorium, North and South Orientation Theaters), allowing more than 1,000 guests to view the ceremony. These collaborative efforts highlight the important work of the Recording Studio beyond coverage of Senate floor business.

The Senate Recording Studio demonstrated its flexibility, commitment, and expertise on the afternoon of August 23, 2011, when an earthquake forced the evacuation of the Capitol complex just 30 minutes before a scheduled pro forma session in the

Chamber. Recording Studio staff quickly assembled at the Postal Square building and were ready to capture the extraordinary session when it was gaveled in a short time later. Studio staff ensured the continuity of the public's access to witness the Senate conduct its business, despite the unique and challenging circumstances.

In 2011, the Recording Studio began providing support for the live streaming of the Senate floor, on [www.senate.gov](http://www.senate.gov). Studio staff played a vital role in upfront planning, technical specifications, and installing, testing, and maintaining equipment in the Recording Studio. They worked closely with the SAA CIO, Senate Committee on Rules and Administration, and the contractor to make sure this innovative service went online smoothly and on time. Now, anyone with access to a computer can witness the Senate at work with the click of a mouse.

#### *Reducing Costs by Leveraging Technology*

The Committee Hearing Room Upgrade Project, which began in 2003, continued through 2011. This project provides the Senate community with greater flexibility and audio/visual capability for committee hearings. State-of-the-art technology being installed includes digital signal processing audio systems and broadcast-quality robotic camera systems, improved speech intelligibility, and software-based systems that are configured based on individual committee needs. This project is scheduled for completion in June of this year.

In conjunction with the Committee Hearing Room Upgrade Project, the Recording Studio installed technologies to enhance our ability to provide broadcast coverage of more hearings simultaneously without having to add staff. As a result of these efficiencies, staff has been cross-trained in several areas of the Recording Studio's operation in an effort to maximize the talents of each individual and do more without adding staff.

#### MEDIA GALLERIES

The Senate Media Galleries comprise the Senate Daily Press Gallery, the Senate Periodical Press Gallery, the Press Photographers' Gallery, and the Senate Radio and Television Gallery. The unique structure of the four Media Galleries requires them to work closely with their respective Standing and Executive Correspondents' Committees, SAA, USCP, and the Senate Committee on Rules and Administration in order to facilitate media arrangements and credentials for the more than 7,000 members of the media who cover Senators, Senate committees, and related media events on Capitol Hill.

The growth of 24-hour news outlets and Web sites, and the explosion of social media, has made the demand for news constant. As a result, the Congress is being covered more vigorously and in greater depth than ever before. Given this new dynamic, the staff of the Media Galleries has worked hard to accommodate the ever-changing technology environment that shapes how the news media do their job and how Americans get their news. For example, the four Media Galleries worked with the office of the SAA CIO to upgrade the technical infrastructure, including incorporating Wi-Fi in all four galleries and across the Senate campus. This wireless system is secure, and can be accessed only through a log-in script. Committee press secretaries, in particular, appreciate that the wireless system aids in the press coverage of their hearings. In addition, the credentialing process has been enhanced, taking into account recent technological advances in the media industry and the security needs of the Capitol.

#### *Senate Daily Press Gallery*

Our Daily Press Gallery staff provides the growing ranks of reporters with background information on legislation on a daily basis. Chief among their responsibilities is assisting Senators and staff in making information available to the public and generally assisting the press dedicated to covering the Congress. Our Daily Press Gallery staff monitors Senate floor activities and schedule changes, prepares for big events and ceremonies, and researches and assesses the flood of new credential applicants in conjunction with the Standing Committee of Correspondents. Any given day, the Daily Gallery staff will monitor and assist with access on the Capitol's second floor and other locations where news is breaking, facilitate coverage of major hearings, and answer numerous press inquiries on legislation, floor action, and parliamentary procedure from media and Senate staff.

Reaccreditation of Gallery members occurs every year, and in 2011 approximately 1,800 reporters were credentialed for the Daily Press Gallery alone. As we head into a Presidential election year, the Gallery is gearing up to credential reporters for the Democratic and Republican national conventions. This past year, staff conducted site visits to each city where the respective conventions will be held. Gallery staff must have intimate knowledge of the locale and the positions their members will



have to cover the events. Planning for the 2013 Inaugural ceremonies, which draws more interest and requests for credentials than in a non-Presidential election year, has also begun.

#### *Senate Periodical Press Gallery*

The Senate Periodical Press staff focuses much of its work on supporting media arrangements and logistics for Senate committee hearings. In 2011, Gallery staff worked with new committee and Senators' press secretaries to familiarize them with the Gallery's functions at committee hearings. Regular collaboration allows various Senate committees to set up media arrangements for a number of widely-viewed hearings, including confirmation hearings for all Presidential nominations, Senate budget consideration, and Senate Committee on Appropriations events. In addition to hearings, Senate Periodical Press Gallery staff also works to monitor press conferences, stakeouts, Rotunda events and various other media events in the Capitol and Senate office buildings throughout the year.

The Periodical Press Gallery staff maintains a daily Senate floor log on its Web site, which has become a valuable resource to both Gallery members and Senate staff. The log tracks legislative activity, votes, and schedule updates in order to assist reporters covering the Senate and staff monitoring floor activity. In the past 2 years, the Gallery's Web site has attracted nearly 140,000 page views from more than 53,000 unique visitors. Traffic to the Web site continues to grow, with an all-time high of 16,000 page views in January 2012.

The Senate Periodical Press Gallery handles press accreditation for the National Presidential Nominating Conventions. This is a year-long process that involves logistical planning and coordination with the Executive Committee of Periodical Correspondents and the Democratic and Republican Convention Committees. Immediately following the conventions, the Senate Periodical Press Gallery manages press accreditation for the Presidential Inaugural Ceremonies.

Coordination between the Executive Committee of Periodical Correspondents, Gallery staff, Senate Committee on Rules and Administration staff, and Senate Sergeant at Arms staff has already begun.

#### *Press Photographers Gallery*

The primary role of the Press Photographers Gallery is to credential photographers and to assist at news events at the Senate. Gallery staff also has the unique responsibility of assisting at large news events and hearings in the House of Representatives. The demand for news images has increased dramatically in recent years, as Web-based publications have expanded and social media has gained in popularity. Today, deadlines for images are immediate, as organizations and publications strive to have the latest pictures available for online publications. These radical changes in how events are captured have increased the number of photographers covering Capitol Hill on a daily basis. Ten years ago, a "big" event might attract 10 to 12 photographers. Today, it is standard to have 10 photographers at a routine event while a popular hearing will draw between 20 and 30 photographers, and a large event, such as the State of the Union Address, can attract more than 50 photographers.

The Press Photographers Gallery was involved with a number of events in 2011 including the State of the Union Address; a portrait unveiling ceremony for Senator Frist in the Old Senate Chamber; three Joint Sessions of the Congress with Australian Prime Minister Julia Gillard, Israeli Prime Minister Benjamin Netanyahu, and the President of the Republic of Korea, Lee Myung-bak; debt ceiling meetings involving Vice President Biden, as well as numerous hearings in both the House and Senate on the subject; and two Congressional Gold Medal Ceremonies in Emancipation Hall.

#### *Senate Radio and Television Gallery*

The staff of the Radio and Television Gallery works closely with Senate staff and more than 3,600 credentialed members of the electronic media to facilitate coverage of Senate news and events in and around the Capitol. Senate staff relies on Radio and Television Gallery personnel for information on legislative business and press conference details in the Gallery's state-of-the-art studio.

In an effort to address new requirements for electronic media coverage of Senate events, improvements were made in the technical infrastructure of Senate committee hearing rooms and other news event locations throughout the Senate campus. For example, in a collaborative effort with the Senate Committee on Rules and Administration, Gallery staff oversaw the installation of fiber optic cable in 18 Senate committee rooms. Several meeting rooms in the Capitol and the Senate wing of the CVC were also outfitted with fiber optic cable. This project allows reporters and

Senate staff ease and flexibility with transmitting information during meetings, hearings, and media events.

In 2011, Gallery staff, along with the staff of the Senate Committee on Rules and Administration, AOC, and media representatives, finalized installation of fiber connectivity in the Russell Rotunda media area. The scope of the project not only encompassed the installation of new fiber optic cable but also the upgrading of the rotunda's electrical infrastructure. The Russell Rotunda media area is used daily by Senators for conducting interviews and has become a favored interview location for Senators following the State of the Union Address and other major events.

The Radio and Television Gallery was given an opportunity to demonstrate its technical prowess and organizational acumen in 2011, when on July 27, Brian Williams and several NBC News camera crews were granted unprecedented access to the Capitol to produce a special report entitled, "Taking the Hill: Inside Congress". Working with the Committee on Rules and Administration, Radio and TV Gallery staff organized the placement of cameras throughout the Senate campus and provided the necessary oversight with respect to broadcast coverage rules. Along with interviewing Members, NBC's crews chronicled a "day-in-the-life" of Senate staff while they performed their essential services in supporting Capitol operations.

#### SENATE OFFICE OF EDUCATION AND TRAINING

The Senate Office of Education and Training provides training and development opportunities for Senate staff in Washington, DC and the States. There are two branches within the office:

- the Education and Training branch; and
- the Health Promotion branch.

The Education and Training branch provides training opportunities for all Senate staff in areas such as management and leadership development; human resources management; legislative and staff information; new staff and intern orientation; and training support for approved software and equipment used in Washington, DC, and State offices. This branch also coordinates and provides major training events for State and DC staff.

Training and education are provided through instructor-led classes; one-on-one coaching sessions; specialized vendor-provided training; Internet and computer-based training; webinars; video teleconferencing; informal training and support services; documentation, job aides; and quickcards.

The Health Promotion branch provides seminars, classes and screenings on health and wellness issues. This branch also coordinates an annual Health Fair for all Senate employees and plans blood drives throughout the year.

#### *Capitol Hill Training*

The Office of Education and Training offered 1,058 classes and events in 2011, drawing more than 12,000 participants. This office's registration desk handled more than 25,000 email and phone requests for training and documentation.

The above total includes 160 customized training sessions for 2,667 staff members. These sessions ranged from in-depth training of Senate office system administrators to conflict resolution and organizational development. We provided individual consultation on Web site development and office systems training. We provided specialized training for many of the newly elected Senators' offices.

The Senate's Intern Program is also a focus of the office. We provide training for intern coordinators as well as ten orientation and training sessions for approximately 1,225 interns.

Annually, we provide a Senate Services Expo for Senate office staff. This year we had 36 presenters from our office as well as the offices of the Secretary of the Senate, AOC, USCP, and LOC providing an overview of their services to 260 staff. This is part of the orientation for new staff and the aides to the Senators-elect. During the first quarter of this year, we held eight orientation sessions for chiefs of staff and administrative directors with a total attendance of 105.

#### *State Office Training*

The Office of Education and Training provided 94 learning opportunities to State offices for which 2,625 State staff registered. Our office continues to offer the State Training Fair Program and video teleconferencing and webinars as a means to train State staff. In 2011, a session of a State Training Fair was attended by 40 State staff. We also conducted the State Directors Forum, which was attended by 42 State administrative managers and directors, and a Constituent Services Forum attended by 57 State staff. We introduced a conference for outreach staff that was attended by 41 staff. We also provided advanced all-staff meeting facilitation to more than 30 offices; more than 500 staff members attended. Additionally, the office offered 20

video teleconferencing classes, for which 718 State staff registered, and offered 22 webinars that were attended by more than 200.

We provide sources of Internet-based training covering technical, professional, and language skills and an online research library of 30,000. This allows staff in both DC and the States to take training at their convenience. To date, 826 DC and State office staff have registered and accessed 1,780 different lessons and publications using this training option. Education and Training also provides 64 Senate-specific self-paced lessons that have been accessed more than 4,800 times.

#### *Health Promotion*

In the Health Promotion area, 2,000 staff participated in 64 health promotion activities throughout the year. These activities included lung function and kidney screenings, eight blood drives, the Health and Fitness Day, seminars on health-related topics, and the Annual Senate Health Fair. We also coordinate Weight Watchers, yoga, and Pilates sessions using the revolving fund for health promotion.

We continue to develop job-specific training and resources for Senate staff. Currently we are developing training for Legislative Directors, Legislative Correspondents, Schedulers, and Chief Clerks. We are also developing training specifically for those who regularly interact with Senate floor staff.

We will be working with the SAA technical staff to develop and build a new Learning Management System. This will provide Senate staff with a user-friendly method for finding and registering for training. It will become a part of our Education and Training portal which will provide a variety of means for staff to obtain the training they need.

We will expand online training options for Hill and State staff. We are planning for additional training for security and mental well-being in the State offices, job-specific training and, as the need arises, training on floor policy and procedures.

#### *Cost-Saving Impacts*

The Office of Education and Training reduced each of our DC-based State training sessions by one-half day to reduce per diem costs to the offices without sacrificing quality. We have added self-paced training modules to our catalog to allow State and Hill staff to learn at their own time and place. Video-conferencing and webinar training offerings have also been expanded.

#### EMPLOYEE ASSISTANCE PROGRAM

Our Employee Assistance Program (EAP) offered a variety of services to pages, interns, staff, and their family members. In 2011, nearly 1 in 20 Senate employees utilized the services of an EAP counselor; 170 employees took a mental health online screening; 3,489 employees attended an EAP training activity; and 1,489 employees accessed resources for personalized information and referrals addressing childcare, parenting, adult care, aging, education, legal concerns, or financial issues.

Early problem recognition and referral is a critical component of the EAP. To that end, EAP counselors work closely with Senate managers and supervisors. Through presentations, handouts, and individual consultations, the EAP supports managers and supervisors who are addressing challenging employee or staff issues. In 2011, EAP consulted with more than 175 managers or supervisors.

An invaluable characteristic and goal of EAP services is to utilize outreach to effectively reach our client base. Working toward this goal in 2011, EAP renovated our Web site, providing a more interactive and user-friendly resource. These changes included confidential mental health screenings, an increased number of self-paced training modules, and greater access to mental health, management, and trauma response resources. In addition to refining our Web site, EAP continued to update materials on a wide array of mental health topics while offering a variety of time-sensitive and community-focused training programs, including video teleconferencing programs for State offices. Last year EAP also continued to hone, expand, and utilize the skills of the 32-member Senate Peer Support Team through a series of presentations, trainings, and informational lectures.

With regard to specific incidents in 2011, EAP responded to a multitude of events, including the emotional needs and concerns that arose from the shooting of Representative Giffords; the 10th anniversary of 9/11; the offices impacted by the May tornadoes; the offices impacted by the June floods; the deaths of employees and the family members of employees; and employees who requested support after other critical incidents.

## APPENDIX A—FINANCIAL PLAN FOR FISCAL YEAR 2013

## OFFICE OF THE SERGEANT AT ARMS—UNITED STATES SENATE—EXECUTIVE SUMMARY

[Dollars in thousands]

	Fiscal year 2012 budget	Fiscal year 2013 request	Fiscal year 2013 vs. fiscal year 2012	
			Amount	Increase/ decrease (percentage)
General operations and maintenance:				
Salaries .....	\$73,000	\$75,274	\$2,274	3.1
Expenses .....	79,874	79,567	(307)	- 0.4
Total, general operations and maintenance ...	152,874	154,841	1,967	1.3
Mandated allowances and allotments .....	44,786	44,414	(372)	- 0.8
Capital investment .....				
Nondiscretionary items .....	6,062	6,192	130	2.1
Total .....	203,722	205,447	1,725	0.8
Staffing .....	959	957	(2)	- 0.2

To ensure that we provide the highest levels and quality of security, support services, and equipment, we submit a fiscal year 2013 budget request of \$205,447,000, an increase of \$1,725,000 or 0.8 percent compared to fiscal year 2012. The salary budget request is \$75,274,000, an increase of \$2,274,000 or 3.1 percent, and the expense budget request is \$130,173,000, a decrease of \$549,000 or 0.4 percent. The staffing request is 957.

We present our budget in four categories:

- General operations and maintenance (salaries and expenses);
- Mandated allowances and allotments;
- Capital investment; and
- Nondiscretionary items.

The general operations and maintenance salaries budget request is \$75,274,000, an increase of \$2,274,000 or 3.1 percent compared to fiscal year 2012. The salary budget increase is due to a cost-of-living adjustment, merit funding, and other adjustments.

The general operations and maintenance expenses budget request for existing and new services is \$79,567,000, a decrease of \$307,000 or 0.4 percent compared to fiscal year 2012.

The mandated allowances and allotments budget request is \$44,414,000, a decrease of \$372,000 or 0.8 percent compared to fiscal year 2012. This budget supports State office rents, \$18,022,000; purchase of computer and office equipment, \$11,504,000; voice and data communications for Washington, DC and State offices, \$7,035,000; procurement and maintenance of Member office constituent services systems, \$4,115,000; State office security enhancements, \$2,147,000; and wireless services and equipment, \$1,351,000.

No capital investments are requested in fiscal year 2013.

The nondiscretionary items budget request is \$6,192,000, an increase of \$130,000 or 2.1 percent compared to fiscal year 2012. The request funds projects that support the Secretary of the Senate:

- contract maintenance for the Financial Management Information System, \$3,283,000;
- support for the payroll system, \$2,299,000; and
- maintenance and necessary enhancements to the Legislative Information System, \$610,000.

## UNITED STATES CAPITOL POLICE

### STATEMENT OF PHILLIP D. MORSE, SR., CHIEF

Senator NELSON. Chief Morse.

Chief MORSE. Chairman Nelson, Ranking Member Hoeven, I am honored to be here today, and I appreciate the opportunity to present the United States Capitol Police (USCP) budget request for fiscal year 2013. I also ask that my written testimony be entered into the record.

Senator NELSON. It will be.

Chief MORSE. First, I would like to thank the subcommittee for its sustained and unwavering support for the men and women of the USCP. You and your staffs have continued to generously support both our mission as well as our personnel.

Due in large part to your support and the support of the Capitol Police Board, the department continues to successfully execute our mission with a strong operational presence and under established business practices, controls, and efficiencies.

Our fiscal year 2013 budget request provides for those critical mission and mission support requirements necessary for the department to address the security of the Congress, so that it may conduct its constitutional responsibilities in an open and safe manner without disruption from crime or terrorism.

Our mission-focused request is grounded in USCP strategic goals that describe our mission and help us frame our budget planning: assessing the threat to the Capitol community; taking proactive measures to mitigate the threat so as to prevent disruption to the legislative process, responding in the event of a disruption so the Congress can continue to operate; and supporting USCP missions through constructive internal business processes and controls that foster effective and efficient mission delivery.

This budget is strong in support of those goals with modest increases in initiatives to address identified risks and threats. Yet it is flexible enough to achieve and maintain solid mission-critical results with efficient use of the resources provided to the department.

In addition, it contains requests for a few new initiatives that provide additional security for the Capitol. Finally, there is an emphasis in this request to ensure the necessary level of training for the department staff in 2013, which has been deferred in previous fiscal years.

The department's fiscal year 2013 request totals \$374 million and represents an overall increase of 10 percent, or \$34 million more than the fiscal year 2012 enacted funding level of \$340 million.

This request includes salary funding to support 1,775 sworn and 370 civilian employees, as well as overtime funding to support mission requirements that exceed the utility provided by our funded personnel to include the 2013 Presidential Inauguration.

The second area of detail that I wish to provide today is an overall net increase in our requested general expense budget. It includes hiring, outfitting, and training new sworn personnel; supplies and equipment; life-cycle replacement for critical systems and assets; and, management systems.

While we are requesting an overall increase more than the fiscal year 2012 funding levels, a portion of this general expense funding increase is related to new initiatives totaling \$4.9 million.

Additionally, we are requesting \$800,000 in general expense funding to support security and law enforcement activities associated with the 2013 Presidential Inauguration.

The department continues to use management and budget planning methodology, which we call force development process. It provides for a transparent decisionmaking process, including reviews and approvals by an investment review board made up of key agency management, and provides a structure that is results-driven and based on meeting operational needs.

In addition, in order to ensure the accuracy of our budget request, the fiscal year 2013 budget went through multiple layers of review and validation, and is traceable to supporting documentation for each budget element.

I'm pleased to report that we recently received an unqualified or clean opinion on our fiscal year 2011 financial statements.

In addition, my staff and I have worked with the Office of Inspector General over the past 5 years to close audit recommendations to improve our programs and operations. We had 189 recommendations. We have 38 remaining, and we closed 27 just in the past 6 months.

Finally, operationally for this fiscal year, the department has screened nearly 3 million visitors to the Capitol complex. It has effected more than 300 arrests, conducted more than 54,000 K-9 sweeps, and screened more than 13,000 vehicles. In fiscal year 2011, the department screened more than 10 million visitors, effected 900 arrests, and conducted more than 160,000 K-9 sweeps.

These are just a few examples of the many operational elements that are conducted daily to ensure the success of the department's core mission. I want to thank all the men and women of the USCP for their dedicated service.

We are well aware and we understand the economic climate that affect our country, the legislative branch, and the entire Federal Government. I want to assure you that the USCP will successfully adapt our resources and continue to safeguard the congressional community with the resources available.

#### PREPARED STATEMENT

Again, I want to express my appreciation for allowing me to appear today, and I will be glad to answer any questions that you have at this time.

[The statement follows:]

#### PREPARED STATEMENT OF PHILLIP D. MORSE, SR.

Chairman Nelson, Ranking Member Hoeven, and members of the subcommittee, I am honored to be here today, and I appreciate the opportunity to present the United States Capitol Police (USCP) budget request for fiscal year 2013. I am joined here today by Assistant Chief Thomas Reynolds, who was recently promoted to lead

our operational elements of the USCP, and Mr. Richard Braddock, our Chief Administrative Officer, as well as some of the members of my executive management team.

First, I would like to thank the subcommittee for its sustained and unwavering support for the men and women of the USCP. You and your staffs have continued to generously support both our mission as well as our personnel—not just in a monetary way, but also in private and public recognition of our role and responsibilities. The security and protection of this great institution is not only our job, but we consider it a sacred duty and privilege to serve you, the congressional staff, and the millions of visitors from every corner of the world who come to the U.S. Capitol complex every year. Due in large part to your support and that of the Capitol Police Board, the USCP continues to successfully execute our mission with a strong operational presence and under established business practices, controls and efficiencies.

Specifically, I would like to express our appreciation to the subcommittee and the Congress for providing the necessary salaries and general expenses funding for fiscal year 2012 to support our personnel and operations, while absorbing several activities within our base funding, such as the conventions and pre-Presidential Inauguration planning.

As I begin my testimony, I would like to emphasize that my management team and I are keenly aware of the economic situation our Nation continues to face. I understand the responsibility I have to submit a budget request that is not only accurate, but that is reasonable, based on only critical requirements necessary to mitigate and address threats and risks. Our fiscal year 2013 budget request provides for those critical mission and mission-support requirements necessary for USCP to address the security of the Congress, so that it may conduct its constitutional responsibilities in an open and safe manner without disruption from crime or terrorism.

To do so, USCP utilized our Force Development Business Process, which develops our budget based on analysis of threats and risks, while involving multiple levels of the organization in the process, to include coordination and vetting of our budget with the Capitol Police Board.

Our mission-focused request is grounded in the USCP strategic goals that describe our mission and frame our budget planning:

- assessing the threat to the Capitol community;
- taking proactive measures to mitigate the threat so as to prevent disruption to the legislative process;
- responding in the event of a disruption so that the Congress can continue to operate; and
- supporting the USCP's mission through constructive internal business processes and controls that foster effective and efficient mission delivery.

This budget is strong in support of those goals—with modest increases and initiatives to address identified risks and threats—yet it is flexible enough to achieve and maintain solid mission-critical results with efficient use of the resources provided to USCP.

The proposed fiscal year 2013 budget contains a base budget that will address and mitigate identified security challenges that may potentially affect the safety of the Capitol complex and our ability to keep up with the changing security environment and threat level. In addition, it contains requests for a few new initiatives that provide additional security for the Capitol. Finally, there is an emphasis in this request to ensure the necessary level of training for USCP's staff in fiscal year 2013.

Over previous fiscal years, USCP has greatly reduced its training activities in order to meet other mission requirements within available funding. Training has been limited to only those areas that are critical and mandatory as required by law, rule, or regulation; or necessary to meet core mission activities. This budget includes the overtime funding that specifically relates to the training needs of sworn staff to give them the time needed to be offline and receive training in a number of key areas. In addition, training costs are being requested for what USCP has deemed as mandatory or mission-essential training. This includes resources to develop a qualified pool of eligible succession sworn and civilian candidates. With this emphasis, USCP will ensure that the workforce is prepared to address our mission using current and emerging methods, as well as be well suited to address leadership needs into the future.

We realize that USCP's funding levels have grown in recent years, as opposed to other legislative branch entities, due to requirements set forth to support an expanding mission load, such as the merger with the Library of Congress (LOC) police to include absorbing the jurisdiction over LOC buildings and grounds, and the opening of the Capitol Visitor Center. Both of these activities resulted in additional protection responsibilities for the security operations of this critical addition to the Capitol. In the upcoming year, we will also be gaining an additional protective responsi-

bility with the opening of the Federal Office Building 8 (FOB8) scheduled to reopen in fiscal year 2013. An additional fiscal dynamic we are managing is our implementation of a complex Radio Modernization Project. Further, USCP is managing the need to implement critical life-cycle replacement for key security and technical systems within limited available funding. We realize that the subcommittee has limited resources with which to support all legislative branch entities and will continue to prudently request and execute the resources needed to meet this challenge.

At this time, I would like to offer the subcommittee an overarching summary of our fiscal year 2013 request. I will follow this summary with a discussion of specific budget items of particular significance to you and USCP.

USCP's fiscal year 2013 request totals \$374 million and represents an overall increase of 10 percent, or \$34 million more than the fiscal year 2012 enacted funding level of \$340 million.

The first subject area for which I would like to provide more detail is in the area of personnel salaries and overtime.

USCP's fiscal year 2013 personnel request reflects our continuous efforts at all levels of management to effectively manage our existing resources to achieve the best possible balance of staff-to-mission requirements. We are constantly analyzing our workforce to align job functions, assignments, workload, risk management, and organizational readiness along with the ever-changing threat assessments and mandatory mission requirements of a dynamic congressional community.

To operate within our current budget, we are currently carrying out our mission requirements with 1,775 of our 1,800 sworn positions and 370 of our authorized 443 civilian positions, and with only limited training. Much of our overall increase allows the USCP to operate at our current staffing levels.

With regard to our funding request related to personnel, we are requesting an overall increase of 9 percent more than the fiscal year 2012 enacted funding levels, which include funding for two new civilian positions for the Office of Inspector General, as well as new sworn positions to address operational requirements.

USCP's current sworn strength does not entirely provide the necessary resources to meet all our mission requirements within the number of work-hours in a year that each officer is available to perform work. This "utility" number is used to determine overall staffing requirements, and balances the utility of available staff with annual salary and overtime funding along with known mission requirements such as postcoverage, projected unscheduled events such as demonstrations, late sessions, holiday concerts, et cetera, and unfunded requirements that occur after the budget is enacted, such as unforeseen critical emergency situations.

Thus, mission requirements in excess of available personnel must be addressed through the use of overtime, identification of efficiencies such as postrealignment and/or reductions, technology, and cutbacks within the utility, such as reductions in the number of hours provided for training. To address some of these mission drivers, we continue to work closely with the Capitol Police Board and our oversight committees to review such options to offset mission requirements where possible, such as closing lower-priority doors, which will reduce the total hours at posts and overtime costs needed to perform those activities.

Over the last 2 years, we have also been very strategic in the hiring of civilian positions to best align our resources to our needs. In particular, vacancies in the civilian ranks are reviewed biweekly to prioritize requirements for backfilling operational and mission-support vacancies. Through this process, USCP continually monitors and justifies the needs of every civilian position as it becomes available. With this comes increased responsibility of onboard staff and a greater need to invest in training to gain and maintain skills needed to perform these duties.

With that in mind, our requested fiscal year 2013 personnel costs support the current funded staffing levels of 2,145 positions, as well as a request for 19 sworn and civilian positions previously mentioned. This will result in an increase from 2,145 to 2,164, which is still less than our authorized levels.

At current staffing levels, USCP's fiscal year 2013 basic and Inauguration overtime projection of approximately \$36.5 million reflects an increase more than the \$33.4 million that was provided for basic and convention overtime in fiscal year 2012. This increase primarily is a result of operating at fewer officers than our current authorized strength.

Other requested increases to overtime include an additional \$1.5 million in funding to take staff offline for additional training requirements, and \$400,000 for the overtime needed for the FOB8 initial operations until new officers are trained and deployed. These items bring the total fiscal year 2013 overtime request to \$38.4 million which is an increase of \$3.3 million more than the total fiscal year 2012 overtime level of \$35.1 million.



The second area of detail that I wish to provide today is an overall net increase in our requested general expenses budget, which includes hiring, outfitting, and training of new sworn personnel; supplies and equipment; life-cycle replacement for critical systems and assets; and management systems; et cetera. While we are requesting an overall increase more than the fiscal year 2012 funding levels, much of the increase request is for new initiatives to address identified threats and risks, and for support of the 2013 Presidential Inauguration.

A portion of this general expense funding increase is related to new initiatives totaling \$4.9 million. Additionally, we are requesting \$800,000 in general expense funding to support security and law enforcement activities associated with the 2013 Presidential Inauguration.

With your support, USCP continues to successfully perform our operational mission and has achieved several key accomplishments over the last year that have resulted in greater efficiencies for USCP, which include addressing several administrative challenges and improving corresponding business practices.

Operationally, so far this fiscal year, USCP has screened more than 3 million visitors to the Capitol complex; affected more than 300 arrests; conducted more than 54,000 K-9 sweeps; and screened more than 13,000 vehicles. In fiscal year 2011, USCP screened more than 10 million visitors, affected more than 900 arrests; and conducted more than 160,000 K-9 sweeps. These are just a few examples of the many operational elements that are conducted daily to ensure the success of USCP's core mission.

As I mentioned briefly, USCP continues to use a management and budget planning methodology which we call the "Force Development Process". It provides for a transparent decisionmaking process, including reviews and approvals by an Investment Review Board made up of key agency management, and provides a structure that is results-driven and based on meeting operational needs. We also expanded the process for program evaluations for selected existing programs. For the process that led to the fiscal year 2013 budget request, the Investment Review Board reviewed an additional 20 of USCP's existing programs than were selected in the previous fiscal year. In addition, in order to ensure the accuracy of our budget request, the fiscal year 2013 budget went through multiple layers of review and validation, and is traceable to supporting documentation for each budget element.

Further, we continue our work to close audit recommendations and to address our material weaknesses from prior audits by working closely with our Inspector General to address issues which have arisen and by providing the evidence necessary to close findings. In particular, I am pleased to report that we recently received an unqualified or "clean" opinion on our fiscal year 2011 financial statements. Further, we are working on the resolution of a number of recommendations in order to achieve efficiency and effectiveness of our administrative programs through long-term resolution of areas of concern. The long-term resolution of the remaining recommendations related to internal controls, business processes, and material weaknesses remain of the highest importance to our management team.

As I mentioned in the beginning of my testimony, we are well aware of and understand the economic climate that affects our country, the legislative branch and the entire Federal Government, and I want to assure you that USCP will successfully adapt our resources and continue to safeguard the congressional community within the resources available.

I appreciate the opportunity to appear before you today and would be glad to answer any questions you may have at this time.

Senator NELSON. Thank you very much, Chief Morse.

Why don't we do 5-minute questions, if that is okay, Senator Hoeven?

Senator HOEVEN. Sure.

Senator NELSON. Ms. Erickson, first of all, again, I want to commend you for taking extraordinary steps to control costs and submitting such a lean budget.

You took on the SIS Program in fiscal year 2011 at a funding level of \$4.2 million, and you have been able to hold that funding to the same level in fiscal year 2012.

Can you give us some ideas of what the impact, positive or negative, of holding to such a no-growth level has had on the implementation of the program?

Ms. ERICKSON. Sure. Well, the historic cost for this program has been an average of 3- to 5-percent increase every year.

And I just want to say, I am extremely proud of our Senate library staff as well as Terry's procurement staff, who have been tough negotiators with these online vendors that provide our services to the Senate.

And the contracts that we negotiate are on a calendar year basis, not on a fiscal year basis, so for example, we were negotiating a 5-year contract with these vendors during fiscal year 2011 when we were in a continuing resolution, so as a result, the SIS program was subject to the 5-percent cuts. We were working with less money, and as a result, we had to cut two information services from the program, limiting business and economic resources for Senate staff.

I think it's fair to say that we are providing core services right now, and I think the Senate is getting a very good deal.

To give you an example, one of the services that we cut was charging the Senate \$25 per user. The industry rate is \$12,000 per user. If your office manager now wants to purchase this information service for their Senate office, they will be charged \$900 per user. So you can see that the enterprise model produces a good deal for the Senate.

We expect a \$27,000 shortfall in fiscal year 2013. We anticipate that since our funding is multiyear, the cost savings we achieved in the past 2 years will be able to make up that difference.

But I have to say, going forward in fiscal year 2014, we welcome sitting down with your subcommittee, as well as the Rules Committee, to have a discussion about the long-term future of this program.

Senator NELSON. Well, I would agree that you can make some adjustments to get to where you are, but going forward, it is going to require some discussion back as to what the real demands and needs are, so I appreciate that.

On the payroll replacement project, first, you and Terry may want to respond. The disbursing office and the SAA technical support division have been implementing a new payroll project. How is this working? Is it working very well?

First, Nancy.

Ms. ERICKSON. Sure. Well, as you know, we're replacing a system that uses mainframe technology. And I was reminded recently by one of Terry's staff, who told me that nowadays when they hire people in their technology departments, they can't find people anymore who have training and experience in mainframe technology.

It is very complex project that we are working on together, jointly. I believe we have gone about it in a very methodical manner.

In 2008, we worked with the Sergeant at Arms office and Booz Allen Hamilton in identifying more than 1,000 requirements for our payroll system. In 2009, through a competitive bid process, we selected the PeopleSoft software for the system. And in 2010, we selected an integrator, which is basically the implementer who is working with us on the project.

We've set an aggressive 18- to 24-month schedule for launching the new payroll system. We've said all along that before we can launch, the following milestones must be achieved. The pension

piece, which is probably the most problematic right now, is the ability for the Disbursing Office to calculate individual retirement records. We have to have the budgeting piece in place, which allows the Disbursing Office to provide payroll projections to Senate offices. We need the successful conversion of employee work history records; training of Disbursing Office staff, not just the payroll staff, but the front office staff and the benefits staff; and then successful parallel testing with the current system.

We should have a better idea of our launch schedule after the May user acceptance testing by the Disbursing Office staff.

I think the project will probably end up costing the SAA, and Terry can speak to this, probably a little bit more money than they had originally anticipated.

The vendor has indicated they need more time to work on the pension piece of the project. And I understand that the SAA is also factoring in extra contract support after we launch, because of the fact that they have limited staff to work on this.

When we started the project, we met with our colleagues on the House side, who had also launched a payroll system, to get their lessons learned. And one of the things they told us is do it right, don't set premature deadlines. And I think it's fair to say that we all understand the high stakes with this project and the need to watch costs. But I also think it's important that we make good decisions now that won't cost us more money down the road.

Mr. GAINER. Mr. Chairman, I would strongly agree with Nancy's remarks.

It is a very complicated system, and our best estimate is that it is going to require additional funding. We are working with your staff and Ranking Member Hoeven's staff, to identify some of those funds. It will likely come from our prior year unobligated balances.

Nancy hit the nail right on the head, being slow and methodical and getting this right will pay long dividends for the Senate for many years.

Senator NELSON. Those are my questions.

Senator Hoeven.

Senator HOEVEN. Thank you, Mr. Chairman.

I would start with Ms. Erickson, and also commend you for the good work you've done on the budget. Clearly, you've worked hard to submit a good budget, a thoughtful budget, which is not an easy thing to do, but you've already done a great job.

Essentially, my questions are going to be, if we have to find further savings, describe how you would go about doing that.

Then also the second question that I have, which kind of follows on, is: Are you getting any pushback now in terms of services, having Members say to you, we miss this service or miss that service, or why am I not getting it? Where are you getting push back?

If we do have to find some further savings, what do you anticipate in terms of impacts?

Ms. ERICKSON. Well, I just want to say as a South Dakotan, I think South Dakotans from my State, like North Dakotans and Nebraskans, would approve of the fact that they have been good stewards of our limited resources.

And we have made tough decisions. And I want to single out the fact that beginning in 2010, we suspended our merit bonus pro-

gram. So for the past 2 years, going on 3 years now, our staff have not received any bonuses for outstanding merit performance. And I have to say that has been one of the toughest decisions that I have had to make as an administrator, that coupled with the—

Senator HOEVEN. May I ask, how did that bonus system work, formerly?

Ms. ERICKSON. Well, we have a formal evaluation process annually for our employees. And depending on the rating that an employee received, they would get—and I want to say, these were small bonuses, ranging anywhere from 1 to 3 percent. I think the highest an individual would get was 5 percent. So it was a very small program.

But it was an important way to recognize people who work extremely hard. And like I said, that coupled with the fact they haven't had a cost of living adjustment (COLA) for 2 years, I admire the fact that their positive attitudes and their work ethic and commitment to this institution haven't wavered.

We are a small operation. We, between fiscal year 2008 and 2011, had a \$2 million operating budget that hadn't increased.

We're down to small potatoes in the bigger scheme of things, but cutting newspaper subscriptions for legislative staff and our executive office achieved roughly \$5,500 in savings.

Our Office of Public Records moved a post office box from Alexandria to Union Station—that is where we receive our certificates of election and our campaign committee reports from candidates—saving \$200.

Our curators canceled \$1,000 in magazine subscriptions. They trained their staff in repairing the gilded mirrors in the Capitol, so we wouldn't have to bring a conservator onsite to do those repairs.

And in fact, the Curator's Office recently reused another office's discarded furniture, saving the SAA between \$30,000 and \$45,000 in new furniture.

And with respect to the SIS program, again, our staff was able to cut program costs the last 2 years by 1.5 percent, which had never happened before in the history of this program.

I do have some concerns, like Terry, in terms of our ability to continue to serve the Senate. We also have responsibilities under the STOCK Act in putting the STOCK Act transactions on the Internet within 90 days and implementing the e-filing of financial disclosures.

The Congressional Budget Office has estimated that those responsibilities will cost our office \$424,000.

Other priorities that I will likely have to postpone is a precedents database for our Parliamentarian's Office, which would be utilized by Senate staff, captioning software for continuity purposes, supplies for Conservation and Preservation Office.

I am also concerned that this will be the first year that we are unable to set aside money for repairs to our historic furnishings and artwork in the Capitol.

Senator HOEVEN. Thank you.

Really, that's the only question I have. I do recognize that you are doing a very good job within your budget, and I appreciate it.

Senator NELSON. Thank you. What you have identified are the steps that have to be taken in order to do the work. The discussion

on the floor of the Senate, the discussion outside the Beltway, is always about cutting. But the details are where things really begin to happen.

It is not easy. It is hard work, and it is hard all the time to do it. We commend you for your efforts in that regard.

It's easy to say, you'll find additional ways to cut, and perhaps so. But they will never be easy decisions to make.

With the new STOCK Act, on the floor of the Senate, the discussion is never about what does it cost for all these additional reports. It is just assumes that somewhere, once they are filed, they will end up somewhere and somebody will do something with them and they will be available, and nobody will spend the time to identify in advance what the costs are for that.

So it is more than an inconvenience to elected officials. It is a cost to the taxpayer to have this additional information.

We have a couple questions.

Terry, you requested, for salaries, it's about \$2.3 million more than fiscal year 2012, which is a 3.1-percent increase, I understand about one-half of that request increase is for the COLA and merit funding. Could you tell us what the other \$1.1 million increase in funding for salaries would consist of?

Mr. GAINER. Yes, Mr. Chairman. Approximately one-half of that increased funding will pay for additional political appointments or patronage positions. Last year, we budgeted less funding for that purpose in the hopes that we could convince those in charge of those positions to reduce the number of them. That was not very successful.

With the workload and commitments that were made, the patronage positions were completely filled, and this is really to make up for the cost of all those.

Senator NELSON. Excuse me, could you give me an example or two of what that might consist of, these positions?

Mr. GAINER. They range from elevator operators, to some Post Office positions, to the largest group, the doorkeepers.

They are all vital to our mission, even if the word "patronage" sometimes takes on a negative connotation.

We looked at whether the elevator operator system ought to be eliminated, and everybody could work the elevators by themselves like they do in so many places. But there's also a problem and a consequence to that, with the speed with which votes come up and the Members have to move. It is easy to say that it looks like low-hanging fruit, but it makes working around here more difficult when you witness the number of visitors we have.

The other portion of that salary increase \$540,000, is for increased overtime in connection with the Inauguration. We, like the Rules Committee and others, the police department, are already deep in the midst of preparing for that. So we are anticipating those costs.

Senator NELSON. Another area in your relatively flat budget that has grown a little bit in the last couple years is the intelligence and protective services account. You are asking for a \$2.6 million increase, which is about a 62-percent increase more than the current year. Under that account, your proposed funding level for State of-

office security enhancements would increase by 125 percent from \$950,000 to \$2.1 million.

Maybe you can help us understand more about that and why we would need to expect that kind of increase.

Mr. GAINER. Yes, Mr. Chairman.

Over the years, the usage of the funds by the offices for those security measures continued to drop. After the shooting of Congresswoman Giffords, there was a lot more attention on the 454 State offices. We helped force that attention by working with the police department, the USCP, the local police, the FBI, and others to review what was going on in those offices. More of the offices that are taking advantage of our security surveys and recommendations of the different tools that they can utilize to make their office safer. That is a large part of it.

Senator NELSON. That's understandable. I think having accessed help in one of our offices in Nebraska, I appreciated it. So I understand the additional need for that.

I have already, and I know my colleague and all of our colleagues agree about the very professional way in which you responded to the powder mail issue. Without revealing information that would probably be better discussed behind closed doors, can you give us some idea of what kind of increase, let's say an operation tempo increase that you may have internally within the office in dealing with threats to the Members and to the staff and to the offices?

Mr. GAINER. Yes, Senator.

There has been an increase. It has not been dramatic. Last year, at the same time we were doing the healthcare debates, we saw some tremendous spikes that affected what we and USCP were doing.

The offices are much more sensitive now at our direction and urging, to be mindful of threatening calls, threatening emails, and threatening letters. That has increased the workload a bit. As I mentioned in our testimony, the amount of mail we are receiving in our Washington office is substantially higher.

In the local offices, we had developed the Postal Sentry program with the approval of the Rules Committee and working with many of you and your staff. Initially, it was not very well received, and there were some complaints about it, mainly that it was too big, too noisy, and took up too much space. It might have been too noisy.

Again, after some of these recent postal scares, the requests for the Postal Sentry program—those have gone up—and we have deployed the program to all of the offices. Many of us visit those offices. I do not think they are all in use, and we are in the midst of developing a newer, smaller model that we hope will make the offices a bit safer.

Senator NELSON. Thank you very much.

Senator Hoeven.

Senator HOEVEN. Thank you, Mr. Chairman.

Mr. Gainer, again, I also want to commend you on the work you've done on your budget. But the same question, if we have to find some more savings, how would you go about doing that? Would you look to staff, your IT systems, your data processing, or even your security initiatives? What would be affected? How would you go about looking for more savings if required to do so?

Mr. GAINER. Senator, I do not believe it will be prudent to scale back the security measures. That is a primary responsibility, and we would have to turn to other initiatives.

Like Nancy and her staff, we have not had a cost-of-living increase. We factor that in as well as some merit pay or bonus-type opportunities. Clearly, we would have to look at that and try to somehow balance the effect that has on the morale of the staff. That is the quick, easy, low-hanging fruit.

I think we would try to help change the expectation of the Members and their staffs about our responsiveness with the services we provide. Clearly, the largest portion of our budget is in the IT area, and we have standards for which we respond to problems. Some of those responses are as quick as 60 minutes or 2 hours when a problem comes up on IT, and by scaling back those types of responses, you can save money. But that requires Members and staff to be a bit more patient with us.

We can continue to defer the purchase of the equipment and the replacement of equipment, and we can probably get away with that for another year or so. By not keeping up with this technology, there will be negative impacts.

I am reminded, and I think both of you having been Governors will respect this, of having run a State police agency for Governor Edgar in Illinois for some 8 years. The way we always seemed to save money was by not purchasing or replacing cars, and we drove their mileage up. Well, in the midst of my tenure, we suddenly had a large fleet that we could not drive.

While it seems to be so sensible today, it is going to impact someone tomorrow. So we would work closely with you and your staffs to figure out where we are, but I really do think we are at that point now that if we fail to invest in our infrastructure, then we are going to be in the very position that Nancy was referring to before when we have mainframes and no one around who knows how to use them.

Senator HOEVEN. What is your feeling about the overall security situation today in terms of your system, both in terms of people, but also as far as your data-processing integrity and all those kinds of things in general, your sense of the security?

Mr. GAINER. I think they do a great job, and Kim Winn, who runs that end of the operation, is involved with about 31 other Federal agencies in sharing information and sharing ideas. We feel we are very much on top of what is going on.

I would like to put in context the type of battle we are fighting and the success we have. Our information security staff responded to an average of 33 confirmed security incidents each month, and we successfully resolved those. Our firewalls have rejected 10 million connection requests each month. Our anti-virus controls detected and countered nearly 90,000 virus-related events. Our client computer-based firewalls detected some 23,000 exploited events. We experienced some 202 spear phishing attacks on our computers. We fought and defeated those, and referred some to the proper authorities to investigate.

I think we are a model agency because over the years you have allowed us to invest in the technology and hire the right people to accomplish the mission.

Senator HOEVEN. Are there any things that you feel you particularly need in that area, in either cybersecurity or people-related security that are big expense items that you are looking at?

Mr. GAINER. No, Kim Winn, our CIO, has crafted a good long-term plan. I think we are where we want to be. There are some things we did not ask for in this budget. Deferring purchases is another interesting way that we have saved. I would have to collaborate more with my technologists to evaluate the downstream impact of deferring purchases.

I think we are in a good position as we work with other Federal agencies nationwide in the prevention area.

Senator HOEVEN. All right. Thank you.

Senator NELSON. Thank you.

I understand that you have been working on an initiative for some time to issue smart ID cards. Maybe you can give us some idea of what the benefit of the program would be and how we could use it, let's say back in the State offices as well.

Mr. GAINER. The State offices will be one of the primary beneficiaries, because around 200 of our 454 State offices, are in Federal buildings. As the Federal Government goes to a secure ID process, it has been getting more difficult in those various Federal buildings to get your State employees in and out.

So I think they will be the ones who will see the benefit of that soon.

Eventually with these new smart ID cards will be incorporated into new systems or processes, including payroll electronic signatures on vouchers, and electronic ordering via the catalogs, making them more secure. Another important benefit for the Members and their staff, is the ability to encrypt casework messages that are developed for your constituents in your various offices and to feed those into the executive branch.

It is a cutting-edge system, that I admit we seem to have struggled with over the years. But our ID card processing department, operations under Bret Swanson, and the CIO organization under Kim Winn, have pledged to me that we are very close. By the fall, it will be in full swing in the State offices.

#### UNITED STATES CAPITOL POLICE PRIORITIES UNDER A FUNDING FREEZE

Senator NELSON. Chief Morse, you are requesting a 9-percent increase in funding for salaries and a 12-percent increase in funding for general expenses for fiscal year 2013. Obviously, we are talking about watching the growth in funding, but if you had to sustain a freeze as opposed to these increases, what would be your priorities for fiscal year 2013?

Chief MORSE. Well, I think that first I should say that we strive to have as lean a budget as we possibly can. And in my opening statement, I remarked about how we do our budgets. It really starts there with zero-based budgeting, a force development process, where we're looking at environmental assessment. We are building our budget around detecting, deterring, responding, and mitigating threats. And I think that having a lean budget specific to our mission starts right there.



Some of the things that we have been doing with the resources that you have provided, we constantly are scrubbing programs. We have testified in previous hearings of savings that have come from that. We are currently working on a project where technology will reduce overtime. It will reduce the number of vehicles that we use with our truck interdiction and monitoring programs.

So we continue to scrub our programs and find savings.

The other thing that we have been doing is working with our partners. We work at the direction of the Capitol Police Board, and their assistance and support in committees of jurisdiction, to look at hourly changes, door closures, and things of that nature, to make savings where we don't disrupt the flow of business, but we also at the same time have some level of savings.

We have also deferred, and Mr. Gainer spoke about deferring life-cycle replacement and things of that nature, life-cycle replacement. We have deferred training for our police officers. And although, again, we could, in fact, perhaps limp our way through 1 more year. If we were to do that, it's really at a critical time where life-cycle replacement is something we can no longer defer.

And the training of our officers, we can't defer any longer. The degradation of their proficiencies may impact critical response to defending this campus. So we can continue to make the tough decisions. But many of the decisions we're making now do impact security. And that is one thing that we pledge that we won't do if we don't have to. And certainly, we can prioritize the risks. We can prioritize the necessity of the programs that provide a level of security. But I think that we have to be just cautious that we don't want to defer those much longer than we already have in order to stay abreast of the current and emerging threats that we face.

Senator NELSON. If you're going to close any of the entrances, Senator Hoeven hopes you won't do it in Russell Senate Office Building and I don't want it done over in Hart Senate Office Building.

Mr. GAINER. That leaves 98 other Senators in trouble.

#### NEW INITIATIVES

Senator NELSON. You have got four new initiatives that you are talking about. Could you help us a little bit more with those four initiatives, and tell us how any kind of a reduction in the request or a freeze would affect those initiatives?

Obviously, it would impact, but maybe you could tell us about the initiatives and give us some idea of what impact it would have.

Chief MORSE. Once again, the initiatives are derived from an environmental assessment or threat assessment or emerging threats. They're also derived from how we might better mitigate any the threats that may be out there that we don't see.

Much like physical security, we want to detect the threat before it gets here, and so that is what a lot of our physical security is all about, before the threat gets to the campus and before it gets to the building.

One of our threat initiatives is the threat assessment. This enables us to have another tool to detect threats against Members of Congress, Members of the United States Senate, before any actionable violence takes place.

The threat assessment initiative is one that also we're requesting additional personnel to support, but my partners, the Capitol Police Board, we are looking at other options as well, because we have Federal partners who do the same type of work. So we are working with our Federal partners assisting us with maybe existing infrastructure and sort of economizing how we go about finding the threat to our Members and to our Government officials and to our community.

So we are very mindful that increases are there and a part of these initiatives, but we are also, on the other hand, looking for ways to make them the most efficient using some of our partners.

And let me just say, the increase of personnel related to the threat assessment initiative is not a growing of the police department but simply asking for more funding within our current authorized strength of 1,800, because we are working at 1,775, currently, which is 25 personnel less than that level.

Another initiative is related to the opening of a Federal Office Building 8 (FOB8) in the southwest area of the campus. And the security model is one that we follow throughout the campus. And obviously, it would follow there.

But again, we're working with the Capitol Police Board to minimize the number of personnel or assets and resources that we need to make security happen there.

Garage security is a campus-wide issue. It enables us to stop any sort of incursion very quickly through our garages. We have, obviously, the ability to detect that now and mitigate it, but this enhances that ability. And I think it's something that is very, very important to the security of our facilities.

And then we have an Alternate Computer Facility, which houses assets and resources for our police department, our new radio modernization project. It supports the House and the Senate. Therefore, we have to ensure that the security there is robust and defends the facility and the assets and resources that we have provided there.

In addition to that, one of the reasons that we have had to increase some of the security there through our assessment is because some of our neighbors who were leasing there have departed and now the building is more vulnerable to access than it has been in the past.

So those are the four initiatives related to safety and security.

And then some of our increases related to overtime that I would consider a new initiative is related to our training. And we have about 24,000 hours of training in what we call mandatory and priority training, which are liabilities, risks, and certifications.

And we have absorbed that 24,000 hours, but the increase that we're asking for is related to the practical exercise, the proficiency of our officers, getting them in actual situations that they would see here daily, keeping them up-to-date on the security screening equipment that we have, the emerging threats that we're seeing that are being detected across the country that we are sharing with our partners. All this is necessary for our officers to stay the best in this country to defend this place.

And so we're asking for funding to go beyond where we have been and what we have deferred. And we can't absorb the costs of that any further because of the increase in salaries.

So that is where we are right now. And we will continue to work with your subcommittee and your staff and the Capitol Police Board to make this as lean as possible without any degradation of training for our police officers or security of the campus.

Senator NELSON. Thank you, Chief. I will come back to the overtime in my next round.

Senator Hoeven.

Senator HOEVEN. Unless you would like to now.

Senator NELSON. No, go ahead.

#### INAUGURATION PREPARATION

Senator HOEVEN. Chief, I appreciate very much the work that you do and recognize the challenges that go with it.

As far as preparing for the Inauguration, is most of the cost in this fiscal year budget, 2013? Pretty much all of the costs are included in this budget cycle?

Chief MORSE. Yes. We have, I believe it is about \$1.6 million in overtime for moving toward the Inauguration and the Inauguration itself. And then there is an \$800,000 cost associated with security equipment, screening equipment, and things that we can't take off-line for the Inauguration.

But I wanted to add that, once that is purchased, the plan obviously is to integrate that into our life-cycle replacement. So that only happens every 4 years, but that is in fact what we do with the equipment that we purchase for the Inauguration itself.

#### IMPACT OF A FLAT BUDGET

Senator HOEVEN. If you had to get back to essentially a hold-even budget with the exception of perhaps some of the expenses that are associated with the Inauguration and so forth, how would you go about doing that? What would be the impacts? And how would the Members see that in terms of services and so forth?

Chief MORSE. Well, if we were to freeze, what we would do is back to deferring life-cycle replacement, deferring training, some of the things that we could probably stand to do, but not recommend to do for another year.

We would continue to scrub our budget or our programs and operations. We would continue to look for efficiencies with respect to the operation of the campus.

But at this time, anything that we do is going to degrade or impact security or the operations of the Congress, because we would have to pick between security and operations. And so we would be first reducing our force, which we have already done through attrition, being about 100 personnel under our authorized strength—25 for sworn and around 73 or 74 for civilian.

And I would just note that, even today, my staff in my office, I reorganized my own office and my staff. Some of my staff is moving today, moving out, because we have consolidated. We have been able to take some of their expertise and put them in other areas of the police department to save contracting money, to make my of-

office smaller and to sort of be efficient as we possibly can, even in my office.

So that is how far down into the weeds that we are getting to make sure that we save money, and we are operating as efficiently and effectively as I can.

So when I left my office, there were people who have been with me for 5 years. And when I go back after this hearing, they will be in other places in the police department.

Let me just say, they went very proudly, and they're willing to make those sacrifices. So that's really where we are with making sure that we do the right thing with the taxpayers' money.

If we went below just a flat budget, we would be looking at further personnel cuts, or we would be looking at further security program cuts, or we would be looking at further operational cuts, or a combination of all three.

So we're at bare-bones at this time, and I think we have done a good job of getting us there. But any further cuts definitely will impact those things that I mentioned.

#### NEW POSITIONS

Senator HOEVEN. Now go through what the roles are of the 17 new sworn and two civilians and where they are stationed and so forth.

Chief MORSE. The two civilians are requests for the Office of Inspector General. And the threat initiative is for eight sworn positions, and that is based on a work analysis that was done during the testing period of the threat assessment initiative. And then the remaining number would be for active police patrol and response at the new FOBS.

Senator HOEVEN. Which is what?

Chief MORSE. It is a new building, supporting the Congress that is next to the Ford House Office Building down on Second Street, Second and D Street, Southwest. And it is going to be federally protected by FPS. There are a number of floors in that building that will house congressional staff in the community.

Senator HOEVEN. That new facility comes online when? This year? In the next fiscal year?

Chief MORSE. In fiscal year 2013.

Senator HOEVEN. So about one-half of them pertain to that new facility and the other one-half pertain to the threat initiative?

Chief MORSE. Yes, Sir.

#### THREAT ASSESSMENT

Senator HOEVEN. How is the threat initiative going? I mean, do you feel like it is working well and making a difference?

Chief MORSE. Well, yes. The threat initiative or assessment—

Senator HOEVEN. Threat assessment, I'm sorry.

Chief MORSE. Yes, it is something that is really in an evaluation stage. It is something that we have been working very hard to make sure that it's very specific to our needs, that it meets the Department of Justice (DOJ) criteria for a threat, and that we can get it to where it is most beneficial to detecting a threat before it gets here to the campus, so that we can go out and interdict, interview, and investigate any criminal statements that are made in the pub-

lic domain. Therefore, we could potentially stop an attack against this campus and/or Members, staff, or the community.

So I think it is a worthwhile initiative for the types of threats that we face, the type of individuals that commit these types of crimes, and we simply are trying to be as imaginative as we could. And, therefore, this initiative was born.

It is not something that is new in the law enforcement community. Many of our Federal partners use this tool. And like I said, we want to try to levy that as much as we can to be as efficient as we can without duplication of effort.

Senator HOEVEN. I do have one follow-up, but I could—

Senator NELSON. Go ahead.

Senator HOEVEN. Okay, the final follow-up would be, so this is being done on the five senior Members. Is it your expectation or intention to extend it? If so, what is it going to require in terms of resources, because you are fairly people-intensive already when you're talking seven or eight people?

Chief MORSE. Well, first, we are evaluating it, and we will, you know, have to tweak it as we go, to make sure it is the most efficient and effective as we can get it.

But when it comes to people, because other agencies that we interact with currently on threats against Members use this type of investigative tool, we are looking at partnering with them so that we don't duplicate effort or have to increase the number of people that we have.

So it's something that we are currently discussing. And it is not finalized yet, but I think that we have sort of a strategic plan of making that happen. And perhaps this request will be less than it is, and we will utilize the people within the organization that we currently have by leveraging the other assets and resources of our Federal partners.

It also benefits them, because we jointly work, as you see with the Inauguration, we work at the events, all these events throughout the country. We utilize each other's assets and resources all the time, so this is really not something that is out of line with what we currently do when we share in security initiatives with other events or protection of our Members.

Senator HOEVEN. Thank you, Chief.

Senator NELSON. Before we go into overtime, just for a second, could you give us an example of what you would do for this kind of threat assessment? What kind of threat would you hear about or would come to somebody's attention then that is brought to your attention?

Chief MORSE. First, a threat against a Member is clearly defined in statute. There are certain criteria, prosecutorial criteria, that have to be met. We follow a DOJ standard. And basically, that is what we look for. Someone has to actually make that threat, meet that criteria, and show that there is a potential for violence. And that is when we would investigate that.

Senator NELSON. Would it be most likely reported to you by someone else, because you're not going to be outside of this area in communities to pick it up? How would it come to your attention? In what way or ways would come to your attention?

Chief MORSE. Well, there are companies that do this and have the ability to do this on a very large scale, and that is part of the request, as well as the people to actually perform the analysis of that, to ensure that it meets the criteria of a threat against a Member.

And then, in fact, we would investigate that threat against a Member with our partner agency, the FBI.

Now many times, and currently, people who are here, Members, staff, family, or community, will send us information that is in the public domain, that is what they believe is threatening or of interest or suspicion. And we do the same thing. We would analyze that. We would determine whether or not it was a threat, if there was any potential for violence, and then we would act accordingly within the law.

The other thing that we have, and just I want to bring out some of the other resources associated with this, is we have embedded personnel, special agents who are within all of our intelligence communities. But we also have an agent who is with the behavioral science section with the FBI.

We also have a staff psychologist who performs a function for us of reviewing direction of interest cases. Whether they be in an email, whether they be on a voicemail, or in person, they evaluate whether or not there is a potential for violence. And that also gives us a direction.

So there are many things that we do to review this material, analyze it. And when we believe that a crime is being committed, or we believe that there is a potential for violence, we quickly interdict, so that we can deter that from happening.

Senator NELSON. Okay, thank you.

#### OVERTIME AND ARCHITECT OF THE CAPITOL PROJECTS

On overtime, during the conference last December, we agreed with the House on a modified version of House language to transfer overtime costs associated with AOC projects to the AOC. And at that time, we had some concerns about the approach being used to hide the true extent of what USCP overtime costs were.

We conceded and went with the House's point about getting a true accounting with a major construction project like the dome rehabilitation project that we are looking at. So we compromised.

I don't know how we can continue, because you're asking for an increase of \$3.2 million, or 9.3 percent in overtime. When you add the estimated \$1.8 million in USCP overtime that will be paid for by the AOC, then the total increase in your overtime budget is actually 14.6 percent.

How do we make that work? It looks to me like we've got two trajectories going now. One with the AOC and one just with the regular USCP, but you need to tie them together to get the true costs.

Chief MORSE. Well, first I want to say that our base overtime—in other words, what USCP uses to do our mission each day—if you look at the last three fiscal cycles, you will see that has stabilized and that is something that has been managed very closely by us. And at the request of the committees and their concerns, we wanted to make sure that happened. And we did.

In addition to the increases, once again we have the training increase that we're asking for, because the number of officers that we have, the utility that we have, does not meet the mission, so there's a gap. And in that gap is an overtime gap.

One of the things that is very similar to overtime related to AOC projects is the Library of Congress reimbursable events. So with the overtime related to AOC projects, I believe it simply made it easier to reimburse versus perhaps overrun into other fiscal years of the project delays and things of that nature.

So what we have done is we have simply mirrored and are mirroring our memorandum of understanding with the AOC, to mirror that with the memorandum of understanding with the Library of Congress so that the transfer of funds will happen efficiently and, in fact, when the work is actually accomplished.

But the other overtime is related to some of the other initiatives and things that are beyond our control. For instance, the \$1.6 million associated with the Inauguration, the money that is associated with backfill overtime until we would be able to bring on 17 new personnel to fill the roles in those two new initiatives that we briefed on.

So the overtime increases are not core or base, but they are related to the Inauguration, some training initiatives that we have deferred and believe that we can't defer any longer, and they are related to the backfilling of personnel for those two initiatives.

Senator NELSON. Well, in the case of the Architect and the AOC projects, who has the final say in determining overtime requests? Would it be you or the Architect? Or is it done jointly or some other way?

Chief MORSE. It depends on what the project is, and we would assess the level of security that would need to be provided. And certainly, that can be adjusted, so that gives us a level of flexibility throughout the project to adjust that level of security.

And you know, the planning of it and things of that nature makes it more flexible. And I would say or hope to say that it would help us manage that easier.

So we would give them an assessment of what it takes to secure that facility and provide that, and then we would tell them how much it costs. And through the process, we would be reimbursed for that.

Senator NELSON. Okay.

Senator Hoeven.

Senator HOEVEN. I have concluded my questions for the Chief. Again, I want to thank not only the Chief but all three of you for. We have more work to do here, but you have all done good work.

Tell all your folks we really appreciate the job you do. Thank you.

#### RADIO MODERNIZATION PROJECT

Senator NELSON. Let me add my appreciation as well, but I have one more question, and that is about how are we doing on the radio modernization project. Maybe just a quick update.

Chief MORSE. Okay, I will be very quick, but I do have to thank people, because our successes so far have been because of our partnerships. I have to thank the Capitol Police Board for their direc-

tion and support throughout this project; the Architect of the Capitol, Stephen T. Ayers, who is here today supporting me; the House Sergeant at Arms, Paul Irving, who is also behind me, supporting me.

We recently went to NAVAIR and reaffirmed our partnership and thanked them for their efforts. I just wanted to thank Rear Admiral Randy Mahr, USN and Vice Admiral David Architzel, USN for all the support in this project.

And also good friends at the Government Accountability Office (GAO), Dr. Hai Tran has been incredibly supportive of us throughout this process and has helped us in so many ways with respect to the technical difficulties of a project of this magnitude.

Currently, we finished our construction and build-out of our primary and secondary mirror sites. There are a couple punch-list items, that are left, but they are prepared to take on the technology once that order is complete.

Outdoor infrastructure is at least 98-percent complete. Our indoor infrastructure, depending on which area you are referring to, could be anywhere between 54 and 65 percent complete, and on target to be completed in time for receiving the technology.

We have two final procurements. One we call the larger of our procurement, which is the technology and the handhelds, along with a smaller request for proposal that is out there.

But we want to thank the subcommittee for giving us the flexibility to use the money, any savings that we derive from the hard work of the people that I just thanked, for other areas of the project.

And I feel like right now we are in a very good place with this project, and I think that going live—and the definition of going live is—testing is complete, it is turned on, the officers are trained, our dispatchers are trained, and the system is operational, will be in the spring or summer of 2013.

And we have done some great work here and great success. And like I said, I feel like we're in a really good spot, and it is because of all the hard work of those people that support us, so I want to thank you for that.

Senator NELSON. Well, thank you for the update. With all the people you had to thank, I think it was obviously a timely question for me to ask.

I thank them as well. We understood the nature of this project, multiyear, very expensive, but very necessary. So we appreciate the progress that is being made.

Before we conclude, is there anything else that any of the three of you might want to add to what we have asked or what we didn't ask? Is there anything else?

Mr. GAINER. No.

Senator NELSON. Well, you have our best wishes and our gratitude for what you have been able to do. And of course, we wouldn't be doing our job if we didn't ask you to continue to find these ways to work together and improve the quality of the service at the same time watching the costs of delivering them.



CONCLUSION OF HEARINGS

Senator NELSON. So thank you so very, very much. I appreciate it.

We're recessed.

[Whereupon, at 4:05 p.m., Thursday, March 22, the hearings were concluded, and the subcommittee was recessed, to reconvene subject to the call of the Chair.]