

**LEGISLATIVE BRANCH APPROPRIATIONS FOR  
FISCAL YEAR 2012**

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**THURSDAY, MAY 12, 2011**

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

The subcommittee met at 1:30 p.m., in room SD-138, Dirksen Senate Office Building, Hon. Ben Nelson (chairman) presiding.  
Present: Senators Nelson and Hoeven.

U.S. SENATE

OFFICE OF THE SECRETARY

**STATEMENT OF HON. NANCY ERICKSON, SECRETARY OF THE SENATE**

**ACCOMPANIED BY:**

**CHRIS DOBY, FINANCIAL CLERK**

**SHEILA DWYER, ASSISTANT SECRETARY**

OPENING STATEMENT OF SENATOR BEN NELSON

Senator NELSON. The subcommittee will come to order. Good afternoon, everyone, and welcome.

My colleague Senator Hoeven has an Energy Task Force meeting at this point in time. We have a 2 o'clock vote. So, what will happen is, I will go until 2 o'clock, then we'll recess for however long it takes me to go and vote, and then hopefully the Senator will be able to join us after.

We meet, this afternoon, to take testimony on the fiscal year 2012 budget request for the Secretary of the Senate, Senate Sergeant at Arms (SAA), and the U.S. Capitol Police (USCP). This is our fourth and final hearing for fiscal year 2012.

I want to welcome our three witnesses today: Nancy Erickson, Secretary of the Senate; Terrance W. Gainer, Senate Sergeant at Arms; and Phillip D. Morse, Sr., Chief of the Capitol Police.

I want to start, today, by acknowledging the dedication and hard work of all of your staff. The services provided by many of your employees are rarely seen, but are highly relied upon for the day-to-day operation of the Senate. I know that the Senate is a very demanding place to work often requiring long hours, under extraordinary pressure. And we sometimes are accused of being high maintenance. But, I want you to know that we sincerely appreciate everyone's work, and we're grateful to all of the men and women who keep the Senate running safely and smoothly every day.

I'd like to reiterate a few points that were made during our first three hearings this year. My goal, going into fiscal year 2011, was to hold the legislative branch flat; and I'm proud to say that, despite the challenges we face, we've surpassed that goal by cutting just more than \$100 million below the fiscal year 2010 enacted level. Furthermore, we have accomplished this without requiring the agencies that assist us in our day-to-day operations to implement, "reductions in force". And, as you may have heard, in fiscal year 2012 I plan to cut even further below the fiscal year 2011 number so that we can lead by example on this subcommittee, when it comes to getting our fiscal house in order. Putting forth a reasonable, responsible budget for the legislative branch in fiscal year 2012 is my number one priority.

Ms. Erickson, we are pleased to have you here this afternoon. I look forward to hearing your testimony. For fiscal year 2012, your office is requesting a total of \$32 million, which is the same level of funding recently provided to your office in the fiscal year 2011 continuing resolution. I realize this level of funding is a reflection of the transfer of a \$4.2 million Senate Information System (SIS), last year, to your office from the SAA. I look forward to hearing more about the specifics of your budget request and receiving an update on the progress of the new Senate payroll system.

Mr. Gainer, first, I want to commend you for your smart thinking, earlier this year, when you hired Nancy Olkewicz.

We've all benefited from her steadfast dedication and loyalty to the United States Senate. And we continue to get that now, as she works with the Appropriations Committee, and this subcommittee, in particular. I'm certain you've already benefited tenfold from the detailed knowledge and understanding of this institution that she has brought with her to the new job.

We're still recovering from our loss of her here on this subcommittee, but Lila Helms is doing an outstanding job. It happens to be her birthday today. The SAA request for 2012 totals \$219 million, an increase of \$214,000 more than the recently enacted fiscal year 2011 level. I look forward to hearing an update on the relocation of your printing, graphics, and direct mail shop, and any security-related updates that you may have to share with us.

Finally, Chief Morse, your fiscal year 2012 request totals \$387.6 million, which is an increase of \$47 million, or 14 percent, more than the recently enacted fiscal year 2011 level. I also want to note that, when it came to setting the fiscal year 2011 levels, every agency, with the exception of the USCP and the Congressional Budget Office (CBO), took a cut in funding. You received a \$12 million increase more than the 2010 funding level. Granted, much of this increase was to annualize the funding correction, due to a salary miscalculation at the department in fiscal year 2010. We will need to look carefully at this request, given just how tight budgets are going to be in fiscal year 2012. In particular, we'll be reviewing the seven or so new initiatives you've identified, to see where we might be able to realize some savings. I also look forward to receiving an update on the radio modernization project from you, as well.

Now I'd like to begin with the witnesses. I'd appreciate if you might be able to keep your opening remarks to about 5 minutes, and submit the rest of your statements for the record.

Ms. Erickson, we'll start with you, and then we'll hear from Mr. Gainer, and then Chief Morse.

SUMMARY STATEMENT OF NANCY ERICKSON

Ms. ERICKSON. Chairman Nelson, I appreciate this opportunity to provide testimony on behalf of the Office of the Secretary and its employees. I'm joined today by Sheila Dwyer, the Assistant Secretary, and Chris Doby, our Financial Clerk, who provides the steady hand in overseeing the Senate Disbursing Office.

Since 1789, the Secretary of the Senate has been tasked with legislative, financial, and administrative responsibilities to support the Senate. I was reminded of our office's historic role in supporting the Senate during new Member orientation, when I had the opportunity to accompany our new Senators and their spouses to the National Archives legislative vault, where some of the Senate's earliest records are stored. We looked, in awe, at the very first Senate journal, and noted the Secretary's constitutional responsibility in documenting the Senate's very first day of business on March 4, 1789. Admiring the first Secretary of the Senate's beautiful handwriting, I must say that I'm grateful that this constitutional responsibility is carried out by our Senate Journal Clerks who can rely on laptops to compile the Senate Journal.

This year, I'm requesting \$31,990,000 to support the operations of the Office of the Secretary. This includes \$25,790,000 for salaries, \$2 million for operations, and \$4.2 million for the SIS program.

I'd like to highlight three points. First, the budget request includes no increase for salaries or operations. Second, the operating budget for the administration of the SIS program, operations of which were assumed by this office last year, is also unchanged. Finally, I would be remiss if I did not point out that our 2012 budget request for operations is the same as our 2008 appropriation.

Getting to this number has required careful assessments of not only how we use our financial resources, but also how we efficiently and effectively deploy our human resources. I'm very proud of our 26 department managers and our accounts administrator, who have been careful stewards of our resources, and who have committed themselves to rethinking how we work, with the goal of continuing superior service to the Senate.

Compared to the budgets of our legislative branch partners, the Office of the Secretary's budget is small. However, we're fortunate that we're structured in a way that allows our office to operate efficiently. One example of this is our relationship with the Senate SAA in the area of information technology (IT). We rely on the SAA for our IT support requirements, ranging from the technical support for our payroll and financial systems to our enormous databases in the Office of Public Records, which includes Senate campaign reports, financial disclosure filings, travel reports, as well as registrant and lobbyist filings under the Lobbying Disclosure Act, as amended. We appreciate this relationship and underscore the importance of these systems in carrying out our congressional mandates.

As you know, the SIS program was established by regulation by the Rules Committee in 1987 to provide all Senate offices access to

online research services. During the past year, we focused our efforts on cost containment and gathered feedback from Senate staff on their research needs and the tools they use. On the cost-containment front, as a result of contract negotiations led by the Senate Librarian and procurement staff, SIS program costs in 2011 were held to 2010 levels. The successful negotiations, however, do not guarantee that there will not be future price increases and, potentially, hard decisions about what SIS services are added.

Based on feedback from Senate staff, it's clear that online research plays a critical role in the daily work of the Senate. These resources are focused on real-time news, legislative, legal, and policy resources that are valued by staff. The online research industry is rapidly changing. And as we move forward in managing the SIS program, we will be vigilant in pursuing opportunities to maximize the Senate's investment while being mindful of costs.

With respect to our financial responsibilities, the Disbursing Office, in tandem with SAA technical support, researched and procured a vendor to implement a new payroll system that met the Senate's unique requirements. We have a rigorous schedule to ensure a smooth implementation, including parallel testing with our current system before it's launched early next year. The next phase of the payroll project will include self-service options for employees. [The information follows:]

As I mentioned in my testimony, the new payroll system will be implemented in three phases. Phase I will replace existing functionality. Phase II of the project will involve the implementation of self-service functions for employees, such as change-of-address requests, revising withholding amounts, and, eventually, making changes in benefit selections, and will allow for electronic payroll information notices to be sent, replacing the paper notices that employees now receive. Phase III, which is not yet funded, is the rollout of the new personnel system for Senate offices. When all three phases are implemented, we envision that offices will be able, pending approval of a digital signature format by the Committee on Rules and Administration, to submit payroll changes electronically.

Ms. ERICKSON. As we've worked on the implementation of this enormous and complex payroll project, I'm reminded of a simpler time, when Senators and staff were paid with crisp \$20 bills at the front counter of the Disbursing Office, a Senate practice until 1972.

Our Disbursing Office and Senate Webmaster, in coordination with the Government Printing Office, are implementing a statutory requirement that the report of the Secretary be publicly posted on the Internet. The first posting of this report will occur at the end of November 2011 and will be available from a link on senate.gov in a PDF format.

We will continue work on the paperless voucher initiative to reduce paper, streamline the voucher process, and for continuity-of-operation purposes. In the meantime, I'm pleased to report that paper vouchers were processed 10 percent faster than the previous year, which is good news for your office managers and your State vendors.

Following past practice, I asked the Government Accountability Office (GAO) to audit the accounting books and inventory processes in our stationery room and gift shop. And I'm pleased to report that we received a positive audit with valuable feedback. In fact, the GAO singled out our inventory processes and warehouse operations as a model for other similar Government entities.

## PREPARED STATEMENT

I felt fortunate to be on the Senate floor to hear many of the farewell remarks of departing Senators this past December. And I was struck by a recurring theme in their recognition of the staff who work behind the scenes to support the Senate. Our staff, who have legislative, financial, and administrative responsibilities, take great pride in their historic role in serving the United States Senate, and we appreciate your subcommittee's recognition and support of their important work.

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 2012.

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

My statement includes:

- presenting the fiscal year 2012 budget request;
- implementing mandated systems—Financial Management Information System (FMIS) and Legislative Information System (LIS);
- Continuity of Operations Planning (COOP); and
- maintaining and improving current and historic legislative, financial, and administrative services.

## PRESENTING THE FISCAL YEAR 2012 BUDGET REQUEST

I am requesting a total fiscal year 2012 budget of \$31,990,000. The request includes \$25,790,000 in salary costs and \$6.2 million for the operating budget of the Office of the Secretary. This request has been kept at fiscal year 2011 levels and represents a flat budget. No increase has been requested for salaries or operating expenses. In addition, the operating budget for the administration of Senate Information Services (SIS) program that was assumed by this office last year has not been increased.

My total budget request for fiscal year 2012 is the same as last year. The balance of our request is consistent with the amounts requested and received in 2011 through the legislative branch appropriations process.

## OFFICE OF THE SECRETARY APPORTIONMENT SCHEDULE

[In thousands of dollars]

Items	Amount available fiscal year 2011 (pending)	Budget estimates fiscal year 2012	Difference
Departmental operating budget:			
Executive office .....	550	550	.....
Administrative services .....	5,590	5,590	.....
Legislative services .....	60	60	.....
Total operating budget .....	6,200	6,200	.....

## IMPLEMENTING MANDATED SYSTEMS

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

*FMIS*

The 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 2010 and the beginning of fiscal year 2011, specific progress made on the FMIS project included:

- WebFMIS was upgraded three times this year: in January 2010, August 2010, and November 2010. This system is used by administrative managers, committee clerks, staff in the Sergeant at Arms Office (SAA), and the Secretary's office to create vouchers and manage their office funds, by the Disbursing Office to review vouchers and by the Committee on Rules and Administration to sanction vouchers. Additionally, it is used by staff who incur official expenses, primarily staff who travel, to prepare their Expense Summary Reports (ESRs). The releases provided both technical and functional changes.
- FMIS 2010-1 was implemented in January 2010. This release included a small number of enhancements for WebFMIS users including an automated password reset feature, a warning to the ESRs user when their document violates the 60-day election rule limitations, adding graphs to the WebFMIS summary reports, and implementing a pilot of electronic invoice (EI) functionality, which allows a user to easily create credit card reimbursement vouchers based on invoices received electronically from the Senate's credit card vendor. A pilot of the EI functionality began in January and was offered to all offices in June 2010. By the end of 2010, 33 offices were using the EI functionality.
- FMIS 2010-2 was implemented in August 2010. This release included a small number of enhancements for ESR users, but was focused on implementing new functionality for the SAA accounts payable (A/P) process. Processes were simplified by automated retrieval of data from existing purchase orders. An application, WebPICS provides pop-up windows where users enter the required data which the system uses to retrieve information from the purchase order. The users verifies retrieved data and adds information necessary to complete the process to create receiving reports, invoices, and vouchers for payments against purchase orders.
- FMIS 2011-1 was implemented in November 2010 and included two new fields (invoice date and invoice receipt date) on the WebFMIS document create page and the document search criteria page for all users; it gives SAA users the ability to search by project code and job code using the document search criteria page and users using the EI functionality, the ability to search by traveler's name. A new version of the ESR, "Line Item Entry" was also introduced to a pilot group. This enables users to select from 1 of 3 travel types of the ESR; single trip, multiple trips, or interdepartmental travel, requiring different types of information based on the type selected. It is anticipated that this new version of the ESR will reduce rekeying by staff and reduce the corrections to itineraries made by administrative managers, chief clerks and Disbursing's A/P staff. A pilot of 10 offices and committees began in November 2010. This version was given to all new Senators of the 112th Congress.
- The computing infrastructure for FMIS is provided by the SAA. Each year the SAA staff upgrades the infrastructure hardware and software. During 2010 the SAA implemented two major upgrades to the FMIS infrastructure. These included upgrading the database, DB2, to version 9 in a two-step process, and upgrading the mainframe operating system to version 1, release 11.
- 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. In 2009 and completed in 2010, the 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 card ID project to be utilized for electronic signatures. In October 2010, a task order for adding document imaging and electronic signatures to WebFMIS was signed. This task order outlines work to be completed in 2010 through the spring of 2013.
- Finalized the selection of the PeopleSoft payroll system integrator through a competitive bid process, signed the contract and started with the fit gap sessions for the implementation of the new system.
- Implemented State tax remittances via direct deposit for six additional States and updated our access to the Federal Reserve Bank (FRB) due to a change in FRB-supplied equipment.

During the remainder of fiscal year 2011 the following FMIS activities are anticipated:

- Implementing WebPICS release for phase III which will focus on SAA purchase order creation and approval;
- Coordinating with SAA the timeframes for the implementation of the smart card ID project for electronic signatures;
- Implementing on-line distribution of monthly ledger reports using Reveal via WebFMIS;
- Implementing Automated Clearing House (ACH) payment for the 16 remaining State taxes jurisdictions which require a programming change;
- Participating in the yearly disaster recovery test; and
- Implementing FMIS release 2011–2 during the spring 2011. This release is expected to allow the SAA A/P group and the Secretary’s account administrator the ability to image and attach supporting documentation to the documents created via WebPICS or WebFMIS.

During fiscal year 2012 the following FMIS activities are anticipated:

- Continuing the implementation of online financial reports;
- Implementing FMIS 2011–3, which includes the deployment of an imaging and electronic signatures pilot by Senate office.
- Implementing FMIS 2012–1 to include additional imaging features from the pilot group requirements to support extended pilot office participation.
- Implementing FMIS 2012–2 to 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;
- Continuing with the new payroll system implementation, conversion and testing; and
- Reviewing existing systems and developing a long-term modification and replacement plan for key financial systems.

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

#### *Summary of Activity*

The Senate completed its legislative business and adjourned sine die on December 22, 2010. During 2010, the Senate was in session 158 days and conducted 299 roll call votes and eight live quorum calls. There were 388 measures reported from committees and six special reports submitted to the Senate. There were 569 total measures passed or agreed to. In addition, there were 4,924 amendments submitted to the desk.

*Cross-training and COOP 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 COOP discussions and exercises throughout the past year. These discussions and exercises are a joint effort involving the Office of the Secretary, the U.S. Capitol Police (USCP), and the SAA.

*Succession Planning*

The average number of years of Senate service among the Secretary's Legislative Department supervisors is 19 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 staff 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 (GPO)*

The Bill Clerk's staff maintains an exceptionally good working relationship with the GPO and seeks to provide the best service possible to meet the needs of the Senate. The 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*

The Bill Clerk's staff processed 1,099 fewer legislative items than in the previous Congress for an overall decrease of slightly less than 9 percent. For comparative purposes, below is a summary of the second sessions of the 110th and 111th Congresses, and then between the combined sessions of each Congress.

	110th Congress, 2nd Session	111th Congress, 2nd Session	Percentage change
Senate bills .....	1,217	1,139	- 6.41
Senate Joint Resolutions .....	19	17	- 10.53
Senate Concurrent Resolutions .....	43	30	- 30.23
Senate Resolutions .....	311	320	+ 2.89
Amendments submitted .....	1,812	1,626	- 10.26
House bills .....	427	333	- 22.01
House Joint Resolutions .....	4	6	+ 50.00
House Concurrent Resolutions .....	93	51	- 45.16
Measures reported .....	452	388	- 14.16
Written reports .....	274	275	+ 41.61
Total legislation .....	4,652	4,298	- 7.61
Roll call votes .....	215	299	+ 39.07
House messages <sup>1</sup> .....	283	332	+ 17.31



	110th Congress, 2nd Session	111th Congress, 2nd Session	Percentage change
Cosponsor requests .....	7,306	4,947	- 32.29

<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.

	110th Congress	111th Congress	Percentage change
Senate bills .....	3,741	4,059	+ 8.5
Senate Joint Resolutions .....	46	42	- 8.7
Senate Concurrent Resolutions .....	107	78	- 27.1
Senate Resolutions .....	729	707	- 3.02
Amendments Submitted .....	5,704	4,924	- 13.67
House bills .....	940	715	- 23.94
House Joint Resolutions .....	13	16	+ 23.08
House Concurrent Resolutions .....	186	118	- 36.56
Measures reported .....	880	388	- 55.91
Total legislation .....	12,346	11,047	- 10.52

#### CAPTIONING SERVICES

The Office of Captioning Services provides realtime 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. For the 17th year in a row, the Office has achieved an overall accuracy average above 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 will be completed and archived in electronic form for the upcoming year.

The real-time searchable closed caption log, available to Senate offices on Webster, continues to be an invaluable tool for all of the Senate community. Legislative floor staff, in particular, continue to depend upon its availability, reliability and contents to help them in the performance of their duties. Additionally, the Senate Recording Studio's complementary video component, Video Vault, adds searchable video to the audio and text and has proven to be a valuable new tool for Senate offices to utilize.

##### *COOP Planning*

COOP and preparation continue to be a top priority to ensure that the office and staff are 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 also participates with the Recording Studio in an off-site location exercise of the COOP at least once a year.

#### DAILY DIGEST

The Office of the Senate Daily Digest is pleased to transmit its annual report on Senate activities during the second session of the 111th Congress. First, a brief summary of a compilation of Senate statistics:

##### *Chamber Activity*

The Senate was in session a total of 158 days, for a total of 1,074 hours and 40 minutes. There were eight live quorum calls and 299 roll call votes. (See attachment for 2009 Year Comparison of Senate Legislative Activity).

##### *Committee Activity*

Senate committees held a total of 827 meetings during the second session, as contrasted with 1,138 meetings during the first session of the 111th Congress.

All hearings and business meetings (including joint meetings and conferences) are scheduled through the Office of the Senate Daily Digest and are published in the Congressional Record, on its Web site on Senate.gov, and entered in the 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 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.

The Digest office continues to electronically transmit the complete publication at the end of each day to the GPO.

*GPO*

The Daily Digest staff work closely with the GPO on printing issues and are pleased to report that occurrences of editing corrections or transcript errors are infrequent.

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

	1991	1992	1993	1994	1995	1996	1997	1998	1999	2000
Senate convened .....	1/3	1/3	1/5	1/25	1/4	1/3	1/3	1/27	1/6	1/24
Senate adjourned .....	1/3/92	10/9	11/26	12/01	1/3/96	10/4	11/13	10/21	11/19	12/15
Days in session .....	158	129	153	138	211	132	153	143	162	141
Hours in session .....	1,200 <sup>44"</sup>	1,091 <sup>09"</sup>	1,269 <sup>41"</sup>	1,243 <sup>33"</sup>	1,839 <sup>10"</sup>	1,036 <sup>45"</sup>	1,093 <sup>07"</sup>	1,095 <sup>05"</sup>	1,183 <sup>57"</sup>	1,017 <sup>51"</sup>
Average hours per day .....	7.6	8.5	8.3	9.0	8.7	7.8	7.1	7.7	7.3	7.2
Total measures passed .....	626	651	473	465	346	476	386	506	549	696
Roll call votes .....	280	270	395	329	613	306	298	314	374	298
Quorum calls .....	3	5	2	6	3	2	6	4	7	6
Public Laws .....	243	347	210	255	88	245	153	241	170	410
Treaties ratified .....	15	32	20	8	10	28	15	53	13	39
Nominations confirmed .....	45,369	30,619	38,676	37,446	40,535	33,176	25,576	20,302	22,468	22,512
Average voting attendance .....	97.16	95.4	97.6	97.02	98.07	98.22	98.68	97.47	98.02	96.99
Sessions convened before 12 noon .....	126	112	128	120	184	113	115	109	118	107
Sessions convened at 12 noon .....	9	6	6	9	2	15	12	31	17	25
Sessions convened after 12 noon .....	23	10	15	17	12	7	7	2	19	24
Sessions continued after 6 p.m. ....	102	91	100	100	158	88	96	93	113	94
Sessions continued after 12 midnight .....	4	9	7	3	1	1	1	1	2	2
Saturday sessions .....	2	2	2	3	5	1	1	1	3	1
Sunday sessions .....	.....	.....	.....	.....	3	.....	.....	.....	.....	.....

20-YEAR COMPARISON OF SENATE LEGISLATIVE ACTIVITY—Continued

	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010
Senate convened .....	1/3	1/23	1/7	1/20	1/4	1/3	1/4	1/3	1/6	1/5
Senate adjourned .....	12/20	11/20	12/9	12/8	12/22	12/9	12/31	12/24	12/24	12/22
Days in session .....	173	149	167	133	159	138	189	184	191	158
Hours in session .....	1,236 <sup>15"</sup>	1,043 <sup>23"</sup>	1,454 <sup>05"</sup>	1,031 <sup>31"</sup>	1,222 <sup>26"</sup>	1,027 <sup>48"</sup>	1,375 <sup>54"</sup>	988 <sup>31"</sup>	1,420 <sup>39"</sup>	1,074 <sup>40"</sup>
Average hours per day .....	7.1	7.0	8.7	7.7	7.7	7.4	7.2	5.37	7.44	6.8
Total measures passed .....	425	523	590	663	624	635	621	589	478	569
Roll call votes .....	380	253	459	216	366	279	442	215	397	299
Quorum calls .....	3	2	3	1	3	1	6	3	3	8
Public Laws .....	136	241	198	300	169	313	180	280	125	258
Treaties ratified .....	3	17	11	15	6	14	8	30	1	6
Nominations confirmed .....	25,091	23,633	21,580	24,420	25,942	29,603	22,892	21,785	23,051	23,327
Average voting attendance .....	98.29	96.36	96.07	95.54	97.41	97.13	94.99	94.36	96.99	95.88

20-YEAR COMPARISON OF SENATE LEGISLATIVE ACTIVITY—Continued—Continued

	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010
Sessions convened before 12 noon .....	140	119	133	104	121	110	156	147	148	116
Sessions convened at 12 noon .....	10	12	4	9	1	4	4	4	2	6
Sessions convened after 12 noon .....	21	23	23	21	36	24	32	33	41	36
Sessions continued after 6 p.m. ....	108	103	134	129	120	129	144	110	152	116
Sessions continued after 12 midnight .....	3	8	2	3	3	4	4	2	2	1
Saturday sessions .....	3	.....	1	2	2	2	1	3	5	2
Sunday sessions .....	.....	.....	1	1	2	.....	1	1	4	1

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

## ENROLLING CLERK

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

During the second session of the 111th Congress the Enrolling Clerk's office prepared the enrollment of 78 Senate bills (transmitted to the President); 4 Senate enrolled joint resolutions (transmitted to the President); 7 Senate concurrent resolutions (transmitted to the National Archives); and 40 Senate appointments (transmitted to the House of Representatives). In addition, approximately 177 House of Representatives bills; 30 House Concurrent Resolutions; 5 House Joint Resolutions; and 2 conference reports, were either amended, passed, or acted on by the Senate requiring the Enrolling Clerk's office staff to work hundreds of amendments in a tightly managed schedule. In all there were 61 messages delivered to the Clerk's office and 84 to the House Chamber by the Enrolling Clerk's office relative to Senate action and passage of legislation. The office also handled the appropriate delivery to the House Clerk's office of approximately 248 House enrolled bills and 11 House joint resolutions (1 vetoed) after they had been signed by the President pro tempore.

During the second session, the Enrolling Clerk's office was also involved in preparing and proofreading documents and taking messages to the House of Representatives relative to the impeachment of Judge Gabriel Thomas Porteous, Jr. of Louisiana. The Enrolling Clerk also assisted the Executive Clerk in putting together the official copy of the START Treaty agreement and helped organize Treaty amendments, in addition to proofreading the document. The office performance was successful, and all deadlines were met.

A total of 569 pieces of legislation were passed or agreed to during the second session of the 111th Congress. Many other Senate bills were placed on the calendar, all of which were processed in the Enrolling Clerk's office including approximately 99 engrossed Senate bills, 4 joint resolutions, 15 concurrent resolutions, and 244 Senate resolutions. The office is also responsible for keeping the original official copies of bills, resolutions, and appointments from the Senate Floor through the end of each Congress. At the end of the second session, the Enrolling Clerk's office places all official papers in archive boxes where they are sent to the Senate Archivist for storage at the National Archives.

The Senate Enrolling Clerk's is also responsible for transmitting to the GPO electronically, for overnight printing, copies of the original files of engrossed and enrolled legislation proofread and formatted accordingly in our office.

*COOP*

In the second quarter 2010 the Enrolling Clerk attended two COOP exercises at the GPO to test a number of printers for the COOP fly-away kit designated to be available for the enrolling clerks in the event of a COOP situation. In addition to testing the printers, the exercise 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 the GPO.

*Cost Savings*

The Enrolling Clerk has reduced printing requests by one-third over the past few years in addition to reducing its distribution of bills from the GPO by one-half.

## 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 second session of the 111th Congress, there were 1,077 nomination messages sent to the Senate by the President, transmitting 21,836 nominations to positions requiring Senate confirmation and 21 messages withdrawing nominations sent to the Senate during the second session of the 111th Congress. Of the total nominations transmitted, 435 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 2,240 nominees in the "civilian list" categories named above. Military nominations received this session totaled 19,161

(6,600 Air Force; 7,486 Army; 4,448 Navy; and 627 Marine Corps). The Senate confirmed 23,327 nominations this session. Pursuant to the provisions of paragraph 6 of Senate Rule XXXI, 366 nominations were returned to the President during the second session of the 111th Congress.

#### *Treaties*

There were four treaties transmitted to the Senate by the President during the second session of the 111th Congress for its advice and consent to ratification, which were ordered printed as treaty documents for the use of the Senate (Treaty Doc. 111-5 through 111-8).

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

#### *Executive Reports and Roll Call Votes*

There were six executive reports relating to treaties ordered printed for the use of the Senate during the second session of the 111th Congress (Executive Report 111-2 through 111-7). The Senate conducted 50 roll call votes in executive session, all on or in relation to nominations and treaties.

#### *Executive Communications*

For the second session of the 111th Congress, 4,468 executive communications, 62 petitions and memorials, and 29 Presidential messages were received and processed.

#### *Environmental Impact*

In an effort to save money and eliminate unnecessary paper, the Executive Clerk reduced the copies of nominations printed for the committees by 95 percent during the 111th Congress, as all committees except one allow the paperwork to be transmitted by email decreasing the need for duplicate paper copies.

#### 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 roll call 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 Senate Journal is published each calendar year, and in 2010, the Journal Clerk completed the production of the 1,125 page 2009 volume. It is anticipated that work on the 2010 volume, including the Impeachment Journal, will conclude by December 2011.

#### *COOP*

In 2010, in support of the Office of the Secretary's commitment to COOP, the Office of the Journal Clerk participated in the annual Chamber Protective Actions/Briefing Center exercise in May. 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 a secure 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.

## 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 the GPO. Much of the transcript of Senate Floor proceedings and Morning Business is sent to the 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 the 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 the 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 completed the upgrade of its steno-type machines this year. This past year, the office purchased five additional Pro Cat Stylus steno-type machines, complementing the three machines that were purchased last fiscal year, resulting in the most efficient and up-to-date method of paperless recording of Senate debate. All reporters' stenographic notes are now saved to electronic files and are held for 5 years or more, saving the cost of storage and purchase of bundled steno-type paper that was used in the older machines.

## 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, committee staff, House Members and their staffs, and administration officials 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 Parliamentarian or one of his 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 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 1,600 amendments during 2010 to determine if they met various procedural requirements, such as germaneness. The parliamentarians also reviewed thousands of pages of conference reports to determine what provisions could appropriately be included therein.

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 2010, the Parliamentarian and his assistants referred 2,623 measures and 4,559 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. In 2010, as in the past, the parliamentarians conducted several brief-

ings on Senate procedure to various groups of Senate staff and visiting international parliamentary staff, on a nonpartisan basis.

During 2010, 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.

During all of 2010, the parliamentarians were involved in interpreting the ethics reform proposals adopted in 2007, especially the language dealing with earmark accountability and scope of conference.

Throughout 2010 until the convening of the 112th Congress, the parliamentarians reviewed all of the Senators' certificates of election for sufficiency and accuracy, returning those that were defective and reviewing their replacements.

Since the election in 2010, all of the parliamentarians have participated in the orientation sessions for the newly elected Senators and have assisted each of them in their initial hours as Presiding Officers. The parliamentarians also participated in an orientation session on the Senate Floor for Senate staff.

### *COOP*

The parliamentarians have each been trained on and successfully remotely access 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 and has been heavily involved with the SAA Office of Police Operations, Security and Emergency Preparedness for years in the planning phases of the Senate's evacuation and shelter-in-place procedures.

## 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 of the United States Senate and to Members and employees of the Senate. The Senate Disbursing 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 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; and
- handle all information requests from the Committee on Appropriations and the Committee on Rules and Administration

The Disbursing Office, the Committee on Rules and Administration, the House of Representatives and the U.S. Treasury finalized an interagency agreement concerning payments for expenses made on behalf of the Congressional Oversight Panel



established by Public Law 110–343, the Emergency Economic Stabilization Act. The Disbursing Office continues to offer administrative support to this office.

The Legislative Branch Appropriations Act, 2010, Public Law 111–68 included an administrative provision requiring the Report of the Secretary of the Senate to be published and publicly posted online, starting with the report covering the first full semi-annual period of the 112th Congress. Disbursing met several times with the GPO to start the design of the Web page, and additional meetings will be held with all interested parties in the coming months to finalize the development of the report.

#### *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 groups 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. 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 Web FMIS. 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.

#### *General Activities*

Processed approximately 530 cash advances during the year and initialized 920 check/direct deposit advances.

Received and processed more than 21,600 checks.

Administered Oath of Office and Personnel Affidavits to more than 1,700 new Senate staff and advised them of their benefits eligibility.

Maintained brochures for 12 Federal health insurance carriers and distributed approximately 3,500 brochures from existing staff during the annual Federal Benefits Open Season and to new Senate employees during their Federal Employees Health Benefits (FEHB) selection process.

Provided 22 training sessions to new administrative managers.

Administratively guided the three offices of the appointed Senators that resulted from the death or resignation of sitting Senators, and the 16 new Senate offices through the Senator-elect phase.

The Front Office continues its daily reconciliation of operations and strengthening of internal office controls. Training and guidance to new administrative managers and business contacts continued and was enhanced by the revamping of training materials that were provided to newly authorized personnel. The Front Office initiated a scanning procedure that ensured secure flow of payroll-related documents through the processing phase. Front Office staff continued assisting employees in maximizing their Thrift Savings Plan (TSP) contributions and making sure they are aware of the TSP Catch-Up provisions. The contribution level for the new TSP employee automatic enrollment was emphasized. The Front Office continued to provide the Senate community with prompt, courteous, and informative advice regarding Disbursing Office operations.

#### *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, etc.) 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 (FED VIP) bill files received each pay period. The payroll section jointly maintains the ACH FedLine facilities with the A/P section for the normal transmittal of payroll deposits to the FRB. 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 2010, 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.

In January 2010, an employee cost-of-living adjustments (COLA) of 2.42 percent was authorized and administered. Statutory rates and program caps were updated in HRMS. Required documentation was issued, received, reconciled, input, and adjusted as designated by appointing officials.

The Disbursing Office, in tandem with SAA Technical Support, researched and procured a vendor to implement a new payroll system. The proposals of the bidders were diligently assessed and modifications requested. Several demonstrations and technical forums were attended and rated. Specific attention was paid to how the vendors would accommodate the Senate's unique requirements, laws and regulations governing the services and programs administered by the payroll system. After extensive coordination, feedback and assessment, an implementer selection was made. Staff attended week-long training to enhance their ability to participate in system requirements, development, and implementation. The Payroll Section also drafted and edited a complete revision and update of the Payroll Procedures Manual in anticipation of its need as a tool to facilitate the development and implementation of the new payroll system.

As 2010 came to an end, the Disbursing Office and SAA had begun the process of system development and implementation with the new vendor. Fit gap sessions to analyze requirements started in February with an expected completion of Phase I of the project during fiscal year 2012.

As a result of the passage of the Reservist Differential Pay legislation, the office worked with the SAA computer support staff to determine requirements, develop, test and implement programming changes, develop processes and procedures, and implement those within the guidelines set forth by the Office of Personnel Management (OPM) and Defense Financial and Accounting Services. Offices and affected employees were notified of the impact of the legislation.

The automatic enrollment provisions of the TSP Enhancement Act of 2009 took effect in August 2010. The office worked in tandem with the SAA computer support staff and the TSP to determine system requirements, develop, test, and implement changes and follow through with postimplementation testing and reporting. New procedures were developed and implemented and Senate-wide communications were written and distributed.

Other minor changes were made to the HRMS as the need arose as a result of regulated and policy changes. Changes to the retirement creditability of Federal Employee Retirement System (FERS) sick leave required legislative and procedural interpretation and required interagency cooperation and coordination. The Disbursing Office developed procedures and distributed communications throughout the Senate.

The office procured a new retirement calculator tool that will provide additional functionality to retirement counselors and enhance their ability to provide a greater number of retirement estimates. Procedures, training and usage development will occur in 2011.

In 2010, the payroll section implemented a number of system modifications as a result of legislative, regulatory, and procedural changes. The Department of the Treasury implemented a new Web-based process for purchasing savings bonds by payroll deduction, which required changes to existing procedures and required notification to the affected Senate Members and employees. Passage of Reservist Differential Pay was handled with coordinated development of requirements, testing, system implementation, and procedural development to facilitate the proper payments and tracking. Unusual changes to specific State tax law required system modifications so that residents of that State could remain in compliance with regards to their State tax withholding. This required system development, testing, implementation, and notification to the affected Members and staff.

As a result of the 2010 expiring terms of several appointed Senators, the payroll section provided assistance and guidance to the offices of incoming and outgoing Members. They also assisted Senator Robert C. Byrd's staff upon his death. In addition, the staff researched the specifics of applicable Senate resolutions to determine their impact, if any, on outgoing and potentially outgoing staff in order to ensure that current procedures allowed for the proper administration of the resolutions and provided guidance to staff on those resolutions.

The Payroll Section administers the SLP, which includes initiation, tracking and transmission of the payments, determination of eligibility, and coordination and reconciliation with office administrators and program participants. Because of regulatory changes within the Department of Education, extensive vendor processing changes were necessitated. As a result many payments to vendors were not being routed correctly once received at the designated address. This led 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. In addition, the SLP Administrator developed an extensive list of "frequently asked questions" which were distributed to administrative managers and staff, and which have been published to Webster, the Senate's Intranet.

#### *Employee Benefits Section (EBS)*

The primary responsibilities of the 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. The EBS staff is also expected to have a working knowledge of the FSA Program, the Federal Long Term Care (LTC) Insurance Program and Federal Employees Dental and Vision Insurance Program (FEDVIP). In addition, the sectional work includes research and verification of all prior Federal service and prior Senate service for new and returning appointees.

The 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. The 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. The EBS participates fully in the Centralized Enrollment Clearinghouse System (CLER) Program sponsored by 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. The 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 the 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 the EBS.

### *General Activities*

The year began with an extended 2009 benefits open season through January 31, 2010, as mandated by the OPM.

With the death of Senator Robert C. Byrd, EBS counseled the Senator's survivors regarding all benefits payable and assisted with claims processing. EBS also provided benefits transition counseling to all staff employed by Senator Robert C. Byrd, as well as, the processing of the resultant retirement cases. EBS provided incoming benefits counseling to Senators who were appointed in 2010. In addition, the EBS provided outgoing counseling and retirement case processing to Senators who left office in 2010 and to their staff.

The year brought about many benefits changes. OPM issued guidance resulting from Public Law 111-84, which allows for unused sick leave to be credited towards FERS retirement and the ability to redeposit FERS refunds. The Affordable Care Act of 2010 created important benefits changes that were emphasized in the 2010 Federal Benefits Open Season. FEHB and FSA incurred major changes in dependent eligibility rules. Flexible spending account, health savings accounts, and health reimbursement accounts were subject to over the counter over-the-counter drug eligibility and grace period changes. Premium assistance for temporary continuation of health insurance coverage under the American Recovery and Reinvestment Act of 2009 was extended through May 31, 2010.

OPM issued final regulations to expand the definition of "qualified relatives" under the long-term care insurance. TSP changes in 2010 included the establishment of Spouse Beneficiary Accounts, the L Fund 2050, and the August 1, 2010 implementation of the TSP Automatic Enrollment provisions. In addition, the enrollment/change period for the FEGLI Program was increased to 60 days.

Many employees changed health plans during the annual benefits open season. These changes were processed and reported to carriers very quickly. The Disbursing Office again offered Senate employees access to the online "Checkbook Guide to Health Plans" to research and compare FEHB plans. 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 LTC, FSA, and FEDVIP.

EBS conducted an agency-wide FERS seminar and attended interagency Benefits Officers and TSP meetings. This was especially important this year due to the many ongoing changes to many of the benefits programs.

EBS coordinated with the Office of Education and Training to provide outgoing offices two sessions with the DC Department of Employment Services and two sessions with the OPM to assist with navigation of the Federal jobs Web site, USAJobs.

### *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 2010, the Accounting Department approved 52,000 expense reimbursement vouchers and vendor uploads including 1,585 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, COLA 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 backup. The section also completed the 2009 year-end process to close and reset revenue, expense, and budgetary general ledger accounts to zero.

The Disbursing Office also started working with a Member's office and the Senate Stationery Room to establish and design an online flag ordering system using the Department of the Treasury's Pay.gov system capabilities. The form has been completed and is undergoing review by the Treasury. The Member's office will serve as a pilot office with other offices joining as the process is refined. Testing is planned for February 2011 with a possibility of other offices joining in March 2011.

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, reported to the Department of the Treasury on a monthly basis is the "Statement of Transactions According to Appropriations, Fund and Receipt Accounts," a 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 the Office of Management and Budget (OMB) as part of the submission of the annual operating budget of the Senate. During 2010, the Accounting Department tested and implemented a FAMIS system report 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 FRB 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 electronic ACH payment of quarterly State taxes has resulted in a 64 percent participation rate by taxing jurisdictions, up from 50 percent last year. Twenty-seven of 42 tax jurisdictions are receiving their quarterly State tax payments via ACH. Six States were added to the ACH payments for the third quarter payments. 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 2010 the Accounting Department worked with the SAA computer staff to test the electronic distribution of these monthly reports. It is hoped that this will be implemented in 2011.

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 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 2012 were mailed to the Senate accounting locations and processed in November 2010. The budget baseline estimates for fiscal year 2012 were reported to OMB by mid-January 2011. The budget analyst is also responsible for the preparation of 1099's and the prompt submission of forms to the IRS before the end of the January.

*A/P: 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 information technology (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 Web FMIS 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 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 notified by email when payments are sent. Currently, more than 95 percent of ACH participants also receive email notification of payment.

During 2010, the Vendor section processed more than 2,200 vendor file additions, completed more than 3,200 service requests, mailed approximately 1,100 vendor information letters, and converted more than 450 vendors from check payment to electronic payment.

*A/P: 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 107,000 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, 18,500 checks were issued, while 71,100 ACH payments were required. The ACH volume increased 13 percent while the check volume decreased 18 percent for the year. This is a desired result as the department continues its efforts to substantially reduce reliance on paper checks.

The checkwriter system was upgraded and is now incorporated into Web FMIS. The new functionality allows greater ease of access to payment schedules for COOP purposes, but still maintains the security necessary to prevent unauthorized use of the system. Payment schedules may be retrieved, but payments cannot be made without proper authorization. Tests have been conducted to ensure functionality in case of emergency situations.

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 two prior periods, as space is limited. Older documents are stored in the Senate Support Facility (SSF). The inventoried items are sorted and recorded in a database for easy document retrieval. Several document retrieval missions were successfully conducted, and the department continues to work closely with warehouse personnel.

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 electroni-

cally through the 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 2010, approximately 500 digital images of negotiated checks were provided, and an additional 125 requests were received for stop payments. The stop payment volume is a significant reduction (75 percent) and is attributable to increased ACH payment and the TCIS check copy retrieval. The 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.

#### *A/P: Audit Department*

The A/P 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 FMIS; and assists in the production of the Report of the Secretary of the Senate.

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 2010.

The A/P Audit Section processed more than 107,000 expense items in 2010. Audit sanctioned approximately 56,000 vouchers under authority delegated by the Committee on Rules and Administration. This translates to roughly 9,600 vouchers processed per auditor, and 11,000 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, sanctioned electronically by the Senate Committee on Rules and Administration using Web FMIS, and are expected to be paid within 8 to 10 business days. These vouchers comprised more than 40 percent of all vouchers, and, as in the previous year, Disbursing passed two postpayment audits performed by the Committee on Rules and Administration. In 2010, the average for Committee on Rules and Administration-sanctioned items was 5.45 days, and the average for Disbursing sanctioned items was 3.55 days, roughly 10 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. Telecommunications charges accepted, 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 A/P 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 (LOC). The section trained 10 new administrative managers and chief clerks and conducted four informational sessions for Senate staff through seminars sponsored by the Congressional Research Service (CRS). The A/P 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 Web FMIS 2010-1 and 2010-2 allowed the SAA to use a Web-based system more extensively. Additionally, new functionality was made available for auditors to view the ESRs that accompany staff vouchers. A new menu structure was also created for inquiries. Electronic invoicing for the Senate-wide credit card provider, JP Morgan Chase, was also implemented.

#### *Disbursing Office Information Technology*

##### *FMIS*

The Disbursing Office Information Technology (IT) department provides both functional and technical assistance for all Senate financial management activities. Activities revolve around support of Web FMIS which is used by staff in 140 Senate accounting locations (i.e., 100 Senate personal offices, 20 committees, 20 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;
- preparing for the 112th Congress;
- planning;
- 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 "Abusiness 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 4,000 FMIS users, of which 83 percent are staff preparing ESRs;
- implementing three releases of FMIS, including two pilots and moving the SAA onto Web-based interfaces:
  - a pilot of electronic invoicing, by which a user can easily create a voucher based on credit card data that the Senate receives electronically;
  - a new version of the ESR that builds the traveler's itinerary based on the location of reported expenses. This reduces rekeying of information by staffers and the number of errors corrected by voucher preparers and the DO A/P staff; and
  - WebPICS for SAA requisitioners, approvers, receivers, and voucher preparers; and
- testing infrastructure changes that included upgrades to the mainframe operating system (Z/OS), the database (DB2), and the mainframe user security module; and
- increasing the number of States to whom Disbursing sends State taxes via direct deposit from 21 to 27; and



—preparing for the 112th Congress.

*Supporting Current Systems*

IT supports Web FMIS users in all 140 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 “Ahelp 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 Web FMIS 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*

The 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 postimplementation. During 2010, the SAA implemented two major upgrades to the FMIS infrastructure. These included upgrading the database, DB2, to version 9 in a two-step process, and upgrading the mainframe operating system to version 1, release 11, and at the same time, changing the mainframe security system to a Resource Access Control Facility.

*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 the administrative managers, chief clerks, and their staff who prepare the ESRs to discuss changes to the data entry for the ESRs. Additionally IT met with SAA users who prepare vouchers to discuss voucher and inquiry functionality developed in the second 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 2010, 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 sub-system upgrades have been consolidated into two or three 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 2010, Disbursing implemented the following three major releases:

- FMIS r2010–1, implemented in January 2010;
- FMIS r2010–2, implemented in August 2010; and
- FMIS r2011–1, implemented in November 2010.

In addition, IT worked on functionality that will be included in future releases, of which one, the FMIS Imaging Product Analysis is especially important.

*FMIS 2010-1*

FMIS 2010-1 was implemented in January 2010. This release included a small number of enhancements for WebFMIS users including an automated password reset feature, a warning to the ESR user when their document violates the 60-day election rule, adding graphs to the Web FMIS summary reports, and implementing a pilot of electronic invoice functionality, which allows a user to easily create credit card vouchers based on invoices received electronically from the Senate's credit card vendor. A pilot of the electronic invoice (EI) functionality began in January and was offered to all offices in June 2010. By the end of 2010, 33 offices were using the EI functionality.

The main focus of this release was implementing WebPICS, which enables SAA users to access ADPICS functionality through a Web-based front end, and provides additional functionality, such as a robust search function. The SAA follows a structured procurement process that includes creating requisitions, creating purchase orders from requisitions, receiving goods, entering invoices, and creating vouchers from purchase orders. For many years, the SAA has used ADPICS, a mainframe system, to perform these activities. This was especially difficult for occasional users. Using a variety of technologies, the WebPICS project replaces use of ADPICS with access to user-friendly Web pages. This release, the first of three planned releases, focused on the needs of requisitioners and requisition approvers, who are occasional users, and included:

- a robust requisition search function, through which a user can find a requisition, its related purchase order, any change orders, and the document's history, by entering minimal information, such as the create date, the commodity code used, by whom it was created or the department for whom it was created;
- links to purchase orders via a viewer that formats mainframe data into Web pages;
- a streamlined requisition create function that displays data from multiple ADPICS screens on three tabs:
  - basic information on the header tab;
  - what is being requested and who will pay for it (i.e., commodity information, commodity specifications, and the accounting information) on the items tab; and
  - additional information for the vendor on the terms tab;
- a streamlined requisition change order function that shows, on the same page, the old information and the new information;
- look-up tables for selecting, rather than typing, information such as commodity codes and accounting codes when searching for and creating requisitions; and
- use of the existing Web FMIS inbox to identify, check out, view, and approve or reject requisitions.

A pilot of SAA requisitioners and requisition approvers began using WebPICS in early January 2010, and all requisitioners and approvers were trained and began using this functionality by the end of April, 3 months ahead of schedule.

*FMIS 2010-2*

FMIS 2010-2 was implemented in August 2010. This release included a small number of enhancements for ESR users, but was focused on implementing new functionality for the SAA A/P process (e.g., receipt of goods, invoice processing and approval, voucher creation, and approval). Processes were simplified by automated retrieval of data from existing purchase orders. WebPICS provides pop-up windows where users enter the required data which the system uses to retrieve information from the purchase order. The user simply verifies retrieved data and adds information necessary to complete the process to create receiving reports, invoices and vouchers for payments against purchase orders.

Four additional new search windows provide ability to easily find original and related documents, including related images stored by SAA Finance in OnBase:

- receiving report search;
- invoice voucher search;
- expenditure search, which provides the ability to search for expenses processed within WebFMIS, WebPICS, and via upload, the combination of which was not previously available in one query; and
- purchase orders search by vendor.

The third WebPICS release, which will focus on purchase order creation and approval is scheduled for implementation in the spring of 2011.

*FMIS 2011-1*

FMIS 2011-1 was implemented in November 2010 and included:

- Adding two fields, invoice date and invoice receipt date, to the WebFMIS document create page and to the document search criteria page for all users;
- Ability for SAA users to search by project code and job code using the document search criteria page;
- Ability for users using the electronic invoice functionality to search by traveler's name using the document search criteria page; and
- Introduction to a pilot group a new version of the ESR, "Line Item Entry". This version enables users to select 1 of 3 travel ESR types:
  - single trip;
  - multiple trips; or
  - interdepartmental travel, which requires different information depending on the type.

Users then create an ESR in a more simplified format, entering expenses by date, location, and expense type on a line-by-line basis. The locations are selected from a list of cities provided by the U.S. Postal Service. This format enables the itinerary to be built automatically from the locations entered for each expense and is produced in the format that complies with the standards for the Report of the Secretary. This version of the ESR is expected to reduce rekeying by staff and reduce the corrections to itineraries made by office managers, chief clerks, and the Disbursing Office's A/P staff. A pilot of 10 offices and committees began in November 2010. Additionally, this version has been given to all new Senators of the 112th Congress.

#### *FMIS Imaging*

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 card ID 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 now and the spring 2013 in three phases (six releases), including:

- Phase 1.*—Imaging only pilot (spring 2011);
- Phase 2.*—Office imaging and signatures pilot (summer 2011), extended pilot (winter 2012), and full roll-out (summer 2012); and
- Phase 3.*—Staffer imaging and signatures pilot (winter 2012) and rollout (spring 2013).

#### *Preparing for the 112th Congress*

Using statistical information from fiscal year 2009 and fiscal year 2010, IT prepared for each new Senator in the 112th Congress (including those whose terms began at the end of the 111th Congress) budget information based on the spending patterns for the 111th Congress. Additionally, IT participated in the planning sessions for the new office manager training at which Disbursing presented an outline for training and a sample quick reference guide regarding Senate financing. The WebFMIS training schedule for the first quarter of 2011 was revamped to include Web FMIS classes every 2 weeks instead of once a month.

#### *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 2010, 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.

### *Managing the FMIS Project*

The responsibility for managing the FMIS project was transferred to the Disbursing IT department during the summer of 2003, and includes developing the task orders with contractors, overseeing their work, and reviewing invoices. In 2010, the following two new task orders were executed:

*Service Year 2011 Extended Operational Support.*—Covers activities from September 2010 to August 2011; and

*FMIS Imaging Pilot.*—Covers tasks for adding document imaging and electronic signatures to WebFMIS. This task order outlines work to be completed between now and the spring of 2013 (six releases in three phases), and provides functionality for the Secretary and the SAA, office managers/chief clerks, the Disbursing Office A/P and Accounting staff, and Senate staff who prepare ESRs (e.g., staff who travel).

In addition, work continued under two task orders executed in prior years:

—Service year 2010 Extended Operational Support (covered activities from September 2009 to August 2010); and

*FMIS Imaging Product Analysis.*—Analyzed what software will be used for paperless voucher processing, including managing images, viewing images, annotating images and reading smart cards, which will have a component of the electronic signature.

### *Administering the Disbursing Office’s LAN*

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 2010, LAN administration activities included:

- maintaining and upgrading the Disbursing Office’s LAN;
- installing specialized software; and
- maintaining projects for the payroll and benefits section.

### *Maintaining and Upgrading the Disbursing Office LAN*

Disbursing maintained the existing workstations with appropriate upgrades including:

- installing OnWeb, a Web-based 3270 emulation software;
- imaging critical PCs for easy recovery from hard disk crash or other PC failure;
- replacing SNAP servers with Buffalo Terra stations; and
- installing a video teleconferencing (VTC) unit in the Disbursing Office conference room.

### *Installing Specialized Software*

Disbursing is responsible for sending direct deposit payments to the Federal Reserve Bank (FRB). During 2010, IT updated Disbursing’s access to the FRB, due to a change in FRB-supplied equipment and ensured that access was functioning from the Alternate Computing Facility (ACF).

### *Maintaining Projects for Payroll and EBSs*

During 2010, Disbursing supported three specialized applications for the Payroll and EBSs:

- IT continued to support the imaging system developed by SAA staff. This system electronically captures and indexes payroll documents submitted at the front counter, and is critical for the Payroll and EBSs. At the end of 2009, a new version of this software was installed and only minor updates were needed in 2010.
- In addition, the systems administrator moved the CLER application, a health insurance benefits validation service, to a new standalone personal computer and worked with the SAA Network Operations staff to establish point-to-point security for access to the Department of Agriculture.

—The Government Retirement Benefits (GRB) software, which enables benefits counselors to easily estimate retirement benefits based on different scenarios, is now available to Disbursing staff.

*Coordinating the Disbursing Office's Disaster Recovery Activities*

Disbursing anticipates testing in 2011 to include fail-over of its systems to the ACF, activity at the ACF, and a new activity: fail-back of the changed production data.

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, 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 (OC). Among other things, the OC 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 140 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*

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

*Compliance With OSHA and ADA*

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

SCCE provides legal assistance and advice to each Senate office to ensure that it is complying with the OSHA and the ADA. SCCE also represents each Senate office during the OC 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 2010, SCCE pre-inspected 1,225 Senate rooms to ensure that Senate offices are complying with the OSHA and the ADA. Inspections included all Member offices, leadership and committee offices, offices of the SAA, offices of the Secretary of the Senate in the Capitol and the Capitol Visitor Center (CVC), as well as the Hart, Dirksen, and Russell Senate Office Buildings and offsite buildings used by the Senate.

During 2010, the enthusiasm and participation of Senate offices in SCCE's pre-inspection safety program resulted in perfect safety records for 64 Member offices and 13 committees. At the conclusion of the inspections, no Senate office had any significant safety problem, and no citations were issued during the 111th Congress.

*Training Regarding Legal Responsibilities and Employee Rights*

An important part of the legal services the SCCE offers is educating Senate managers of their obligations and employees' rights under the employment laws that

govern Senate offices. SCCE regularly conducts legal training for Senators, Senators-elect, and their staff, Senate employees, and Senate interns.

In 2010, the lawyers of SCCE gave 69 legal seminars to Senate offices, including, among others:

- The Congressional Accountability Act of 1995: Management’s Rights and Obligations;
- Senators-elect Orientation: Managing Your Offices in Compliance with Employment Laws;
- Staff of Senators-elect: How to Set Up and Manage a Senate Office in Compliance with the Law;
- Hiring the Right Employee: Advertising, Interviewing and Conducting Background Checks without Violating the Law;
- How to Conduct I-9 and E-Verify Checks on New Hires;
- Common Employment Law Mistakes Managers Make;
- Evaluating, Disciplining, and Terminating Employees without Violating the Law;
- Sexual Harassment in the Workplace: What is Prohibited and What Are Employees’ Rights and Obligations;
- A Manager’s Guide to Preventing and Addressing Harassment in the Workplace;
- Diversity in the Workplace: The Americans with Disabilities Act: What Managers Must Know about Complying with the Law;
- Military Service Academies Interviewing in Compliance with the Law;
- The Requirements of the Family and Medical Leave Act; and
- The Requirements of the Equal Pay Act.

In addition to the above 69 seminars, SCCE conducted a series of monthly seminars covering all major employment laws that govern Senate offices. The purpose of the seminars was to educate 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 completed the series received a certificate of completion from the Secretary of the Senate.

SCCE, working with the Senate Radio and TV Studio, now streams its seminars to all Senate State offices so that the managers in State offices can participate electronically in all SCCE live seminars. In addition, SCCE electronically stores SCCE seminars to allow Senate managers who were unable to attend a seminar to review it electronically from their desk monitors at a later date. Finally, to ensure that all Senate managers, whether in Washington, DC or a State office, can easily learn about and register for SCCE’s seminars, SCCE added an online seminar registration process to its Web site.

#### *Legal Advice*

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, SCCE advises Senate offices on matters such as interviewing, hiring, counseling, disciplining, and terminating employees in compliance with the law; handling and investigating sexual harassment complaints; accommodating the disabled; determining wage law requirements; meeting the requirements of the Family and Medical Leave Act; management’s rights and obligations under union laws and the OSHA; and management’s obligation to give leave to employees for military service. In 2010, the SCCE had more than 1,695 client legal advice meetings.

Also, SCCE provides legal assistance to Senate offices to ensure that their office policies, job descriptions, interviewing guidelines, and performance evaluation forms comply with the law and are updated as employment laws change. In 2010, SCCE prepared 229 policy manuals for Member offices and committees.

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

In 2010, the SCCE provided guidance to managers and supervisors regarding their legal and contractual obligations under union contracts.

#### *Environmental, Cost, and Space Savings*

It has now been 10 years since SCCE became the first Senate office to convert to a “paperless” office. By doing this, SCCE has benefited the environment, cut costs, cleared office space, reduced storage needs, and become more efficient. Having accomplished that project, SCCE turned its attention to eliminating hard copy legal books in its office. To this end, in 2009 SCCE eliminated 50 percent of its hard copy legal library. In 2010, SCCE further reduced its book inventory by 20 percent. SCCE achieved this through a combination of scanning and converting to electronic books.

In addition to the above-mentioned benefits, this project saves the office more than \$6,000 annually, has freed approximately 288 square feet of office space, and has saved time by eliminating the need for staff members to update legal books on a weekly basis with new paper inserts.

#### 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 the 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*

This year 294 objects were accessioned into the Senate Collection. Many of these historic objects were deposited with the Curator's Office to ensure their safekeeping. These included a ticket from the 1945 Presidential Address to Congress; 13 artifacts from the 1939 congressional welcome of King George VI and Queen Elizabeth; 10 items from the 1941 visit of Prime Minister Winston Churchill; 17 artifacts from the 1943 visit of Madame Chiang Kai-Shek; various tickets, programs, badges, passes, and other objects from 10 different Inaugural ceremonies held between 1925 and 1989; 25 objects from funerals held in the Senate Chamber; items from the 1953 memorial service for Senator Robert A. Taft held in the Rotunda; and tickets from the Senate nomination hearing for Elena Kagan as Associate Justice of the Supreme Court of the United States.

A painting of Senator Bill Frist by artist Michael Shane Neal was completed as part of the Senate Leadership Portrait Collection. It will be unveiled in March 2011.

The most significant addition to the collection was the acquisition of four small paintings by 19th century artist Constantino Brumidi, created in preparation for frescoes in the Senate Reception Room (S-213) and the Senate Committee on Mil-

tary Affairs and Militia (S-128). The Senate had long been aware of these historic oil sketches, which formed the largest known private collection of Brumidi's Capitol works.

Thirty-nine new foreign gifts were reported in 2010 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 211 foreign gifts, which are catalogued and maintained in accordance with the Foreign Gifts and Decorations Act. Appropriate disposition of 80 foreign gifts was completed following established procedures.

The Office of Senate Curator continued to document and care for the historic Russell Senate Office Building furnishings. In addition, the search continued for Russell Senate Office Building furniture located in private collections, museums, and libraries, and another 1909 partner desk was returned to the Senate from the University of Nevada at Reno. In addition, the office drafted guidelines for the care of these century-old furnishings to prevent the physical degradation of the furniture, and, when appropriate, allow the pieces to be restored to their original 1909 appearance.

The Curator's Office continued to work with the CVC project staff, 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 June 2009, consultants determined that the HVAC equipment installed in the new storage rooms was unable to meet environmental requirements and needed to be replaced. New equipment was ordered and installed in the larger of the two rooms. Fine tuning of this system is nearing completion. Replacement of the HVAC equipment in the smaller room began in January 2011. These HVAC systems are essential to the Curator's mission to preserve the Senate's significant collections.

Maintenance of the Senate's historic clocks continued under a program established in 2009 to provide regularly scheduled care. Since the Curator's staff assumed responsibility last year for winding the Senate's historic clocks, the opportunity to closely observe their function has helped alleviate recurring problems with timekeeping.

The care of collections on display has benefitted from the addition of an automated maintenance record system that is now part of the Senate collection database. Regular cleaning and care of the art and historic furnishings is now tracked and recorded. Staff is alerted when an object is due for care based on this new automated maintenance program, thus saving considerable time when scheduling and planning work.

The office enhanced its emergency preparedness for the collection by identifying local disaster recovery companies to assist in a disaster, and finalizing an emergency disaster guide. The guide provides contact information on local art handlers, shippers, and conservators, as well as information on how to address the care of specific materials in the event of fire, water, infestation, or a chemical emergency. Additionally, all new loan agreements were digitized in a portable document format for easy retrieval off-site, and a map noting the current location of loaned objects was created to allow quick identification of loans that may be affected in an emergency situation.

The office continued its program of photographing all objects for the collection database. More than 50 objects were photographed, and a total of 859 images out of 4,598 were resized for consistency. Staff also worked with the Senate Photographic Studio on several special projects, including documenting new signatures in the Senate Chamber desk drawers, recording conservation and installation of artwork, and photographing historic spaces. 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, 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. The inventories, which are submitted every 6 months, are compiled by the Curator's Office with assistance from the SAA and AOC's Superintendent of Senate Office Buildings.

Both recordkeeping and protection of the Senate's historic mirror collection received considerable attention. The object files and database entries for all 94 mirrors were reviewed and updated based on established registration standards. Taking advantage of renovation work, the office installed protective plinths on two mirrors. By raising the mirrors from the mantels and creating a larger footprint, the plinths shield the mirror frames from spills, damage from objects displayed on the mantels, and routine dusting. In addition, implementation of a plan to provide routine, on-site professional care for the Senate's gilded frames, including mirror and picture



frames, began in 2010. A list of treatable damage was developed and several frames repaired. Seventeen mirrors were also cleaned.

The office coordinated the approval by the Senate Committee on Rules and Administration and the Commission on Art of mirror movement guidelines. The guidelines safeguard these important decorative objects from unnecessary damage due to excessive handling, and preserve each mirror's significance by retaining its historic association with a room.

Staff worked with the SAA Cabinet Shop to develop a list of the multiple components of the writing boxes that are part of the Senate Chamber desks. A computerized drawing of one of the boxes was completed to aid in the work. Many of these writing boxes have sustained damage over the years, and a comprehensive survey is needed to prioritize repairs. Once the survey is completed, the Cabinet Shop will begin refurbishing the boxes.

The official Senate chinaware was used at 16 receptions for distinguished guests, both foreign and domestic, including a luncheon for the King of Jordan, a tea for the President of Russia, and a tea for the President of Haiti. The Secretary's china was inventoried and used at three receptions sponsored by the chairman of the Senate Foreign Relations Committee.

#### *Conservation and Restoration*

In addition to the regular maintenance required for the Senate's historic clocks, extensive conservation occurred on two clocks: the "Ohio" clock and the architectural shelf clock in the Old Senate Chamber. Both clocks have significant histories, and are exceptional examples of 19th century American clock making.

The "Ohio" clock was purchased from Thomas Voigt of Philadelphia in 1816, to be used in the Senate Chamber after renovations were completed following the burning of the Capitol by the British. After 194 years of continuous use, accumulated grime, layers of varnish, and repairs had taken their toll on the case and the eagle. Conservators conducted microscopic studies of the finish layers that had built up over time. Their findings provided new and exciting information about the clock, and were the basis for re-gilding the historic eagle. The clock's movement also required extensive repairs, especially to the hands and the timekeeping mechanism. As a result of this conservation, the "Ohio" clock now accurately reflects its 19th century appearance, and, it is hoped, will continue to run for another 200 years.

The architectural shelf clock was purchased from the Bailey and Kitchen Company of Philadelphia in 1846 to serve as the timepiece for the Old Senate Chamber following removal of the "Ohio" clock. The Bailey clock needed thorough cleaning and repair, as well as replacement of material that has worn away over time due to continuous use. During the conservation of the two clocks, the Curator's office obtained new information about their physical histories that could only be discovered during the course of treatment.

A condition assessment was completed in order to develop a comprehensive scope of work for the restoration of the Senate Chamber desk inkwells and sanders. These artifacts date to about 1930, and are starting to show their age. The evaluation helped identify damaged glass in need of replacement, broken or missing hinges, and corrosion to the metal and loss of patina. The next phase is to finalize a scope of work and select a conservator. Conservation is projected to begin in 2012 when other work in the chamber is scheduled.

Three portraits recently acquired for the Senate Leadership Portrait Collection received preservation treatment. The portraits of Senators Robert C. Byrd, Tom Daschle, and Trent Lott were given a final protective coating of varnish, which is done only after the paint is completely dry.

The office began the restoration of the eight Flemish oak benches purchased in 1899 for the Senate Reception Room. Over time, their carved back panels had been removed, their seats and backs upholstered, and they were poorly refinished multiple times. The conservation process included research into the original carved panels and finish, and the difficult repair of the extensive upholstery damage. Once returned to the Senate, the benches will reflect their original appearance, and be ready to provide another century of service.

#### *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:

- energy lighting upgrades;
- first responder antennae installation;
- mural restoration;
- smoke purge system installation;
- wall and ceiling restoration;
- scagliola conservation;
- third floor plaster repair; and
- the Brumidi Corridors restoration.

Through this work, the Curator's Office was able to ensure that the highest preservation standards possible were applied to all Capitol projects. The Curator's office continued its participation in a working group (whose other members were the SAA, AOC, and Rules Committee) to engage in several building projects to conserve and protect public spaces and historic assets. In areas with conserved scagliola, the office worked with the SAA to develop and install various surface protection measures. Similarly, the Curator's Office worked with the SAA to devise a solution to the furniture in the Brumidi Corridors north door entrance. The challenging Senate Reception Room restoration and rehabilitation project, developed by the Senate Curator and the AOC Curator, has successfully moved forward. A pilot conservation project was initiated by the AOC for part of the decorative wall design. The Reception Room has a very complex pattern of surface treatments that involve delicate toned glazes and precise application methods. The office arranged to have existing room condition drawings completed, surveyed the floor tiles, and placed informational signs in the room detailing the conservation. Once the pilot is completed in late 2011, the restoration of the remaining wall surfaces should proceed more quickly.

Regarding the Brumidi Corridors restoration, the office assisted the AOC in garnering support for a comprehensive, time-bound plan for finishing the corridors. With the support of the Committee on Rules and Administration and Senate Commission on Art, it is hoped that this 5-year plan can move forward in 2011. It will be a major achievement when these treasured corridors can be returned to their original artistry.

#### *Historic Chambers*

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 office staff worked with the USCP on the procedures developed to record the after-hours access to the historic chambers by current Members of Congress. Eighty-five requests were received from current Members for after-hours access to the Old Senate and Old Supreme Court Chambers.

Of special significance in the Old Senate Chamber was the re-enactment swearing-in ceremonies for five Senators, and the closed Senate session on the New START Treaty.

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

A total of 61 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 five loans, coordinated six new loans, and renewed loan agreements for 34 other objects. More than 37 loans are projected to be renewed next year.

#### *Publications and Exhibitions*

The Senate Commission on Art's enabling legislation (2 U.S.C. 2104) requires that "at least every ten years" a Senate document be published which lists all works of art, historical objects, and exhibits currently within the Senate wing of the Capitol and the Senate Office Buildings. The document was published this year with the assistance of GPO. Encompassing more than 4,000 works of art and artifacts, the inventory records the growth of the Senate collection over the last 10 years; demonstrates the office's concerted effort to acquire objects that enhance the collection; and provides a publicly accessible list of the entire collection.

At the request of the Republican Leader's Office, the Curator worked with the Senate Historical Office to produce a booklet to supplement the existing Leader's suite brochure. The supplemental publication includes color images and descriptions on the art in the suite and highlights Kentucky connections to the suite's history.

In recognition of the Congressional Gold Medal to be awarded to Constantino Brumidi, the office developed a publication on the Capitol's artist. Staff worked with GPO on the layout and design for the book, and the first two chapters have been

completed. This illustrated publication will highlight new scholarship from historians, curators, and conservators about Brumidi's artistic endeavors in the Senate wing of the Capitol.

In conjunction with the Senate Library and Senate Historical Office, staff installed two exhibits outside the newly remodeled Dirksen G-50 hearing room as requested by the Rules Committee. The exhibits were placed in the showcases built into the walls of the room's vestibule. One case highlights Senator Everett M. Dirksen, for whom the building was named; the other case features the building—its origins, construction, and architectural details.

A new exhibition was installed to mark the 150th anniversary of the Civil War, replacing the Inauguration exhibit in the Senate wing's first floor connecting corridor. This project was a joint effort between the Senate Historical Office, Curator's Office, with assistance from the Office of Conservation and Preservation, GPO, and the AOC Paintings and Decorating Division. Traditionally, the story of the Civil War is told from the perspective of the President or his military commanders, but this exhibit illustrates the crucial role played by the Senate and its Members during this national crisis.

Curator's staff finalized an online Web exhibit on Senate.gov dispelling myths and rumors often heard about Senate art. Seven different "myths" are included in the initial posting, featuring the most prominent and oft-repeated apocryphal stories. The office also increased its presence on the Web this year with a new section highlighting the Senate's decorative art collection. Seventy-two artifact pages were posted, from gilded mirrors and historic clocks, to Senate Restaurant china, snuff boxes, and other important Senate heirlooms. In addition, an online exhibition featuring artifacts related to funerals held in the Senate Chamber was posted; and a new Web section titled, "Curator's Picks," highlighting the Curator's favorite works in the Senate Collection, will be completed shortly. Staff also proceeded with the design and outline for an historic spaces section for Senate.gov. When completed, the site will guide visitors through such treasures as the Old Senate and Old Supreme Court Chambers, the President's Room, and other significant historic spaces.

At the request of the Committee on Rules and Administration, and pursuant to S. Res. 53, the office installed a bronze plaque honoring the work of African-American slaves in building the U.S. Capitol. The plaque is located in the third floor east front connecting corridor of the Senate wing, where a portion of the Capitol's original 1800 exterior wall can be seen.

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

The Curator's staff assisted the National Archives again this year with two exhibits for display in the vault at the Center for Legislative Archives. Objects related to the Senate Chamber's 150th anniversary continued on display, and were replaced with an exhibition of objects related to Constantino Brumidi.

The Curator and staff assisted with numerous CVC-related projects throughout the year. The Curator, Associate Curator, and administrator provided support for the Congressional Historical Interpretation Program (CHIP), including developing a new e-learning program and guidebook; participated in the morning "briefings" to the Capitol Guide Service to better inform them on Senate art and history; conducted exhibition lectures for the public; reviewed exhibition text and images; and at the request of the CVC oversight for the Senate, the Senate Committee on Rules and Administration, continued to work closely with the House Curator and AOC Curator to review products and publications for the CVC gift shop.

The Senate Curator assisted the AOC Curator and House Curator on various art-related research and projects, most notably the Rosa Parks commission, display of the House Bierstadt paintings, and conservation-related matters. The Senate Curator and staff also gave lectures on the Senate's art and historical collections to various historical groups and art museums. The staffs further assisted with the Secretary's Senate staff lecture and tour series and were regular contributors to Unum, the Secretary's newsletter.

#### *Office Administration and Automation*

The collections management database was reviewed, assessed, and improved to include the reconfiguration of the artist information, updates to loan and inscription records, and the creation of an object maintenance table. This work will allow more efficient search capabilities, a stable database, and an easier way of transferring information into reports.

In the area of file management, the Curator's staff completed a major restructuring of the office's electronic files, applying a new organizational matrix and file naming protocols. Combined with this effort, the office developed and implemented project close-out procedures. This standardization and consistent records collation

has greatly improved the usability of the office resources, streamlined office record-keeping, and enhanced research capabilities.

#### *COOP Planning*

In the area of COOP preparedness, the office conducted its annual table top exercise and trained staff to use remote desktop access through a series of work-from-home exercises. The exercises proved effective in identifying problems and trouble-shooting issues before a true emergency occurs.

#### *Objectives for 2011*

Conservation and preservation of the Senate's collections continue to be a priority, and several major projects are planned for 2011. Two of the Senate's most iconic works in the Old Senate Chamber will be restored:

- the Eagle and Shield sculpture; and
- the portrait of George Washington by Rembrandt Peale.

In preparation, a detailed review of past treatments and analyses by various conservators was undertaken in 2010. A scope of work will be developed and a panel of experts will assist in the review process. The conservation schedule will be coordinated with repairs planned in the Old Senate so that the works of art are out of harm's way when renovations begin. Additionally, conservation of the Senate Reception Room benches will be completed.

Based on the findings from a condition assessment of the Senate's collection of historic clocks completed in 2008, the Curator's Office will continue to schedule necessary conservation for the clocks to avoid deterioration of their parts and their function as accurate timepieces. The tall case clock in the Vice President's Ceremonial Office is next scheduled for treatment; both the case and movement will require conservation.

Staff will begin the survey of the Senate Chamber desk writing boxes, with the assistance of the SAA Cabinet Shop, and develop a plan for their repair and ongoing maintenance. The interior and exterior of the writing boxes will be assessed for condition, and the various components will be inspected and documented. Repair work will begin in 2012, depending on the Senate's schedule.

With regards to the care of the Senate's historic mirrors, staff will inventory the historic Russell House Office Building mirrors and initiate a maintenance program for the nine historic oversized mirrors located in committee hearing rooms. In order to increase the skill and knowledge of the Curator's Office, several staff will participate in hands-on training related to basic gilded frame repair. This will reduce the need for professional conservators, improve the response time to urgent repairs, and save the Senate money over time.

In the area of collections management, the office will continue reviewing photographs in the collections database to ascertain that each object has a documentation photograph and that it meets required size parameters.

The office will further efforts to locate and recover historic artifacts associated with the Senate, specifically tickets and programs to Senate Chamber funerals and historic furnishings associated with the Senate and Supreme Court (when it met in the Capitol).

The Curator's staff will confer with the AOC regarding preservation issues related to Senate restoration and remodeling projects, 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.

With the assistance of GPO and the AOC Senate Superintendent, the Curator's Office will create a new educational exhibit and brochure for the sculpture Mountains and Clouds, located in the Hart Senate Office Building atrium. The exhibit will feature information on the artist, sculpture, conservation, and the maquette, or scale model. An exhibit will also be mounted for the four new Brumidi paintings. The sketches will be displayed in a public area, so that staff and visitors can appreciate these important works of art.

Other education efforts will focus on Senate.gov. Staff will continue to add objects to the decorative art section, as well as update the Senate Chamber desk site to reflect the new seating arrangement for the 112th Congress. A Web supplement will be added to the United States Senate Catalogue of Fine Art, highlighting the art collected by the Senate since the catalogue was published in 2002. Additionally, the office will develop a schematic and assemble resources for posting the historic spaces site. The first room targeted will be the Old Senate Chamber. The historic spaces site will feature the historical, artistic, and decorative elements of each space, as well as restoration details where applicable.

The collections management database will be reviewed by the office to determine if it can continue to serve the Senate's growing needs. The collections database will also be backed up, cloned, and compressed on a regular basis to prevent further corruption or potential loss of data.

The office maintains a digital documentation database of all legislation, precedents, and procedures related to the Senate Commission on Art and Senate Curator's Office. These electronic records will be upgraded and implemented with indexes and full annotations, allowing easier search capabilities and access during a COOP emergency.

Also in the area of COOP preparedness, the office will conduct its annual table top exercise, will refine and improve the navigability of its online COOP plan, and will continue with its series of work-from-home exercises to best prepare the office for an emergency situation. Finally, the office will plan for any crisis that may affect the Senate's collections by finalizing the disaster recovery guide to include the new collection storage areas in the CVC.

#### 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 resources issues and staff benefits, 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 information 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 1,278 classes and events on Capitol Hill in 2010, drawing more than 10,000 participants. The registration desk handled more than 25,000 email and phone requests for training and documentation.

The above total includes 438 customized training sessions for 1,937 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 resume and interviewing skills building for staff whose Members have died, announced their retirements, or been defeated.

The Senate's Intern Program is also a focus of the office. The office provides training for intern coordinators as well as five orientation and training sessions for approximately 500 interns.

The annual Senate Services Expo for Senate office staff had 35 presenters from the offices of the Secretary of the Senate, SAA, AOC, USCP, and LOC providing an overview of their services to 250 staff. This is part of the orientation for new staff and the aides to the Senators-elect in addition to the seven orientation sessions held shortly after the November elections.

##### *State Training Events*

The Office of Education and Training provided 85 learning opportunities to State offices for which 2,813 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 2010, two sessions of the State Training Fairs were attended by 63 State staff. In addition, 62 State administrative managers and directors attended the State Directors Forum; 43 State staff participated in a a Constituent Services Forum. Education and Training also provided advanced all-staff meeting facilitation to more than 20 offices that were attended by more than 650 staff. Additionally, the office offered 33 Video Teleconferencing classes, for which 1,707 State staff registered and 28 webinars that were attended by 288.

To date, 692 State and Hill staff have registered and accessed a total of 1,534 different lessons and publications using Internet-based training covering technical, professional, and language skills. This allows staff in both the Hill and State to take training at their convenience. Education and Training also provides 54 Senate-specific self-paced lessons that have been accessed more than 3,200 times.

### *Health Promotion*

In the Health Promotion area, 3,070 staff participated in 56 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.

Health Promotion also coordinates Weight Watchers, yoga, and Pilates sessions using its revolving fund. More than 260 staff participated in at least one of these programs.

### 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 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 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 Web 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 the 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 2010 were \$1,566,884.32. Cost of goods sold during this same period was \$1,275,359.81, accounting for a gross profit on sales of \$291,524.51.

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, 2009, the balance in the revolving fund was \$2,969,766.74. The inventory purchased for resale was valued at \$2,964,598.93.

### *Additional Activity*

#### *Government Accountability Office (GAO) 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 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 during the verbal feedback portion of the GAO exit interview. The recommendations provided by the GAO at the conclusion of their observation had either already been implemented or will be adapted as recommended as part of our future operational procedures.

#### *Environmental Fair*

The gift shop participated in both 2010 U.S. Senate Environmental and Energy Fairs sponsored by the 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, biodegradable travel mugs, and a travel mug produced from 100 percent U.S. natural corn products.

*Selected Accomplishments in Fiscal Year 2010**Official Congressional Holiday Ornaments*

The design and style of this year's Congressional Holiday Ornament reflected a new direction for the gift shop ornament program. No longer part of a 4-year series with a unifying theme, this year the ornament was created of cutwork metal assembled to create a three-dimensional scene. Colorful enameling on all sides completed the effect. The 2010 holiday ornament is a winter scene of the east front of the Capitol on a snowy evening with a horse-drawn carriage that suggests a time in our history near the end of the 18th century.

Sales of the 2010 holiday ornament exceeded 29,000 ornaments, of which more than 5,700 were personalized with engravings designed, proofed, and etched by Senate Gift Shop staff. This highly successful effort was made possible by the combined efforts of our administrative, engraving, and store staffs.

*Bookmarks*

New products introduced in 2010 included bookmarks depicting images of flowers and ground covers that are often planted by the AOC on the Capitol grounds. In all, there are 11 varieties of plants depicted on the canvas palettes. The images on these 2" x 8" canvas bookmarks serve as a unique reminder of the ever-changing appearance of the Capitol flower beds, and the anticipated timely changes that regularly occur because of the area's seasonal weather conditions.

*Webster Intranet Site*

The Web site continues to expand with the addition of new merchandise 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 2010**CVC*

The Senate Gift Shop continued 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. This series has once again been designed and produced by Tiffany & Co. 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.

## 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.

*Editorial Projects**Sesquicentennial of the Civil War*

The Historical Office has engaged in a number of projects to commemorate the 150th anniversary of the Senate's role in the Civil War. Historians have teamed with the Senate Curator to produce an exhibit in the Capitol on "The Senate's Civil

War”, and have assisted the staff of the CVC in selecting items for display related to the Civil War and Reconstruction. The historians have also prepared a booklet for distribution to remind Americans of the legislative and investigatory component of a story that is more often presented from a military or Presidential perspective. These projects will be complemented by online features on the Senate’s Civil War experience.

*Revised Kennedy Caucus Room Brochure*

The Senate’s naming of the Russell House Office Building Caucus Room in memory of John F., Robert F., and Edward Kennedy prompted the revision and redesign of the brochure for the room. The brochure is often used by Senators who host meetings in the Caucus Room. In addition to explaining the architectural and legislative history of the room, the brochure includes information on the Senators Kennedy and their individual connections to the Caucus Room along with updated photographs.

*Documentary Histories of the U.S. Senate*

The Historical Office continued work 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 to add new case studies as needed, eliminating the need for new print editions of past publications, reducing costs and paper use. Three parts (contested elections, censures, and expulsions) of this five-stage project have been completed, and substantial progress was made in the remaining two categories. Two cases were added this year in the impeachment category, as well as a revised and updated summary page on major investigations and case studies on the Pecora banking and Watergate investigations. A third case study of the Civil War-era Joint Committee on the Conduct of the War is nearing completion as well.

*States in the Senate*

In this collaborative project, staff historians have created timelines and compiled selected illustrative images for each of the 50 States. The States in the Senate will highlight persons and events in the State’s history that relate to the U.S. Senate to be featured on Senate.gov, which informs Senators, staff, and constituents alike. A Web design for the project has been created in partnership with the GPO and 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 have begun entering the timeline data and lists of Senators, and have begun identifying images for each timeline.

*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 Dr. 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 contain 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 continue to 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 have collaborated to plan an 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 have worked to expand and revise the “Research Collections” aspect of the database.

*Party Conference Minutes, 1965–1977*

In 1998 and 1999 the Historical Office staff edited, indexed, and published the Minutes of the Senate Democratic and Republican Conferences covering the years prior to 1964. The Historical Office is 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*

The remodeling of the Dirksen Senate Office Building auditorium into a hearing room created two large exhibit cases at its entrance. Working with the staff of the Senate Curator and the Senate Library, the Historical Office prepared exhibits that have now been installed on the life and career of Senator Everett M. Dirksen, Senate Republican leader from 1959 to 1969, and on the design and functioning of the office building named in his memory.

*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 Roland W. Burris; Richard Ahrenberg, who served on the staffs of Senators Paul Tsongas, George Mitchell, and Carl Levin; Richard Baker, the Senate’s Historian Emeritus; Eliza Letchworth, former Republican Secretary; Charles Ludlam, a former staff member for Senators James Abourezk and Joseph I. Lieberman; and James Zigler, former Senate SAA. The office also conducted an interview with Martin Charboneau and Mikhaila Fogel, the pages who volunteered to stay behind and serve during the last weeks of debate on the healthcare bill in December 2009. The office has also continued to seek and conduct interviews with current and former Senate spouses, and expanded on its collection of interviews highlighting the role of women on Capitol Hill. The complete transcripts of 30 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 “minutes” 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.” The assistant historian advised the congressionally mandated 50th Anniversary of the Vietnam War Commemoration group of notable Senate accomplishments during the Vietnam War era to be included in national commemorative event planning.

*Members’ Records Management and Disposition Assistance*

The Senate archivist held meetings with staff of Members who had announced their retirement to discuss schedules for closing and to ascertain specific archiving needs. These meetings emphasized planning for the preservation of permanently valuable records, particularly electronic records and selecting a home State repository with necessary preservation resources. Information and insights derived from these meetings has been incorporated into an “archives toolkit”, providing guidance

for offices opening in the 112th Congress. Of the 16 Senators who left office, 15 designated an archival repository. The archivist provided extensive assistance to the staff of the late Senator Robert C. Byrd to ensure the preservation of 1,500 cubic feet of records documenting his entire Senate career. These records have been transferred to the Robert C. Byrd Center for Legislative Studies at Shepherd University. The archivist revised the Handbook for Closing a Senator's Office and created an office closing timeline. The archiving "Quick Cards" available on the Secretary's Webster site were updated and augmented by a fourth card on social media communications archiving. The number of Senators who participated in Facebook, YouTube, Twitter, and other Web 2.0 sites in the 111th Congress was significant, and the Historical Office took the initiative to provide guidance for archiving aspects of these online records.

A series of brown-bag lunch discussions took place for archivists in Senate committees and Senators' personal staffs, focusing on records management, storage and electronic records. A "Coffee with the Archivist" of the United States also highlighted electronic records preservation. Informal meetings of Capitol Hill Archivists and Records Managers (CHARM) focused on description standards, electronic records, bibliographic reports, and briefings at the Center for Legislative Archives. A new initiative resulting from the CHARM meetings was the series of staff exit interviews conducted by Senator Byron L. Dorgan's archivist. These were edited by the Historical Office and then shared with the rest of the Senate's archival community. A committee staff interview form has been developed and is being adopted by committee archivists and systems administrators, particularly because of the context it provides to staff electronic files.

The Archivists' Listserv continues to be an effective means of updating archival staff about records management and historical topics. The Senate archivist worked with all of 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. The archivist presented an in-depth records management seminar for Senate offices at the Modern Archives Institute, which is now available for Senate staff on demand. The archivist presented a paper on the significance and role of the Advisory Committee on the Records of Congress at the Mid-Atlantic Regional Archives Conference.

#### *Committee Records Management and Disposition Assistance*

The Senate archivist provided each Senate committee 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 of the committees' electronic archiving revealed that almost all committees have voluminous electronic record backlogs requiring review. The backlogs fall into three categories:

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

There is a growing gap between the documentary quality of the records being archived from committees that have archivists as opposed to those without archivists. The archivist and deputy archivist have been compiling specific reports documenting this discrepancy. They distribute information on best practices for managing electronic records and have encouraged committees to hire professional archivists especially to focus on electronic archiving. There are now eight committee archivists on six committees (two committees have separate Democratic and Republican archivists.)

The archivist has been working with the Center for Legislative Archives information technology specialists to improve Senate infrastructure to facilitate the regular archiving of electronic records. This will establish a system to allow the Senate to transfer records in electronic form, eliminating the need for printing such documentation. The infrastructure upgrade will also permit the Center for Legislative Archives Holdings Management System to document the loan of records back to the Senate more thoroughly through the use of bar codes.

The archivist and deputy archivist are appointed members of the Next Generation Finding Aid Task Force established by the Advisory Committee on the Records of Congress to develop criteria to improve the finding aids for the Senate's archival records. They provided information and helped edit the first draft of the Report presented to the Advisory Committee. They anticipate that the Task Force will recommend adoption of the archivists toolkit as a system to manage record transfers, and are prepared to mediate, oversee, and support transfer documentation in this new application.

Over the past year, the Senate archivist oversaw the transfer to the Archives of 568 accessions of Senate records totaling 1,638.5 cubic feet of textual records and 627.28 gigabytes of electronic records. The archivist and deputy archivists responded to 203 requests for loans of archived records back to committees, totaling 1,028 boxes.

To further assist committee clerks, the archivists developed a new archives transfer form that facilitates searches in older archived records and brings Senate descriptive practices in line with archival best practices. Enhanced description has resulted in greatly increased accessibility of the records. Three basic archiving quick cards for committees were posted to the Secretary's site and are periodically updated. The cards supplement the Guidelines for Committee Staff pamphlet and accompany a records-preservation PowerPoint briefing also posted on the site. While this material has helped communicate the importance of recordkeeping to committee staff, it does not replace the effectiveness of a trained archivist on each committee staff.

A project is underway to scan committee record transfer sheets to the National Archives, dating from 1982 through 2004, into the OnBase document management system supported by the SAA. To date, records of 12 committees have been processed and updates are underway. The Center for Legislative Archives has received this information on CD-ROM both as a security measure and to enhance access to the records as they become open for research.

#### *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 the Congress. Its membership representing the Senate includes the Secretary of the Senate, who chaired the panel during the 110th 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. Following the Senate historian's participation in a meeting of the Public Interest Declassification Board in July that focused on declassification of the older records of the Congress, the Historical Office sent a request to the Center to proceed with a systematic review of classified Senate records more than 25 years old. As a result, the National Declassification Center will begin a preliminary review and analysis of declassification issues of the approximately 650 feet (1,625,000 pages) of classified records that are more than 25 years old. Records of highest anticipated research use will be given priority. The Historical Office also was given the opportunity to comment on the National Archives Reorganization Plan as it will affect Senate records, encouraging the Archives to provide congressional records with administrative support appropriate to the size of its holdings.

#### *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 with the Web team, the historians have added to Senate.gov such items as featured biographies, documentary histories, photo exhibits, reference material, and additional oral history transcripts.

In preparation for the upcoming Civil War sesquicentennial, the historians and staff have and continue to collaborate with the Web team to create new online features exploring the role the U.S. Senate during this national crisis, including an annotated time line of Senate-related events, profiles of key Senators, landmark legislation of the era, discussions of the constitutional crisis of secession, and a documentary history of the Joint Committee on the Conduct of the War. As the national commemoration of the war continues from 2011 to 2015, these and additional features will be presented in a timely manner.

Staff presented seminars on the general history of the Senate, Senate committees, female Senators, Senate Floor leadership, relations between the press and the Senate, the U.S. Constitution, and the history of Senate impeachment trials. The historians also participated in Senate staff seminars and Members' office retreats, and conducted dozens of briefings for specially scheduled groups. As part of the orientation program for newly elected Senators, the historian delivered an address on the

historical evolution of the Senate, and joined the associate historian in performing tours of the Senate Chamber and other historic spaces of the Capitol. The historian also spoke at the Senate's Constitution Day Program on the resources for researching Senate history. The associate and assistant historian met with various groups of teachers and students from around the Nation to aid in coordinating classroom activities to promote a better understanding of the Congress and its legislative duties, as well as working with research fellows and visiting scholars.

#### *Photographic Collections*

The Senate photo historian continued to ensure 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 continued to provide 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 with the development of the Civil War exhibit in the Capitol, by providing images from the Historical Office collection and obtaining images from other repositories. She also provided images for the two new exhibit cases in Dirksen Senate Office Building outside of the auditorium. She collaborated with the historical editor to design and publish the Kennedy Caucus Room brochure.

The photo historian worked closely with the Senate Photographic Studio during the transition to a new image browser, serving as a test office for the new system. She facilitated the transfer of historical maps found in the Russell Senate Office Building attic to the LOC Geography and Maps Division.

As the founder of CHARM, an informal group of Senate archivists, the photo historian planned numerous tours and professional development events for committee and Member archivists.

#### *COOP Planning*

As the Historical Office's COOP Action Officer and Emergency Coordinator, the photo historian continued to update the Office's COOP plan in the Living Disaster Recovery Planning System. She made regular back-ups of the office's vital electronic records to store off-site in a secure environment. She trained new staff members and interns in the Office's emergency evacuation procedures.

#### *CVC*

The historians supplied information and guidance to the staff of the CVC related to the educational component of the exhibition gallery. They have participated in the training program for staff-led tours, and provided text, images, 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 provided "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, Student Loan Repayment Program, Family and Medical Leave Act (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 com-

muters to the Smart Benefits Program, which is operated by the Washington Metropolitan Area Transit Authority.

#### *Recruitment and Retention of Staff*

Human Resources staff have 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 the 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 continue 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.

#### *Interns and Fellows*

Human Resources staff manage 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.

#### *DOD's Operation Warfighter (OWF) Program*

In December 2010, Human Resources on behalf of the Secretary received approval to host Wounded Warriors from the 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 (CFC)*

The office has again taken an active role in the CFC for the Senate community at-large. The office staff serve 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 (SecSen). Information Systems staff also interface closely with the application and network development groups within the SAA, GPO, and outside vendors on technical issues and joint projects. The department provides computer-related support for all local area network (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 2010 Technology Initiative Summary*

The department technology initiatives concentrated in four specific areas:

- Improvements in work flow process efficiency;
- Deployment of improved hardware and software technologies;
- Business continuity planning and disaster recovery improvements; and
- Network perimeter and end point security awareness.

*Operate More Efficiently*

Replaced all computer workstation hardware in the Capitol; Hart, Dirksen, and Russell Senate Office Buildings; and Webster Hall locations. Developed, tested, and installed application software for the Senate Library, Curator, Historian, Human Resources, Interparliamentary Services, Public Records, Captioning, LIS Project Office, and Page School staff locations.

Completed second phase of network printer hardware replacement program by replacing all network printers in 21 departments and offsite locations with improved high-speed models that reduce energy use up to 50 percent with instant-on technology.

Replaced all BlackBerry device hardware for Secretary of the Senate staff (73 units) and applied soft token virtual private network access to the Senate network for all device users.

Purchased and installed the Disbursing Office GRB server hardware.

Purchased and installed server and application to remotely deploy software updates to all Disbursing workstation hardware.

*Deployment of Improved Hardware and Software Upgrades*

*Legislative Offices.*—Completed 18 major LIS software upgrades and installed the updated LIS application software in all legislative clerk offices, ACFs, and offsite home laptop locations. Virtualized the LIS applications for the Senate Library staff which streamlined the availability of application for LIS users.

Added network array storage portable servers at the ACF. This solution provides a nightly scheduled backup of Secretary of the Senate workstation software to the Secretary of the Senate Emergency Operations Centers (EOC).

Virtualized the workflow process in the Office of Public Records (OPR) providing high availability to their computer desktops for OPR staff when they are not at their normal desktop office locations. Retired a dedicated AT&T fiber link between the OPR and the Federal Elections Commission (FEC). Worked with the SAA Network Engineering staff to implement a replacement VLAN connection to the FEC which is more secure and can be expanded to alternate locations if needed.

Upgraded legislative staff with improved laptop hardware 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 located offsite. Virtualization of mission critical workstation applications lowers 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, making it available to a wider range of key personnel who require the application access.

Upgraded and migrated BlackBerry device users to the BlackBerry Exchange Server Version 5.0 Server solution. Information System support staff now has a process to monitor the BlackBerry device operation and provide a higher level of remote BlackBerry support.

Added additional staff with secure access to the Senate network through the Senate Web portal with Passface account access. Presently 119 of 169 personnel assigned to the Secretary of the Senate's hybrid enterprise (70 percent) have some form of secure remote access to Senate network resources.

Developed a standardized software template and replaced all Disbursing Office laptops.

Worked with the Senate library staff and the SAA Technology Development staff to integrate an incident reporting software application for Library staff use. This issue tracker application resides on a Secretary of the Senate server and documents the support issues for the SIS program.

*Business Continuity Planning and Disaster Recovery Improvements*

Secure remote access to essential applications and information is integral to pandemic preparedness and business continuity initiatives. By scaling existing technologies, and integrating new hardware solutions, the overall level of H1N1 planning preparedness was dramatically elevated in the each office. This level of proactive planning significantly impacted the remote access capability and provided staff the needed access to the Senate network resources during the February 2010 blizzard.

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 back-up (encrypted) file transfer method has also been implemented among GPO, the Senate Office of Legislative Counsel, and the office of the Secretary.

Completed the Parliamentarian office indexing software project and migrated the previous process to a new hardware platform. The results allow a virtualized environment to index precedent information without purchasing a specific laptop or personal computer.

Installed additional laptop hardware for the office of Captioning Services in the Capitol. This ensures that if Captioning staff is displaced from their location they can continue to provide content to the Senate Recording Studio (SRS). Successfully tested final SRS channel link in October 2010.

Redesigned and enhanced the operation of Member accountability application used during COOP exercises by implementing a virtualized desktop process to run the application. Integrating this application with a remote desktop feature to ensure the application is always available for staff during a COOP event. Extended this virtual solution for the Secretary of the Majority and the Secretary of the Minority of-fices.

Virtualized the OPR hardware server, office workstations, and scanning operation. In fiscal year 2010, completed the second phase to encompass both the server and client application process.

Implemented and integrated personal computer teleconferencing application into the existing video teleconferencing (VTC) network. This provides offsite VTC to internal Senate users without the need for a VPN connection. Upgraded hardware products in the Office of the Secretary and Disbursing Office conference room locations.

#### *Network Perimeter and End Point Security Awareness*

In partnership the SAA Security Operations Center, installed the next generation Senate antivirus and firewall protection.

Information Systems staff continue to monitor email spam filtering applications. Present rate of undesirable email messages average 9,000 messages per day.

Implemented a monthly automatic backup of critical workstation software applications. This process eliminates countless hours of attempting to clean infected systems. Additionally, these monthly backups can be stored at an offsite facility and serve as a tool in restoring workstation applications in the event of an emergency.

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 manage the Alerts notification database for all Secretary staff. Database information is verified nightly to ensure email, voice, and BlackBerry PIN information is valid and will function during an emergency.

After implementation of the software deployment server, Information Systems staff continue to maintain the inventory of all applications for 280 workstation installations. Information Systems 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 From 2010*

As server and laptop hardware nears the end of the maintenance life-cycle, replace older hardware servers with virtual server solutions. All Active Directory server hardware was updated in fiscal year 2010, and wherever possible virtual solutions were implemented in order to provide a higher level of network resource availability, reduce data center hardware costs, and reduce electricity usage.

Evaluate low-cost computing terminal emulation hardware for offsite and designated COOP locations.

#### INTERPARLIAMENTARY SERVICES

The 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 2010, IPS staff were responsible for organizing the following interparliamentary conferences:

- the U.S.-China Interparliamentary Group in China;
- the U.S.-Russia Interparliamentary Group in the United States;
- the Canada-U.S. Interparliamentary Group in the United States; and
- the Mexico-U.S. Interparliamentary Group in Mexico.

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, visas, 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 staff also assist 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 the 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 or the general public regarding congressional protocol.

On behalf of the Senate Majority and Minority Leaders, IPS staff arrange 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.

Planning is underway for the Mexico-U.S. Interparliamentary Group, the U.S.-China Interparliamentary Group, and the British-American Parliamentary Group which will be held in the United States in 2011.

#### *COOP Planning*

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

#### LIS PROJECT

The 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: LIS Augmentation Project (LISAP)*

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 the Extensible Markup Language (XML) as the primary data standard to be used for the exchange of legislative documents and information. Following the implementation of the LIS in January 2000, the LIS Project Office shifted its focus to the data standards program and established LISAP. The overarching 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 the 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 Committee on Appropriations, and the GPO. The XML authoring application is called LEXA, an acronym for 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.

#### *LISAP: 2010*

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. GPO also 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. The LIS staff trained new drafters and interns in the use of LEXA.

Changes to LEXA included upgrading all users to Xmetal 5.5. Xmetal is the underlying software for LEXA, and the 5.5 version is Vista-compatible. In the latter half of 2010, the LIS Project Office began a project to update the underlying software, Xmetal, to version 6.0 which is Windows 7-compatible. The upgrade projects required extensive testing of LEXA on multiple operating systems including XP, Vista, and Windows 7. LEXA improvements included updates to the conversion from locator to XML and additional features for the office drafting appropriations bills to accommodate the different styles and formats of those bills. A new feature was added to create title amendments as separate documents, and new functionality was created to combine a list of titles or divisions into one document and to split a single document into multiple titles or divisions.

#### *COOP 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.

#### *LISAP: 2011*

The LIS Project Office will continue to work with and support all the offices now using LEXA to produce legislative documents. Enhancements to LEXA make the process more efficient and consistent so that most of the legislative measures produced by those offices will be created as XML documents. All LEXA users will be upgraded to Xmetal 6.0: some users on XP, some on Windows 7, and a few on Vista.

The LIS Project Office will continue to work with the House, GPO, and the LOC on projects and issues that impact the legislative process and data standards for exchange. These groups are currently participating in two projects with the GPO, one to define requirements for replacing the Microcomp composition software and another to handle graphics in some legislative documents. The office will work with the SLC and their House counterpart office to implement new functionality for maintaining and printing the compilations of existing law in XML.

#### LIBRARY

The Senate Library provides legislative, legal, business, and general information services to the United States Senate. The LOC'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 LOC also authors content for three Web sites:

- LIS.gov;
- Senate.gov; and
- Webster, the Senate's Intranet.

The transition of the SIS program from the Senate SAA to the Senate Library continued with the transfer of contracts for news-related services in October 2010. Two town hall style meetings and six focus group sessions provided opportunities for Senate staff to provide direct feedback on the Senate's online research tools. The Library hosted an online survey in December to reach State staff and those unable to attend the focus group sessions. Results from the survey will be used to review

program offerings and to target outreach and training efforts related to those resources.

The LOC'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: total patron accounts are up 44 percent, new patron accounts are up 26 percent, and online book requests are up 36 percent. Loans of audiobooks increased 22 percent and new books by 15 percent.

A new Webster page, Nomination Hearings for Supreme Court Justices, provides links to full-text hearings since Louis Brandeis in 1916.

The Library catalog now provides Senate staff with desktop access to more than 34,000 electronic versions of items in its collection, an increase of 15 percent more than 2009.

A new table, Senate Freshmen since Direct Election (1914), was added to Senate.gov.

Two well-received exhibits, one on the "Senatorial Life of Everett Dirksen" and the other on the "Dirksen Senate Office Building", were installed at the request of the Senate Committee on Rules and Administration in the cases flanking the entrance to the Dirksen auditorium (SDG-50). The exhibits were collaborative efforts with the Senate Curator's Office and the Senate Historical Office.

Successful collaboration between the Library, the Office of Web Technology, and the Assistant SAA/CIO Office resulted in the creation of a completely new taxonomy for the Senate Services Directory (Red Book) on Webster. Online access to the Red Book will occur in early January 2011.

#### *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 dramatically increased the demand for Library resources. Inquiries in 2010 increased 12 percent more than 2009, reflecting new Web-based service promotional initiatives. These numbers show that Senate staff and others are using Senate.gov and Webster content authored by the library. Reference librarians continue to assist Senate staff with challenging research in areas including legal and public records, legislative histories, news and journal articles, and to find answers to questions they "can't figure out how to tackle."<sup>2</sup>

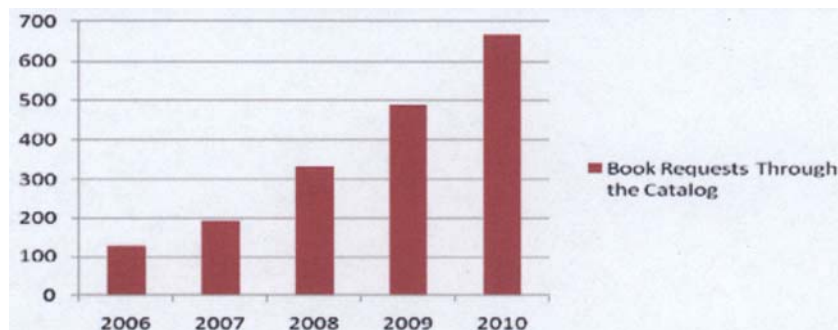
#### SENATE LIBRARY INQUIRIES

Year	Traditional	Web page visits			Total	Change from prior year (percentage)
		Webster	LIS	Senate.gov		
2010 .....	26,696	88,886	19,000	2,926,712	3,061,294	+ 12
2009 .....	27,318	70,461	21,092	2,612,897	2,731,768	+ 8
2008 .....	27,283	51,048	29,468	2,429,380	2,537,179	+ 67
2007 .....	26,309	65,793	32,121	1,392,947	1,517,170	- 10
2006 .....	31,032	80,375	20,156	1,561,138	1,692,701	+ 88
2005 .....	33,080	57,608	26,775	782,588	900,051	( <sup>1</sup> )

<sup>1</sup> Baseline.

The Library received 666 online book requests in 2010, an increase of 36 percent 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 online bibliographies that highlight the Library's collections of audiobooks, travel books, and new books. Audiobook loans increased by 22 percent, travel books by 25 percent, and new books by 15 percent more than 2009 levels.

<sup>1</sup> Comment by a survey respondent in the 2011 *SIS Online Survey Report*, p. 34.



The Library's concerted effort in 2010 to reach new patrons resulted in a 44 percent increase in borrowing accounts more than 2009. Seventy-four percent of the Library's patrons are Senate office and committee staff members while the remaining 26 percent of users are support office staff.

Almost half of this patron base consists of new users of the library. A total of 999 new patrons were registered in 2010, an increase of 26 percent more than the number registered in 2009.

Other activities for 2010 included setting up 274 new computer accounts for our patron workstations, and providing the following document printing and delivery services:

#### INFORMATION SERVICE SUPPORT ACTIVITIES

Category	Total
Circulation:	
Document deliveries .....	4,499
Item loans .....	3,251
Pages printed:	
Microform pages printed .....	857
Photocopies .....	71,983
Document delivery total .....	80,590

#### *Senate Library Content Creation*

##### *Senate.gov Web Site Content*

A new table, Senate Freshmen Since Direct Election (1914), was added to Senate.gov. This table counts Senate freshmen at the beginning of each Congress and includes appointments that occurred just before or after the opening of the Congress.

##### *Senate Webster Content*

A new page, Nomination Hearings for Supreme Court Justices, was launched in June in advance of scheduled confirmation hearings for Supreme Court nominee Elena Kagan. The page provides links to full-text hearings since Louis Brandeis in 1916. This page is tied to another Library-authored page, How to Find Supreme Court Nomination Information. The full-text hearings were also made available through the Library catalog, and Library staff created two new finding aids for JSTOR, a nonprofit service of more than 1,000 academic journals and other scholarly content, and appellate court briefs.

##### *SIS Program Content*

The Library's Digital and Instructional Resources Librarian led two working groups to create two new Webster pages that highlight SIS resources. The first group worked on a FrontPage (the SIS home page) redesign that includes tabbed navigation and links to more Senate-wide databases. The other group researched the online availability of newspapers in each State, which make up the State NewsWatch page. Both pages were created in response to feedback from Senate focus groups and launched at the beginning of the 112th Congress.

#### *Senate Library Web Site Content*

A library team revised and updated the About the Library, Using the library, and Borrowing Books pages on the library's Web site. These pages now provide staff a clearer understanding of the library services, policies, and collections.

#### *Other Digital Content*

Library staff initiated a retrospective digitization of the Senate Executive Calendars in response to staff requests for older editions of the calendar. This collaborative project between the library and the Senate Executive Clerk will build a complete digital collection from the library's bound editions and form the basis for a future online digital archive.

#### *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, 1,154 document records and 2,016 term 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) Redesign*

The online Services Directory is a joint effort between the SAA's Assistant Sergeant at Arms/Chief Information Office and the Library. 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 2010, 245 "keymatches" were established and 240 edits 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, LIS Savvy, Research Tools on Your Desktop, Services of the Senate Library, and Got Questions? In 2010, 91 classes and tours were offered, with a total of 379 Senate staff participating. Classes and tours are held frequently to allow librarians to interact with smaller groups and create a more customized learning experience for the attendees.

LOC, Office of Web Technology, and the Joint Office of Education and Training collaborated on redesigning the LOC class registration page. The redesign offers a more streamlined registration process, has reduced posting errors, and has increased the opportunities for the reference team to market classes to Senate staff.

LOC gave numerous tours to Senate groups and outside library professionals, including each semester's Senate Page School class, librarians from the Supreme Court Library and the National Defense University, library school students, and 18 separate groups of summer interns from Senate offices. The LOC hosted a university library school student on a semester-long practicum. The LOC also participated in the Senate Services Fair, reaching out to 91 attendees.

In an effort reach Senate staff more directly, an email signatures pilot program was launched to highlight library services, resources, training opportunities, and the SIS online survey. The email signatures link to a featured resource and change monthly to coordinate with the Library's overall promotional program. Other promotional efforts include several Webster announcements and flyers with monthly LOC and SIS vendor training course offerings.

Two new reading lists were created to highlight books in the LOC's collection: The Civil War in Books and Great Reads for New Senate Staff. Both bibliographies are available on Webster and are highlighted with display cases and Web promotional announcements. The Civil War in Books is the LOC's contribution to the commemoration of the sesquicentennial of the start of the Civil War, and the Great Reads list is designed to reach new Senate staff who want to broaden their knowledge of Senate history and their understanding of legislative process and procedure.

### Collection Development

#### Audiobooks

The Library acquired 35 new audio book titles in 2010, bringing the total number to 125 titles. Designed to assist users with diverse needs, including those who may be visually challenged, the program remains popular with patrons whose 797 loans were equivalent to circulating each item in the collection six times over. An online bibliography on Webster contains links to the catalog and the online book request form.

#### New Digital Resources

The LOC worked with LexisNexis and Westlaw to remove the login prompt and provide direct Senate-wide access to title-level database search pages through its Serials Solutions A–Z electronic journals list on Webster. A tangible result of these efforts to improve utility saw overall searches increase 19 percent to 5,524 and a 60 percent increase in the use of all online resources indexed over the same period last year. Content was updated to include 43 new databases that result from changes in vendor offerings.

In 2010, the library began offering Senate-wide access to these e-books, all published by Congressional Quarterly:

- Guide to Congress;
- Guide to the Presidency;
- Guide to U.S. Elections;
- Landmark Legislation, 1774–2002; and
- Major Acts of Congress.

The Library began offering Senate-wide access to a legislative histories database on the LexisNexis 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.

Library reference services were enhanced through the acquisition of Federal News Service transcripts and JSTOR archival journal content. These resources expand the range of questions that reference librarians can answer.

#### 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 10,078 government publications in 2010. In response to the trend of issuing government documents in electronic format, 5,505 links were added to the library catalog, bringing the total number to 34,443, an increase of 15 percent more than last year. The links provide Senate staff desktop access to the full text of each document.

#### ACQUISITIONS, 2010

Category	Total
Congressional documents .....	7,790
Executive and judicial branch publications .....	2,288
Books (including audiobooks and e-books) .....	761
Electronic links .....	5,505
Total acquisitions .....	16,344

#### 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 the LIS, the 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 2010, the Legislative Validation Clerk submitted 248 corrections out of hundreds of thousands of verified legislative actions that took place during the year.

## LEGISLATIVE VALIDATION CLERK CORRECTIONS, 2010

Office	Submitted
Bill, Enrolling, Executive, Journal, and Legislative Clerks .....	88
Reporters of Debates, Morning Business Editor, and Daily Digest .....	109
GPO and LOC—LIS .....	51
Total, corrections .....	248

*Cataloging*

The Library's cataloging staff produces and maintains a catalog of more than 213,000 bibliographic items. During 2010, they added 3,736 new titles to the catalog and performed 23,839 record maintenance and enhancement activities. New materials are in large part made up of congressional materials that are cataloged and made available to staff and patrons the same day. The 45 percent decrease in new titles cataloged from the previous year can be attributed to a decrease in the number of retrospective materials cataloged and an increased attention to catalog maintenance and enhancement activities, such as correcting subjects and names that have become obsolete and retrospectively adding 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, including creating the records that drive functionality in the new online Red Book Senate Services Directory and analyzing logs of unsuccessful searches to create "keymatches" that target Webster search results.

Cataloging staff participated in a nationwide project, coordinated by the LOC, to create a set of test records for evaluating new cataloging rules, called Resource Description and Access (RDA), that are slated for possible implementation in 2011. After receiving in-house training, catalogers contributed 39 RDA test records.

Catalogers created 553 bibliographic records for Senate hearings not yet printed from 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 538 book jacket images in 2010, an increase of 79 percent, enhanced the catalog's visual appeal.

*Library Automation*

The Library worked with the Information Systems Office to develop and deploy a new updated workstation template for the Library. For the first time, the new workstations made use of virtual access to frequently updated applications, eliminating conflicts between applications, reducing required workstation maintenance, and minimizing staff disruption.

A server-level upgrade of the integrated library system software used to maintain our online catalog was completed, and a new Web-based interface for generating reports from the system was implemented. The new system takes advantage of enhancements in the catalog database and offers new reporting formats.

A new virtual server was implemented to house the Senate knowledge base. The database software was installed in December in preparation for the migration of the database. The virtual server provides enterprise-level data backup and replaces obsolete hardware. The Information Systems Office provides maintenance support for the virtual server and remote management tools for use by Library staff.

The Library and the Information Systems Office worked with SAA staff to configure and test an off-the-shelf application to log, track, and route incoming SIS support requests. New processes and procedures were also established to monitor email and telephone requests and establish data entry and statistical requirements.

*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 330 volumes, an increase of 74 percent from 2009, 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 2010, a total of 456 volumes were sent out for binding, and 378 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 2010 online research services and subscriptions totaled \$38,077 over the next 3 years. After 13 years of budget monitoring, savings total \$149,013. This continual review of purchases eliminates materials not meeting the Senate's current information needs. This oversight is also critical in 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 2010 Unum issues include articles written by department interns on the history of the August recess, the State of the Union dinner hosted by the Secretary of the Senate; a feature on the slave labor plaque installed in the Capitol; a piece on the Curator's "Rumors" Web site; two articles about archiving Senate records by Senate Archivist Karen Paul; a feature about the 150th anniversary of the Civil War from a congressional viewpoint; 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*

David O. Stewart, author of *Impeached. The Trial of President Andrew Johnson and the Fight for Lincoln's Legacy*, was the featured speaker at the Library's 12th annual book talk in honor of National Library Week.

### *Display Cases*

Two well-received displays, one on the "Senatorial Life of Everett Dirksen" and the other on the "Dirksen Senate Office Building", were installed at the request of the Senate Rules Committee in the cases flanking the entrance to the Dirksen auditorium (SDG-50) in collaboration with the Senate Curator's Office and the Senate Historical Office. Hallway display cases outside the LOC continue to educate staff and visitors alike while highlighting the LOC's collections. Display cases featured this year include:

- Civil War Capitol;
- Civil War in Books;
- Kids Books on Political Pets;
- Great Reads for New Staff; and
- History Lives at Your Library, a display highlighting African-American contributions to government, aviation, and medicine.

The Great Reads for New Staff reading list has proved especially popular with staff and circulation of the books on the list skyrocketed. The Civil War in Books and the Civil War Capitol display are part of the LOC's commemoration of the 150th anniversary of the start of the Civil War.

### *Cooperative Projects*

Hearing URL data from the Library catalog is exported weekly to provide LIS and THOMAS with full-text links to Senate hearings. The library contributed 1,051 new Senate hearing links to the LIS database during 2010, a 50 percent increase more than 2009.

The Library's Cataloging Supervisor completed work with Joint Committee on Taxation staff on a project to supply bibliographic records for a set of committee documents submitted for scanning at the Federal Scanning Center at LOC. The Committee provided the LOC with printed versions of any documents in the set not already in our collection. In 2010, a total of 412 new titles were added to the LOC's catalog as a result of this project.

### *Major Library Goals for 2011*

Complete procurement of Senate-wide online research services for fiscal year 2012.

Create a team to evaluate Library course offerings and explore opportunities to contribute to the Office of Education and Training's task-based curriculum tracks. Provide a unified presentation of Library and SIS vendor-sponsored training on FrontPage.

Complete transition of the Red Book Services Directory from pilot project to production service. Continue to develop new entries for the alphabetical organization display.

Create an outreach committee to coordinate content, methods, and dissemination of targeted service and promotional offerings to reach new Senate offices and State staff.

Task a working group with review and enhancement of SIS custom user interface for LexisNexis.

Continue to work with SIS program vendors to make additional news-related content available through Senate NewsWatch and the InfoViewer product.

Provide cataloging staff training in preparation for the possible implementation of new cataloging rules, called Resource Description and Access (RDA), by LOC and other libraries worldwide.



SENATE LIBRARY ACQUISITIONS FOR CALENDAR YEAR 2010

	Books		Government documents			Congressional publications				Total
	Ordered	Received	Paper	Fiche	Hearings	Prints	Bylaws	Reports/ Docs		
January .....	22	61	120	21	307	10	113	157	789	
February .....	7	30	109	64	219	9	77	123	631	
March .....	33	67	145	126	455	22	165	361	1,341	
1st Quarter .....	62	158	374	211	981	41	355	641	2,761	
April .....	25	73	152	70	334	16	94	120	859	
May .....	26	62	35	90	255	17	155	277	891	
June .....	20	105	171	129	263	8	105	167	948	
2nd Quarter .....	71	240	358	289	852	41	354	564	2,698	
July .....	23	73	97	32	343	12	113	249	919	
August .....	16	42	237	7	304	10	70	403	1,073	
September .....	82	52	174	60	184	4	76	205	755	
3rd Quarter .....	121	167	508	99	831	26	259	857	2,747	
October .....	22	102	85	42	334	3	54	372	992	
November .....	15	63	39	15	357	11	96	100	681	
December .....	8	31	225	43	364	13	92	192	960	
4th Quarter .....	45	196	349	100	1,055	27	242	664	2,633	
2010 Total .....	299	761	1,589	699	3,719	135	1,210	2,726	10,839	
2009 Total .....	314	831	1,653	464	3,660	204	1,162	2,540	10,514	
Percentage change .....	-4.78	-8.42	-3.87	+50.65	+1.61	-33.82	+4.13	+7.32	+3.09	

SENATE LIBRARY CATALOGING STATISTICS FOR CALENDAR YEAR 2010

	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	Docs./ Pubs./ Reports			
January	36	26	4	3		17	222	26	67	365		
February	25	13				16	131	17	57	234		
March	28	17	1	3		9	243	7	131	411		
1st Quarter	89	56	5	6		42	596	50	255	1,010		
April	34	29	7	8		8	75		62	189		
May	17	24		10		10	127	8	206	385		
June	73	22	1	4		7	116	6	104	260		
2nd Quarter	124	75	8	22		25	318	14	372	834		
July	9	20	3			13	200	4	97	337		
August	17	18	2	2		8	166	1	90	287		
September	8	29	8	3		8	73	4	43	168		
3rd Quarter	34	67	13	5		29	439	9	230	792		
October	27	42	14	8		2	76	27	163	334		
November	21	73	5	10		18	104	70	57	342		
December	17	25	1	7		6	263	64	58	424		
4th Quarter	65	140	20	25		26	443	161	278	1,100		
2010 Total	312	338	46	58		122	1,796	234	1,135	3,736		
2009 Total	331	677	155	107		153	3,876	1,185	321	6,791		
Percentage change	-5.74	-50.07	-70.32	-45.79	-97.79	-20.26	-53.66	-80.25	+253.58	-44.99		

## SENATE LIBRARY DOCUMENT DELIVERY FOR CALENDAR YEAR 2009

	Volumes loaned	Materials delivered	Facsimiles	Micro-graphics center pages printed	Photocopiers pages printed
January .....	376	322	17	50	4,361
February .....	202	286	16	83	4,154
March .....	360	390	11	99	4,417
1st quarter .....	938	998	44	232	12,932
April .....	282	420	12	100	9,032
May .....	252	318	14	49	5,495
June .....	248	326	11	91	9,294
2nd quarter .....	782	1,064	37	240	23,821
July .....	285	382	16	60	11,443
August .....	220	374	13	109	3,867
September .....	255	377	27	20	4,753
3rd quarter .....	760	1,133	56	189	20,063
October .....	212	362	34	8	4,942
November .....	306	395	41	108	4,860
December .....	253	397	11	80	5,365
4th quarter .....	771	1,154	86	196	15,167
2010 Total .....	3,251	4,349	223	857	71,983
2009 Total .....	3,118	4,159	212	1,378	71,756
Percentage change .....	+ 4.27	+ 4.57	+ 5.19	- 37.81	- 4.77

## 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.

Two page classes successfully completed their semester curriculum. Closing ceremonies were conducted on June 4, 2010 and January 28, 2011, the last day of school for each semester.

Orientation and course scheduling for the spring 2010 and fall 2010 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 foreign language seminar on basic grammar terminology was offered fall 2010.

Study skills sessions were provided to identified students in need of training.

Faculty and staff provided extended educational experiences to pages, including 20 field trips, two guest speakers, opportunities to play musical instruments and vocalize, and foreign language study with the aid of tutors. Eight field trips to educational sites and two guest speakers were provided for summer pages as an extension of the page experience.

National tests were administered for qualification in scholarship programs. Fourteen pages took 28 Advanced Placement exams in 11 subjects.

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.

The evacuation plan and COOP plan have been reviewed and updated. Pages and staff continue to practice evacuating to primary and secondary sites.

Staff and pages participated in escape hood training, and staff renewed certification in CPR/AED procedures.

All students and staff participated in a Constitution Day event.

Computer Services upgraded the Page School's library computers to include Microsoft 2007.

#### *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, and a foreign language seminar on basic grammar terminology will continue to be offered each semester;
- 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; and
- Staff development options include attendance at seminars conducted by Education and Training and subject matter and/or educational issue conferences conducted by national organizations.

#### 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, U.S. 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 2010, the OPDS prepared 3,698 requisitions authorizing GPO to print and bind the Senate's work, exclusive of legislation and the Congressional Record. Since the requisitioning done by the OPDS is central to the Senate's printing, the office is uniquely suited to perform invoice and bid reviewing responsibilities for Senate printing. As a result of this 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;
- tributes to retiring Senators;
- art and historic objects in the Senate;
- The Kennedy Caucus Room brochure;
- 2010 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 ensuring that costs billed to the Senate are accurate. OPDS utilizes a program developed in conjunction with the SAA Computer Division that

provides greater billing accuracy and information gathering capacity; and adheres to the Senate Committee on Rules and Administration's transcription services billing guidelines for commercial reporting companies. During 2010, OPDS provided commercial reporting companies and corresponding Senate committees a total of 820 billing verifications of Senate hearings and business meetings; more than 59,000 transcribed pages were processed at a total billing cost of \$554,214.

During 2010, the office processed all file transfers and billing verifications between committees and reporting companies electronically ensuring efficiency and accuracy.

#### *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 more than 10,000 distinct legislative items during the 2nd Session of the 111th 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 2010, more than 12,000 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 where 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 and reports. On-demand publication allows the department to cut the quantities of documents printed directly from GPO and reduces waste. 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, the 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 2010, more than 5.5 million sheets of 100 percent recycled paper were ordered by Senate offices, representing a 22 percent increase more than the previous year. During the last 3 years orders for fully recycled stocks

have increased 750 percent. The office works diligently to track document requirements, monitoring print quantities, and reducing waste and associated costs. More than 400 new and revised print jobs were routed electronically for customer approval improving turnaround time and efficiency.

The office continues working with the GPO on behalf of its customers, to improve efficiency and to meet the evolving needs of the Senate. Focus on COOP 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, 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 2009 through September 2010, 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 the Lobbying Disclosure Act of 1995, as amended (collectively, the "LDA"). 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 2010 Accomplishments*

The office continued to implement S. 1, the Honest Leadership and Open Government Act (HLOGA), which amended the LDA and the Senate Code of Conduct. The office posted two guidance updates and concentrated on LDA compliance issues, referring 2,473 cases of potential noncompliance 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 2011*

The Public Records office will assess technology infrastructure needs, as well as continue to semiannually review and update the LDA Guidance as needed. The office will 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 2010, the Senate Office of Public Records worked with the 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 5,147 documents containing 358,500 pages.

#### *Lobbying Disclosure Act of 1995 (LDA), As Amended*

The LDA requires semi-annual financial and lobbying activity reports. As of September 30, 2010, there were 4,635 registrants representing 18,776 clients. The total number of individual lobbyists disclosed on 2010 registrations and reports was 12,754. The total number of lobbying registrations and reports processed was 131,410.

#### *Public Financial Disclosure*

The filing date for Public Financial Disclosure Reports was May 17, 2010. The reports were made available to the public and press by June 16, 2010 as required by statute. Public Records staff provided copies to the Select Committee on Ethics and the appropriate State officials. A total of 3,191 reports and amendments were filed containing 21,651 pages. There were 463 requests to review or receive copies of the documents.

#### *Senate Rule 35 (Gift Rule)*

The Senate Office of Public Records received 316 Gift Rule/Travel reports during fiscal year 2010.

*Registration of Mass Mailing*

Senators are required to file mass mailing reports on a quarterly basis. The number of pages submitted during fiscal year 2010 was 495.

STATIONERY ROOM

The United States Senate Stationery Room is the provider of office and administrative supplies, personalized stationery, and special order items for official Government business. The Stationery Room serves all Members, support offices, and other authorized organizations.

The Stationery Room fulfills its mission by:

- Utilizing open market, competitive bid, statutorily required, and/or 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; and
- Ensuring the integrity of all funds and other government assets under our control.

	Statistics	
	Fiscal year 2009	Fiscal year 2008
Gross sales .....	\$3,343,167.00	\$3,594,733.94
Sales transactions .....	44,626	47,459
Purchase orders issued .....	6,354	6,586
Vouchers processed .....	7,022	7,073
Office deliveries .....	5,986	5,661
Number of items delivered .....	136,021	134,191
Number of items sold .....	390,528	439,042
Total cartons received offsite .....	22,583	.....

*GAO Audit*

At the request of the Secretary of the Senate, in September 2010, GAO conducted an inventory observation and audit of the Stationery Room financial operations. The Stationery Room received a positive review during the verbal feedback portion of the GAO exit interview. The recommendations provided by GAO at the conclusion of their observation had either already been implemented or will be adapted as recommended as part of our future operational procedures.

*Fiscal Year 2011—Looking Ahead*

Subject to funding availability, the Stationery Room anticipates an upgrade to its point-of-sales operations, by upgrading/replacing obsolete signature capture devices at the counter. This update would permit transaction receipts to be emailed to the office at the time of sale, eliminating the generation and loss of paper receipts, and a more environmentally friendly process.

The Stationery Room hopes to launch a pilot project that will allow constituents to make online flag purchases from Senate offices utilizing credit cards to orders. In addition, the Stationery Room anticipates launching online ordering of stationery supplies by Member and committee offices in 2011.

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

*The Senate Web Site—Senate.gov*

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

*Major Additions to the Web site in 2010*

Rumors! Tall Tales About Senate Art [http://www.senate.gov/artandhistory/art/myths/myth\\_homepage.htm](http://www.senate.gov/artandhistory/art/myths/myth_homepage.htm)

The online exhibit dispels common rumors regarding Senate art. This project was a multi-year effort, and the final online version is the product of close collaboration with the Curator's Office.

*Artifact Browse List Collections*

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

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

[http://www.senate.gov/artandhistory/art/common/collection\\_list/Beyond\\_Cap\\_Hill.jsp](http://www.senate.gov/artandhistory/art/common/collection_list/Beyond_Cap_Hill.jsp)

Created new and interesting ways for the Curator's Office to group artifacts and for these artifacts to be displayed, researched, and enjoyed by a large and diverse audience. The flexibility of these lists made it possible to reorganize the artifacts on Senate.gov into a much more useful manner.

*Decorative Art Added*

[http://www.senate.gov/pagelayout/art/a\\_three\\_sections\\_with\\_teasers/DecorativeArts.htm](http://www.senate.gov/pagelayout/art/a_three_sections_with_teasers/DecorativeArts.htm).

The previously mentioned artifact browse lists were instrumental to getting new genres of artifacts online. The addition of furniture, mirrors, timepieces, and ephemera makes even more of the Senate Art collection available for all to enjoy in a fun and informative display.

*Daily Senate Floor Report*

[http://www.senate.gov/legislative/LIS/floor\\_activity/floor\\_activity.htm](http://www.senate.gov/legislative/LIS/floor_activity/floor_activity.htm).

The online report highlights morning, legislative, and executive business that occurred in the previous day. This one report combines information previously only available in several different documents and provides hyperlinks to relevant information, such as bill summary and status pages, treaties, nominations, and roll call votes. Previous days' data will be made available in the coming year.



*Public Records Feedback Form*

[http://www.senate.gov/legislative/Public\\_Disclosure/feedback\\_form.htm](http://www.senate.gov/legislative/Public_Disclosure/feedback_form.htm).

The newly added Web form provides an additional avenue of communication with the Office of Public Records.

*Investigation Committees*

<http://www.senate.gov/artandhistory/history/common/briefing/Investigations.htm>.

Produced new page templates and modified existing ones to allow the Historical Office to showcase and share their rich historical accounts of Senate and Joint Committees involved in investigations. These highlight Members involved and trace the origins through the outcome of these Committees. This is surely an area that will continue to expand over the years as we are able to add more information about past investigation Committees and as future ones arise.

*Committee FAQ*

[http://www.senate.gov/general/common/generic/committee\\_faq.htm](http://www.senate.gov/general/common/generic/committee_faq.htm).

In response to many emails sent to the public Webmaster account, data gathered from Web traffic tools, and analysis of searches entered, this new page was created to answer question about committees and clear up common misconceptions.

*Legislative Process Information Enhanced*

[http://www.senate.gov/pagelayout/legislative/d\\_three\\_sections\\_with\\_teasers/process.htm](http://www.senate.gov/pagelayout/legislative/d_three_sections_with_teasers/process.htm).

Revamping this section greatly added to the amount of information available on the legislative process. A related enactment of law section was also created and linked as a companion: [http://www.senate.gov/legislative/common/briefing/Enactment\\_law.htm](http://www.senate.gov/legislative/common/briefing/Enactment_law.htm).

*Senate Chronology Page*

[http://www.senate.gov/pagelayout/history/one\\_item\\_and\\_teasers/chronology.htm#chronology=y1787\\_1800](http://www.senate.gov/pagelayout/history/one_item_and_teasers/chronology.htm#chronology=y1787_1800).

Implemented a new and interesting way to display historical information in conjunction with the Historical Office. The new display puts all information on a single page which allows the user far more interaction.

*Seven Featured Biographies*

[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).

*Four Oral Histories*

[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).

*Visitors Section Expanded*

[http://www.senate.gov/pagelayout/visiting/a\\_three\\_sections\\_with\\_teasers/visitors\\_home.htm](http://www.senate.gov/pagelayout/visiting/a_three_sections_with_teasers/visitors_home.htm).

Unique subsections were added in the visitors section for employment and procurement opportunities. The employment page allows for the browsing of positions available with the Secretary of the Senate, SAA, Member, and committee offices. The information for these positions come from unique systems and are combined into a single useful resource location.

Homepage feature articles were published on the following topics:

- Yea or Nay voting in the Senate;
- Celebrate National Library Week: Browse Senate Art Publications;
- Biographical Directory: Who's Who in Congress;
- The Role of Committees in the Legislative Process;
- Senate Art Exhibits: Learning about the Senate;
- Focus on the Constitution: The Connecticut Compromise; and
- Explore the Senate's Decorative Art Collection.

The screenshot displays the Webster Senate Intranet website. At the top, the logo for the Webster United States Senate is visible, along with navigation links for 'Emergency? Dial 911', 'Webster Help', and 'Feedback'. Below the logo, the main navigation bar includes 'SERGEANT AT ARMS', 'SECRETARY OF THE SENATE', 'CHAPLAIN', and 'RULES COMMITTEE'.

The page is divided into several sections:

- SECRETARY OF THE SENATE**: A sidebar menu listing various offices and services, including Executive Office, Legislative Offices, Administrative, Information & Preservation, and Joint Offices.
- Secretary of the Senate's Office: Services for the Senate**: A section featuring a portrait of Samuel Allyn, Clerk, and a text block describing the role of the Secretary of the Senate. It states that the Secretary is the chief legislative, financial, and administrative officer of the U.S. Senate, responsible for keeping minutes and records, paying senators, and receiving/transmitting official messages.
- Executive Office Staff**: A list of staff members with their titles and phone numbers, including Nancy Erickson (Secretary, S-312), Sheila M. Dwyer (Asst. Sec., S-414C), Adam Bramwell (Counsel, S-333), Robert Parton (CoS, S-333), Beth Provenzano (S-312), Col. Swindson (S-333), Gerald Thompson (Cap Ofcs Liaison), Zoraida Torres (Senior Exec Accts Admin), and Mari Triggs (Staff Asst., S-414D).
- Secretaries of the Senate**: A section featuring a portrait of Nancy Erickson and text stating she was elected Secretary of the Senate on January 4, 2007. A link is provided for the 'Complete List of Secretaries of the Senate'.
- Frequently Requested Links**: A list of links including 'Archiving in the Senate', 'Employee Benefits (Disbursing Office)', 'Floor Orientation Guide', 'Reserve the LBJ Room (S-211)', and 'Telephone Directory'.
- Monthly e-newsletter**: A section with a 'Subscribe or Unsubscribe (send generated e-mail)' link and a list of past newsletters from March 2010 back to April 2009.

The Secretary of the Senate Intranet (<http://webster.senate.gov/secretary>) continued to expand information and services offered. An archive for UNUM, the newsletter of the office of the Secretary of the Senate, was established and linked to from the front page. 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.

A catalog-based ordering system was developed for the Stationery Office, which will allow staff to order online. The new system is managed with the content directly from the Stationery Office's existing Microsoft Retail Management System (RMS). The ordering system was designed and implemented with the intent of being especially helpful to State offices. This project was a multiple-year effort involving several different departments and the diligent work of four interns who were instrumental in associating pictures with products.

FrontPage, the Web portal for the SIS, was moved to the Secretary's internal domain and has a completely new look. Web technology worked very closely with the Senate Library to help establish and provide surveys, announcements, and information regarding the transition in addition designing, developing, and launching the new site, [frontpage.senate.gov](http://frontpage.senate.gov), in a short period of time. The design utilizes more advanced technologies to make the site interesting and useful. All feedback suggests the new design is very helpful and well received by users.

Webster Central Web site—Webster.senate.gov

The screenshot displays the Webster Central Web site interface. At the top, the Webster logo and navigation tabs (Home, Services, Leadership, Legislative, News & Research, About the Senate) are visible. The main content area is divided into several sections:

- Phone Directory:** A search box for Senators and Committees, with a 'Find' button.
- Floor Schedule:** A section for the next meeting on Tuesday, March 16, 2010, at 10:15 a.m. It lists recent votes and currently active H.R. and S. numbers.
- Announcements:** A section for RSS feeds and a 'Did You Know?' tip about printing meeting notices.
- Events:** A calendar view for March 2010, with a detailed view for Tuesday, March 16, 2010. It lists events such as '12:00 a.m. - 12:00 a.m. Got Questions? Tour the Senate Library!', '9:30 a.m. - 12:00 p.m. Armed Services Committee: Room 3H-216', and '10:00 a.m. - 11:30 a.m.'.
- System Outage Status:** A green indicator showing the system is online.
- Links:** A list of useful links including 'Attending Physician', 'United States Senate', 'New Staff Orientation', 'FrontPage', 'CRS', 'LIS.gov', 'Disbursing Office', 'Education & Training', 'Technology Catalog', and 'Help Desk'.

In conjunction with the SAA, Chaplain, and Senate Rules Committee, Web Technology continued administering, managing, and enhancing the central section of Webster. Web Technology partnered with the SAA and the Senate Library to enact major changes to the services tab, the search functions, and the links available on the lower left of the home page.

The services tab is now a categorical listing of services available to the Senate that provides relevant Web pages, phone numbers, and addresses in a very easy to use interface. The data is produced using a taxonomy system and integrated through the CMS. The same source data is used to populate the newly expanded Webster search. This very advanced technique allows the same source file used for the services to produce the most relevant search results in the new directory in real time and without additional work.

Web Technology continue to further streamline the management of content on the central site 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 on XML across both sites and having them integrated into the Secretary's CMS was essential to making this possible.

#### *Senate Legislative Branch Web site (Legbranch.senate.gov)*

The Legbranch server is accessible by the Senate, House of Representatives, LOC, AOC, GAO, GPO, CBO, and USCP. 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 2010*

Completed the CMS upgrade on time and under budget. New hardware hosts the most currently released versions of the software (as of January 2010) that comprises the CMS. This upgrade has proven to be the most stable environment yet. Additionally, Web Technology built a complete development repository that mimics the production environment. This allows us a much greater ability to customize the system and try out various solutions without compromising the uptime or efficiency of the production version.

Added the Daily Senate Floor Report to Senate.gov. This represents a milestone, as this project has been worked on for approximately the past 5 years. The online

report highlights morning, legislative, and executive business that occurred the previous day. This one report combines information previously only available in various printed documents. Having much of the data hyperlinked to relevant information, such as bill summary and status pages, treaties, nominations, and roll call votes, makes this a tremendously useful resource.

Audited the Senate.gov Web 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.

Worked with new Senate offices to establish and maintain temporary Web pages including a picture, biography, and contact information until they were able to get permanent Web sites established.

Responded to approximately 1,000 emails from the general public regarding Senate.gov sites. Worked with various content providers, Web support groups, the SAA, Member, and committee offices to make suggestions and resolve issues.

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 the services (Red Book) recently released.

Prepared for the release of an online version of the Secretary of the Senate's Report. Collaborated with the Disbursing Office, the Committee on Rules and Administration, and GPO to formulate a strategy to provide the report in a useful and secure manner.

Produced several new versions of the Senate Chief Counsel for Employment Web site. Worked closely with the office to achieve their desired look through several iterations of design, development, and review.

Designed and developed a seminar registration application for the Senate Chief Counsel for Employment. The system allows customized links to be sent which auto-populates a registration form along with a complete class list.

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

Participated in Capitol Hill working group determining ideal manner of providing public legislative data in a secure, downloadable, and searchable format. Other entities involved in this project are the House of Representative, GPO, and the LOC.

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 our workstations on office laptops, which we all may access. Regardless of which staff member uses which laptop, the experience will be ubiquitous and consistent with being in the office.

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, Web Technology is 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 a 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.

Created virtualized development server for the Secretary's Intranet. Also, maintained virtualized production server for the Secretary's Intranet and dedicated search server.

Worked with the Historical Office and GPO in the design of a new stand-alone site for the Historical Office's States project that will be available to the public as well as Senate staff. All required data templates for the new site have been established in the content management system.

Continued to enhance subject-based collection lists for the Senate Curator. Initially the lists organized art objects by sitters. It has been expanded to other subject areas, all drawn from the Curator's maintained object database, along with more advanced control options for Curator staff.

Developed a new vote menu display that utilizes legislative handles and has new display features as requested from the Legislative Clerks. Working closely with the LIS/DMS group to implement requested data changes that will coincide with the new display.

Successfully transitioned more than 700 hyperlinks to GPO's FDSys as they phase out GPOAccess.

Built an entire new back-up server for the CMS at the ACF with the SAA, ensuring our COOP plan can be implemented. The ACF server is an exact replica of the production system and is continually tested to serve as a real time replacement should the production server become inoperable. Shortly after the upgrade was completed, Senate.gov experienced a hardware failure that necessitated the use of the ACF environment while the Senate was in session and votes were occurring. Due to extensive planning, Web Technology was able to stand up the alternative system in approximately 1 hour, a major accomplishment.

#### *Senate.gov Usage Statistics*

In 2010 an average of more than 275,000 visits occurred per day on Senate.gov. Again this year, approximately 26 percent of visitors entered through the main Senate homepage. The majority came to the site through the main Senators' contact page; growth in visits is likely due to the addition of XML data to the contact page and associated automated requests.

Title of Web page	Visits/month	Average duration	Visits from United States (percentage)
Senate.gov site .....	8,521,779	16 minutes	90
Senate homepage .....	1,856,960	15 seconds	( <sup>1</sup> )

<sup>1</sup> Not available.

Reviewing statistics on Web page usage helps the content providers better understand what information the public is seeking and how best to improve the presentation of that data. Visitors are consistently drawn to the following content items, listed in order of popularity.

#### MOST VISITED PAGES IN 2010

Top pages	Visits/month	Visits/month	Average duration (seconds)
Senators contact info list .....	276,248	624,056	42
Committees .....	67,194	92,871	37
Legislation and records .....	56,264	75,156	80
Active legislation .....	49,139	63,931	167
Votes home .....	48,793	68,966	68
111th, 2nd Session vote menu .....	44,242	74,223	146
Employment positions .....	40,471	48,703	416
Calendars .....	33,594	73,100	182

By a huge margin, the most popular page on the main Senate Web site is the list of Senators with links to their Web sites, comment forms, main office addresses, and telephone numbers. Visitors also continue to be interested in legislative matters in 2010 with Roll Call Vote Tallies, the Active Legislation table, Committee assignments, and schedules being particularly popular. The visits per month did decrease across some of the most visited pages on the site. A big increase is noted for the visitors to the employment pages now offered on Senate.gov indicating this is a much used and valuable resource.

Senator NELSON. Thank you.

Senator Hoeven has now joined us.

Do you have any opening remarks that you might want to make before we ask the SAA to make his presentation?

Senator HOEVEN. Only briefly, Mr. Chairman. Thank you.

My only opening comment, at this point, is to thank all of you for being here, and even more so for the incredible job that you do. I've just been here a short while, but I can't help but be impressed by what you do and how well you provide for not only the Members

themselves, but also for all the other things that you do that go into a really complex and difficult job. This, of course, is the people's capitol in the greatest Nation in the world. And so, your responsibility is tremendous.

And you're really on a world stage. I can think of all the times that I saw, on television, Terry Gainer leading the President in during the State of the Union Address. And, of course, all of the things that go into securing these premises, Chief, and still making it friendly to the public.

PREPARED STATEMENT

And so, Nancy, to you, and to all of you, for the job that you do, again, in providing for the Senators, the Members of Congress, and, at the same time, keeping this incredible complex that is so historically significant and so magnificent in every way for the responsibility you have and the way that you conduct your duties every day, I just want to commend you for that; and, of course, look forward to working with you on this very important aspect of doing that important job; and, of course, that's the budget.

So, thank you so much.

[The statement follows:]

PREPARED STATEMENT OF SENATOR JOHN HOEVEN

Thank you, Chairman Nelson, for calling this hearing to consider the fiscal year 2012 legislative branch budget requests for the Secretary of the Senate, the Sergeant at Arms (SAA), and the United States Capitol Police (USCP). I would like to join you in welcoming our witnesses: Secretary of the Senate, Nancy Erickson; Senate SAA, Terry Gainer; and the Chief of the USCP, Phillip Morse; and their deputies and assistants who will be assisting with testimony. I thank you all for being here with us today for this important discussion on how the agencies you represent are planning to move forward in the coming fiscal year.

The Secretary of the Senate's office is requesting \$31.99 million, a slight increase of 0.2 percent to restore the across-the-board rescission that was taken of all non-defense, discretionary appropriations in the final fiscal year 2011 continuing resolution. This funding request maintains the transfer of the Senate Information Services program from the SAA to the Secretary's office, so I am pleased to have both of you here today to speak about this particular program, its funding needs and the success of its transfer.

The SAA total request is \$219.2 million, an increase of \$214,000, or 0.1 percent, which includes \$77.6 million for salaries and \$141.6 million for expenses. The subcommittee worked very closely with the SAA and the Secretary's office last year to ensure that appropriate funding was in place for the Telecom Modernization and Payroll System Upgrade projects, so I am very interested in hearing about how those projects are progressing.

Finally, the USCP request totals \$387.6 million, an increase of \$47.5 million, or 14 percent, which includes an increase of \$22.2 million, or 8 percent, for salaries and \$25.3 million, or 40 percent, for expenses. I am interested to hear about improvements that have been made in the budget formulation process, after the budget miscalculations from fiscal year 2010, and whether or not any improvements have been made in the overtime issue that the USCP continues to face. And of course, I look forward to an update on the Radio Modernization Program.

As you are all painfully aware, the completion of the fiscal year 2011 appropriations process included great debate on both sides of the aisle and both sides of the Capitol on how best to reduce overall spending across the Federal Government. While we made reductions to many funding levels in the legislative branch, for the most part each of the appropriations accounts within your agencies was either held relatively harmless or received an increase when compared to fiscal year 2010. I would suggest that you should not anticipate receiving such favored treatment in the fiscal year 2012 budget—we must seriously begin the process of scaling back funding in all appropriations accounts, even if it means giving up some of the services we are accustomed to receiving here in the Capitol complex.

I look forward to working with you on the funding issues for your agencies as we move through the fiscal year 2012 process.  
Thank you, Mr. Chairman.

Senator NELSON. Thank you, Senator Hoeven.

## SERGEANT AT ARMS AND DOORKEEPER

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

Mr. GAINER. Thank you, Mr. Chairman and Ranking Member Hoeven. I appreciate the opportunity to join my colleagues before you this afternoon to discuss our budget submission for the upcoming fiscal year.

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

Senator NELSON. And it will be.

Mr. GAINER. Mr. Chairman, we have spoken, over the past few years, about the importance of tightening our belts amidst the fiscal turmoil we find ourselves in, and we have heard you with unmistakable clarity. Senator Hoeven and I and my two colleagues recently met with him and had a very similar conversation.

Accordingly, the budget request I have submitted for fiscal year 2012 is, as you indicated, just a bit more than \$219 million. That is an increase of less than \$250,000 more than the fiscal year 2011 enacted level, and 9 percent, or \$20 million, below the amount I requested in fiscal year 2011. This year, we have chosen to defer requests for upgrades to our IT systems and for increased capacity for our data storage networks, requests we would have made in a better budget environment.

To the extent we have some urgent needs that cannot be deferred further without affecting operations of the Senate, we will submit a request to the subcommittee to use our remaining prior year unobligated funds to cover them.

I am proud of the efforts my staff has made to reduce costs across the agency, and we will continue to look for ways to achieve additional savings with uncompromising service to the community.

The SAA is a member of the legislative branch procurement group—this is an example of some savings—which enables legislative branch agencies to recognize savings and economies of scale by working together on common contracts and acquisition activity. Through these combined efforts, legislative branch agencies have saved \$6.6 million during 2009 and 2010.

Mr. Chairman, our budget has remained virtually flat for 3 consecutive years. We have identified and eliminated all of the so called low-hanging fruit in our budget. I fear that further reductions will adversely impact our service to you and the Senate community. In order to be good stewards of the taxpayers' money, it is my responsibility to make sure that we are providing the infrastructure, security, and support needed for this institution to run smoothly. These services take place not only here in Washington, but in the 454 State offices.



My 40-plus-page written testimony covers accomplishments and challenges during the past year. Let me give you just a few highlights.

In the last 2 years, our phone system was overwhelmed by the massive volume of calls generated by the healthcare debate. Senators were upset, rightly so, and so were your constituents. There were gaps in the phone service between Members and their constituents, and our voicemail system was unable to withstand the pressure. It was our job to ensure that this does not happen again.

To that end, offices were introduced, last year, to the Watson Messaging and Watson Online directory updates. These functions provide one of the key things officers were asking for: the ability to tailor their internal processes to better meet their constituents' needs. The new phone system, which will begin to roll out later this year, will be even more robust than the current one, and will eliminate the volume-related issues we have seen in the past.

Our IT successes this year included the continuation of our server virtualization efforts. We will reduce energy, maintenance, and support costs by running more than 500 servers in the virtual environment.

Our Help Desk team achieved a customer satisfaction rating of more than 96 percent—an excellent level. We successfully processed 257 million email messages in the past year, while protecting our customers from spam and malicious messages.

And we continue to update the tools the Senators and staff can use to stay connected with each other and their constituents: adding smartphones and other mobile wireless devices to our catalog, and upgrading the already robust video conferencing capabilities.

This subcommittee granted us approval last year to relocate our printing, graphics, and direct-mail function from Postal Square on Capitol Hill to the new offsite facility located in Landover, Maryland. Thank you very much. We are very grateful for your leadership on this endeavor, and proud to report that the project is on schedule, actually a little bit ahead of schedule, and under budget, and will generate a substantial savings in cost as we move forward. Our return-on-investment calculations appear to be right on target. We'll save more than \$10 million in the 20 years, for about a 3.6 percent return on investment.

During 2010, our post office processed the second-highest volume of mail in the last decade. I'm pleased to announce, in February of this year the Senate Post Office began accepting credit and debit cards, an added convenience for our customers. There's been very good feedback on that.

The number of floor proceedings has increased, the number of committee hearings has substantially increased, the number of radio feeds that we've sent out has increased. All this has been brought about by the allocations that you, Chairman, and your budget committee have given us.

In May 2010, we opened a Hart Senate Office Building appointment desk to assist staff in escorting guests to the Capitol. Our five Senate appointment desks collectively welcomed nearly 165,000 guests during 2010. Our customer and employee satisfaction levels have never been higher. The numbers are very good, both within the SAA and Senate-wide. But, providing quality service to the

Senate wouldn't be possible without our close working relationship with the Secretary of the Senate, the USCP, the Architect of the Capitol (AOC), and the Senate Committee on Rules and Administration.

Recently, just as another example, in working with the Senate Rules Committee and the USCP, we implemented a new Senate floor closure policy that establishes a clear and concise hours of operations of the doors. This initiative will save 8,970 hours of overtime and \$553,000 annually. Chief Morse and the Rules Committee worked very hard on that.

We have a great team, led by Martina Bradford, my deputy; Bret Swanson in Operations; Chris Dey, our Chief Financial Officer; Pat Murphy, Human Resources Director; Kim Winn, the Chief Information Officer; Christy Prietsch, who serves the entire Senate community and has been very busy in the Employee Assistance Program; Cam Stickley, Education and Training Director; Becky Daugherty, our protocol officer; Rich Majauskas, in Continuity and Emergency Preparedness; Mike Stenger, in Intelligence and Protective Services; and Rick Edwards, in Capitol Operations.

The only area in which I have not been successful is to change Nancy Olkewicz from an oppressor to one who's oppressed. But, we are working on that. And I will be happy to answer any questions.

#### PREPARED STATEMENT

But, I would just like to say something to my partner, Chief. Many of the drivers of the USCP budget increase lie in the constant challenges imposed by the USCP Board, ongoing threats, and the Chief's proactive desire to enhance safety. So, while that seems like, "Why do we keep raising that?" I sometimes wish the board could come and testify about all the angst we go through to try to make this place safe.

Thank you, Sir.

[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 you 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 to enhance our contributions to the Senate in the coming year.

For fiscal year 2012, the SAA respectfully requests a total budget of \$219,176,000. This is an increase of \$214,000 more than the fiscal year 2011 enacted level, and \$20,000,000 (or 9 percent) below the amount requested in fiscal year 2011. This modest budget request will allow us to maintain, for now, the level of service we provide to the Senate community. Mr. Chairman, you have spoken over the past few years about the importance of tightening our belts amid fiscal turmoil and we have heard you with unmistakable clarity. This year, we have chosen to postpone making requests for upgrades to our information technology (IT) systems and for increased capacity to our data storage networks, requests we would have made in a better budget environment. Instead, as the committee previously requested, we are submitting a request to use prior year unobligated balances for the technology items we removed from the fiscal year 2012 budget.

I am proud of the efforts my staff has made to reduce costs across the organization and will continue to look for ways to achieve additional savings without compromising service to the Senate community. Mr. Chairman, we have remained flat for 3 years now. We have exhausted our efforts to eliminate the so-called "low-hanging fruit". I fear that additional cuts to this budget will significantly impact our

service to the Senate community. The appendix accompanying this testimony elaborates on the specific components of our fiscal year 2012 budget request.

In developing this budget and our operating plans, we are guided by priorities framed in our Strategic Plan, including ensuring the United States 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 preparedness efforts during the past year placed a premium on our interaction with Senate offices. During 2010, each office was personally visited or contacted by a member of our emergency preparedness team multiple times in response to support requests or to update emergency plans. Each contact was designed to enhance and upgrade our program and ensure that Senate staff has the essential tools necessary to respond during an emergency. We leveraged these interactions to ensure we addressed preparedness planning, emergency notification protocols, emergency equipment, and accountability of staff throughout an emergency event.

Our IT successes this year included the continuation of our server virtualization efforts, where we reduce energy, maintenance, and support costs by running more than 500 servers in a virtual environment. Our Help Desk team achieved a customer satisfaction rating of more than 96 percent at the satisfactory or excellent level. We deployed new voice messaging and directory update capabilities as part of our ongoing telecommunications modernization project. We successfully processed 257 million email messages during calendar year 2010, while protecting our customers from spam and malicious messages. And we continued to update and expand the tools that Senators and staff can use to stay connected with each other and their constituents—supporting iPhones and iPads, adding mobile wireless devices to our technology catalog, and upgrading our already robust video conferencing capabilities.

In other services, our cabinet shop designed, built, and installed 177 pieces of furniture, a 43 percent increase from the previous year. The demand for framing services increased by 6 percent more than the previous year with a total of 2,764 orders completed. During fiscal year 2010, our Printing, Graphics, and Direct Mail (PGDM) department continued to improve operations and respond to the demand for producing documents from digital files. By utilizing the latest technology in digital printing, the publishing section produced 7.8 million pages, an increase of 81 percent more than fiscal year 2009. Another area of high demand during fiscal year 2010 was the production of charts. By upgrading software to process files quicker, PGDM produced 9,273 large-format charts, an increase of 15 percent more than fiscal year 2009.

And Mr. Chairman, in fiscal year 2010, this subcommittee approved the use of prior year unobligated funding to relocate the Postal Square printing and mailing operations to a new facility in Landover, Maryland. This relocation has a projected net positive cash flow of \$2.8 million and 3.6 percent return on investment over 20 years. Design plans have been approved for the build-out of the facility, and the SAA has contracts in place to support moving equipment and installing data communications and a security system. Construction started in January 2011 and PGDM will begin moving equipment in July 2011 and take occupancy in September 2011. We greatly appreciate your support in this effort.

My organization continues to be a good steward of taxpayers' dollars as we continue to elevate our performance. 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. I was pleased to announce in February of this year that, as an added convenience for our customers, the Senate Post Office now accepts credit and debit cards. Feedback from our customers has been extremely positive.

The year 2010 represented another busy period for the Recording Studio. Last year, we provided 1,078 hours of gavel-to-gavel coverage of Senate Floor proceedings. We provided broadcast coverage of 723 Senate committee hearings and 1,074 radio productions. Additionally, our team of seasoned professionals produced 1,066 shows for Senators from our television studios. In addition, this past year our Recording Studio broke new ground when we provided the land-based production and engineering support for an appropriations hearing which included a live video-conference with astronauts aboard the International Space Station.

To enhance our services to the Senate community, in May, 2010, we opened a Hart Senate Appointment Desk to assist staff in escorting guests to the Capitol. Our five Senate Appointment Desks collectively processed 163,811 guests during 2010. The total number of badges issued was the second highest in a given year since the appointment desks were created more than 26 years ago. The past 4 years have been extraordinary in that the Senate has been in session an average of 181 days from 2007 through 2010. This represents a 21 percent increase to the 150 average

number of days the Senate was in session from 1996 through 2006. Our customer satisfaction and employee morale levels have never been higher. All of this is to say that the SAA team is working toward the vision of our Strategic Plan: Exceptional Public Service . . . Exceeding the Expected.

Assisting with all of the efforts of the SAA is an outstanding senior management team including Martina Bradford, who serves as my Deputy; Republican Liaison Mason Wiggins; Assistant Sergeant at Arms for Capitol Operations Rick Edwards; 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 Kimball Winn; Chief Financial Officer Chris Dey; and Assistant Sergeant at Arms for Operations Bret Swanson. 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 the U.S. Capitol Police (USCP). I am honored this year to serve as Chairman of the United States Capitol Police Board and, in this regard, I value the input of the other members, House Sergeant at Arms Bill Livingood, Architect of the Capitol (AOC) Stephen Ayers, and Chief Phillip D. Morse, Sr., who is an ex officio member of the Board. Working with the Senate Committee on Rules and Administration and the USCP, we recently implemented a new Senate door closure policy that establishes clear and concise hours of operation for the doors in the Senate office buildings and the Senate side of the Capitol. This initiative will save 8,970 hours of overtime duty and \$553,000 annually.

The 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, the 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 blessed with 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 SAA, I have seen their great work and devotion to this institution. The employees of the SAA are among the most committed and creative in Government.

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 situation. Each year we strive to improve these procedures using industry best practices and lessons learned. We made significant strides to ensure staff preparedness through enhancing Emergency Action Plans (EAP), mobility-impaired evacuation procedures, internal relocation actions, and the annual Chamber Protective Actions exercise.

The central document that reflects our preparedness efforts is the EAP and I am pleased to inform you that 100 percent of Senate offices now possess a customized version based on their unique circumstances and needs. In this past year, 65 percent of all Senate office EAPs were reviewed and validated using guidelines set forth by the Occupational Safety and Health Administration and the Congressional Accountability Act (CAA). Significant areas of improvement included the addition of office-specific shelter-in-place locations, internal relocation actions, and AIRCON threat procedures. We collaborated with the Senate Chief Counsel for Employment to develop EAPs for all Senators' hideaways. This included confirming evacuation routes for Senators and deploying additional emergency equipment. We met with new office managers and established an EAP for each office assigned to a swing space. We subsequently made appropriate adjustments as offices were moved to permanent suites. This effort involved collaborating with each office's Office Emergency Coordinator (OEC), installing and transferring emergency equipment, and training office staff.

Accommodating staff with accessibility needs is outlined in each office's EAP and is an integral portion of our training efforts. A major enhancement to our program this year is the increased capability to simultaneously evacuate mobility-impaired

individuals from both the primary and alternate emergency staging areas within the Senate office buildings instead of just one location.

Last year I reported on the implementation of the internal relocation program. This year I am pleased to announce the completion of our program rollout. We collaborated with the AOC to install signage throughout the Senate office buildings indicating internal relocation sites. In response to numerous office comments, comfort stations have been deployed to all sites including the Dirksen Senate Office Building stairwells. Notification messages were developed and displayed in collaboration with the House of Representatives and USCP. We have also conducted six individual office exercises to validate our plans and messages and will execute more in calendar year 2011.

The protection and preparedness of Senators, staff, and visitors within the Senate Chamber is one of our main focus areas. Each year we test and validate the Chamber Protective Actions plan by conducting a full-scale exercise within the Chamber. The 2010 exercise proved to be the most comprehensive and complex exercise to date. The exercise linked together Chamber Protective Actions procedures with the deployment of escape hoods and comfort stations along with the subsequent execution of the USCP Senate Leadership AIRCON Rally Point Plan and Briefing Center Plan.

#### *Emergency Communications and Accountability*

We continued to improve notification and communication programs this year 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 population. We conduct monthly tests for staff and biannual tests for Senators in conjunction with the USCP, Secretary of the Senate, party secretaries, and other stakeholders. These tests are designed to ensure our emergency messaging system is reaching all intended recipients. This year we introduced the ALERTS Dashboard to provide our office and the USCP with real-time accountability data through a user-friendly graphic interface. This capability was tested during the summer recess evacuation drills in the assembly areas and at the USCP Incident Command Post. We also continue to support USCP assembly area operations through the deployment of tablets and laptops with faster connections, greater reliability, and ergonomic features. We consistently reinforce the importance of accountability with Senate staff by conducting Remote Check-in drills and training using BlackBerry devices. We trained 406 OECs and achieved a 60 percent successful reporting rate this year, demonstrating increased participation over the last 2 years.

The SAA provides "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 SAA leadership with amplifying information regarding ongoing events. Due to reliance on these two systems, the Dialogic Communicator System was upgraded to provide better completion percentages of voice messaging to desk and mobile phones. Additional capabilities were added to the Chyron Cable TV Alert System to handle digital and high-definition channels. The system is now fully capable of sending alert messages via digital channels once they are activated by the AOC.

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 common operating picture. Multilayered mapping has proven to be a highly effective emergency management technique for government and law enforcement agencies throughout the country. We also continue to administer WebFusion to promote collaboration between the Senate, House of Representatives, GAO, and AOC emergency managers through seamless information sharing across networks. Additionally, WebFusion has allowed legislative branch users to connect to local and State emergency managers throughout the National Capital Region. Information sharing between legislative and executive branch emergency managers is further being improved through the installation of a Homeland Secure Data Network (HSDN) terminal. 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 will assist in intelligence gathering, situational awareness, decisionmaking, 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 variety of preparedness and life-safety awareness information to enhance personnel and office protection. This year, 274 training sessions were conducted in which more than 5,600 staff were trained on a variety of preparedness topics. We initiated an OEC certificate program in 2008 for staff that completed requisite emergency preparedness courses and were pleased to issue 25 certificates this year. This certificate recognizes an OEC's willingness and commitment to enhance their professional knowledge in emergency preparedness and to be ready to support any emergency action that may occur on Capitol Hill.

The culmination of our emergency preparedness training and outreach programs is the Senate's National Preparedness Day event held each September as part of National Preparedness Month. This event invites members of the emergency management community throughout the National Capital Region to set up static equipment displays, provide program capability awareness training, and demonstrate new products. I had the pleasure of introducing USCP Chief Phillip D. Morse, Sr. and National Weather Service Director Dr. John Hayes as guest speakers to address our theme of "One Minute—One Life: Are You Prepared?" to more than 100 staff members at this year's event.

Our continued management and support of emergency protective and communication equipment caches in each Senate office has been a key preparedness posture. These caches allow offices to receive notifications from the USCP to shelter-in-place, deploy to their designated internal relocation site, or use specified equipment to evacuate the building. Each cache includes escape hoods, emergency supply kits, and wireless emergency annunciators. Our office ensures functionality through an annual inventory of assigned equipment and replacement of expired items. All swing spaces and permanent suites for freshmen Senators were supplied with equipment prior to occupancy at the beginning of the 112th Congress. More than 270 offices and more than 27,000 pieces of equipment were inventoried over the past year alone. Additions to the equipment program include emergency news radios for office supply kits, deployment of Victim Rescue Units to primary and alternate staging elevator caches, installation of portable comfort stations and lockers at internal relocation sites, and implementation and activation of an AIRCON warning and notification system for the fourth floor of the Capitol.

We released an updated version of the Roadmap to Readiness in 2011 and included an Emergency Response Guide, a condensed, portable version of critical emergency information. The Roadmap to Readiness is a comprehensive guide designed to equip offices with the necessary tools to create emergency plans for Washington, DC and State offices. It also suggests how to educate and train staff to respond appropriately in emergencies. Additionally, new Web-based training classes have been developed to provide staff with the means to educate themselves from the convenience of their desktops.

We are improving audio and visual capabilities in rooms primarily used for training Senate staff, but are used as EOCs during special events or emergencies. The ability to display information on multiple screens is essential for EOC operations and will also greatly improve the capabilities needed to provide technical training to Senate staff. SAA is simultaneously working to improve similar capabilities at the Alternate Computing Facility (ACF) in Manassas in case the primary location is unavailable, and a briefing room in the CVC that may be used as a situation room or operations center during a shelter-in-place. Upgrading capabilities at these locations will ensure senior staff is equipped to manage special events and emergency incidents through better information management and improved situational awareness.

### *Exercises*

A comprehensive exercise program is structured to ensure Senate plans are practiced and validated regularly. The SAA and Secretary of the Senate conduct several joint exercises annually with the USCP, AOC, Office of Attending Physician, party secretaries, and other key congressional stakeholders. A total of 15 exercises, tabletops, and guided discussions were completed in 2010, covering all aspects of emergency response including offsite alternate chamber, emergency operations center, chamber protective actions, briefing center, transportation, contingency telecommuting, accountability measures, internal relocation, mass casualty, and alternate office space. We successfully exercised a Chamber evacuation leading to Briefing Center activation to further test our abilities to quickly set up contingency facilities resulting in the most comprehensive Chamber exercise to date. A "no-notice" exercise was conducted to test the ability to activate an after-hours contingency site

without warning. 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 to document lessons learned for future plan improvement. More than 15 exercises are scheduled for 2012 in addition to numerous training events and smaller-scale tests and drills designed to maintain and strengthen existing capabilities while addressing emerging needs and solutions.

#### *Continuity and Recovery*

This year Continuity and Emergency Preparedness Operations (CEPO) focused on developing contingency transportation and classified site plans as well as validating existing plans and procedures. We continued collaborating with Senate offices and committees to develop internal continuity of operations plans (COOP) and train staff accordingly. We acquired new transportation assets and developed accompanying activation and operations plans by leveraging our external support organization. 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.

As part of its plans to refine accommodations at unclassified continuity sites, CEPO updated the wiring in the Thurgood Marshall Building Briefing Center. A full-scale exercise at the Postal Square Briefing Center was conducted to validate movement of Senators to a safe and secure environment in the aftermath of an incident. We also improved plans to utilize the Government Accountability Office (GAO) building as an alternate office in the event the Senate is no longer able to occupy its regular work space. COOP materials and vital records were placed at these contingency facilities and on classified networks for convenient access. Finally, we collaborated with the Committee on Rules and Administration to develop new Fly Away Kits for committee hearings during continuity events. These materials are stored at classified locations and can be rapidly deployed after an incident.

#### INTELLIGENCE AND PROTECTIVE SERVICES

##### *State Office Security and Preparedness*

State office programs make security and preparedness training available to Senators and staff in more than 450 State offices throughout the United States. Almost two-thirds of these offices are located in commercial buildings with no internal security. The rest are located in Federal buildings that generally have some level of building security, but are routinely targeted for disruptive activity. Numerous high-profile and contentious issues arose in 2010 and several violent incidents in and around State offices led to increased awareness and participation in this voluntary, but critical program. Participating offices are provided with secure reception areas in order to screen visitors for signs of hostility, aggression, or impairment. Offices are also outfitted with access controls, duress buttons, burglar alarm systems, and closed-circuit camera systems. The program covers installation, maintenance, and alarm monitoring services and also includes an annual inspection and equipment testing.

During 2010, more than 300 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 that meets the requirements of the CAA. Continuous outreach regarding the importance of establishing plans was conducted through the development of a streamlined template to assist small offices with no continuity of operations requirement, and an online method to enter preliminary plan information. State office hazard overviews were completed or updated for 218 offices to identify natural or man-made hazards to be considered during plan development. Additionally, 13 new State offices received program briefings and emergency equipment and supplies similar to DC offices. Pandemic information was promptly disseminated to all State offices and approval from the Committee on Rules and Administration allowed staff to procure supplies for combating the H1N1 virus. A monthly OEC bulletin is now regularly distributed to all State offices and a certificate path has been established for State OECs. The focus of the program this year will turn to Web site updates and providing additional preparedness classes online.

We provided security enhancements in 57 State offices during 2010. These enhancements included building secure reception areas to screen visitors, and installing burglar alarms, duress buttons, and closed-circuit cameras with digital video recorders. To date, the program has provided security enhancements in 80 percent of offices located in commercial spaces and 62 percent of offices located in Federal buildings, bringing the total amount of current offices with security enhancements

to 75 percent. Additionally, more than 300 State office alarm systems were tested and inspected this year. This year, the focus will turn to utilizing a new all-hazard risk assessment to survey State offices and offer security enhancements to non-participating offices. Collaboration with representatives from the USCP, General Services Administration (GSA), Federal Protective Service, and the U.S. Marshals Service will continue.

#### *USCP Operations*

The Senate Campus Access program that coordinates Member office and committee requests for vehicle access through the campus security perimeter processed 586 special requests for vehicle clearances, deliveries, and bus access during fiscal year 2010, an increase of more than 130 percent from fiscal year 2009. Additionally, we developed an electronic request form via Webster for USCP coverage at sub-committee hearings.

We collaborated with the USCP and external law enforcement agencies to monitor and secure special events such as the State of the Union Address, Democratic Senatorial Retreat, various joint sessions of the Congress, Summer Concert Series, Supreme Court nomination hearing for Associate Justice Elena Kagan, and memorial services for Senators Robert C. Byrd and Edward Kennedy.

The Duty Desk in the USCP Command Center continues to ensure SAA representation and provide communication between the USCP and the Senate community during special events, critical incidents, and routine operations. The Duty Desk is manned by SAA personnel during business hours and while the Senate is in session. SAA staff receives routine training and updated operating procedures to fulfill the responsibility.

Our recently hired Assistant Sergeant at Arms for Intelligence and Protective Services Mike Stenger maintains excellent working relationships with a multitude of components within the intelligence and law enforcement communities. Such trusted partnerships allow for the timely and accurate sharing of all-source intelligence and law enforcement-sensitive threat information when breaking situations occur. Furthermore, it provides the opportunity to collect all-source intelligence from appropriate partners and assess, integrate, and brief essential information to senior SAA staff that can then make sound, timely decisions for the safety and security of the U.S. Senate.

Finally, recent events in Arizona led our office to greatly expand monitoring law enforcement investigations involving threats to Senators and provide updates to the SAA and affected Senators, from case opening through adjudication. We receive Senate office requests for local law enforcement assistance at public events and coordinate evaluation and assessment through the USCP. We are collaborating with the USCP Uniformed Services Bureau to develop a consistent and seamless community outreach program regarding safety and security for Senate offices.

#### IT

##### *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 2012, 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 IT strategic goal—accessible, flexible, and reliable—may be the most impactful 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 whether the person



trying to use it is located within one of our spaces or elsewhere. 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 Chief Information Officer organization's fiscal year 2012 request will cover the installation and support of the equipment acquired by Senate personal 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, electronic mail 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 Information Technology 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 solicit customer feedback for 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. For instance, during the past year, the percentage of on-time arrivals for the IT installation team never dropped below 99 percent. The percentage of help desk calls that were resolved during the initial call averaged 56 percent, and 96 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 2012.

In fiscal year 2012 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 modern, robust, and reliable data network and network-based services that the Senate relies upon to communicate electronically within and among offices on Capitol Hill and in the 50 States, to and from other legislative branch agencies, and through the Internet to the public, other agencies and organizations.

We continue to keep our mobile communications offerings up to date with the latest technology. Last year, we added the Apple iPhone, the RIM 9800 Torch BlackBerry, the RIM 9330 Curve BlackBerry, and the RIM 9650 Bold BlackBerry to the technology catalog. Currently, we are testing Android devices for support. We will continue to offer the Senate community the latest smartphone technology in fiscal year 2012.

Following a migration to a new contract vehicle for our wide area network services in fiscal year 2010, we are better poised to realize the cost savings for this service compared to our previous contract with AT&T. Our cost for this service has gone from \$5.2 million in fiscal year 2009 to \$4.3 million in fiscal year 2010, and is on target to cost \$3.8 million in fiscal year 2011. Given the election cycle and the additional moves, adds, and changes associated with incoming and outgoing Senators, the fiscal year 2011 costs could increase, but should remain less than fiscal year 2010 levels. We have also increased our service levels to approximately 50 State office locations and installed network optimization equipment in more than 90 locations overall. The cost of wide area network services will increase slightly in fiscal year 2012, to \$4 million to allow us to continue our investments in enhancing network services to more State office locations.

We are working with the other legislative branch agencies to improve interagency communication technology by implementing and securing an upgraded Capnet network that connects all the legislative branch agencies, with the goal of making this network the preferred path for all interagency communication.

In addition to our robust messaging infrastructure that processed approximately 257 million Internet email messages during the past calendar year, we also support effective communication through the use of videoconferencing. During the last and current fiscal years, we have enhanced our videoconferencing infrastructure to allow participation in a high-definition video conference from virtually anywhere in the world using an inexpensive Web camera on a desktop or portable computer via the

Internet. We are adding new capabilities, including a Web interface to allow an outside participant without a standards-based videoconferencing system to participate via a Web client, as well as the ability to escalate a point-to-point call to a multipoint call regardless of bandwidth or whether the system has multipoint capability installed.

We also delivered a solution to the problem of transferring large files which allows media-based and other large files to be moved within the Senate and between the Senate and others in a secure and reliable fashion. We continue to expand the ways and tools for staff to be connected. This year we delivered iPhone and iPad email and tools integration and support. CIO staff worked extensively with a third-party software provider to develop a secure, reliable, and manageable iPhone corporate email client which met our requirements.

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. Toward that end, we will be replacing systems such as the cloakroom alerts, operational support and directory and billing systems over the coming year, while we continue to move forward with the replacement of the main telephone switch.

#### *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 and fulfilled. This year we completed enhancements to TranSAAct including online parking services (e.g., request a parking assignment, reassign vehicles, add vehicles, etc.) and a forms depot featuring 117 forms and links to forms often used by administrative managers and chief clerks. We are completing work on adding the ability to make telecommunications service requests online.

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 delivered an enterprise class SharePoint data collaboration site to provide a common access point for sharing information between offices that do not have direct access to one another. For example, subcommittee staff and staff in their Senate offices are using the site to view, comment on, and edit committee documents.

We enhanced 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 requests, and other types of applications and requests. Constituents have submitted more than 500,000 individual requests through this system. We also updated the committee hearing scheduling application to make it more robust and useful.

#### *Showcasing and Promoting Modern IT 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, 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. Among the technologies that we look forward to supporting over the next few months is support for additional smartphones based on the Android operating system as well as Smart Cards. Smart Cards will enable a range of applications based upon Public Key Infrastructure (PKI) certificates included on the Smart Cards, including access to GSA-controlled buildings, encryption and decryption of email and BlackBerry messages, digital signatures for email and vouchers, and log-on authentication.

We will continue or intensify these efforts in fiscal year 2012 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 With Accessible, Flexible, and Reliable Systems*

As I mentioned earlier, we build security, accessibility, flexibility, and reliability into every system and service. In addition to those efforts, there are two projects that I would specifically like to mention.

This past year our, CIO organization enhanced copier security by moving beyond the traditional safeguards of buying equipment that writes data to random, non-contiguous hard disk drive locations, to completely erasing or removing copier hard disk drives prior to disposal. We also reconfigured our copier baseline configurations to include hard disk drive overwrite systems that conform to National Security Agency security specifications without requiring user intervention. We continued our BlackBerry scanning program designed to detect security intrusions on wireless devices used during international travel. In fiscal year 2010 we scanned more than 300 BlackBerrys, some multiple times. Fortunately, we found no major discrepancies. In fiscal year 2011 and fiscal year 2012 we will continue to seek ways to improve and enhance our scanning program.

We have also installed the second and third components of the secure voice conferencing system to provide Secret-level conferencing to accommodate 40 additional participants once we obtain additional phone lines as part of our telephone system upgrade. In fiscal year 2012, we plan to upgrade the system with a Web-based interface, making it more user-friendly.

##### *Enhancing System and Information Resiliency*

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 conduct a variety of exercises to ensure we are prepared 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 arrive at work. This includes weekly and monthly COOP/pandemic exercises designed to ensure technical support is available from the ACF and other remote locations. Our diligence to this initiative proved worthwhile during the snow events of last year. 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 migration to IP telephony may bring to the rest of the Senate.

We also will continue to invest in and modernize storage systems that automatically replicate information from our primary site to our alternate site. These storage systems support our mission-critical systems as well as individual offices.

##### *Securing our Information Infrastructure*

As 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, due in large part to the outreach efforts of IT Security staff over the past year. As a result, we are now better able to quickly adjust our countermeasures as adversaries shift their tactics. Our efforts and interactions with our Federal partners are comparable to DOD's evolving doctrine of "active computer network defense", a framework for defending military networks. We are working to incorporate five key elements of this doctrine into our IT Security operating model:

- training and equipping SAA staff and contractors with specialized cyber security skills;

- employing and continuously monitoring a strong core of layered defenses;
- communicating current threat information to offices and providing knowledge and expert advice to help them secure their information;
- sharing current best practices with our Federal agency partners; and
- investing in rapid development, testing, and implementation of additional cyber defense capabilities.

We describe each of these elements and provide implementation examples as follows: As an example of the first element, specialized skills development, our IT security branch undergoes continual, rigorous training on newly discovered threats and vulnerabilities.

They attend industry and government conferences, complete online and classroom courses, host industry experts, conduct in-house classes and seminars, and share knowledge among their peers on the latest advances in cyberspace threats and defensive measures. This training helps us quickly put into operation and benefit from new defensive technologies. For example, we recently acquired new analysis tools that enable more precise identification of potential attacks and faster incident response times. These newly acquired skills were quickly deployed and put to practical use in our daily operations, producing demonstrable results and saving taxpayer dollars.

The second element, layered defenses, requires us to develop multiple capabilities to prevent and detect intrusions at every point in our network and we have worked this past year to introduce and encourage widespread adoption of new defensive capabilities. As an example, our voluntary vulnerability assessment service has grown to include 43 Member offices and five committees, with more offices enrolling. The new Systems Management Service (SMS), an automated means for offices to automatically apply critical security patches to non-Microsoft software, has also grown rapidly since we introduced it in December 2010. Fifty-two offices are now using the service, which provides a significant (up to 68 percent) reduction in software vulnerability risk as measured by vulnerability assessment results. SMS serves as an excellent complement to our vulnerability assessment 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.

In addition to our vulnerability assessment and patch management services, we continue to monitor and improve our other centrally managed security services. One major initiative is our ongoing effort to enhance email security by establishing mutual trust mechanisms with other Federal agencies based on email source validation and encryption technologies. These trust mechanisms assure us and our participating Federal partners that messages exchanged are encrypted while traversing the Internet and are actually coming from an authorized mail server at each respective agency. As a result, Senate staff can have confidence that the messages they exchange with one of our trusted partners have not been read or manipulated by a third party while in transit and have come from a legitimate contact instead of a malicious actor using a forged sender address. We expect to continue expanding the number of agencies involved in this effort.

The third element is reflected in our initiative to provide improved and varied training and awareness programs for offices. Over the past year, we have developed and conducted individual threat briefings for system administrators, office leadership, and other staff to educate them on the evolving threat environment and recommended freely available services that we provide to help them reduce their risk. We have also incorporated current effective practices into our general awareness materials that we provide through Webster and in-office presentations. We share our awareness material with other agencies and adopt useful material they share with us. Furthermore, we have incorporated an IT security briefing into the new system administrator training process to inform them of our services and to help them enroll and make the best use of our offerings soon after they are hired. Finally, we help system administrators identify critical systems that our adversaries would consider high-value targets and facilitate enhanced protection for these systems to assure continuity of operations.

The fourth element involves sharing new threat information, trends, and effective practices with other Federal agencies. We do not share specific information concerning offices or staffs involved, but coordinate with these agencies to help establish a common information base and defensive posture. The relationships that we have built, and continue to build, are mutually beneficial and have paid great dividends in terms of improved security services for our offices. We can now provide offices more timely and detailed threat and vulnerability information, more reliable

countermeasures, and more efficient identification and mitigation of many of our higher-priority incidents.

The fifth and final element is rapid development, testing, and implementation of additional cyber defense capabilities. We recently tested and implemented a new log analysis tool that has reduced the time required to identify and notify offices of attacks from a matter of hours to just a matter of minutes. We are also looking forward to implementing a new monitoring tool in the next few months that will improve our ability to rate the severity of security incidents, reduce false positives, and provide offices with better guidance for recovering from incidents. Finally, we are currently researching potential solutions that will augment our anti-virus systems by blocking malicious or compromised Web sites, which are a primary cause of many of our security incidents.

Adopting the elements of the Department of Defense's Active Computer Network Defense doctrine helps us work toward our strategic goal to provide a secure Senate information infrastructure. We will continue to adopt useful elements of the doctrine to further our efforts. We are continually changing and improving our tactics and operational processes to meet the rapidly changing cyber threat environment while supporting the Senate's mission.

#### ENHANCING STEWARDSHIP

##### *Enhancing Stewardship Through Fiscal and Environmental Responsibility*

Stewardship of our resources is intertwined in everything we do, as well as being a driving force for some of our activities. We are always looking for ways to improve our processes or technologies so that we save time, money, electricity, paper, or other resources. Our CIO organization is a good steward of the fiscal resources of the Senate, consistently and continuously improving on the services offered to our customers while seeking only modest increases in funding. Many initiatives save an office hundreds or thousands of dollars in costs that would otherwise be borne 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. Some examples of our efforts to enhance fiscal and environmental stewardship are:

- Continuation of our virtualization efforts, where we now reduce energy, maintenance, and support costs by running more than 379 of our servers in a virtual environment. We will continue an aggressive campaign to virtualize servers until every server that can be virtualized is virtual.
- Offices, especially those of the new Senators, 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, which 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, excess heat, and increases usable working areas for staff. It removes the single point of failure from existing office servers and meets continuity of operations and data replication requirements for approximately half the cost of existing solutions. To date we are hosting 86 Member and committee office file servers on our virtual infrastructure. Virtual servers running in the data center consume only 15 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 means fewer servers that need to be manufactured and therefore have to be disposed of at their end of life, which is greening on a national scale.
- Work is well under way to offer offices the ability to host their constituent support systems and SharePoint collaboration systems in a virtual environment, which will provide offices the opportunity to operate without any physical servers in their offices.
- We continue to use our catalog to highlight the energy-efficient aspects of our supported IT and general office equipment, and we conducted "green demo days" where vendors could answer questions about their products' environmental friendliness.
- We continue our efforts to dispose of surplus electronic equipment through such programs as Computers for Schools. Last year we fulfilled 36 Member office requests and packed and shipped 900 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 ENERGYSTAR guidelines, and where feasible, the guidelines for the responsible manufacture of IT equipment.

#### OPERATIONS

##### *PGDM*

The PGDM branch provides high-level, direct customer support to the Senate community through photocopying, graphic design, printing, mailing, archiving, logistics, and security.

During fiscal year 2010, PGDM continued to improve operations and respond to demand for producing documents from digital files. By utilizing the latest technology in digital printing, the Publishing Section produced 7.8 million pages, an increase of 81 percent more than fiscal year 2009. PGDM continued to meet the demand for Constituent Services System (CSS) imaging by scanning, digitizing, and electronically transferring 1.1 million pages of constituent mail responses during fiscal year 2010. Another area of high demand during fiscal year 2010 was production of charts. By upgrading software to process files quicker, PGDM produced 9,273 large format charts, an increase of 15 percent more than fiscal year 2009.

PGDM is customer-focused and achieved high levels of customer satisfaction. Reliable, user-friendly copiers in convenient satellite copy centers produced more than 7.6 million copies in fiscal year 2010. Utilizing traditional offset and digital printing, PGDM met customer requests for color printing, producing more than 21.8 million color pages. Combined printing volumes in all sections of PGDM during fiscal year 2010 totaled 52.4 million, a 6 percent increase more than fiscal year 2009. PGDM continued to improve services to meet the demand for archiving Senate office documents during fiscal year 2010.

Through software and hardware upgrades, PGDM produced 511 rolls of microfilm, a 156 percent increase more than fiscal year 2009, and scanned and digitized more than 3.2 million pages, a 10 percent increase more than fiscal year 2009.

As a good steward of its own resources and that of others, PGDM saved the Senate more than \$1.8 million in postage costs by pre-sorting 9.5 million pieces of outgoing Senate franked mail. New software systems have been integrated in a number of processes to validate, correct, or remove bad addresses prior to mailing. In fiscal year 2009, a system was put in place to validate addresses on constituent letters. The number of offices utilizing this process has grown from 14 in fiscal year 2009 to 97 in fiscal year 2010. PGDM has also upgraded software in the mail-sorting process. By implementing the new United States Postal Service (USPS) mandated intelligent barcode and moving updated software ahead of schedule, PGDM has ensured that Senate offices continue to receive maximum postage discounts. PGDM is continuing to work with a vendor to modify and test a Web-based application to provide address correction, validation, and delivery tracking for shipping of constituent flag requests.

PGDM's commitment to teamwork and excellent customer service extends to our legislative branch partners as well. Our collaborative work with the AOC fulfilled 82,828 flag requests during fiscal year 2010, and in tandem with GPO, delivered more than 2 million documents (Pocket Constitutions, Our Flag, Our American Government, etc.) to requestors. PGDM has also been working with the AOC to relocate the PGDM Logistics operations from SR-B31F to the Hart loading dock area. Construction of the Hart location is planned to be completed this spring which will allow for structural renovation on the lower level of the southwest corner of the Russell building. In early fiscal year 2010, PGDM provided a tour of our CSS imaging operation to the White House Office of Presidential Correspondence staff, which was considering implementation of a similar operation.

Through effective communication and teamwork, PGDM's Senate Support Facility upheld the SAA mission for operational security in fiscal year 2010 by receiving 1,045,153 items from the USCP off-site inspection facility and transferring them to the Senate Support Facility. This process eliminated 561 truck deliveries to the Capitol complex while reducing traffic and allowing the USCP to focus on other aspects of safety.

In fiscal year 2010, the subcommittee approved the use of prior year unobligated funding to relocate the Postal Square printing and mailing operations to a modern, efficient, secure, and safe facility. This relocation will ensure PGDM operations continue without interruptions in service from facility failures which have plagued the Postal Square building over the years. In collaboration with the AOC, a facility located in the same complex as the Senate Support Facility and the Senate Post Office Inspection Facility was selected and put under contract. The relocation project has a projected net positive cash flow of \$2.8 million and 3.6 percent return on in-

vestment over 20 years. Design plans have been approved for the build-out of the facility, and the SAA has contracts in place to support moving equipment and installing data communications and security systems. Construction started in January 2011, and PGDM will begin moving equipment in July 2011 and take occupancy in September 2011.

#### CENTRAL OPERATIONS

##### *Smart Card Programs—ID Office*

The implementation of Homeland Security Presidential Directive (HSPD) 12—Policy for a Common Identification Standard for Federal Employees and Contractors will significantly impact Senators and their staff whose State offices are located in Federal buildings across the country. While legislative branch adoption of HSPD-12 is optional, compliance will allow Senators and staff unhindered access to work freely within these facilities. Staff from the ID Office and Technology Development Services is currently 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, there are continued efforts 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 the USCP’s current physical access control system, digital certificates on Smart Cards may in the future 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 secure, single network sign-on.

#### PARKING OPERATIONS

The Parking Operations team continues to update policies and procedures to better serve the Senate community. For the first time, all Senate parking spaces were defined producing an accurate count of 3,100 spaces (600 spaces greater than previous estimates). Beginning with the 112th Congress, Parking Operations streamlined policy and procedures to allow for greater customer understanding:

- the number of permit types was reduced by 17 percent;
- color was used on the parking map to better communicate parking area definitions; and
- new signage was installed to clearly label parking areas.

Parking Specialists continued to enjoy amplified visibility to customers as new kiosks were installed on Lots 12 and 16. Increased Segway use and wearing of reflective vests and gloves have also increased recognition of the specialists by customers and visitors. Employee retention has been superb; there has been only one vacancy in the last 18 months and that was due to a promotion.

#### TRANSPORTATION AND FLEET OPERATIONS

Transportation and Fleet Operations safely and securely procures, manages, maintains, and disposes of SAA vehicles; provides transportation information to offices; and manages the Senate Parking Shuttle Service. The SAA fleet includes trucks, vans, buses, and SUVs used to support the Senate community. Senate leadership vehicles are leased and administered by Fleet Operations under the Executive Lease Plan on a biannual basis. Transportation and Fleet Operations is responsible for completing work orders, equipment installations, tag/registration renewals, and vehicle inspections for all fleet vehicles, performing more than 448 of these services in fiscal year 2010. Fleet staff scheduled more than 350 transportation requests and transported more than 20,000 passengers through the SAA Parking Shuttle Service in fiscal year 2010.

Transportation and Fleet Operations offers several driver training programs including an online software training course developed by the National Safety Council (NSC), an in-house Professional Truck Driver Safety Certification Course also developed by NSC using a fleet staff certified instructor, and Segway Certification Training using fleet certified instructors.

Transportation and Fleet Operations is a leader in “Go Green” initiatives with 25 flex E-85 fuel vehicles, 5 hybrids, 2 electric vehicles, and 2 Diesel Exhaust Fluid-certified trucks. Fleet Operations will continue to explore the use of alternative fuel vehicles as replacements for older vehicles as they are rotated out of the fleet.

## PHOTOGRAPHY STUDIO

The photography studio provides photography and imaging services for Senate offices, capturing more than 75,000 photo images and producing more than 95,000 photo prints in fiscal year 2010. The studio's popular image archiving service was used to scan, organize, and transfer more than 80,000 photo images for archiving purposes in fiscal year 2010. The photo browser application provides Senate offices a secure location to store and organize photos and the ability to download and upload photos or place orders for photo prints from their desktop through a Web interface.

## SENATE HAIR CARE

Senate hair care serves customers by offering the latest trends in hair styling to Senators and thousands of customers, including staff and the general public. In fiscal year 2010, revenue increased by approximately \$40,000 (9 percent), the highest in 10 years. Continuing to build on the diverse customer base and supplying additional retail products and services, Senate Hair Care will remain a profitable and indispensable service offered by the SAA.

## SENATE POST OFFICE

Mail remains a primary medium for constituents to communicate with Senators and their staff. During 2010, the total volume of mail addressed to the Senate Washington, DC offices was significant. Our Senate Post Office received, tested, and delivered 17,710,648 safe items to Senate offices, including 10,935,830 pieces of USPS mail; more than 6,234,000 pieces of internal mail routed within the Senate or to or from other Government agencies; 75,000 packages; and 465,777 courier items. The total number of mail and packages received and processed in 2010 represented the second largest yearly total this decade, surpassed only by 2009. Mail received by the Senate has increased substantially over the past 2 years, bucking the nationwide trend that shows overall USPS mail volumes declining.

*Processing Mail Safely*

Protecting the Senate and its staff is my highest priority. We have worked collaboratively with this subcommittee, the Committee on Rules and Administration, our science advisors, the USCP, USPS, the White House Office of Science and Technology Policy, and the Department of Homeland Security in developing safe and secure mail protocols and in creating two of the best mail processing facilities of their type in the world.

All mail and packages addressed to the Senate's Washington, DC offices are tested and delivered by Senate Post Office employees. During 2010, our highly trained off-site mail staff intercepted 221 suspicious pieces of mail that were addressed to Senators with the intent to terrorize and disrupt Senate business. The USCP immediately responded to these threatening items at our off-site mail processing facility thereby preventing their delivery to any Senate office.

We also worked with this subcommittee and the Committee on Rules and Administration to build and operate one of the best facilities within the Government to process time-sensitive documents that are delivered to the Senate. Our Congressional Acceptance Site ensures that all same-day documents are x rayed, opened, tested, and safe for delivery to Senate offices. The 465,777 items that we processed during 2010 represented the most documents processed at this facility since it opened in August 2006, which was a 68 percent increase more than 2009's courier items. We were able to absorb this additional volume through cross-training our existing staff and by instituting process improvements rather than increasing our workforce.

The Senate's method for processing mail has become the model for others. We have been asked to demonstrate our procedures and showcase our facilities for some of our Nation's allies and for other Government agencies, including the Departments of Defense and Homeland Security. The 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.

*State Office Mail*

Additionally, my office has worked collaboratively with our science advisors to introduce the first device designed to provide Senate staff who work in State offices with a level of protection when handling mail. Our science advisors 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. I have requested that all Senate State 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, 238 State offices have the Postal Sentry, up from 66 State offices at the end of 2009. The Senate took the lead in providing State offices with a level of protection when handling mail. Recently, the House of Representatives ordered several Postal Sentrys for use in their district offices.

#### *Improving Services Offered*

My office strives to provide exemplary service to the Senate community. Our Senate Post Office, in conjunction with the USPS, operates contract retail locations in the Dirksen and Russell Senate Office Buildings. To the frustration of many, patrons in past years have been unable to purchase postage stamps, Express and Priority mail postage, mail supplies, insurance, and money orders with the convenience of a credit or debit card, only with cash. After lengthy negotiations with the USPS, I was pleased to announce in February of this year that as an added convenience for our customers, the Senate Post Office accepts credit and debit cards. Feedback from our customers has been extremely positive with the new and additional service.

#### *A Cost-effective Operation*

Even with the expansion of our capabilities, outreach efforts and the significant increases in mail volume, my office continues to be good stewards of taxpayer dollars. Technology and process improvements made since 2008 have enabled the Senate Post Office to reduce the number of its employees by 6 percent. Their achievement is even more impressive when you consider that the number of mail items received, tested, and safely delivered has increased by more than 25 percent annually during that same time period. We have compared our costs to other agencies and are pleased to report that we have one of the most efficient and cost-effective operations of its type. Some agencies with similar processes and mail volume spend millions more than the Senate in processing mail. A comparative analysis of similar organizations that contract out mail processing has determined that the Senate processes its mail for up to 62 percent less cost than others.

#### CAPITOL FACILITIES

SAA 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, provides special event setups in the Capitol—including the 10 event spaces in the CVC Senate expansion space—and completes other service requests. To meet cyclical customer demands during peak event setups and furniture moves, Capitol Facilities was able to improve labor cost efficiency by supplementing the full-time work force with contracted labor in place of additional FTEs. This resulted in a second-year cost savings of \$150,000. Capitol Facilities completed 3,127 special event setups in the CVC Senate expansion space and Capitol, a 24 percent increase from the previous year. Service requests from Capitol offices for moving furniture and supplies totaled 6,622, an increase of 11 percent more than the previous year.

The Furnishings branch provides framing services to all Senators and committees. Demand for framing services increased by 6 percent more than the previous year with a total of 2,764 orders completed. The branch also provides custom cabinets and other high-quality furniture, carpeting, and draperies to Capitol offices. The Cabinet Shop designed, built, and installed 177 pieces of furniture, a 43 percent increase from the previous year. The Furnishings branch worked with the Committee on Appropriations on design and installation of custom carpet, construction of turrets for a new sound system, and installation of custom-built benches around the perimeter of the committee room (S-127). New furniture, draperies, and upholstery were provided for the Committee on Foreign Relations room and office (S-116/117), the Vice President's office (S-212), and the Republican Secretary's office (S-335). Additionally, 20 new Senate Chamber chairs were built for incoming Senators.

#### CVC

My office has been involved with the CVC since its inception. We have worked collaboratively with others, including representatives of this subcommittee, to ensure that many of the operational aspects of the facility achieve desired results. Our participation and the challenges presented have been vast and varied, including, but not limited to, security, hours of operation, transitioning the Capitol Guide Service, emergency preparedness, IT, furnishings for the Senate side of the CVC, Senate meeting rooms setup and maintenance, bus routes, Capitol tour routes, coat checks, official appointments, accommodating visitors to the Senate Gallery, broadcast

media infrastructure, ATM service, telephone service, and other communications infrastructure. I am pleased to report that all of the SAA departments involved with the CVC completed all of our tasks on time and within budget.

More than 5 million visitors have experienced the CVC since its opening a little more than 2 years ago. Feedback from our guests has been extremely positive. The long lines of visitors waiting in the elements that were prevalent prior to the CVC's opening have been eliminated, as are the congested hallways in the Capitol. Visitor services professionals from across the country and around the world view the CVC, and its operation, as models of excellence in the visitor services arena.

Each of our departments affected by the CVC adjusted its processes, thereby mitigating additional employees and costs when this magnificent addition to the Capitol opened. The impacts to their operations were significant, yet, by maximizing resources, we were able to achieve desired results.

#### SENATE APPOINTMENT DESKS

##### *Expanding and Improving our Services*

An objective of the CVC was to improve security and the flow of visitors to the Capitol. To facilitate this goal, we expanded the Senate Appointment Desks 100 percent by adding two desks in the CVC, one located near the main entrance and the other located outside of the Senate Meeting Rooms on the lower level. These two desks required four additional FTEs to staff the desks. Improved technology and process improvements achieved by the Senate Post Office enabled the transfer of four employees from the Senate Post Office to the Senate Appointment Desks in the CVC. This is another example where my office exercised fiscal responsibility by finding resources within our organization rather than increasing costs by adding to the complement of employees assigned to the SAA organization.

To enhance our services to the Senate community, we were tasked with opening a Hart Senate Appointment Desk in May 2010. Again SAA staff accomplished this task with minimal expense and without adding employees. We restructured the duties of our existing appointment desk team and those of our Doorkeeper team, thereby freeing up the labor needed to support an appointment desk located in the Hart Senate Office Building. We worked collaboratively with the Committee on Rules and Administration, USCP, and the AOC in designing a secure and welcoming process for staff who escort Senate guests to the Capitol from the Hart Senate Office Building.

Our five Senate Appointment Desks collectively processed 163,811 guests during 2010. The total number of badges issued was the second highest in a given year since the appointment desks were created more than 26 years ago.

A goal for opening the CVC was to improve security by reducing the number of guests who enter through the Capitol's north door. Last year 47,956 guests entered the Capitol through the CVC with its state-of-the-art security features and accommodations. Without the CVC, these guests would have entered through the north door of the Capitol, waiting in line and bearing the elements. The Capitol Appointment Desk reduced its number of guests processed through the north door to 37,577 during 2010. The 2010 total number of visitors processed through the North Door represented a 40 percent reduction in the number of guests processed as compared to the year before the CVC opened. This reduction of guests in the Capitol improved safety, reduced wait time for entrance through the north door of the Capitol, improved visitor flow, and reduced congestion within the Capitol proper.

Also in 2010, more than 72,000 guests entered the Capitol via the Russell Appointment Desk, including 60,550 who were destined for the CVC. This represented the most badges issued by the Russell Appointment Desk in its history.

#### DOORKEEPERS

##### *Facilitating the Needs of the Senate*

Our Doorkeepers play an important role in supporting the Senate. This group of dedicated professionals remains on call to assist the Senate when needed. A primary role of our Doorkeepers is to support the Senate Chamber by providing access to those with Senate Floor privileges and enforcing the rules of the Senate. Additionally, our Doorkeeper team facilitates the needs of Senators, Senate Floor staff, and pages.

The past 4 years have been extraordinary in that the Senate has been in session an average of 181 days from 2007 through 2010. This represents a 21 percent increase to the 150 average numbers of days the Senate was in session from 1996 through 2006.

Our Doorkeepers provided exceptional support for special events during 2010, including the swearing-in of Senators elected during 2010 and the re-enactment that

followed in the Old Senate Chamber; Senator Byrd's laying in repose in the Senate Chamber; the confirmation of Supreme Court Justice Kagan; and the impeachment trials of Samuel B. Kent and G. Thomas Porteous.

Our Doorkeepers facilitate the movement and seating of Senators during joint sessions of the Congress conducted in the House of Representatives. During 2010 there were two joint sessions:

- the President's State of the Union Address; and
- the Joint meeting of the Congress with the President of Mexico.

Congressional tributes and Congressional Gold Medal ceremonies also require the services of Doorkeepers. In the past year, Doorkeepers facilitated Senators and guests for the 50th Anniversary of the Inaugural Address of President John F. Kennedy; Days of Remembrance; moment of silence in the Senate Galleries and on the House of Representatives steps in honor of the victims of the tragedy in Tucson, Arizona; Celebration of the Life of Congressman John Murtha; recognition of contributions of enslaved African Americans to the construction of the United States Capitol; September 11 Congressional Remembrance Ceremony; Peace Officers Memorial Day; and Women Service Pilots Congressional Gold Medal ceremony.

#### *Improving the Senate Gallery Visitor Experience*

We improved the visitor experience for those who want to witness Senate proceedings from the Gallery. We now process these guests through the CVC, rather than through the Capitol's north door. This process enhancement improved security, as well as the visitor experience, by eliminating the long lines and congestion that had been commonplace throughout the Capitol prior to the opening of the CVC. Our Senate Doorkeepers manage a staging room in the CVC that facilitates the collection of prohibited items and the movement of people in a secure and efficient manner. The staging room and the surrounding areas offer our guests numerous comforts and educational opportunities.

Last year, 224,925 visitors viewed the Senate Chamber from the Senate Gallery. 2010 represented the first full year since 2000 that the Senate Gallery was open for visitors during scheduled Senate recesses. We reopened the Senate Gallery during scheduled recesses beginning with the August 2009 recess and, since then, more than 90,000 visitors have viewed the Senate Chamber from the Senate Gallery. Reopening the Gallery has provided an opportunity for thousands, who under the previous rule would not have enjoyed the opportunity to see the "world's greatest deliberative body." Our Gallery remains open during scheduled recesses for 2011.

The feedback that we have received from Senate Gallery visitors has been extremely positive. Senate Gallery visitors have complimented our processes, including the elimination of long lines, waiting in the elements, the speed of gaining access to the Gallery and the educational opportunities afforded by the CVC.

#### *Leveraging Existing Resources*

The year 2010 proved to be one of the busiest and demanding in the history of the Senate Doorkeepers. Our Doorkeepers' work is yet another example where our process improvements and solid management principles have enabled us to do more with existing resources. Our Doorkeepers were able to make significant improvements with minimal expense and without additional employees.

Despite the increases in workload—the 21 percent increase in the average number of days the Senate has been in session for the past 4 years, the 70 percent increase in the footprint covered by Doorkeeper staff due to the opening of the CVC, and the increased number of special events and ceremonies requiring Doorkeeper support—we were able to improve our performance by utilizing existing resources, redefining our work processes, and refining our Doorkeepers' job descriptions.

#### SENATE RECORDING STUDIO

##### *Expanded Broadcast Capability*

Our Senate Recording Studio was one of the first departments to move into the CVC. Our facility has received accolades from guests since its opening, including Senate leadership, Senators, and Senate staff. The convenience of the studio's location and proximity to the Senate Floor and Senate subway system provides convenience to Senators and staff.

The studio is responsible for providing gavel-to-gavel coverage of Senate floor proceedings, broadcasting Senate committee hearings, and providing radio and television production studios and equipment for Senators' use. In 2010 represented another busy year for the recording studio. Last year, we provided 1,078 hours of gavel-to-gavel coverage of Senate Floor proceedings. We provided broadcast coverage of 723 Senate committee hearings and 1,074 radio productions. Additionally, our

team of seasoned professionals produced 1,066 shows for Senators from our television studios.

The number of studio productions increased by 5 percent due largely to our Recording Studio producing the Democratic Media Center and Republican Conference shows while their respective studios were being renovated.

#### *Groundbreaking Firsts*

This past year our recording studio broke new ground when we provided the land-based production and engineering support for an Appropriations Commerce, Justice, Science, and Related Agencies Subcommittee hearing which included a live video-conference with astronauts aboard the International Space Station.

Another first for our recording studio was the Internet simulcast of a Senate Washington, DC event to all Senate staff who wanted to participate, including State office personnel. In the aftermath of the Tucson shooting tragedy, my office conducted a security briefing to provide an interactive forum for all participants and attendees. This capability facilitated our ability to answer questions and provide updated information to Member offices throughout the United States.

#### *Committee Hearing Room Upgrade Project*

Demand for additional committee broadcasts has been ever increasing. In 2003, we began working with this subcommittee and the Committee on Rules and Administration to upgrade and install multimedia equipment in Senate committee rooms. The project includes digital signal processing audio systems and broadcast-quality robotic camera systems. The Committee Hearing Room Upgrade Project continued during 2010.

To date, we have completed 30 rooms. Room enhancements include improved speech intelligibility and software-based systems that we can configure based on individual committee needs. The system is networked, which gives committee staff the ability to easily and automatically route audio from one hearing room to another when there are overflow crowds. Additionally, the system's backup will take over quickly if the primary electronics fail.

#### *Reducing Costs by Leveraging Technology*

As part of the upgrades, we installed technologies in our new Recording Studio space in the CVC to enhance our ability to provide broadcast coverage of more hearings simultaneously without adding staff. For example, the Committee Hearing Room Upgrade Project allows us to cover a hearing with only one employee. Before the upgrades, three employees were required to adequately cover a single hearing. These technology enhancements, coupled with the expansion of the number of control rooms for committee broadcasts to 12, have enabled us to increase our simultaneous broadcast coverage of committee hearings from 5 to as many as 12 without increasing our staff.

Our Senate Recording Studio is another shining example of where we have enhanced our services and increased our productivity by utilizing process improvements and technology, rather than increasing our staff.

#### MEDIA GALLERIES

The four 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 Correspondent's Committees, the Senate SAA, the USCP, and the Senate Committee on Rules and Administration in order to facilitate media arrangements and credentials for the more than 7,000 credentialed media who cover Senators, Senate committees, and related media events.

In recent years the media industry has seen historic shifts in formats and structures of media outlets which appear to have caused a general decline in revenue and circulation for traditional media. However, the Media Galleries have seen a burgeoning population of new and emerging media. The staff of the Media Galleries has diligently worked to accommodate this new population through the current credentialing process.

The growth of 24-hour news channels and Web sites has increased the demand for constant news. As a result, the Congress is being covered in more detail than ever before. In response to the changing needs of the reporters covering Capitol Hill, all four Media Galleries worked with the office of the SAA Chief Information Officer

to upgrade their technical infrastructure including incorporating wi-fi in all four Media Galleries.

#### *Senate Daily Press Gallery*

During 2009, a complete remodeling and rewiring of the Daily Press Gallery was completed. This was the first such renovation since the early 1980s. Restoring the suite of rooms that has been occupied by the press since before the Civil War was a mammoth undertaking that involved a number of SAA and AOC offices. Furniture was replaced, wires were completely redone, and the walls, ornate ceilings, Minton-tiled floors, and historic mirrors were completely restored down to the smallest detail. The renovation improved the gallery's appearance and working conditions for reporters.

The past 2 years have been extraordinarily busy for the Daily Press Gallery. There are more reporters covering the Senate on a daily basis than ever. Organizations are covering the Senate in more detail than ever, with a constant demand for new information. As a result, our gallery is one of the busiest places in the Capitol complex. This year, the gallery was constantly filled with reporters covering issues.

Our Daily Press Gallery staff keeps busy providing the swelling ranks of reporters with background information; monitoring Senate floor activities and schedule changes; preparing for big events and ceremonies; researching and assessing the flood of new credential applicants in conjunction with the Standing Committee of Correspondents; monitoring and assisting with access on the Capitol's second floor and other places where news is breaking; facilitating coverage of major hearings, answering press inquiries on legislation, floor action, parliamentary procedure; and generally assisting the press in covering the Congress, and assisting Senators and staff in making information available to the public.

In addition to those basic duties, we implemented a new paperless credentialing system, updated continuity of operations and emergency preparedness plans, and put the finishing touches on a very successful Gallery renovation.

#### *Senate Periodical Press Gallery*

While high-profile hearings garner the most attention by staff and media, the Senate periodical staff always strives to work with all Senate committees on their media arrangements for typical hearings and events. Senate Periodical Press Gallery staff worked with new committee and Senators' press secretaries in order to familiarize them with the Periodical Gallery's functions at committee hearings. Constant collaboration occurs allowing 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 Appropriations Committee events.

#### *Press Photographers' Gallery*

The primary role of the Press Photographers Gallery is to credential photographers and to assist at news events at the Senate. Our 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 as Web publications expand and gain popularity. Also, deadlines for pictures have shifted from daily to 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. The Press Photographers' Gallery has responded to these challenges by enhancing the technology infrastructure for gallery members.

#### *Senate Radio and Television Gallery*

In an effort to address new requirements for electronic media coverage of Senate events, improvements were made in upgrading 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 14 Senate committee rooms. Several meeting rooms in the Capitol and the Senate wing of the CVC were also outfitted with fiber optic cable.

In 2009, the backdrop in the Senate Radio-TV Gallery studio was renovated to accommodate high-definition news broadcasts. The improved backdrop enhances Senators' appearance by incorporating several enriching elements such as columns and LED lighting.

We improved this Gallery's work areas during the past year as well. The Radio-Television Gallery staff worked collaboratively with the Senate Committee on Rules and Administration, AOC, and media representatives to upgrade media connectivity

in the Russell Rotunda media area. This team also led the efforts to completely renovate the Radio-Television Gallery mezzanine workspace which included modern workstations and updated infrastructure.

#### 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 including management and leadership development, human resources issues and staff benefits, legislative and staff information, new staff and intern information, and training support for approved software packages 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 is 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 every year.

#### *Capitol Hill Training*

The Office of Education and Training offered 1,278 classes and events in 2010, drawing more than 10,000 participants. This office's registration desk handled more than 25,000 email and phone requests for training and documentation.

The above total includes 438 customized training sessions for 1,937 staff members. These sessions ranged from in-depth training of Senate office system administrators to conflict resolution and organizational development. We provide individual consultation on Web site development and office systems training. We provided resume and interviewing skills building after the deaths and retirements of numerous Senators.

The Senate's Intern Program is also a focus of the office. We provide training for intern coordinators as well as five orientation and training sessions for approximately 500 interns.

Annually, we provide a Senate Services Expo for Senate office staff. This year we had 35 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 250 staff. This is part of the orientation for new staff and the aides to the Senators-elect. This past November we held seven orientation sessions which were attended by 30 aides.

#### *State Office Training*

The Office of Education and Training provided 85 learning opportunities to State offices for which 2,813 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 2010, two sessions of the State Training Fairs were attended by 63 State staff. We also conducted the State Directors Forum, which was attended by 62 State administrative managers and directors and a Constituent Services Forum attended by 43 State staff. We also provided advanced all staff meeting facilitation to more than 20 offices that were attended by more than 650 staff. Additionally, the office offered 33 video teleconferencing classes, for which 1,707 State staff registered and we offered 28 webinars that were attended by 288.

We provide sources of Internet-based training covering technical, professional and language skills. This allows staff in both DC and State offices to take training at their convenience. To date, 692 DC and State staff have registered and accessed 1,534 different lessons and publications using this training option. Education and Training also provides 54 Senate-specific self-paced lessons that have been accessed more than 3,200 times.

#### *Health Promotion*

In the Health Promotion area, 3,070 staff participated in 56 health promotion activities throughout the year. These activities included lung function and kidney screenings, eight blood drives, the Health and Fitness Day and 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. There were 11 sessions that had 266 attendees.

## EMPLOYEE ASSISTANCE PROGRAM (EAP)

Our EAP offered a variety of services to staff, Pages, interns, and family members. In 2010, 3.8 percent of Senate employees and/or their family members met with/spoke to an EAP counselor, 187 employees took a mental health on-line screening, 2,614 employees attended an EAP training activity, and 1,416 employees accessed resources for personalized information and referrals for childcare and parenting, adult care and aging, education, legal, and financial concerns.

The EAP expanded outreach programs through updating materials on a wide variety of mental health topics; providing an interactive and informative Web page that includes confidential mental health screenings, an increased number of self-paced training modules and access to mental health, management and trauma response resources; and offering a variety of time- and community-sensitive training programs, including video teleconferencing training programs for State offices. The EAP continued to hone, expand, and utilize the skills of the 29 members of the Senate Peer Support Team through a series of presentations, trainings, and informational lectures.

## APPENDIX—FISCAL YEAR 2012 BUDGET REQUEST

## FINANCIAL PLAN FOR FISCAL YEAR 2012

## OFFICE OF THE SERGEANT AT ARMS—UNITED STATES SENATE

## EXECUTIVE SUMMARY

[Dollars in thousands]

	Fiscal year 2011 budget	Fiscal year 2012 request	Fiscal year 2012 vs. fiscal year 2011	
			Amount	Increase/ decrease (percentage)
General operations and maintenance:				
Salaries .....	\$76,846	\$77,588	\$742	+ 1.0
Expenses .....	86,067	84,429	(1,638)	- 1.9
Total, general operations and maintenance ...	162,913	162,017	(896)	- 0.5
Mandated allowances and allotments .....				
Capital investment .....	50,174	49,663	(511)	- 1.0
Nondiscretionary items .....	700	684	(16)	- 2.3
Total .....	5,175	6,812	1,637	+ 31.6
Total .....	218,962	219,176	214	+ 0.1
Staffing	956	956	.....	.....

To ensure that we provide the highest levels and quality of security, support services, and equipment, we submit a fiscal year 2012 budget request of \$219,176,000, an increase of \$214,000 or 0.1 percent compared to fiscal year 2011. The salary budget request is \$77,588,000, an increase of \$742,000 or 1 percent, and the expense budget request is \$141,588,000, a decrease of \$528,000 or 0.4 percent. The staffing request remains flat at 956.

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 \$77,588,000, an increase of \$742,000 or 1 percent compared to fiscal year 2011. The salary budget increase is due to merit funding and other adjustments.

The general operations and maintenance expenses budget request for existing and new services is \$84,429,000, a decrease of \$1,638,000 or 1.9 percent compared to fiscal year 2011.

The mandated allowances and allotments budget request is \$49,663,000, a decrease of \$511,000 or 1 percent compared to fiscal year 2011. This budget supports State office rents, \$18,815,000; purchase of computer and office equipment, \$13,894,000; voice and data communications for Washington, DC and State offices,

\$12,301,000; procurement and maintenance of office equipment for Member office constituent services systems, \$4,500,000; State office security enhancements, \$1,913,000; and wireless services and equipment, \$1,500,000.

The capital investment budget request is \$684,000, a decrease of \$16,000 or 2.3 percent compared to fiscal year 2011. The fiscal year 2012 budget request includes funds for the Senate Chamber remote broadcast system replacement, \$484,000; and data networking initiatives and expansions, \$200,000.

The nondiscretionary items budget request is \$6,812,000, an increase of \$1,637,000 or 31.6 percent compared to fiscal year 2011. The request funds projects that support the Secretary of the Senate: contract maintenance for the Financial Management Information System, \$3,770,000; support for the payroll system, \$2,182,000; and maintenance and necessary enhancements to the Legislative Information System, \$860,000.

Senator NELSON. Thank you.  
Chief Morse.



## UNITED STATES CAPITOL POLICE

### STATEMENT OF PHILLIP D. MORSE, SR., CHIEF

Chief MORSE. Thank you, Chairman Nelson, Ranking Member Hoeven, and members of the subcommittee. I'm honored to be here today, and I appreciate the opportunity to present the USCP budget for fiscal year 2012.

I would like to request that my written testimony be entered into the record.

Senator NELSON. It will be entered.

Chief MORSE. I would also like to thank the subcommittee for its sustained and unwavering support for the men and women of the USCP. Specifically, I would like to express our appreciation to the subcommittee, and the Congress, for providing the necessary salaries and general expenses funding for 2011 to support our personnel and operations.

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 faces today. I understand the responsibility I have to submit a budget request that is not only accurate, but is reasonable and based on the critical requirements necessary to mitigate and address threats and risks. The department's fiscal year 2012 budget request, after adjusting the fiscal year 2011 appropriated levels, totals \$380 million, and represents an overall increase of 12 percent. The department's fiscal year 2012 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.

With that in mind, our requested fiscal year 2012 personnel costs support the current authorized staffing levels of 2,243 positions, as well as a request for three new civilian positions for the Office of Inspector General (IG). We're requesting an overall increase of 8 percent more than the fiscal year 2011 enacted funding level, with rescission.

We have been very strategic in our hiring of civilian positions to best align our resources to our needs. In particular, we identified, through a position review, 22 existent vacant civilian positions for repurposing to meet our additional mission requirements, such as the 9 sworn officers needed for the security of the new Federal Office Building 8 (FOB8) and 13 civilian dispatcher positions needed for the radio project and mirror site requirements; at current staffing levels, the department's fiscal year 2012 overtime projection of approximately \$36,500,000, to include support for the fiscal year 2012 political conventions and pre-Inauguration security planning, along with support for Library of Congress (LOC) nonreimbursable events, and overtime necessary to secure multiyear projects, to include the Capitol Dome skirt and the utility tunnel projects.

The second area of detail is an overall net increase in our requested general expenses budget, which is an overall increase of 29 percent more than the fiscal year 2011 funding levels. The majority of the increase is attributed to the new initiatives to address identified threats and risks and for support of the 2012 political conventions and Presidential Inauguration planning. The increase in the request, just for normal annual needs of the Department, excluding the new initiatives and convention pre-Inauguration support, is about 5 percent.

The seven new initiatives included in our request address security and law enforcement services for FOB8; security enhancements for the alternate computer facility; security designs for utility tunnel systems; design and installation of security programs for the Capitol Dome skirt rehabilitation; design and installation of security management systems within the House and Senate parking garages; software upgrades for the Department's fixed-asset management; and departmentwide travel management systems. The total funding request for these initiatives is \$11.8 million.

With the direct assistance of the USCP Board, we provided advisors to assess financial management risk and to provide recommended improvements, as well as the oversight recommendations of the USCP IG. We have the foundation for sound fiscal practices, to include sound budget formulation that we are actively implementing and will continuously seek to improve.

In particular, I'm pleased to report that we recently closed all eight audit findings related to the U.S. IG's audit of the Department's budget formulation process. Further, we're working on the resolution of a number of other recommendations in order to achieve efficiency and effectiveness in our administrative programs. The long-term resolution of the recommendations related to internal controls, business processes, and material weaknesses remain the highest importance to our management team.

#### PREPARED STATEMENT

Finally, I'd like to thank all the men and women of the USCP, both sworn and civilian, for their dedicated service and their sacrifice to keep us all safe this past year.

I appreciate the opportunity, today, that you've given me. And I'd be happy to answer any questions that you may have.

[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 2012.

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 United States Capitol Complex every year. Due in large part to your support and that of the Capitol Police Board, the Department has had many successes in its continued efforts to become a premier security and law enforcement agency operating under established 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 2011 to support our personnel and operations.

This fiscal year 2011 appropriation level has allowed the Department to address critical salaries requirements, as well as Radio Modernization Project (RMP) needs, in fiscal year 2011, which thus results in a reduction of those items from our fiscal year 2012 budget request.

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 faces today. 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 adjusted 2012 budget request provides for those mission-critical 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 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 resources.

The proposed fiscal year 2012 budget 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 Complex and it provides administrative systems to mitigate audit risks and findings.

The Department's funding levels have grown in recent years, due to requirements set forth to support an expanding mission load. In the last several years, we have merged with the Library of Congress (LOC) police while absorbing the jurisdiction over LOC buildings and grounds, and upon the opening of the Capitol Visitor Center; we assumed additional protection responsibilities for the security operations of this critical addition to the Capitol. We will also be gaining an additional protective responsibility with the opening of the Federal Office Building 8 (FOB8) scheduled to reopen in fiscal year 2012. An additional fiscal dynamic we are managing is our implementation of a complex RMP.

At this time, I would like to offer the subcommittee an overarching summary of our fiscal year 2012 request. I will follow this summary with a discussion of specific budget items of particular significance to you and the Department.

The Department's fiscal year 2012 request totals \$380 million and represents an overall increase of 12 percent, or \$40 million more than the fiscal year 2011 enacted level with a rescission funding level of \$340 million.

The first subject area that I would like to provide more detail for is in the area of personnel salaries and overtime.

The Department's fiscal year 2012 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, below our authorized 443 civilian positions, and with only limited training. We have received funding in fiscal year 2011 to increase our sworn levels to 1,800 at the end of the fiscal year, and to bring on an additional 13 civilians as well, but this partial year funding for these positions will need to be annualized in fiscal year 2012 in order to maintain this staffing strength. Much of our overall increase allows the Department to operate at our current authorized staffing levels.

With regard to our funding request related to personnel, we are requesting an overall increase of 8 percent more than the fiscal year 2011 enacted funding levels with rescission, which includes funding for only three new civilian positions for the Office of the Inspector General (OIG). The increase in 9 new sworn positions to ad-

dress the additional operational requirements for FOB8 is offset by a net reduction of 9 civilian positions from within the Department current authorized strength of 443.

Additionally, we have been very strategic in the hiring of civilian positions to best align our resources to our needs. In particular, we identified 22 existing vacant civilian positions based on a position review for repurposing to meet additional mission requirements such as, the 9 sworn officers needed for the security of the new FOB8 and 13 civilian dispatcher positions needed for the RMP mirror site requirements.

The Department's current authorized sworn strength does not entirely provide the necessary resources to meet all our mission requirements within the established sworn officer utility or 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. As a result, our oversight committees are reviewing 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.

With that in mind, our requested fiscal year 2012 personnel costs support the current authorized staffing levels of 2,243 positions, as well as a request for 3 new civilian positions for the OIG. This will result in the increase of 3 personnel (from 2,243 to 2,246), while absorbing the mission requirements associated with FOB8 security and the dispatch operations.

At current staffing levels, the Department's fiscal year 2012 basic overtime projection of approximately \$33.9 million reflects an increase more than the \$32 million that was provided for in fiscal year 2011 with rescission.

Other requested increases to overtime include an additional \$215,000 in funding to cover LOC's nonreimbursable events, and \$2.4 million for overtime necessary to secure multi-year AOC initiatives, to include the Capitol Dome skirt, and utility tunnel projects. These items bring the total fiscal year 2012 overtime request to \$36.5 million which is an increase of \$4.5 million.

The second area of detail is an overall net increase in our requested general expenses budget, which includes protective travel; hiring, outfitting, and training of new sworn personnel; supplies and equipment; management systems; et cetera. While we are requesting an overall increase of 29 percent more than the fiscal year 2011 funding levels, the majority of the increase request is for new initiatives to address identified threats and risks, and for support of the 2012 political conventions and Presidential Inauguration planning. The increase in the request, just for the normal annual needs of the Department, excluding new initiatives, and convention and pre-Inauguration support, is 5 percent.

These seven new initiatives include:

- security and law enforcement services for FOB8;
- security enhancements for the Alternate Computer Facility;
- security designs for the utility tunnel system;
- design and installation of a security program for the Capitol Dome Skirt Rehabilitation project;
- design and installation of security management systems within House and Senate parking garages;
- software upgrades for the Department's fixed asset system; and
- a Department-wide travel management system.

The total funding requested for these new initiatives is \$11.8 million.

Finally, we are requesting \$3 million in general expense funding to support the 2012 political conventions and pre-Inauguration planning.

With your support, the Department continues to successfully perform our operational mission and has achieved several key accomplishments over the last year that have resulted in greater efficiencies for the Department, which include addressing several administrative challenges and improving corresponding business practices.

Operationally, so far this fiscal year, the Department has screened more than 3 million visitors to the Capitol Complex; affected more than 200 arrests; conducted more than 75,000 K-9 sweeps; and screened nearly 6,500 vehicles. In fiscal year 2010, the Department screened more than 10 million visitors, affected more than

700 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.

With the direct assistance of the Capitol Police Board, who provided advisors to assess financial management risks and to provide recommended improvements, we have the foundation for sound fiscal practices that we are actively implementing and will continuously seek to improve upon.

Included in the sound fiscal practices recommended by the OIG through his budget formulation audit and the Board's financial advisors through their review of our financial management operations are the practices and processes we conducted to create the fiscal year 2012 budget.

The Department re-implemented an improved 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 formalized a process for program evaluations for selected existing programs, which we plan to expand for the fiscal year 2013 process. In addition, in order to ensure the accuracy of our budget request, this fiscal year 2012 budget went through multiple layers of review and validation by internal and external parties, and is traceable to supporting documentation for each budget element.

Additionally, by transitioning our primary vehicle fleet to a General Services Administration (GSA)-based fleet leasing program, we now have a consistent 5-year life-cycle replacement plan, which saves taxpayer dollars over purchasing these primary fleet vehicles, reduces repair costs, gives us a predictable annual funding requirement and allows us to maintain a consistent state of operational readiness. In an effort to take advantage of cross servicing within the legislative branch, we also successfully migrated our financial management system to the LOC, which saves the Department not just in annual operational costs, but in future software upgrade costs through economies of scale within the legislative branch. Finally, as a result of programmatic efficiencies that enabled the reduction of 11 Hazardous Materials Response Team positions, we were able to use those vacant civilian positions for security control operators to monitor our alarm system which was previously handled by contractors. As a result, the security control positions were filled by utilizing USCP employees previously transferred to the Department of Labor (DOL) due to worker's compensation issues. Overall, this transformation allowed the Department to better use available resources to more efficiently achieve an operational requirement by returning employees to productive work, which allowed us to eliminate a \$1.2 million contract for the previously contracted operators and reduce our workers compensation charge backs to the DOL by returning employees to duty.

Further, we continue our work to close audit recommendations and to address our material weaknesses from prior audits by working closely with our OIG and the Government Accountability Office 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 closed all eight audit findings related to the USCP OIG's audit of the Department's budget formulation process. Further, we are working on the resolution of a number of other recommendations in order to achieve efficiency and effectiveness of our administrative programs. The long-term resolution of 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 the USCP will successfully adapt our resources and continue to safeguard the Congressional community.

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, Chief Morse. And thank you all.

If it's okay, we can try 6-minute rounds of questions. And it looks like we'll—maybe I'll just finish that about the time the vote is called.

Ms. Erickson, the fiscal year 2011 enacted level of funding for your office included the \$4.2 million associated with the transfer of the SIS program. Your budget request for fiscal year 2012 includes the same level of funding for the SIS program. Can you update the subcommittee on the progress being made on the transfer of the

SIS from the SAA to your office? And have you identified any improvements or efficiencies that you can find in the implementation of the system?

Ms. ERICKSON. Well, the transition has gone very smoothly. And I think it's important to remind the subcommittee that the idea behind the SIS program was to make the services more efficient and cost effective for the Senate. Prior to 2000, each office was appropriated a sum of money to purchase online subscriptions. And a decision was made, by this subcommittee and the Rules Committee, to have one entity be the negotiator for these subscriptions, which can be quite costly, as you know.

As part of our education and outreach efforts to Senate staff, I think it's fair to say that it was a surprise to some of the office administrators that we provided some of these services, and that offices were purchasing duplicate subscriptions. I think that you'll see some Senate offices will achieve cost savings by canceling these subscriptions and relying on SIS services.

Last year, we had a surplus of 0.05 percent. And, with the 0.2 percent rescission, it cut that amount roughly by half. We're currently entering a new procurement stage, and I'm pleased to report that we had recommended, based on usage statistics, to the Senate Rules Committee, that we eliminate one of the service vendors. And they have approved our request. We'll see some minor cost savings on that front.

So, needless to say, with a flat budget, there's not a lot of room for error as we enter the procurement negotiations. But, I'm hopeful that these services will be maintained, because they're valued and used by Senate staff.

Senator NELSON. Your testimony touches on the fact that during fiscal year 2010, the Disbursing Office, in tandem with SAA technical support, began implementing a new payroll system. What is the status of that Senate payroll replacement project? You indicated that phase I should be completed during fiscal year 2012. What are the necessary steps? And is everything progressing? The status of the replacement projects is what we're after.

Ms. ERICKSON. The implementation is going well. I will say, as you can imagine, anytime you're dealing with payroll, it is a high-stakes project. We've been having implementation sessions with the vendor who was selected to help with the implementation. I've met periodically with the implementation group. They meet every 2 weeks for what we call "fit-gap" sessions. And I think it's fair to say that, so far, everything looks good. There's a great deal of work ahead of us.

But, one thing that I was struck by in attending these sessions, is the relatively small number of people, not only from the Disbursing Office, but from Terry's shop, in payroll, who assist us every 2 weeks in getting the payroll out—the small group of people who are working on this project. And they're doing this job on top of their already very full-time duties of issuing payroll every 2 weeks. I'm pleased to report that everything is going well to date. And we will be sure to keep you and your staffs informed as we progress on the project.

Senator NELSON. Okay. And what is the cost of the Senate Office Personnel System (SOPS)? And is that somehow tied to the payroll

system? Is it more cost effective to do the personnel system in conjunction with the payroll system?

Ms. ERICKSON. Sure.

Senator NELSON [continuing]. In other words, are there additional costs associated with adding the personnel system later, rather than doing so now, as you're in the implementation phase?

Ms. ERICKSON. The payroll project will be one that will take place in three phases. The first phase will be simply the replication of the current system, which we hope to have launched by February. The second phase of the project will include self-service options, which will allow Senate staff to, from their desktops, change their withholdings, their address. It will also mean the end of paper paycheck stubs that will be mailed to your offices. That will all be sent electronically. The third phase of the project will include the SOPS, or personnel system, for Senate offices.

The SAA had asked the vendor who's helping us with the implementation, as well as an outside consultant, to do an analysis of the risks associated with doing the personnel system at the same time as the current payroll system. And they recommended that it was too high risk for us to implement at this time. So, that will be the third phase of this project.

Senator NELSON. You mentioned what the new personnel system will offer the offices, among other things, interactive ability to change certain information would there be some other services that would come to the various Senate offices from that change?

Ms. ERICKSON. Pardon.

Senator NELSON. Would there be some other benefits, other than services, that will come to the Senate offices from this changeover?

Ms. ERICKSON. Yes, there will. It'll be a much more efficient system. And I'd be happy to follow up with the subcommittee in more detail on some of the options that would—

Senator NELSON. Sure.

Ms. ERICKSON [continuing]. Will be available.

Senator NELSON. Okay. Thank you. I think that is my time.

Senator Hoeven.

Senator HOEVEN. Thank you, Mr. Chairman.

Again, thank you for the hard work that you've done on these budgets. And, as you know, we're in challenging times, financially, in terms of the Federal budget. So, we're going to have to continue to work to find savings where we can. And in that effort, we've got our personnel costs, which, in all your cases, is obviously a very big part of your budget. It's very people intensive. And then we have other expenses. Anticipating that, we're going to have to continue to find savings, just based on what I expect the overall budget requirements to be, there's been discussion of even going back to 2008 funding levels.

So, what I'd like to engage in a little bit is how we would go about finding some savings and how we would balance that between people and projects. Now, for both Secretary of the Senate, SAA, you essentially have flat budgets, and have been from, basically, 2010, 2011, now looking at 2012; in the case of the USCP, we need to talk a little bit about the 14 percent increase you are requesting. I recognize the need for security; and, of course, with the tragic event that occurred with Representative Gabrielle Gif-

fords, we know that's not only a security issue here in Washington, DC, but around the country. So, we have to be mindful of those security requirements, too.

But, let's start, if we could, with the Secretary of the Senate. In terms of people and projects now, if we have to hold these budgets flat, or even compress them further, talk a little bit in terms of what you're realistically able to do between people versus some of your other general expenses versus any kind of projects that you have going now. How would you start to—and I know it may be a little hard for you to get into specifics, but that's not what I'm looking for, so much as to how you would approach this budgeting process in that balance between people, general expenses, and project type costs.

Ms. ERICKSON. Well, in terms of our operational budget, we'll be in great shape if you hold us to our 2008 level of funding. Our 2012 budget request is the same level as our 2008 level of funding on the operations front. With respect to staffing, the Secretary of the Senate, over the years, has been capped at a level of 253 employees. And I'm pleased to say that I think that we're well—we're below that cap on purpose because I'm mindful that there may be statutory requirements that require me to add full-time equivalents to our budget. An example of that would be, in the last Congress there were two bills that were proposed, dealing with earmarks, and one that would have required us to hire staff who had budgetary expertise. I would have had to add staff to my budgets to do that.

Every vacancy that we have, through retirement or attrition, we scrutinize carefully to make sure that it's necessary to fill it. And at the top of my head right now, I can think, in the last few months, that there are four vacancies that we currently have that we plan to, hopefully, do without by using existing staff.

Senator HOEVEN. Okay.

Terry.

Mr. GAINER. We've done some analysis of what it would take if we had to reduce the budget by 5, 7, or 10 percent, and then tried to analyze what we'd do, from a head count and operations perspective. And we do have plans in our mind, if we had to do that. I think the head count reduction would come through eventual attrition as you stop some programs. So, it is really the program area that we'd have to adjust to.

And I'll give you some "for-instances". About 27 percent of our operational budget goes for the support of the State offices. So, when we've looked at reducing funding, generally it's something on the Hill that we change. And if we have to reduce substantially, I would really respectfully request, of this subcommittee and others, that we take a look at the 454 offices that we have around the United States, and see if there isn't some cost-cutting we could do there. That is a substantial portion of our operational budget.

But, when we look at expenses we've deferred much, as I've indicated. And at some point, that bill is going to come due potentially slowing things down. The turnover of getting new computers or buying new equipment could change dramatically. While we keep a high level of response to the Senate community to install a computer, move a computer, change a computer, all that could change,



similar to what we've probably done in our own homes if it breaks down; we're not able to pick the phone up and have someone there in 15 minutes. So, if the Members and the staff could adjust to slower response times, there would be money to save. But, operating like that would eventually adversely impact your ability to interact with your constituents. But, we've at least planned out how we would do that, if push came to shove.

Senator HOEVEN. I think that you're thinking in the right terms, both of you. You know, we'll see what this number boils down to. I'm expecting we're going to end up with some top line number for 2012, at some point, here, maybe even as we go through these discussions with the administration, in terms of the whole debt ceiling issue. We may end up with some top line number. We'll see. And then, out of that top line number, of course, through the Appropriations Committee, then that puts us in a position to actually boil down numbers to some of these different budgets. It's tough, from the standpoint that we don't have a lot of dollars, obviously, and we're going to have to find savings. But, the good part is that we may then have a number to come back to you and say, "Okay, we're going to have to try to, you know, live within certain numbers, but then you've got some ability to make those decisions." And we would do everything we could within that number, then, to try to help you make it work in the best way possible.

I think some of the things that you talked about and identified—whether they're exactly the right things to do, or not, is something we can work through—but, I think you're thinking exactly in the right terms, as far as how we would approach the challenge. And, like I said, I think we'll have a better idea of what that has to be, as we go forward.

Chief, you know, obviously, with the security situation, that's a tough proposition. And I referenced Representative Giffords and the challenge that creates, not only for you, here in Washington, DC, but then around the country. How do we—with the need for security, not just for Members, but for the public—how are you going to approach this? Just start at a high level—

Chief MORSE. Sure.

Senator HOEVEN [continuing]. And then get down in some more specifics.

#### ENVIRONMENTAL ASSESSMENT

Chief MORSE. One thing we do when we formulate our budget is, we look at threat and risk. So, we do an environmental assessment, and then we do what's called "force development." We look at those risks and threats, and we look at what we currently do and what we may need to do.

I'm going to give you one example of where—in the 2012 budget, when you're looking at a program or operation, how we were able to meet a new mission, with respect to threat and risk, by not increasing the staffing level of our police department. What we did for the FOB8, where we needed eight additional officers, we scrubbed vacant civilian positions that we had not hired for yet. We reallocated those positions to fill those vacancies. That's an example of where we scrubbed a program, we were able to utilize vacant

positions to reallocate for a new mission without asking for an increase in authorized strength.

Another example of where we look at a program or operation is with respect to our truck interdiction and monitoring program. We've taken information technology, camera systems, and new technology, with respect to the lights and the intersections, and we will be able to reduce that program by reducing officers, reducing vehicles, which then becomes less maintenance, less gas, less overtime, and we're able to reallocate those officers to other missions.

So, we will continue to do those scrubs of programs and operations to find savings, both in how we do what we do and the number of people that we need to do it with.

Senator HOEVEN. Okay. I actually was going to try and see if I could work this so the Chairman was back before I went to the vote. But, I think, given the time, that I'm going to have to excuse myself so that I can go vote. And then, I expect both the Chairman and myself will be back pretty shortly.

Thank you.

Senator NELSON. I think we can reconvene, here.

And this is still to Ms. Erickson. Aside from the SIS program request, your fiscal year 2012 budget is very conservative. What measures are you using, internally within your agency, to control the costs?

Ms. ERICKSON. Well, with a relatively small budget of \$2 million, I have to say that we're vigilant, on a daily basis, of watching our budget.

Just a few examples. Our Senate library staff, every year, review the subscriptions and the database of subscriptions that we have. And this year, they were able to find \$38,000 in savings over the next 3 years. Another example, our Senate chief employment counsel staff have eliminated the purchase of hardbound legal books, and have achieved \$6,000 in annual savings. Our Senate Stationery Room tackled a project, at the request of Senate office administrators, to provide online ordering services to offices. Initially, we thought we would contract that out, and then, looking at the costs, we decided we'd do it internally, using the resources we have here, relying heavily on our Senate Webmaster to achieve some cost savings. Now, it may not have all the bells and whistles that an outside contractor would have provided us, but I'm confident it'll get the job done for Senate offices.

Other small things we do: Not every staff member has a cell phone and BlackBerry. We limit those to individuals who are department directors or those who have emergency operation responsibilities. In the last 2 years, we've limited staff travel to attend training and conferences. So, those are just small ways that we try to achieve cost savings for our operational budget.

With respect to salaries, as I mentioned to Senator Hoeven earlier, every time we have a vacancy, we scrutinize it to make sure that it's one that we really need to fill. And, in recognizing the tight economic times that we're in, I can think of, off the top of my head, four vacancies that we currently have had, in the last few months, that we plan to keep open and rely on existing staff to assume those duties.

Senator NELSON. Well, thank you. And I commend you for the steps that you've taken to control costs, and submitting such a lean budget. And after giving you all those compliments, I guess it might come as a shock that I will ask the question: If you had to submit a 5-percent reduction from fiscal year 2011, do you have any thoughts about where you might make those kinds of reductions?

Ms. ERICKSON. Well, we have a lean budget, so it would be tough. And many of the services that we provide are ones that we have statutory mandates to provide. But, we would do our best to scrutinize the budget to come up with those savings. We would do as directed by the Appropriations Committee.

With respect to the SIS program, I have to say that, if we took a 5-percent cut, it would bring the level of funding for that program back to 2008 levels. And it would require us to make drastic cuts in the services provided to Senate offices.

Senator NELSON. And the Senate offices don't want those drastic cuts in their service, do they?

Ms. ERICKSON. They do not.

Senator NELSON. I know.

Ms. ERICKSON. In fact, recently, the leadership directories, which is one of the services under the SIS program, went dark for a few hours, and the phones in our Senate library were ringing off the hook with complaints from Senate staff. We like to keep them happy.

Senator NELSON. Well, thank you. I appreciate it very much.

As we look at the Senate SAA budget, your request, Mr. Gainer, is only slightly above 2011 enacted level. And I note that you would have been below, except for the 2.2 percent across-the-board cut that was applied to that bill. And once again, I'd like to commend you for submitting a budget that basically reflects a freeze in spending. And I have a couple of questions about your request and the current funding levels.

Number one, does your increase in salary funding for fiscal year 2012 include a request for additional staff?

Mr. GAINER. No, Sir, there are no additional staff requests.

Senator NELSON. How much do you currently have in remaining prior year unobligated balances, which you have said you would like to see applied?

Mr. GAINER. There is approximately \$10 million of unobligated balances, Senator. And we have a plan for that money. Part of it goes to completing the work that we're doing with the Secretary of the Senate on the payroll system. We don't know if we have allocated enough to complete the project, so we are reserving some funds, in case there are additional requirements. We're reserving some funds that are related to the question you had about the personnel system, one large item that benefits the entire Senate community. And then, we'd have to prioritize those projects that we've deferred over these last couple years, and see how we would best use the funds.

Senator NELSON. Right. And how much of those unobligated balances would expire at the end of fiscal year 2011 if not used?

Mr. GAINER. Approximately \$5 million will expire.

Senator NELSON. All right. Unfortunately, if we're going to get our fiscal house in order, it's going to take a bit more than a freeze. So, I'd like to ask you the same question that I asked Ms. Erickson, just a minute ago. Do you have any areas that you might identify if you were looking at a 5-percent reduction from the previous number?

Mr. GAINER. Five percent would be about \$11 million for us, and we have considered that. Again, I believe we've deferred all that we should defer. And what we would do, Senator, is look to the State offices. Twenty-seven percent our operational costs go to support the 454 State offices, including computers, installation, network storage, etc. I think we'd have to go back to you and the other respective committees to say, "Is it time to take another look at the number of statewide offices we have—454—and how they're staffed?" That would be one way to spread the reductions.

Then, I did mention to Senator Hoeven, if we can change the expectations of the Senators and their staff, and concomitantly, what your constituents want, we could slow process down. We have a rapid response time on service requests. And, like people who have computers at home, it may be 3 or 4 years between the time I replace computers. We update and replace equipment more quickly here, so our movement toward virtual computers and cloud computing would look different. Every time a vendor comes out with a new device, we put it in our catalog. You pay for it out of your funds, but we have to have the systems to support it. We'd have to rethink all that.

Senator NELSON. And, as a result of preparing for the threat in the Government shutdown last month, were you able to identify any efficiencies in services that, if implemented now, could potentially lead to future savings? I know we all had to take a look, internally, at the offices, and ask the basic questions about what was essential—not what was unnecessary, but what was essential. Did you find anything, in that exercise?

Mr. GAINER. Well, one thing I found is we lost a lot of productivity preparing for the shutdown: the cost of about \$200,000. But, I do not think that we had the ah-ha moment to say, "We can do without that", because the demand slows down.

Senator NELSON. Yes. You're subject to whatever demand there is out there.

And that is the same thing for you, Ms. Erickson. Did you find the same thing, the slowdown in demand, because everybody was busy doing their own thing internally in their own office?

Ms. ERICKSON. Well, I'll chime in with Terry, that a lot of lost productivity was—

Senator NELSON. Absolutely.

Ms. ERICKSON [continuing]. Lost, that week, prior to the potential Government shutdown.

We took the Antideficiency Act requirements very seriously in our operation. And we simply planned to keep open the small staff, in the Disbursing Office, that would have to issue the payroll during that period. And then, we planned, of course, to have our legislative staff here to maintain floor operations. But, the rest of our departments were closed, as required by the Antideficiency Act.

Mr. GAINER. Senator, can I have make one remark—

Senator NELSON. Sure.

Mr. GAINER [continuing]. On that question?

Senator NELSON. Sure.

Mr. GAINER. It did dawn on me that during that whole shut down evolution, Christy Prietsch, who runs the Senate-wide Employee Assistance Program, saw the work in her office magnified 10 times. So, there was no small amount of angst on everyone's part. But, I'd also like, when we have an opportunity, to talk about some things that might make us all more efficient as we go through some of these exercises.

Senator NELSON. Thank you.

Terry, can you update us on the progress of the telecom modernization project?

Mr. GAINER. Senator, I can. The good news is, we anticipate that the pilot project will be out not much later than the end of September. And the pilot project to roll out the new phone system that will continue to build on the Watson Program will involve a couple of the Senate offices, a portion of my own office, and some of the committees.

It has taken us longer than expected. There have been some knockdown drag-out meetings, in my own office, about us being behind schedule on that. It's not because of a lack of will, but it's due to the evolving and complex nature of the project.

So, we are now on track to get the pilot up that will have some of the other savings that go along with putting in that new system, the ease with moving around a phone, changing phones, and people being able to get their messages on their BlackBerrys. There are all sorts of enhancements that are efficiency-oriented. So, by the end of this calendar year, and into the beginning of the next calendar year, we'll move steadily through the Senate community, replacing all the phones.

Senator NELSON. Do you anticipate the need for any additional funding for the project, or do you think we have it adequately funded, at the moment?

Mr. GAINER. I do believe the funding is sufficient now, Senator.

Senator NELSON. Good. Okay.

Has the Senate community been receptive to the new Watson voice messaging system that was necessary that you got put in place?

Mr. GAINER. Very much so. There were the initial hiccups as with any new system, but I think we quickly responded to those. We've worked with the Rules Committee and others. The response to that has been very good. It's helped with call waiting and call volume. The other real unique feature is the ability to get voicemail messages on your BlackBerry, or from your phone to your BlackBerry and your computer.

Senator NELSON. I understand you're going to be issuing smart identification cards. What will the benefit be to that? And is there any unusual cost associated with it?

Mr. GAINER. About one-third of those 454 statewide offices are in Federal buildings. And the Federal buildings are rapidly moving toward those ID cards. So, to make it more efficient for State staff members to get in and out of their offices, it will be very important. We've been after smart ID cards since my days as the Chief of the

USCP. If we all had them, it would be a lot easier and more efficient for people to get in and out of the building. So, we have spent about \$1.4 million on the project, so far. I think the annualized cost is somewhere in the range of \$110,000-a-year; but, as the executive branch moves to these, we need to keep up.

VALIDATING THE USCP FISCAL YEAR 2012 REQUEST

Senator NELSON. Thank you.

Chief Morse, your agency and the CBO were the only two accounts that received an increased funding from fiscal year 2010 level in the fiscal year 2011 continuing resolution. And it was done to annualize that funding correction due to the salary miscalculation at the Department in fiscal year 2010. Now, based on the work done by the outside contractors which were hired by the USCP Board last year, what steps have you taken to validate the accuracy of your fiscal year 2012 budget request? And how confident are you that we won't see, or have to adjust for, another shortfall at some point in the future?

Chief MORSE. With working with the Board's contractors, we've done a number of things. One is, as reported in my opening remarks, we have closed all eight recommendations associated with the audit of the budget formulation process. That enabled us to do several things. One is to go back to what had worked very well for us in implementing our Force Development Program, our environmental assessment, where we have a very responsible and reasonable approach, with respect to threats and risks. And that's what our budget is designed around.

We also have implemented a top-down review of our budget to include the Investment Review Board, that we have done in the past, which includes our managers in the review of the process. We have started writing all standard operation procedures (SOP) related to the budget formulation process.

And as an example, what we did, with respect to the formulation process itself, was have the people who actually work in those positions be a part of the formulation of those SOPs so that we would not only know the exact steps to take, but we would be a part of writing those SOPs for anyone in the future who may come in.

Another step that we took was to ensure that we reviewed our positions there, our position descriptions, and then filled the most critical positions within that organization. And, as I said, I'm happy to report, we closed all those recommendations. The SOPs have been formulated for the process. They continue to be done as we move through the execution of our budget. We are very confident that we have produced a very solid and accurate budget, and one that we will continue to do into the future.

Senator NELSON. Did the outside contractors coordinate with the GAO on the previous work done by the GAO on your budget? In other words, was there cooperation, corroboration back and forth?

Chief MORSE. We've had very good cooperation, not only with the GAO, but with the IG, with respect to the audit findings, previous recommendations that have been made. One of the things that we wanted to do, and they have been very helpful in doing, is ensuring that we're not duplicating any recommendations, that we're all on the same page, and that we're doing the most important things

first, and that were ensuring that the things we do are the most efficient and effective for the formulation of our budget and the execution of it.

BUDGET REQUEST AND ITS IMPACT ON THE LEGISLATIVE BRANCH

Senator NELSON. In addition to the increased funding that I just mentioned, your department's asking for an additional \$47.5 million, or 14 percent, in fiscal year 2012. To put it in further perspective, this \$47.5 million increase is the equivalent to 1 percent of the legislative branch bill, as a whole. If this bill were held at a freeze, we'd need to cut every other agency by 1 percent, which I'm sure makes them very pleased, to make up for the increase in funding for the USCP. However, it's my goal that we reduce the funding by an additional 5 percent, if we can. But, if we fully fund the USCP, it means a 6-percent cut to everybody else. So, what do you say to your colleagues sitting at the table?

Chief MORSE. Well, you left me in a pretty bad position, didn't you? What I would say is, you're safe, and we intend to keep it that way.

Senator NELSON. And you're packing, too.

Chief MORSE. Yes. There you go.

Well, I would say that—look, I'm very humble, and I took responsibility for the miscalculations of 2010. And I take responsibility for anything that the USCP, unless it's good; and that's where I give the credit to the people that support me, like the USCP Board, this subcommittee, and the people that are sitting behind me today that work for me.

I think it's important to say that a lot of our budget increases—you know, we have an explanation behind it that's very important to get out. One of the things I wanted to say was and with Senator Hoeven, I mentioned, too is that, we're not all about increases. We're also about, really, effectively and efficiently running our police department. We've worked with the Senate Sergeant at Arms Rules Committee, as the example was given in Mr. Gainer's opening remarks, where we saved well more than a half a million dollars. We are working with technology, in one of our programs currently, that will reduce the number of vehicles, people, gas, and maintenance. We scrubbed our open civilian vacancies and were able to reallocate those to other mission requirements that were placed on us so that we wouldn't have to raise the cost of or, raise the size of our police department. We've done a fleet vehicle leasing program that this subcommittee reviewed and approved, and, over a course of time, saved several million dollars, over the next 10 years, with regard to purchasing, which enables us to have a refreshed fleet, it enables us to do our mission more carefully. We've scrubbed programs within our police department, where we have improved the efficiency and effectiveness. We were able to save 11 positions. We were then able to get rid of a multimillion-dollar contract for alarm monitoring, bring that in-house. We looked at USCP employees previously transferred to the Department of Labor, and brought them back and gave them positions.

So, we have worked very, very hard to save money, be creative in saving money. But, the mission comes first for us, and sometimes the mission continues to grow.

And with respect to the question I heard earlier, with respect to a 5-percent cut from the 2011 to the 2008 levels, as an example, after the 2008 budget, we incurred two very large mission requirements. One was the merger with the LOC, and the other was the opening of the Capitol Visitor Center.

So, all those types of things have to be considered, with respect to our budget. And I appreciate all my partners in the room, and their contribution and support to our police department. But, I also wanted them to know that we work very, very hard not to increase our costs, but to find ways to save money.

Senator NELSON. Thank you.

Senator Hoeven.

Senator HOEVEN. Thanks, Mr. Chairman.

You know, I think you may be covering the same point that I want to explore for just a minute. I thought both Nancy and Terry did a very good job of expressing how they would approach any further reductions that we may need to make, and I agree with that approach.

In the security area, it's challenging, to say the least, because, on the one hand, we can tell Members of Congress and the Senators, "Look, if we have to compress some budgets, you're going to have to do without some services. I mean, just understand that's what this means. So, that means you may not have as many constituent offices in your State, and the associated personnel, and so forth, that goes with them." But, I think, in a very direct way, we can go back to the Members and say—and obviously, on the House side, they do it, and, on the Senate side, we do it—but, go back to our Members and say, "Look, these are the kinds of changes we're going to have to make. What do you want? What don't you want? And there's an associated cost or reduction that goes with it." And I think that's how we would, in all likelihood, have to approach most of it, other than to the extent we can defer projects or defer maintenance, which, as you rightfully said, catches up with you. But, I think that's how we'll have to approach these things.

In the security area, it seems to me that is a particularly challenging proposition, just given the nature of both the additional projects you've been asked to take on and just the nature of security, in general, both for elected individuals, but also for the public that's here and in these facilities and around the country.

So, we started to get into it a little bit before I left for the vote, but I just want you, Chief, to explore for me for a minute what realistic possibilities does that give us? Now, I notice, right now, it appears that you have a number of vacancy positions, relative to your full-time authorized, and you are asking for nine more positions for 2012. So, maybe just, if you haven't already touched on both your roughly 25 or so vacant positions now, and the 9 additional. But then, if you would, really touch on—how would I go back to the Members, or how would the chairman go back to his Members and say, "If you want some reductions these are the things that are going to have to happen?" What would that dialogue look like?



## FISCAL YEAR 2012 REDUCTIONS

Chief MORSE. Okay, well, with respect to the authorized strength, we did take—we have an authorized strength of 443, with our civilians. We scrubbed 22 of those positions that are currently vacant and said, “Let’s reallocate those instead of growing the sworn—or, growing the overall strength of the department, let’s just reallocate those—nine of those positions to the sworn positions, and ask for the funding for those, in order to accomplish that new mission of opening a new building.” So, that is where we reallocated, from within, to not grow, overall.

But, with respect to security, it’s ever-evolving. The threat continuously changes. They’re trying to stay one step ahead of us, and it’s important for us to stay ahead of them. Therefore, it’s sometimes hard to predict, you know, what the next type of emerging threat may be, so we have to, obviously, maintain the highest level of technology. So, when you look at cutting general expenses, and you look at the agency trying to stay within the budget constraints provided, we get into deferring life-cycle replacement. You can do that for a time, but then it does start to adversely affect security, because now you’re behind in technology, or the technology you have starts to break down on you. So, deferring those costs is not something that you want to do to—for too many cycles. You have to constantly, as I said, think ahead of the adversary. Sometimes that means the responsibility of securing things that may be temporary, like some of these projects. These are not permanent increases, they’re temporary increases, but they’re needed in order to reduce the risk and threat that those can pose while those projects are ongoing.

So, the only other way, without cutting security, is to cut mission. And cut mission is one thing that we worked on, with respect to the door-closure plan.

Senator HOEVEN. All right.

Chief MORSE. We simply looked at hours of operation, the number of people that are screened through those locations, and we looked at the impact that may have on the institution’s responsibility to be able to work freely. So, we measured that, and we were able to find savings. I think we have to continue to do that.

Senator HOEVEN. Yes.

Chief MORSE. And I would not recommend that we cut security, but that we look at mission, and find other innovative ways to reduce the amount of mission that we have, which then results in a reduction in overtime, a reduction in people; and you are not sacrificing security for that.

Senator HOEVEN. Right. But—and I think that—with your indulgence, Mr. Chairman—that does make sense, both in terms of timelines—how long facilities are open, the number of facilities that are open—that makes sense.

Chief MORSE. Yes. Yes, Sir.

Mr. GAINER. One of the things that the USCP Board—the House SAA, myself, and the AOC—is doing under the Chief’s leadership, is to reach out to Homeland Security and the Secret Service. For instance, we each have an entire operation that does screening of vehicles and trucks. So, we said, “Is there efficiency in trying to do

something together?” And the Chief’s staff have been working very hard with Director Sullivan’s staff to see how we can merge the systems. We’re nearing completion. The Congress has given the USCP Board and the AOC property where we plan to build the model offsite delivery facility. We’ve entered into discussions with Homeland Security and the Secret Service to make that a joint project. So, while it doesn’t help your numbers here, if the Office of Management and Budget were giving credit for something being done, this is a way we’re trying to minimize stovepipes here in the District.

Senator HOEVEN. I think that’s right on. I mean, I would have to see your reaction across the board. I think it is right on. And there may be some opportunities here. And, of course, we would give some credit for those savings that we help generate with others in any kind of joint endeavor. But, I do have to say that I appreciate, very much, your responses to my questions. And I agree, I think you’re looking at things the right way. And so, thank you, again, for the good work that you do.

#### CONVENTION AND PRE-INAUGURAL SUPPORT COSTS

Senator NELSON. Thank you, Senator Hoeven.

Chief, you have \$3 million, I think it is, for the coverage of conventions and pre-Inaugural support planning. How did you arrive at that \$3 million? Is it based on prior experience, within—that in mind? Or, how did you do that?

Chief MORSE. Yes, we use historical data, and also, site location drives the cost. But, in those costs, obviously, are, you know, travel, transportation, rental, per diem, et cetera. And those costs are derived from previous conventions and, obviously, Inauguration support.

#### IG INCREASES

Senator NELSON. I noticed, on the IG increase, that you asked for three additional FTEs for the IG’s staff. How many staff does the IG currently have, at the present time?

Chief MORSE. Including the IG, four.

Senator NELSON. Four? Now, you’re almost doubling the IG staff there. What is the basis for determining that you need to add three additional to the current staffing?

Chief MORSE. The request for increase comes from the IG and his justifications to the USCP Board. And with their approval, those numbers were derived. So, it’s not based on my justification for increase.

Senator NELSON. And you’d rather not make him mad.

Mr. GAINER. Senator, from a USCP Board perspective, of which I am the chairman this year—Bill Livingood, the House SAA, and I rotate that each year—the Inspector General has steadily asked for additional staff over the years, and we’ve steadily said no, except we now see that we’re missing some opportunities to conduct audits. With the help of those audits and investigations, Phil’s operation could be more efficient.

Senator NELSON. So, we could realize some savings, ultimately, with more efficiency being pointed out through the IG’s audits? Is that part of our justification?

Chief MORSE. Yes. I welcome help—

Senator NELSON. Sure.

Chief MORSE [continuing]. And assistance and recommendations. And the ones that I've been getting from the USCP Board, obviously, the IG's and the GAO, all have led to productive, efficient outcomes.

#### RADIO MODERNIZATION PROJECT

Senator NELSON. How's the radio modernization project working out for us?

Chief MORSE. Well, currently—there are five phases in the radio modernization project—currently, we're in a combined phase 3 and 4. That phase is the acquisition, procurement, and testing, and some installation and construction that's ongoing.

We have two mirror sites. The one mirror site is about 97 percent complete and on target for its completion date. The second mirror site is about 18 percent complete and on target for its completion date.

There are requests for proposals associated with this with the money that's been obligated. Those RFPs, a total of five. One was released and awarded. The other two have been released and are in a phase of either closure or technical inspection. And then, the other two are pending release either this month or next month.

Senator NELSON. Do you think that the \$7.2 million being requested in fiscal year 2012 represents the last installment for the project?

Chief MORSE. In the 2011 appropriation that you provided us, we were on a diet in our general expenses. By enabling us to not change the enacted general expense from the previous year, we'll be able to derive the \$7.2 million from that general expense and, therefore, will rescind that from our 2012 budget request.

Senator NELSON. All right.

I believe that's all the questions that I have.

Senator Hoeven.

Senator HOEVEN. I don't have any additional questions, unless there's any other comment, as a result of this hearing, that anybody would like to make.

Mr. GAINER. Would you mind if I just opined two things?

We would hope you might consider a single salary and expense appropriation for us, as the majority of executive branch agencies do, and some of the legislative branch. We have about 10 accounts that my Chief Financial Officer says, "If I were dreaming, it would be nice to reduce the number of funds, and have the flexibility in the movement of funds, with all the appropriate oversight." But, maybe take another look at that.

This one may be more of a stretch. I've long thought, as I did in State government, that I wish we could do biennial appropriations so that we could do a little better planning on the purchase and replacement of equipment and securing contracts. In 10 years in State government, I never had any success to do that, but, it's a dream, from an agency perspective. I don't know how much more of a headache it gives your staff, but it makes our job a little bit easier.

Senator HOEVEN. Well, we'll ask the budget analysts to look into the salary line.

And again, Mr. Chairman, as long as it is with your agreement.

Senator NELSON. Sure.

Senator HOEVEN. I agree on the 2-year—matter of fact, I'm co-sponsoring legislation to go to a 2-year budget cycle. So, I absolutely agree with you. And anything we can do, in the interim, without legislation, to look at that, I agree. I think they're both good ideas. We'll see what we can do.

Mr. GAINER. Thank you.

Senator NELSON. I would agree. And I'm looking at perhaps sponsoring that legislation, myself. We're looking at it internally. But, having gone through biennial budgeting in the past, it certainly would avoid having us make a pie a piece at a time around here, the way we have to. We would have a more comprehensive approach. I think you're absolutely on target. And I hope many of my colleagues will feel the same way.

Mr. GAINER. Thank you, Sir.

#### CONCLUSION OF HEARINGS

Senator NELSON. Thank you.

Well, thanks, all of you. I appreciate it very much.

And we're recessed. Thank you.

[Whereupon, at 3 p.m., Thursday, May 12, the hearings were concluded, and the subcommittee was recessed, to reconvene subject to the call of the Chair.]