LEGISLATIVE BRANCH APPROPRIATIONS FOR FISCAL YEAR 2011

THURSDAY, MARCH 4, 2010

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

The subcommittee met at 4:32 p.m., in room SD–138, Dirksen Senate Office Building, Hon. Ben Nelson (chairman) presiding.

Present: Senators Nelson, Pryor, Tester, and Murkowski.

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. I apologize for the start of this afternoon being different than scheduled, but sometimes the call of Senate business for votes hops in the way of what we were otherwise planning to do. So thank you for your indulgence.

We meet this afternoon to take testimony on the fiscal year 2011 budget request for the Secretary of the Senate, the Senate Sergeant at Arms, and the U.S. Capitol Police. This is our first hearing of fiscal year 2011, and once again, I look forward to working closely with my good friend and ranking member, Senator Murkowski, and the other members of the subcommittee, Senator Pryor and Senator Tester. I understand Senator Pryor will be joining us here shortly.

I think we had four very productive budget hearings last year, and it is my hope that we can continue that trend again this year.

Having said that, I must say that I am very concerned that the subcommittee has, once again, been presented with a fairly large budget request for fiscal year 2011. The 2011 budget request for the legislative branch totals $5.1 billion, an increase of $466 million, or 10 percent, over the current year. At the risk of sounding like a broken record, we really do need to reduce these numbers, but the fact is that this country remains in economic turmoil and the American taxpayers simply will not tolerate increased Government spending at a time of such significant high levels of unemployment.

Last year, we received an overall increase of 5 percent in the legislative branch, including some large-ticket items for the House, over which we clearly have no control. But I hope that we will not be seeing an increase of that magnitude this year. In fact, I have stated repeatedly that I am going to do everything I can to hold the legislative branch flat this year. I think we really do need to lead by example with this subcommittee and we cannot do that by appropriating large increases to our agencies.

The President sent the message very loud and clear in his State of the Union Address this year noting that families across the country are tightening their belts and making tough decisions. The Federal Government must do the same he said, and he announced a 3-year freeze on nonsecurity discretionary Government spending.

The President said "Like any cash-strapped family, we will work within a budget to invest in what we need and sacrifice what we don't."

And he went on further, "If we do not take meaningful steps to rein in our debt, it could damage our markets, increase the cost of borrowing, and jeopardize our recovery, all of which would have an even worse effect on our job growth and family incomes."

So with that having been said, I am happy today to introduce and welcome our three witnesses, Nancy Erickson, Secretary of the Senate; Terrance Gainer, the Senate Sergeant at Arms; and Phillip Morse, the Chief of the Capitol Police.

I first want to acknowledge the dedication and work of all of you and your staffs. The Senate worked many late nights into early mornings, right up to the holidays this year, and even during our record snowfall this winter, your staff, all of them, did an exceptional job of maintaining the services that we rely on here in the Capitol environs. We are grateful to each and every one of them and to you for keeping the Senate running safely and smoothly every day. To the extent it was not smooth, it was not your fault.

Ms. Erickson, we are pleased to have you here this afternoon, and I look forward to hearing your testimony. Among many others on your staff, I want to acknowledge Chris Doby of the Disbursing Office for his fine work in balancing the books for the Senate. It is no easy task, but he and his team do a great job and we appreciate their dedication and commitment to this institution.

For fiscal year 2011, your office is requesting a total of $60.2 million, which is an increase of $32.4 million, or a little over double your fiscal year 2010 amount. Now, I understand that the bulk of this increase, to be clear, $32 million, is a result of the transfer of the Senate information services to your office from the Senate Sergeant at Arms where it is currently funded. So I look forward to hearing more about the specifics of your budget request and how we might fund this transition over several years as opposed to funding it perhaps as much as we are asked to in fiscal year 2011.

Chief Gainer, the Sergeant at Arms request for 2011 totals $240 million, a 7 percent increase over fiscal year 2010, and I realize that your request includes several big-ticket items as well for the Senate community which are expensive, but I look forward to working with you to identify what our true needs are, both in terms of salaries and expenses to maintain our current services. Terry, I want to personally thank Skip Rouse and Grace Ridgeway of your office for their outstanding service to this subcommittee.

And finally, Chief Morse, I understand you have recently resubmitted your fiscal year 2011 budget request based on your first quarter review of fiscal year 2010 expenditures. The fiscal year 2011 request totals $385 million which is an increase of $57 million, or 17 percent, over the enacted fiscal year 2010 level. This includes a request for 52 additional officers and 12 civilians.

Chief Morse, I understand that your quarterly review also identified some miscalculations in your fiscal year 2010 appropriation, which obviously is somewhat disturbing, and I look forward to discussing this with you just a little bit later. It seems that your department continues to be plagued with some financial management challenges, and needless to say, that causes us on the subcommittee tremendous concern. We hope that you will be able to help us understand.

Your budget request does include, I understand, $16 million for the indoor coverage portion of the radio project, which will be the final installment of funding for this project. So I look forward to receiving an update on this project from you as well.

Now it is my pleasure to turn to the ranking member of the subcommittee, Senator Murkowski, for her opening remarks. Senator.

STATEMENT OF SENATOR LISA MURKOWSKI

Senator MURKOWSKI. Thank you, Mr. Chairman.

It sure does not seem like a year since we were here with these three fine individuals that are before us. It goes by quickly.

I want to thank you for calling the hearing and allowing the consideration of the 2011 legislative branch budget request. I felt like we worked pretty well together last year in putting together a proposal that we could stand up and clearly support. But it was very clear that even with the package that we had, I think, skinnied down and yet still allowed for a level of funding that allowed for the system to work here, there was a fair amount of criticism at that budget for the increases that we saw then.

So I too share your concern that we are back a year later and the proposals that we have are proposals for increases and an overall requested increase of 10 percent, which I would concur with you, Mr. Chairman, we need to lead by example here within the legislative branch, and now is not the time to be seeing 10 percent increases. So I am absolutely behind you when you have suggested that we need to work together to figure out how we can allow for the smooth functioning of the operations that must proceed here but do so in a manner that indicates that we are tightening our belts, along with everybody else in this country.

I would like to welcome all of the witnesses and the deputies that you have pointed out. This is a very important discussion that we are having today on how the agencies that you all represent are planning to move forward in this next fiscal year.

Again, just the general sense of disappointment when we look at this budget and see that it is 10 percent over the fiscal year 2010 enacted level. And I do realize that the witnesses that we have here today are only responsible for three pieces of this increase. But you and I, Mr. Chairman, are responsible for looking at the big picture and balancing the needs of each of the agencies within this bill. So we have got to consider your requests within the full context.

Clearly, each of you is requesting significant increases.

The Secretary of the Senate is requesting an increase of $32.4 million, or 116.7 percent. I have to admit that when I looked at that, I thought that the decimal was in the wrong place and that it was 11.6 percent, but it is 116 percent, which includes an increase of $441,000, or 1.7 percent for salaries; $32 million, or 1,600 percent, for expenses. The extraordinarily large increase is associated with the transfer of just one program, as I understand, from the Sergeant at Arms to the Secretary's office. So it is good that we have got you both here together today to tell the subcommittee more about this particular program, how its funding needs work.

The Sergeant at Arms Office is requesting an increase of $15.7 million, or 7 percent. It includes an increase of $8 million, or 11.4 percent, for salaries and $7.7 million, or 5 percent, for expenses. Although we have seen the Sergeant at Arms make tremendous strides last year in filling the vacancies, we still have 23 vacant positions that I would like to hear about today. I am also eager to learn how we are coming with the telecom modernization and the payroll system upgrade projects, how these are progressing.

And then finally, the Capitol Police is requesting an increase of $57.2 million, or 17.4 percent, which includes an increase of $17.1 million, or 6.3 percent, for salaries and a 51.6 percent increase for expenses. Now, I understand that these increases support a total of 2,307 sworn positions, which would include an increase of 52 sworn officers, 12 new civilian positions, for a 2.9 percent increase in personnel over fiscal year 2010.

I am curious to know how this increase in personnel is going to impact the overtime issue that the Capitol Police continues to face. As I understand, we are not going to be seeing a decrease in the overtime, which is a concern, because last year, when we met to consider this with the new positions, as I recall, the assurance was this will help us finally get out of that situation with the overtime. So I would like to hear more about that. Of course, I also look forward to an update on the radio modernization program.

I think the chairman has said very clearly the economic landscape across our country has not improved much over the last year. In fact, there are a lot of folks out there that would say the situation has even worsened. I said it last year. I will say it again. I believe it is absolutely important that we lead by example in exercising fiscal discipline. We have got to demonstrate that our house is in order before we can expect others to follow.

So I am anxious to hear what you all have to say today about this year's request and to discuss how we can really find that common ground to balance the needs with what is economically feasible and fiscally responsible.

So I look forward to working with you, Mr. Chairman, as well as all those who are working so hard to serve us. We thank you.

Senator NELSON. Thank you, Senator.

Now we would like to begin with the witnesses. I would appreciate it if we can hold the opening statements to about 5 minutes, although we will not run the clock for that. Ms. Erickson, perhaps we will start with you and then we will go to Mr. Gainer and Chief Morse.

SUMMARY STATEMENT OF HON. NANCY ERICKSON

Ms. ERICKSON. Chairman Nelson, Senator Murkowski, I appreciate this opportunity to provide testimony on behalf of the Office of the Secretary and our employees. With me today is Chris Doby, our Financial Clerk, and Sheila Dwyer, our Assistant Secretary. I ask that my statement which includes our department reports be submitted for the record.

Senator NELSON. It will be submitted, received.

Ms. ERICKSON. I am pleased to be testifying on a day that is historically significant in the life of our Nation. It was on March 4, 1789, that the United States Government began its operations. March 4 was when Presidents took the oath of office and when the Senate convened to confirm the President's Cabinet. In those bygone years, the Senate would then adjourn and not come back into session until December.

In 1933, ratification of the 20th amendment moved the opening of new sessions of Congress up to January 3 and presidential inaugurations to January 20. Still, it seems worth remembering today that inaugurations of all our Presidents, from George Washington to Franklin Roosevelt, and the start of so many Senate sessions took place on this day, March 4.

Since 1789, the Secretary of the Senate has been tasked with legislative, financial, and administrative responsibilities to support the Senate. It is, indeed, a privilege to serve the Senate in this manner.

Our budget request for fiscal year 2011 is $60,231,000, of which $26,231,000 is salary costs; $2 million is operating costs, the same level as last year; and $32 million is for the administration of the Senate information services, or SIS program.

The salary budget represents an increase of $441,000 over fiscal year 2010 as a result of the costs associated with the annual cost-of-living adjustment. I am proud that our department managers have demonstrated wise stewardship of our financial resources while maximizing the services we provide the Senate community.

Needless to say, my total budget request this year at first glance is a real eye-opener. In July 2009, the chairman and ranking member of the Senate Committee on Rules and Administration approved the transfer of the SIS program from the Sergeant at Arms to the Secretary of the Senate, and this subcommittee authorized transfer of line budgeting responsibility for this program and the accompanying appropriation from the Sergeant at Arms to the Secretary beginning in fiscal year 2011.

As Mr. Gainer and I note in our request to you and the Rules Committee, all parties involved in both of our organizations strongly supported the transfer. And I commend the Sergeant at Arms Manager for Tech Development, Tom Meenan, for his management role of the SIS program during its tenure.

The SIS program was established by a regulation of the Senate Rules Committee in 1987 to provide Senate offices access to research services. Since 2000, the Sergeant at Arms has administered the program, providing unlimited access to select information services for all Senate staff and prohibiting vendors from charging offices user fees. This model has enabled the Senate to maximize its purchasing power and streamlined administrative procedures. The Rules Committee has maintained close association with and direct oversight of the SIS program since it was established.

This year within my budget is a new request of $32 million for the administration of SIS, which I would like to request in the form of a single, multiyear appropriation that would be utilized for a 5-year period through September 30, 2015. Together with the Sergeant at Arms, SIS, and procurement staff, we have determined the annual costs and projected future costs to establish the amount requested today. My staff will track usage of SIS program funds, and I can assure you there will be a firewall between these funds and my office operating funds, providing greater program transparency.

We stand ready to accept this program. The Senate Librarian and her senior staff already have considerable expertise in negotiating and administering contracts with information industry service providers, and they bring content expertise to the table. With their extensive knowledge of information service providers, we hope to bring even greater economic efficiencies to the table, eliminating duplicative services wherever possible. In addition, their daily work supporting Senate staff research needs and coordinating training of online research products will be a great benefit in our oversight role.

We look forward to working closely with our oversight committees as we assume administration of the SIS program and we welcome your subcommittee's guidance as we seek the best method for funding this program.

I am also pleased to report that, in conjunction with the Sergeant at Arms, we are moving ahead with the replacement of our Senate's payroll system. As you may recall from last year's testimony, it had become clear that the current system is outdated and soon will be no longer supported by its developer. After a competitive bid process, we have selected a vendor to provide the software and are close to completing the process to select the software integrator. We will work closely with Senate offices to ensure that the product meets their needs. We have also learned a great deal from our House counterpart's experience in standing up a new payroll system and remain grateful for the Sergeant at Arms technical support in this effort, particularly that of Jay Moore and his team. We are hopeful that it will be launched sometime in the next 18 to 24 months.

Our Disbursing Office staff and Senate Webmaster are also implementing the new reporting requirements in Public Law 111–68, mandating that the semi-annual report of the Secretary, which is a listing of all Senate expenses, be produced in a searchable electronic format. The first electronic report will cover the first full reporting period in 2011.

Electronic filing requirements are old hat for the Office of Public Records, which has fully implemented the requirements of the Honest Leadership Open Government Act. It requires quarterly and semi-annual filings from registrants and lobbyists, and almost 135,000 lobbying reports and registrations were filed last year. Although the volume of reports increased by over 50 percent, I am proud that we handled the additional responsibilities without adding staff. This year, the office has focused on compliance and has referred close to 4,400 cases to the Department of Justice for possible noncompliance.

This past year, my office oversaw the closing of Senator Edward Kennedy's office, as required by S. Res. 458, as amended, as well as the handling of Senator Norm Coleman's office closing per S. Res. 14. While this is never an easy task, I am grateful for the support of the Rules Committee and the professionalism of Senator Kennedy's and Senator Coleman's staff during a very difficult time for their offices.

Finally, when I was elected Secretary 3 years ago, I must admit I was a little intimidated to be considered Senate Historian Dick Baker's boss. I speak for others in the Secretary's Office when I say we were proud to be Dick's colleagues. We are grateful to Leader Reid, Leader McConnell, the Sergeant at Arms, Capitol Police, and the Rules Committee for implementing Dick's retirement wish, that the Senate galleries be reopened to the public during Senate recesses, like the pre-September 11 days.

I am also grateful to another public servant, Pam Gavin, who for more than 24 years shepherded and safeguarded the filings of thousands of Senate public documents. She will always have my appreciation and pride for her efforts to implement the wide-ranging requirements of the Honest Leadership Open Government Act in roughly 11 weeks.

PREPARED STATEMENT

This institution is a better place because of their service and their commitment and pride in public service is shared by the great staff I have the privilege of leading. Thank you for support of our efforts to serve the Senate community.

[The statement follows:]

PREPARED STATEMENT OF NANCY ERICKSON

Mister Chairman, Senator Murkowski, 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 2011.

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 2011 budget request; implementing mandated systems, financial management information system (FMIS) and legislative information system (LIS); continuity of operations planning; and maintaining and improving current and historic legislative, financial and administrative services.

PRESENTING THE FISCAL YEAR 2011 BUDGET REQUEST

I am requesting a total fiscal year 2011 budget of $60,231,000. The request includes $26,231,000 in salary costs and $34,000,000 for the operating budget of the Office of the Secretary. The salary budget represents an increase of $441,000 over the fiscal year 2010 budget as a result of the costs associated with the annual cost of living adjustment. The operating budget increased by $32,000,000 solely as a result of this office's assuming the administration of the Senate Information Services Program (SIS) from the Sergeant at Arms.

The net effect of my total budget request for 2011 is an increase of $32,441,000. The single multiyear funds requested for the SIS program will provide for the continued operation of the current program within the Senate while also providing the flexibility to review existing services and provide updates as requested by the Senate community. The balance of our request is consistent with the amounts requested and received in recent years through the Legislative Branch Appropriations process.

OFFICE OF THE SECRETARY APPORTIONMENT SCHEDULE

Items	Amount available fiscal year 2010, Public Law 111–68	Budget estimates fiscal year 2011	Difference
Departmental operating budget:			
Executive office	$550,000	$550,000	....
Administrative services	1,390,000	33,390,000	[1] $32,000,000
Legislative services	60,000	60,000	....
Total operating budget	2,000,000	34,000,000	32,000,000

[1] This difference represents the costs associated with the assumption of the administration of the Senate Information Services (SIS) Program.

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 committee for your ongoing support of both.

Financial Management Information System (FMIS)

The Financial Management Information System, or 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 Web FMIS system, and make payroll and accounting system improvements.

During fiscal year 2009 and the beginning of fiscal year 2010, specific progress made on the FMIS project included:

—Web FMIS was upgraded three times this year: in March 2009, August 2009 and January 2010. This system is used by office managers and 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. The March release brought Web FMIS reports rewritten in a report-writer that enables additional features, an improved document search feature, a revamped the ESR with new fields for providing additional information, and real-time e-mail notifications to the staffers. The August release focused on implementing new functionality for Disbursing staff such as integrated contract tracking functionality, ADPICS document viewers that enable Disbursing staff to see, via Web FMIS, documents created in ADPICS, and integrated checkwriter software. The integration of the first and last of these into Web FMIS are especially important in our ability to fully function in the event of displacement from the physical Disbursing Office. The January release was the first of three planned releases for WebPICS. The WebPICS project enables SAA users to access ADPICS functionality through a web-based front end and provides robust search function. This first release focused on the needs of requisitioners and requisition approvers. The second release will focus on the SAA accounts payable process and the third release will focus on purchase order creation and approval.

—The computing infrastructure for FMIS is provided by the SAA. Each year the SAA staff upgrades the infrastructure hardware and software. During 2009 the SAA implemented two major upgrades to the FMIS infrastructure by upgrading WebSphere software to version 7 and upgrading the database software, DB2. After the DB2 upgrade, the Web reporting tables were partitioned to improve system efficiency. The SAA made several micro-code updates, operating system "maintenance" releases and maintenance for the Virtual Tape Library. For each activity, Disbursing staff tested the changes in the FMIS testing environment and then validated the changes in the production environment.

—A primary goal of the FMIS project is to process vouchers without paper supporting documentation and "wet" signatures. During 2008, Disbursing staff conducted a prototype imaging system in which paper vouchers and supporting documentation were imaged by the staff and routed electronically. The hands-on experience of this prototype was especially useful in refining our imaging system requirements. During 2009 and 2010 Disbursing participated in selecting software for the image database and image viewer, and finalized imaging and electronic signature requirements. During the remainder of 2010, this information will be used in planning necessary software purchases and coordinating with a separate SAA smart card ID project. The smart cards will be used for electronic signatures.

During the remainder of fiscal year 2010 the following FMIS activities are anticipated:

—Implementing WebPICS releases for phase II and III which will focus on SAA accounts payable process and on purchase order creation and approval, respectively;
—Coordinating with SAA the timeframes for the implementation of the smart card ID project for electronic signatures, and finalizing with the Committee on Rules and Administration any changes to existing rules and regulations as well as any changes to statutes pertaining to delegation of authority;
—Implementing online distribution of monthly ledger reports;
—Implementing automated clearing house payment for the 21 remaining state tax jurisdictions;
—Implementing a pilot of the image database software, likely for the SAA finance staff as part of WebPICS;
—Participating in the yearly disaster recovery test; and
—Finalizing the selection of the PeopleSoft payroll system integrator and start with the new system implementation.

During fiscal year 2011 the following FMIS activities are anticipated:

—Conducting a pilot of the technology for paperless payment—both document imaging and electronic signatures. This assumes resolution of related policy and process issues;
—Continuing the implementation and the required updates to the Hyperion Financial Management application to provide the Senate the ability to produce auditable financial statements;
—Continue the implantation of online financial reports;
—Continue with the new payroll system implementation and start parallel testing; and
—Review existing systems and develop a long term modification and replacement plan for key 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, providing a single line of communication to the Secretary and Assistant Secretary and is 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 24, 2009. During 2009, the Senate was in session 191 days and conducted 397 roll call votes. There were 199 measures reported from committees and 24 special reports submitted to the Senate. There were 478 total measures passed. In addition, there were 3,892 amendments submitted to the desk.

Cross-Training and Continuity of Operations (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 half of the legislative staff are currently involved or have recently been involved in cross-training.

Each office and staff person 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 and the Office of the Sergeant at Arms.

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 Legislative Information System (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. The Bill Clerk's office is generally regarded as the most timely and most accurate source of legislative information because all the information received in this office comes directly from the Senate floor in written form within moments of the action involved.

Legislative Activity

The Bill Clerk's staff processed 773 fewer legislative items into the database than in the previous Congress' first session, an overall decrease of slightly more than 9 percent. Only three legislative categories (Senate Bills introduced, House Bills received, and House Messages) saw increases in activity during this legislative period. For comparative purposes, below is a summary of the first sessions of the 110th and 111th congresses:

	110th Congress, 1st Session	111th Congress, 1st Session	Percentage Change
Senate Bills	2,524	2,920	+15.69
Senate Joint Resolutions	27	25	−7.41
Senate Concurrent Resolutions	64	48	−25.00
Senate Resolutions	418	387	−7.42
Amendments Submitted	3,892	3,298	−15.26
House Bills	513	382	−25.54
House Joint Resolutions	9	10	+11.11
House Concurrent Resolutions	93	67	−27.96
Measures Reported	428	199	−53.50
Written Reports	254	113	−55.51
Total Legislation	8,222	7,449	−9.40
Roll Call Votes	442	397	−10.18

	110th Congress, 1st Session	111th Congress, 1st Session	Percentage Change
House Messages [1]	263	292	+11.03
Cosponsor Requests	8,859	7,205	−18.67

[1] 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.

Assistance from the Government Printing Office (GPO)

The Bill Clerk's staff maintains an exceptionally good working relationship with the Government Printing Office and seeks to provide the best service possible to meet the needs of the Senate. GPO continues to respond in a timely manner to the Secretary's requests, through the Bill Clerk's Office, for the printing of bills and reports, including the expedited printing of priority matters for the Senate chamber. To date, at the request of the Secretary through the Bill Clerk, GPO expedited the printing of 60 measures for floor consideration by the Senate during the first session of the 111th Congress.

CAPTIONING SERVICES

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

General Overview

Captioning Services strives to provide the highest quality closed captions. For the 16th 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.

The real-time searchable closed caption log, available to Senate offices on Webster, continues to be an invaluable tool for the Senate community. In particular, legislative staff continue to depend upon its availability, reliability and content to aid in the performance of their duties. Additionally, the Senate Recording Studio introduced a complementary video component in 2009 called Video Vault, which now adds searchable video to the audio and text.

Continuity of Operations (COOP)

Continuity of operations (COOP) planning and preparation continues to be a top priority and was brought to the forefront this year by additional pandemic planning with regard to the H1N1 virus. Regular testing and review of COOP procedures as well as the additional component of pandemic planning ensures that the staff are prepared and confident about the ability to relocate and successfully function from a remote location and/or reduced personnel in the event of an emergency or pandemic. The OCS also participates with the Senate Recording Studio in an off-site location exercise 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 first 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 191 days, for a total of 1,420 hours and 39 minutes. There were 3 quorum calls and 397 record votes. (See Attachment for 20-Year Comparison of Senate Legislative Activity).

20-YEAR COMPARISON OF SENATE LEGISLATIVE ACTIVITY

	1990	1991	1992	1993	1994	1995	1996	1997	1998	1999
Senate Convened	1/23	1/3	1/3	1/5	1/25	1/4	1/3	1/3	1/27	1/6
Senate Adjourned	10/28	1/3/92	10/9	11/26	12/01	1/3/96	10/4	11/13	10/21	11/19
Days in Session	138	158	129	153	138	211	132	153	143	162
Hours in Session	1,250′14″	1,200′44″	1,091′09″	1,269′41″	1,243′33″	1,839′10″	1,036′45″	1,093′07″	1,095′05″	1,183′57″
Average Hours per Day	9.1	7.6	8.5	8.3	9.0	8.7	7.8	7.1	7.7	7.3
Total Measures Passed	716	626	651	473	465	346	476	386	506	549
Roll Call Votes	326	280	270	395	329	613	306	298	314	374
Quorum Calls	3	3	5	2	6	3	2	6	4	7
Public Laws	410	243	347	210	255	88	245	153	241	170
Treaties Ratified	15	15	32	20	8	10	28	15	53	13
Nominations Confirmed	42,493	45,369	30,619	38,676	37,446	40,535	33,176	25,576	20,302	22,468
Average Voting Attendance	97.47	97.16	95.4	97.6	97.02	98.07	98.22	98.68	97.47	98.02
Sessions Convened Before 12 Noon	116	126	112	128	120	184	113	115	109	118
Sessions Convened at 12 Noon	4	9	6	6	9	2	15	12	31	17
Sessions Convened after 12 Noon	17	23	10	15	17	12	7	7	2	19
Sessions Continued after 6 p.m	100	102	91	100	100	158	88	96	93	113
Sessions Continued after 12 Midnight	6	4	9	7	3	1	....	....	....	....
Saturday Sessions	3	2	2	2	3	5	1	1	1	3
Sunday Sessions	2	....	....	....	....	3	....	1	....	....

20-YEAR COMPARISON OF SENATE LEGISLATIVE ACTIVITY—Continued

	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009
Senate Convened	1/24	1/3	1/23	1/7	1/20	1/4	1/3	1/4	1/3	1/6
Senate Adjourned	12/15	12/20	11/20	12/9	12/8	12/22	12/9	12/31	1/2	12/24
Days in Session	141	173	149	167	133	159	138	189	184	191
Hours in Session	1,017′51″	1,236′15″	1,043′23″	1,454′05″	1,031′31″	1,222′26″	1,027′48″	1,375′54″	988′31″	1,420′39″
Average Hours per Day	7.2	7.1	7.0	8.7	7.7	7.7	7.4	7.2	5.37	7.44
Total Measures Passed	696	425	523	590	663	624	635	621	589	478
Roll Call Votes	298	380	253	459	216	366	279	442	215	397
Quorum Calls	6	3	2	3	1	3	1	6	3	3
Public Laws	410	136	241	198	300	169	313	180	280	125
Treaties Ratified	39	3	17	11	15	6	14	8	30	1
Nominations Confirmed	22,512	25,091	23,633	21,580	24,420	25,942	29,603	22,892	21,785	23,051
Average Voting Attendance	96.99	98.29	96.36	96.07	95.54	97.41	97.13	94.99	94.36	96.99

Sessions Convened Before 12 Noon	107	140	119	133	104	121	110	156	147	148
Sessions Convened at 12 Noon	25	10	12	4	9	1	4	4	4	2
Sessions Convened after 12 Noon	24	21	23	23	21	36	24	32	33	41
Sessions Continued after 6 p.m.	94	108	103	134	129	120	129	144	110	152
Sessions Continued after 12 Midnight	2	3	8	2	3	3	4	4	2	2
Saturday Sessions	1	3	......	1	2	2	2	1	3	5
Sunday Sessions	1	......	......	1	1	2	......	1	1	4

Prepared by the Senate Daily Digest—Office of the Secretary.

Committee Activity

Senate committees held a total of 1,138 meetings during the first session, as contrasted with 823 meetings during the second session of the 110th Congress.

All hearings and business meetings, including joint meetings and conferences, are scheduled through the Office of the Senate Daily Digest and are published on its Web site on the Webster intranet, in the Congressional Record, and entered in the Web-based Legislative Information System (LIS). Meeting outcomes are also published by the Daily Digest in the Congressional Record each day and continuously updated on the website.

Computer Activities

The Digest staff continue to work closely with Senate computer staff to refine the LIS/DMS system, including further enhancements to the Senate Committee Scheduling application which will improve the data entry process.

The Digest office staff continues to electronically transmit the publication at the end of each day to the Government Printing Office (GPO). The Digest staff continues the practice of sending a disc along with a duplicate hard copy to GPO, even though GPO receives the Digest copy by electronic transfer long before hand delivery is completed adding to the timeliness of publishing the Congressional Record. The Digest office staff continue to feel comfortable with this procedure, both to allow the Digest Editor to physically view what is being transmitted to GPO, and to allow GPO staff to have a comparable final product to cross reference.

Government Printing Office

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

ENROLLING CLERK

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

During the first session of the 111th Congress the Enrolling Clerk's office prepared the enrollment of 34 bills (transmitted to the President), 4 enrolled joint resolutions (transmitted to the President), 10 concurrent resolutions (transmitted to the National Archives) and 94 appointments (transmitted to the House of Representatives). In addition, approximately 94 House of Representatives bills (including 12 Appropriations bills, the Budget Concurrent Resolution, 33 House Concurrent Resolutions and 7 House Joint Resolutions) were either amended or acted on in the Senate requiring action on the part of the staff of the Enrolling Clerk's office.

A total of 478 pieces of legislation were passed or agreed to during the first session of the 111th Congress. Many other Senate bills were placed in the calendar, all of which were processed in the Enrolling Clerk's office including 66 engrossed Senate bills, 5 Joint Resolutions, 22 Concurrent Resolutions and 249 Senate Resolutions.

During the First Session of the 111th Congress, the Enrolling Clerk delivered 78 messages to the House Chamber and 55 messages to the House Clerk's office, along with 94 appointments prepared and transmitted to the House of Representatives, informing the House of Senate actions on legislation passed or amended.

The Senate Enrolling Clerk is also responsible for electronically transmitting the files of engrossed and enrolled legislation to the Government Printing Office for overnight printing. The office also follows up on all specific requests and special orders for printing from the Senate floor.

Continuity of Operations (COOP)

In addition to updating the office's COOP plan, the Enrolling Clerk has begun training additional staff from GPO in the office's operations to provide backup in the event the office is displaced.

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 staff processes all executive communications, presidential messages and petitions and memorials.

Nominations

During the first session of the 111th Congress, there were 1,341 nomination messages sent to the Senate by the President, transmitting 24,951 nominations to positions requiring Senate confirmation and 15 messages withdrawing nominations sent to the Senate. Of the total nominations transmitted, there were 2,526 nominees in the following "civilian list" categories: Foreign Service, Coast Guard, National Oceanic and Atmospheric Administration, and Public Health Service. An additional 696 were for other civilian positions. Military nominations received this session totaled 21,729 (7,870 Air Force; 7,223 Army; 4,442 Navy and 2,194 Marine Corps). The Senate confirmed 23,050 nominations this session. Pursuant to the provisions of paragraph six of Senate Rule XXXI, 8 nominations were returned to the President during the first session of the 111th Congress.

Treaties

There were 4 treaties transmitted to the Senate by the President during the first 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. 111–1 through 111–4). The Senate gave its advice and consent to one treaty with one condition, and one declaration to the resolution of advice and consent to ratification.

Executive Reports and Roll Call Votes

There was one executive report relating to a treaty ordered printed for the use of the Senate during the first session of the 111th Congress (Executive Report 111–1). The Senate conducted 38 rollcall votes in executive session, all on or in relation to nominations.

Executive Communications

For the first session of the 111th Congress, 7,072 executive communications, 84 petitions and memorials and 39 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. All but one committee allows the paperwork to be transmitted by e-mail, decreasing the need for duplicate paper copies.

LIS Update (Projects)

The staff consulted with the Senate Computer Center during the year concerning ongoing improvements to the LIS pertaining to the processing of nominations, treaties, executive communications, presidential messages and petitions and memorials.

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. The Senate Journal is published each calendar year, and in 2009, the Journal Clerk completed the production of the 964 page 2008 volume. It is anticipated that work on the 2009 volume will conclude in June 2010.

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

Continuity of Operations (COOP)

In 2009, in continuing to support the Office of the Secretary's commitment to continuity of operations programs, the Journal Clerk required the daily Minute Book pages to be scanned into a secure directory. Additionally, the files are 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 the year following the end of a Congress, having easily-accessible files, both on a remote server and on portable storage device, will ensure timely reconstitution of the Minute Book data in the event of damage to, or destruction of, the physical Minute Book.

Preparations undertaken by the Office of the Journal Clerk in support of continuity of Chamber operations in anticipation of H1N1 pandemic helped to strengthen overall COOP procedures. Such preparations included successful testing and exercise of remote work capabilities using Senate-provided equipment and accessing servers through public computers of those functions not requiring physical attendance in the Chamber.

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 Government Printing Office (GPO).

Each day the Senate is in session roughly 90 percent of the transcript of Senate floor proceedings and Morning Business is sent to GPO electronically, permitting the Congressional Record to be viewed on the Internet at approximately 7 a.m. every day.

The Official Reporters of Debate have placed continued emphasis on cross training of personnel.

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, administration officials, the media and members of the general public on all matters requiring an interpretation of the Standing Rules of the Senate, the precedents of the Senate, 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, standing 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 Vice President of the United States and the staff of the Vice President 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 3,298 amendments during 2009 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 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 2009, the Parliamentarian and his assistants referred 3,482 measures and 7,193 communications to the appropriate Senate committees. The office staff worked extensively with Senators and their staffs to advise them of the jurisdictional consequences of particular drafts of legislation, and evaluated the jurisdictional effect of proposed modifications in drafting. In 2009, as in the past, the parliamentarians conducted several briefings on Senate procedure to various groups of Senate staff, on a non-partisan basis.

During 2009, 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 2009, the parliamentarians were deeply involved in interpreting the ethics reform proposals adopted in 2007, especially the language dealing with earmark accountability and scope of conference.

Since the election in 2008, all of the parliamentarians have participated in orientation sessions for the newly elected and appointed 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.

Throughout 2009, as is the case following each general election, the parliamentarians received all of the certificates of election of Senators elected or re-elected to the Senate as well as those Senators appointed to fill vacancies, and reviewed them for sufficiency and accuracy, returning those that were defective and reviewing their replacements.

The parliamentarians have each been trained on and successfully remotely accessed to the office's computers facilitating communications, research, and other work after hours, 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 Sergeant at Arms 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 (DO);
—respond to any inquiries or questions that are presented;
—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.

After finalizing procedures and requirements to stand up the Congressional Oversight Panel established by the Emergency Economic Stabilization Act of 2008, Public Law 110–343, Disbursing continues reporting to the U.S. Department of the Treasury the amounts incurred by the panel on a monthly basis. Disbursing continues to work with the Committee on Rules and Administration, the House of Representatives, and the U. S. Treasury on funding of the panel.

As in previous years, the Financial Clerk and the Assistant Financial Clerk continue to attend Legislative Branch Financial Managers Council (LBFMC) meetings to share issues that affect other Congressional managers. In addition, the Financial Clerk and the Assistant Financial Clerk, along with key Disbursing Office staff and the Sergeant at Arms (SAA) technical support staff, completed the requirements and participated in vendor demonstrations for the procurement of a new payroll system. The new payroll system has been selected, and Disbursing and the SAA are now in the process of selecting a payroll system integrator through an open competition. The selection is anticipated to be made by the end of March with the expectation to begin implementation early this summer.

Disbursing, in coordination with the Committee on Rules and Administration, worked on the collection of excess mileage reimbursements for privately owned vehicles (POV) paid to staff between January and April 2009. The office prepared letters to all affected staff and notified them of the excess mileage and the options they had to pay it back, processing all the checks received and making the deposit to each office account. For those that did not pay it back by the stipulated date, adjustments were made to their W–2s for calendar year 2009.

In addition to the regular work derived by a new election cycle at the beginning of each session of Congress, additional letters for displaced staff were necessitated for Senate staff working for Senators filling several cabinet positions. Towards the end of the fiscal year, Disbursing handled matters related to the resignation of Senator Mel Martinez and the death of Senator Edward M. Kennedy.

Under the Legislative Branch Appropriations Act for 2010, Public Law 111–68, an administrative provision to change the distribution method for the Report of the Secretary of the Senate was approved. The provision requires the Report be published and publicly posted online by the end of the 112th Congress. Meetings and discussions have started with the Office of the Secretary of the Senate, the Committee on Rules and Administration and the Government Printing Office (GPO). During the next few months, a project plan and timeline will be developed to meet the mandated deadline.

Deputy for Benefits and Financial Services

The principal responsibility of this position is to provide expertise and oversight on Federal retirement, benefits, payroll, and financial services processes. The deputy also coordinates the interaction between the Front Office, Employee Benefits, and Payroll Sections, and is responsible for the planning and project management of new computer systems and programs. The deputy ensures that job processes are efficient and up-to-date, modifies computer support systems as necessary, implements regulatory and legislated changes, and designs and produces up-to-date forms and information for use in all three sections.

General Activities

The staff worked to assist incoming and outgoing members and staff personally. There was need for extensive research relating to various administrative situations (e.g. contested elections, resignations to accept cabinet posts, transition of Senators to vice president and president, chairmanship changes, etc.).

After the year-end processing of payroll for calendar year 2008 was completed, the Disbursing Office issued W–2 forms promptly and made them immediately available to Disbursing Office staff on the document imaging system (DIS). During March and April, the delayed cost of living adjustment (COLA) was administered and processed over two cycles to accommodate the "retroactive" portion of that COLA. Throughout the year, other minor changes were made to the Human Resources Management System (HRMS) as a result of changes in regulations, policies and needs.

The Disbursing Office, in tandem with SAA Technical Support, continued research and procurement of a new payroll system. Staff diligently assessed current system requirements and parameters as well as requirements and parameters for a new system. The staff continued to work with the SAA Technical Support group and the contractors to draft, edit and modify current and future system requirements. Staff drafted specific and technical scripts for two series of vendor demonstrations as well as methods for ranking results. Staff attended several day-long demos and interacted with vendors to determine system capabilities. 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, a software selection was made. During the early part of 2010, the Disbursing Office and SAA will begin the process of selecting a new system integrator through an open competition.

As part of continuing efforts to achieve full continuity of operations compliance, the office requested an upgrade to the DIS. Needed and desired programming modifications were identified, documented, developed and tested during 2009. Final implementation took place late in 2009. The system now has increased functionality and provides greater flexibility of use. Post system implementation follow-up and trouble-shooting are currently in process. Procedures to take advantage of the increased functionality will be developed and implemented in 2010.

Several pieces of legislation passed in 2009 required action and administration by the Disbursing Office. The Economic Stimulus package provided for Federal Employees Health Benefits Program (FEHB) Premium Assistance for Federal employees who were displaced from their jobs. Staff worked to draft guidance and information for affected employees and implement procedures within the office and with Office of Personnel Management (OPM) and the National Finance Center for administration of this new provision. Also passed was a provision to supplement the pay of Federal employee reservists who were placed in leave without pay (LWOP) due to a call to active duty. Although OPM and Department of Defense (DOD) guidance on implementation of this provision was slow in coming, staff worked extensively with OPM and the affected employees to ensure that we were prepared for implementation as soon as practicable. Also passed, was a provision for credit of Federal Employees Retirement System (FERS) sick leave upon retirement. The legislation was assessed and guidance was issued by this office within the parameters of established policies and procedures. Additionally, legislation which allowed for Thrift Savings Plan (TSP) agency contributions to begin immediately upon hire took effect during the summer. Staff worked with the SAA Technical Support group and determined system requirements and made programming modifications to accommodate this change. Informational guidance was drafted and distributed to affected staff.

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 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. 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 1,000 cash advances, totaling approximately $700,000 and initialized 1,200 check/direct deposit advances, totaling approximately $900,000;

Received and processed more than 23,600 checks, totaling over $1,700,000;

Administered oath and personnel affidavits to more than 2,800 new Senate staff and advised them of their benefits;

Maintained brochures for 14 Federal health insurance carriers and distributed approximately 4,000 brochures to new and existing staff during the annual Federal Benefits Open Season; and

Provided 32 training sessions to new administrative managers.

The Front Office continues its daily reconciliation of operations and strengthening of internal office controls. Security devices were tested and some were replaced with more modern equipment. 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. A large number of committee leadership changes prompted a major increase in the number of S. Res. 9 certifications. This required additional processing of documentation necessary to execute the continuance of compensation to certified employees. The Front Office successfully processed over 1,400 such payments.

Due to the reimbursement of mileage for POV over the Internal Revenue Service (IRS) maximum allowable rate, the Front Office received and documented over 550 cash returns related to the overpayment of previously processed POV vouchers. Front Office staff received many positive comments regarding the use of the DIS, which immediately reproduces W–2 forms and other documents for employees who request duplicates. As more information was imaged into the DIS, more inquiries were able to be processed immediately. Several pieces of legislation were passed during 2009 that affected Senate employee's deductions and benefits. The adoption of these new regulations created many inquiries from Senate staff. Front Office staff continued assisting employees in maximizing their TSP contributions and making them aware of the TSP catch-up program. 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 staffs, including appointments of employees, salary changes, title changes, transfers and terminations. It is also responsible for input of all enrollments and elections submitted by members and employees that affect their pay (e.g. retirement and benefits elections, tax withholding, TSP participation, allotments from pay, address changes, direct deposit elections, levies and garnishments) and for the issuance of accurate salary payments to members and employees. The Payroll Section is responsible for the administration of the Senate Student Loan Repayment Program (SLP) and for the audit and reconciliation of the Flexible Spending Accounts (FSAs) and Federal Employees Dental and Vision Insurance Program (FEDVIP) bill files received each pay period. The Payroll Section jointly maintains the Automated Clearing House (ACH) FedLine facilities with the Accounts Payable Section for the normal transmittal of payroll deposits to the Federal Reserve. Payroll expenditure, projection and allowance reports are distributed electronically to all Senate offices twice a month. 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 2009, the Payroll Section conducted all year-end processing and reconciliation of pay records and produced W–2 forms for employees and state tax agencies, which are also maintained in the DIS. The Payroll Section maintained the normal schedule of processing TSP election forms.

In March 2009, an employee COLA of 4.78 percent was authorized and administered. Because the language afforded a retroactive COLA, the salary changes were administered over both March and April. Statutory rates and program caps were updated in HRMS.

The Payroll staff participated extensively in the selection of a new payroll system. They provided job and task summaries, records of reports and system output, and attended numerous strategy sessions to determine current system requirements as well as future system requirements. Staff attended and reviewed numerous vendor demonstrations and participated in the drafting of demo scripts.

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. The program is very popular and participation remains high. The SLP Administrator continues to improve processes for administration of the program and document procedures.

In 2009 Senate travelers were allowed to repay the excess amount of POV mileage reimbursement that exceeded the IRS maximum. For those that did not repay, the overpayments needed to be reported as taxable income. The Payroll Section staff was required to research and implement processes and program modifications to accommodate the reporting of several hundred mileage overpayments on the 2009 W–2s.

As a result of the 2008 elections, the Payroll Section provided assistance and guidance to the offices of numerous incoming and outgoing Senators, as well as the President and Vice President-elects. The payroll group also assisted Senator Edward M. Kennedy's staff upon his death. In addition, the Disbursing Office staff looked into 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.

Employee Benefits Section (EBS)

The primary responsibilities of the Employee Benefits Section are administration of health insurance, life insurance, TSP, and all retirement programs for members and employees of the Senate. This includes counseling, processing of paperwork, research, dissemination of information and interpretation of retirement and benefits laws and regulations. EBS staff is also expected to have a working knowledge of the Federal Flexible Spending Account (FSA) Program, the Federal Long Term Care (LTC) Insurance Program and FEDVIP. In addition, the sectional work includes research and verification of all prior Federal service and prior Senate service for new and returning appointees. EBS provides this information for payroll input. It also verifies the accuracy of the information provided and reconciles, as necessary, when official personnel folders and transcripts of service from other Federal agencies are received. Senate transcripts of service, including all official retirement and benefits documentation, are provided to other Federal agencies when Senate members and staff are hired elsewhere in the government. EBS is responsible for the administration and tracking of employees placed in leave without pay to perform military service. 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. EBS processes employment verifications for loans, bar exams, the Federal Bureau of Investigation (FBI), OPM, and DOD, among others. Unemployment claim forms are completed, and employees are counseled on their eligibility. Department of Labor billings for unemployment compensation paid to Senate employees are reviewed in EBS and submitted by voucher to the Accounting Section for payment, as are the employee fees associated with FSAs. Designations of Beneficiary for Federal Employees' Group Life Insurance (FEGLI), retirement, and unpaid compensation are filed and checked by EBS.

General Activities

The year began with EBS finalizing retirement estimates and processing many retirement cases associated with outgoing Senators and their staffs, as well as those staff on committees who were affected by the changes. Many regular retirement, death, and disability cases were also processed throughout the year.

After the 2008 elections, EBS met with all new Senators to go over benefit choices available to them. New members appointed numerous employees from the House and the Executive Branch, and many other employees left with their outgoing members, many of whom were appointed to positions in the Executive Branch. This resulted in a significant increase in the number of appointments to be researched and processed, retirement records to be closed out, termination packages of benefits information to be compiled and mailed out, and health insurance enrollments to be processed. Transcripts of service for employees going to other Federal agencies, and other tasks associated with employees changing jobs were at a high level this year. These required prior employment research and verification, new FEHB, FEGLI, FSA, FEDVIP, CSRS, FERS and TSP enrollments, and the associated requests for backup verification. Also EBS counseled many employees who were affected by these employment changes. In addition, transcripts of service for the 110 Capitol Guide Service employees transferred to the payroll of the Architect of the Capitol were prepared and forwarded in early 2009.

Many employees changed health plans during the annual Benefits Open Season. These changes were processed and reported to carriers very quickly. This year, the Disbursing Office again offered Senate employees access to the online "Checkbook Guide to Health Plans" to research and compare FEHB plans. This tool will remain available to staff throughout the year. 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.

The year saw many benefits and retirement changes due to changes in laws and regulations. EBS interpreted the legislation as it applied to their administration, determined policies and procedures and provided guidance or informational material where needed. Public Law 111–5 provided for "premium assistance" for the continuation of health insurance for employees who lost their jobs. Public Law 111–8 provided for the non-reduction in pay for Reservists and National Guard members who were called to active duty. Public Law 111–31 enhanced the TSP to immediately eliminate the waiting period for new employees to receive agency matching contributions. Public Law 111–84 allowed for several retirement changes, of greatest impact was the availability of credit for unused sick leave under FERS, the repayment of refunds under FERS, and the expansion of the class of retirees eligible for the actuarially reduced annuity under CSRS. The LTC program offered extensive program and premium changes, which required many enrollees to make an alternative coverage decision, which required assistance from EBS.

EBS conducted agency-wide seminars on CSRS and FERS and attended interagency meetings as a result of the many ongoing changes to the TSP Program. EBS participated in a number of meetings and presentations with potential payroll system contractors to try and determine the best fit for our needs.

Disbursing Office Financial Management

Headed by the Deputy for Financial Management, the mission of this group 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 semiannual 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 two functional departments: Accounting and Accounts Payable. The Accounts Payable Department is subdivided into three sections: Vendor (formerly Senate Automated Vendor Inquiry, also known as SAVI), Disbursements and Audit. The Accounting Department is subdivided into two sections: Budget and Accounting. The Deputy coordinates the activities of the functional departments, establishes central financial policies and procedures, and carries out the directives of the Financial Clerk and the Secretary of the Senate.

As part of its continuity of operations (COOP) plans, the management visited the Alternate Computing Facility (ACF) on several occasions during the year to make sure the location was operational and adequately stocked. Additionally, the Deputy was able to log in remotely to accomplish a few predetermined tasks, and to assess the viability of performing more sensitive and complicated tasks in the future.

Accounting Department

During 2009, the Accounting Department approved 53,537 expense reimbursement vouchers (an increase of 2,322 vouchers, or 5 percent, over the previous year) and 26,972 certification and vendor uploads, processed 2,170 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 (an increase of 820 deposits, or 61 percent, over the previous year). Of the increase of 820 deposits, 559 (or 41 percent) are attributed to the POV reimbursement, which resulted from the overpayment of POV rates. 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 non-voucher 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.

This year the Accounting Department assisted in the validation of various system upgrades and modifications, including two Web FMIS releases. The Accounting Department requested that some of its manual prepared reports be made into Web FMIS reports. One of the reports, the General Ledger Account Relationship Reconciliation, and a Status of Committee Funding report were developed for the fall 2009 release and made it into production in January 2010.

During January 2009, the Accounting Department completed the fiscal year 2008 year-end process to close and reset revenue, expense, and budgetary general ledger accounts to zero. Currently, Accounting is in the process of testing the closing of fiscal year 2009 accounts which is expected to be done in the production environment the second week-end in February.

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 all 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.

This year, the Accounting Department transmitted 10 months' worth of Federal tax payments for Federal, Social Security, and Medicare taxes withheld from payroll expenditures, as well as the Senate's matching contribution for Social Security, and Medicare to the Federal Reserve Bank. In November, the Accounting Department was set up in the IRS Electronic Federal Tax Payment System, or EFTPS, and made the November and December Federal withholding tax payments electronically through this system. EFTPS will also be used to transmit the 2009 fourth quarter 941 report to the IRS. The department also performed quarterly reporting to the IRS and annual reporting and reconciliation to the IRS and the Social Security Administration. 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 that allow automated clearing house (ACH) payment of quarterly state taxes has resulted in a 50 percent participation rate by taxing jurisdictions. Numerically, 21 of 42 tax jurisdictions are receiving their quarterly state tax payments via ACH. The remaining 21 tax jurisdictions require a one-time "Pre-Note" to be transmitted prior to making ACH payments. The Accounting Department is working to get the remaining 21 tax jurisdictions set-up for ACH. 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 for all member offices and all other offices with payroll and non-payroll expenditures. 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. The Accounting Department is working with the IT Department and SAA Technical Support Staff to research the feasibility of electronically distributing these reports.

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 completing a new draft of the Senate-wide financial statements for fiscal year 2008 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 to finalize the implementation of the fixed asset system continues. Statements and other issues and priorities are discussed in monthly accounting meetings.

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. Because of a continuing resolution and a change in Administration in fiscal year 2009, the budget justification worksheets for fiscal year 2010 were mailed to the Senate accounting locations and processed in February and March 2009. The budget baseline estimates for fiscal year 2010 were reported to OMB by mid-March. The budget analyst is also responsible for the preparation of 1099 forms and the prompt submission of forms to the IRS before the end of the January.

Accounts Payable: Vendor Administration (formerly Senate Automated Vendor Inquiry Section)

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, which was previously known as SAVI. SAVI was decommissioned, and the vendor tracking system was incorporated into Web FMIS. This section also assists the Information Technology (IT) department by performing periodic testing and by monitoring the performance of the vendor system, including the conversion from SAVI to Staffer Functionality in Web FMIS. 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 e-mail information. If a vendor responds indicating they would like to receive ACH payments in the future, the method of payment is changed.

The conversion from SAVI to Staffer Functionality was done in 2008, but SAVI was not decommissioned until 2009 as some offices still had records in the old system. 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. 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 disposition.

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.

During 2009, the Vendor section processed over 2,600 vendor file additions, completed more than 4,370 service requests, mailed approximately 2,000 vendor information letters, and converted more than 650 vendors from check payment to electronic payment. The increased activity in service requests stemmed from an unusually large number of 14 new offices. 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 e-mail when payments are sent. Currently, over 2,600 of the 3,200 ACH participants also receive e-mail notification of payment. Scanning and e-mail reduce the need for paper and envelopes.

The Vendor section sent out 530 Web FMIS information e-mails to assist the IT department with the Staffer Functionality conversion. A mass mailing was sent to our 88 landlords, and 30 of them were converted to ACH payment as a result.

Accounts Payable: Disbursements Department

The Disbursements Department is the entry and exit point for voucher payments. The department physically and electronically receives all vouchers submitted for payment. It also pays all of these vouchers, as well as the items submitted by upload and the various certifications and adjustments that are submitted periodically. The department received 153,000 vouchers and paid an additional 26,000 uploaded expenses. 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, 22,600 checks were issued, while 62,780 ACH payments were required. The decreased check volume and increased ACH volume 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.

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. Approximately 3,000 vouchers involving POV travel needed to be retrieved to validate POV overpayments. Additionally several trips to the SSF were necessary to pull documents to meet the request of offices.

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 non-receipt is claimed, and various supplemental adjustments received from the Payroll Department. Such adjustments are usually disbursed by check, but an increasing number are now handled electronically through ACH. The department maintains a spreadsheet that tracks cases of non-receipt of salary checks, including stop payment requests and re-issuances.

While experiencing an increase in ACH payments, Disbursing also experienced an increase, though small, in the number of ACH returns. Returns are usually the result of receiving incorrect account or routing information and are easily corrected with payee contact. Some returns result from account closings or non-participating financial institutions and, while a bit more difficult; these items are resolved either by receiving updated information or simply converting the payment to a check.

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 non-receipt of expense checks. This year, the PACER system was replaced by the Treasury Check Information System (TCIS). 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 e-mail. During 2009, over 500 requests were received for check copies. TCIS saves the Disbursing Office a $7.50 processing fee for each request, is Web-based, and is accessible from multiple workstations in Disbursing.

Accounts Payable: Audit Department

The Accounts Payable Audit Section is responsible for auditing vouchers and answering questions regarding voucher preparation and the permissibility of expenses and advances. This section provides advice and recommendations on the discretionary use of funds to the various accounting locations; identifies duplicate payments submitted by offices; monitors payments related to contracts; trains new administrative managers and chief clerks about Senate financial practices and the Senate's Financial Management Information System; and assists in the production of the Report of the Secretary of the Senate.

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. Web FMIS accommodates the issuance, tracking, and repayment of advances. It also facilitates the entry and editing of election dates and vouchers for Senators-elect to ensure compliance of Senate Rules. 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 2009.

The Accounts Payable Audit Section processed more than 152,600 expense vouchers in 2009, as well as 26,400 uploaded items. Audit sanctioned more than 83,000 vouchers under authority delegated by the Senate Committee on Rules and Administration. This translates to roughly 13,800 vouchers processed per auditor, and 27,600 vouchers posted per authorized sanctioner. 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. In 2009, the average for Committee on Rules and Administration sanctioned items was 6 days and the average for Disbursing sanctioned items was 4 days.

Uploaded items are of two varieties: certified expenses and vendor payments. Certified expenses have been around since the 1980's, 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 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. Concentrated effort is put forth to ensure certified items appear as paid in the same month they are incurred.

Vendor uploads are used to pay vendors for the 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 Disbursing Office has sanctioning authority for vouchers of $100 or less, subject to post-payment audit by the Committee on Rules and Administration. These vouchers comprised approximately 54 percent of all vouchers processed and are usually paid within 5 business days. As in the previous year, Disbursing passed two post-payment audits performed by the Senate Committee on Rules and Administration, and no exceptions were found.

The Accounts Payable Audit Group provided training sessions in the use of new systems, the process for generation of expense claims, and the permissibility of expenses; and participated in seminars sponsored by the Secretary of the Senate, the SAA, and the Library of Congress. The section trained eight new administrative managers and chief clerks and conducted four informational sessions for Senate staff through seminars sponsored by the Congressional Research Service (CRS). The Accounts Payable group also routinely assists the IT department and other groups as necessary in the testing and implementation of new hardware, software, and system applications. Web FMIS 2009–1 and 2009–2 were implemented, testing continued for a voucher imaging prototype, testing began for electronic invoicing, and all employee numbers have now been completely converted to a non-Social Security Number format.

Web FMIS 2009–1 concerned the addition of certification language on vouchers, and field additions to the expense summary report, all of which save time for voucher preparers and auditors. This will also be helpful for the imaging and digital signature functionalities. Now that initial testing for imaging and electronic invoicing has been completed, discussions have begun in 2010 to revisit these initiatives. Digital signature functionality is essential for imaging to proceed. Information regarding laws and current and past practices has been gathered, so the next phase is to hold meetings with all concerned parties.

One of the major benefits of electronic invoicing is a reduction of paperwork and postage, as the need for separate mailings of individual bills is not necessary. It also fits well into imaging. Major benefits of imaging are a reduction in paperwork as well as the elimination of physically receiving paper documents.

The major functionality for Audit in Web FMIS 2009–2 was the creation of a Web-based contract tracking module to replace an existing legacy system. In addition to incorporating the data into the new system, additional functionality was established so that all AP Audit staff can access the system from their own workstations. Contracts can now be monitored and linked to their respective purchase orders and funding periods.

Disbursing Office Information Technology

Financial Management Information System

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). The group consists of six full time staff.

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

Highlights of the year include:

—implemented three releases of FMIS, including the first release of WebPICS, which provides a Web-based front end to ADPICS plus additional functionality that is being used by the SAA staff;
—tested infrastructure changes that included upgrades to the mainframe operating system (Z/OS), the database (DB2), and Web Sphere;
—supported the Senate Committee on Rules and Administration's post payment audit of a statistically valid sample of vouchers of $100 or less;
—upgraded PC software throughout the Disbursing Office; and
—conducted monthly classes and seminars on Web FMIS.

Supporting Current Systems

IT supports Web FMIS users in all 140 accounting locations, the departments in the Disbursing Office (e.g., Accounts Payable (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—provide functional and technical support to all Senate FMIS users; staff the FMIS "help desk"; answer hundreds of questions; and meet with chiefs of staff, administrative managers, chief clerks, and directors of various Senate offices as requested;
—Technical problem resolution—ensure that technical problems are resolved;
—Monitor system performance—check system availability and statistics to identify system problems and coordinate performance tuning activities such as those for database access optimization;
—Security—maintain user rights for all ADPICS, FAMIS, and Web FMIS users;
—System administration—design, test and make entries to tables that are at the core of the system;
—Support of accounting activities—perform 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 the Senate Committee on Rules and Administration post payment voucher audit process—provide 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—provide 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 post implementation. During 2009, the SAA implemented two major upgrades to the FMIS infrastructure. In addition, the SAA made regular micro-code updates, operating system "maintenance" releases, and maintenance for the virtual tape library.

Maintaining Contact With System Users to Ensure Their Needs are Met

Communicating with our large user base is critical to providing the service that we provide. 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 expense summary reports (ESRs) to discuss changes to the data entry for the ESRs; and SAA users who prepare requisitions, or who approve requisitions to discuss the functionality to be addressed in the first phase of "WebPICS", a Web-based front end to ADPICS with additional functionality developed to address SAA user needs.

The administrative manager, chief clerk and ESR users pointed out the need for an "itinerary wizard" that would assist travelers enter an itinerary correctly. As a result, IT will develop a new ESR interface that enables travelers to enter expenses by date and have the system rearrange them into the four expense categories required by the Committee on Rules and Administration. This strategy will also build the itinerary based on the information provided. The functionality will be developed during 2010 and is scheduled to be implemented on a pilot basis in the FMIS 2010–2 release in the summer of 2010.

WebPICS functionality for the SAA requisition and approver users was developed during 2009, and delivered in FMIS 2010–1, which was implemented in January 2010.

Managing and Testing New System Development

During 2009, 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 2009, Disbursing implemented the following three major releases:

—FMIS r2009–1, implemented in March 2009;
—FMIS r2009–2, implemented in August 2009; and
—FMIS r2010–1, implemented in January 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 2009–1

FMIS 2009–1 was implemented in March 2009. The major new functionality delivered in this release related to the following four things:

—Web FMIS reports, including the document print;
—Improved document search features;
—Real-time e-mail notification; and
—Changes to the Expense Summary Report (ESR).

The Web FMIS reports were re-written to provide such functionality such as drill downs from the summary level report to voucher detail level reports and to retire obsolete hardware and software. Additional report changes with this release included (1) adding a new unallocated subtotal at the end of the summary reports, so that the unbudgeted figure would be more clearly visible, and (2) defining the commuting/mass transit expense category codes as non-payroll expenses.

The improved document search feature enabled searching on more criteria (e.g., a range of dates) and enabled printing documents from the search criteria. Using the search function to print documents created today with a single button click on “today’s documents” was especially well received by the user community.

The release included real-time e-mail for two functions: e-mail notification to a staffer that an ESR had been returned and e-mail notification to Disbursing requesting that a User ID be established for a staffer. Prior to this release the notification was done as part of the overnight batch process. Bringing these into real time solved two different problems. For the ESR return, it eliminated confusion for the staff getting an e-mail notice in the morning that an ESR had been returned when s/he may have already resolved the issue with the ESR the afternoon before. For the User ID request, it enabled Disbursing to respond more quickly to requests for establishing staff User IDs.

The changes to the ESR were originally requested by the SAA Finance staff, but were applicable to all offices and include fields for providing additional information, such as the dollar amount of a travel advance, any charges that were paid on the office credit card, and a field for the signature of an office-level approver. It also corrected a problem with the calculation of POV mileage by requiring the entry of mileage in whole miles only.

FMIS 2009–2

FMIS 2009–2 was implemented in August 2009. This release included a small number of enhancements for WebFMIS users, but was focused on implementing new functionality for the Disbursing staff, including:

—Contract tracking—this functionality brings information previously tracked in a database into WebFMIS, with the added bonus that staff at the Committee on Rules and Administration can view the same information;
—ADPICS document viewers—this functionality enables Disbursing staff to see, via Web FMIS, information on documents created in ADPICS, including requisitions, purchase orders and invoices. For the Disbursing A/P staff, these documents can be supporting documentation to a voucher;
—The advance-related Web FMIS reports used by Disbursing were rewritten in new software;

—Changes to the checkwriter software—these changes enabled us to integrate the checkwriter functionality into WebFMIS; and
—Refresh several security pages used by the WebFMIS system administrators.

Three items composed the major new functionality for Senate offices delivered in this release, including:
—display of an additional category ("unallocated") on the budget summary shown on users' home page, which matched the changes to the subtotals on the summary reports implemented in the prior release;
—implementation of four new queries that are available as of prior months in the Reports/Reconciliation function, and as of now in the Reports/Main List function:
—Certifications (Total):
—Payroll (Total);
—Documents Posted to FAMIS (DO Total);
—Documents Posted to FAMIS (Office Total); and
—implementation of eight new reports, the first four of which were especially appreciated by administrative managers:
—Traveler Summary by Month;
—Cross fiscal year Summary by Location;
—Cross fiscal year Summary by Month;
—Cross fiscal year Historical Projections;
—Payroll and Non-Payroll Summary by DC vs. State Office;
—Committee—Payroll and Non-Payroll Summary by Party and Location;
—Committee—Payroll and Non-Payroll Summary by Location and Party; and
—Leadership—Cross fiscal year Summary by Appropriation.

FMIS 2010–1

FMIS 2010–1 was originally scheduled for implementation in December 2009, but was moved to January 2010 in order to provide more testing time for the WebPICS functionality. This release included a small number of enhancements for WebFMIS users, but was focused on implementing the first of three planned releases for WebPICS. The WebPICS project 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 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 entering, 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. Based on feedback from users involved in the acceptance testing as well as a few others who have seen the new application, the SAA staff is excited about using WebPICS. Additional users will be trained beginning in February; all requisitioners should be using the new functionality by the summer of 2010. The second release will focus on the SAA Accounts Payable process (e.g., receipt of goods, invoice processing and approval, voucher creation, and approval). The third release will focus on purchase order creation and approval.

The functions in the 2010–2 release for WebFMIS users included:

—an automated password reset feature available for all users—by selecting and answering security questions users who forget their passwords will be able to reset their passwords and receive the temporary password via e-mail;
—online travel expense summary report (ESR) and the 60-day moratorium rule for ESR users—the online travel ESR will warn staffers when their travel expenses violate the 60-day moratorium;
—graphs on summary reports for administrative manager and chief clerk users—four of the summary reports now display two pie charts of information; the first shows payroll vs. non-payroll expenditures; the second pie chart shows six pieces of non-payroll expenditures: the top five non-payroll expense categories and one with all other expense categories combined; and
—electronic invoicing for credit card charges for use by administrative manager and chief clerk users—with this release we have begun a pilot of making credit card invoices received electronically from the Senate's credit card vendor available via Web FMIS for use in easily creating vouchers. This functionality is similar to the ESR "import" functionality and users are able to select some or all charges and create a voucher with minimal typing.

FMIS Imaging Product Analysis

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. The work begun in 2009 and to be completed in 2010 revolved around selecting software for the image database and image viewer, and to finalize imaging and electronic signature requirements. During 2010 this information will be used in planning necessary software purchases and coordinating with a separate SAA smart card ID project. The smart cards will be used for electronic signatures.

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 2009, 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 Web FMIS budget function meetings); and
—technical meetings—a weekly meeting to discuss the active projects, including scheduling activities and resolving issues.

Strategic Planning

The FMIS strategic plan has a longer time horizon than the rolling 18-month timeframe of the technical meeting schedule. It is designed to set the direction and priorities for further enhancements. In 2002 a strategic plan was written by the Disbursing IT and Accounting staff for Disbursing Office Strategic Initiatives. This detailed description of five strategic initiatives formed the base for the Secretary of the Senate's request in 2002 for $5 million in multi-year funds for further work on the FMIS project. The five strategic initiatives are:
—*Paperless Vouchers—Imaging of Supporting Documentation and Electronic Signatures*.—Beginning with a feasibility study and a pilot, this will implement new technology, including imaging and electronic signatures, in order to reduce the Senate's dependence on paper vouchers. This will enable the continuation of voucher processing operations from an alternate location should an emergency occur;
—*Web FMIS*.—Respond to requests from the Senate's accounting locations for additional functionality in Web FMIS;
—*Payroll system*.—Respond to requests from the Senate's accounting locations for online real time access to payroll data;
—*Accounting Subsystem Integration*.—Integrate Senate-specific accounting systems, improve internal controls, and eliminate errors caused by re-keying of data; and
—*CFO Financial Statement Development*.—Provide the Senate with the capacity to produce auditable financial statements that will obtain an unqualified opinion.

We have almost completed these objectives and during 2009 held meetings to "envision the future." The implementation of a new payroll system 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 Web FMIS. Additionally, Disbursing is beginning to investigate the issues around replacing the Senate's General Ledger and procurement systems (FAMIS and ADPICS) with software that runs on a server instead of a mainframe.

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 2009, the following two new task orders were executed:

—Service Year 2010 extended operational support, which covers activities from September 2009 to August 2010; and

—FMIS Imaging Product Analysis, which will help Disbursing determine 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.

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

—Imaging and signature design and electronic invoicing enhancement continuation;

—Web FMIS reporting enhancements; and

—Service year 2009 extended operational support (covered activities from September 2008 to August 2009).

Administering the Disbursing Office's Local Area Network (LAN)

Disbursing continued to administer its own local area network (LAN), which is separate from the network used by the rest of the Secretary's Office. It is used by over 50 staff. Upkeep of the LAN infrastructure, including performing routine daily tasks and replacing equipment regularly, is critical to providing services. During 2009, 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:

—upgrading PC software on Disbursing Office desktop and laptop computers;

—installing a client/server version of Reveal, software used to view mainframe reports;

—installing new laptops for COOP users; and

—managing seven blackberry devices.

Installing Specialized Software

During 2009, the IT staff transitioned its processes to Senate-supplied software, which improved efficiency and improved communication with the SAA technical staff. The improved processes include:

—*Problem Reporting*.—Began using new software to report problems with FMIS, improving the IT staff's efficiency; the SAA staff testing WebPICS were able to enter their own problem reports.

—*Migration Management*.—We began to use an electronic review/approval function in SharePoint for management of documents relating to migration of software (e.g., the DO approval for software to be migrated from acceptance to production). This required establishing a one-way trust to the SAA domain for access to a server available to the SAA, our support vendor, and now the DO staff.

Maintaining Projects for Payroll and Employee Benefits Sections

Disbursing continued to support the Payroll/Benefits 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 Employee Benefits sections. During 2009, a new version of this software was installed. In addition, IT worked with the SAA Network Operations staff to establish point-to-point security for access to CLER, a benefits validation service.

Coordinating the Disbursing Office's Disaster Recovery Activities

In prior years, the Disbursing Office and the SAA have conducted a FMIS-only disaster recovery test during the year. As in previous years, the 2009 test was scheduled to include fail-over of our systems to the ACF, activity at the ACF, and a new activity, fail-back of the changed production data. This testing did not occur during 2009, but Disbursing anticipates testing will occur in August 2010.

ADMINISTRATIVE OFFICES

CHIEF COUNSEL FOR EMPLOYMENT

The Office of the Senate Chief Counsel for Employment (SCCE) is a non-partisan office established in 1993 at the direction of the Joint Leadership after enactment of the Government Employee Rights Act (GERA), which allowed Senate employees to file claims of employment discrimination against Senate offices. With the enactment of the Congressional Accountability Act of 1995 (CAA), as amended, Senate offices became subject to the requirements, responsibilities and obligations of twelve 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. Also, on a daily basis, the SCCE provides legal advice to Senate offices about their obligations under employment laws. Accordingly, each Senate office 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;
—Union drives, negotiations, and unfair labor practice charges;
—Occupational Safety and Health Act (OSHA) compliance;
—Americans With Disability Act (ADA) compliance;
—Layoffs and office closings in compliance with the law;
—Management training regarding legal responsibilities; and
—Preventive legal advice.

Litigation; Mediations; Alternative Dispute Resolutions

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

Compliance with the OSHA and the 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.

The SCCE provides legal assistance and advice to each Senate office to ensure that it is complying with the OSHA and the ADA. The SCCE also represents each Senate office during 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 2009, the SCCE pre-inspected 4,976 Senate rooms to ensure that Senate offices are complying with the ADA and the OSHA. Inspections included all member offices in the Hart, Dirksen and Russell buildings, and offices and work spaces of other buildings used by the Office of the Sergeant At Arms and the Office of the Secretary of the Senate.

The SCCE is very proud of the safety record in the Senate offices. During 2009, the enthusiasm and participation of Senate offices in SCCE's safety pre-inspection program resulted in 64 Senators receiving Safe Office Awards for perfect safety records. Other Senate offices had no significant OSHA or ADA problems.

Management Training Regarding Legal Responsibilities

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

In 2009, the SCCE gave 90 legal seminars to Senate offices, including, among others:

—The Congressional Accountability Act of 1995: Management's Rights and Obligations;
—Laws You Must Follow When Setting Up and Managing Your Office;
—Understanding Sexual Harassment in the Workplace;
—Dealing with Harassment Complaints and Avoiding a Hostile Work Environment;
—A Manager's Guide to Complying with the Family and Medical Leave Act;
—Hiring the Right Employee: Advertising and Interviewing;
—Avoiding Legal Landmines in Your Office 2009; and
—Military Service Academies Interview Training.

The SCCE also conducted a series of monthly seminars covering all major employment laws that govern Senate offices. The SCCE just completed its second year of this widely-attended seminar series. The purpose of the seminars is to educate all Senate management staff about their responsibility to ensure that their respective offices comply with the CAA. The series is open to all chiefs of staff, staff directors, administrative directors, chief clerks and office managers. Individuals who complete the series receive a certificate of completion signed by the Secretary of the Senate. The following topics were covered:

—An Overview of the Congressional Accountability Act;
—$1,000 Fine Per Employee: Is Your Office Meeting Its Legal Obligations Under the I–9 & E-Verify Laws?;
—Overtime Pay: Who is Owed It, and How is It Calculated?;
—Diversity in the Workplace: Lessons Learned from Dunder Mifflin;
—He Interviewed So Well . . . And Then We Saw His Facebook Page: How to Interview and Check the Backgrounds of Job Applicants;
—The Family and Medical Leave Act: When Do Employees Get FMLA Leave, and How Much Do They Get?;
—Evaluating, Disciplining, and Firing Employees without Violating the Law;
—The Americans with Disabilities Act: What Managers Must Know about Complying with the Law;
—You Can't Act that Way in Our Office: Dealing with Harassment Complaints and Avoiding a Hostile Work Environment; and
—Common Employment Law Mistakes Managers Make.

The SCCE, working with Chiefs of Staff and Administrative Directors of member offices, created and added new content to its Web site targeted exclusively to chiefs of staff, staff directors, administrative directors and chief clerks of incoming members to facilitate the opening of the new members' offices in compliance with employment laws. The Web site was used extensively.

Legal Advice

The SCCE meets daily with members, chiefs of staff, administrative directors, office managers, staff directors, chief clerks and counsel at their request to provide legal advice. For example, on a daily basis, the SCCE advises Senate offices on matters such as 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. In 2009, the SCCE had over 3,428 client legal advice meetings.

Also, the 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. In 2009, the SCCE prepared or significantly revised 154 policy manuals for member offices.

Union Drives, Negotiations and Unfair Labor Practice Charges

In 2009, the SCCE provided guidance to managers and supervisors regarding their legal and contractual obligations under union contracts.

Environmental, Cost and Space Savings

In 2001, the SCCE became the first Senate office to convert to a "paperless" office, which has greatly reduced paper usage by minimizing the need for copying documents and storing hard copies. In 2009, the SCCE undertook a new project to further benefit the environment, cut costs, and clear office space. This project involved eliminating 50 percent of the office's hard copy legal books and reference documents through a combination of scanning and converting to electronic books. In addition to benefiting the environment, this project resulted in a cost savings of over $6,000 annually and freed 129 square feet of valuable office space.

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 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.

For the past 26 years the Office of Conservation and Preservation has bound a copy of *Washington's Farewell Address* for the annual Washington's Farewell Address ceremony. In 2009 a volume was bound and read by Senator Mike Johanns.

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. Conservation of a 7,000 volume collection of House hearings start that same year, and in 2009 conservation treatments were completed for 70 volumes of the collection. 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 staff will continue preservation of the remaining 3,583 volumes.

The Office of Conservation and Preservation staff assists the Senate Library with technical issues involving books being sent and returned from the Government Printing Office's (GPO) Library Binding section. The Senate Library sent 468 books to the Library Binding section for binding. The GPO has been returning books to the Senate Library on schedule.

Conservation and Preservation assisted the Senate Library with one exhibit located in the Senate Russell building basement corridor. In addition, the staff assisted the Curator's Office with preparing for the installation of *Henry Clay in the U.S. Senate* in the East Brumidi Stairway.

Preservation

The Office of Conservation and Preservation staff completed 173 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.

Objectives for 2010

Continue with the preservation work on the approximately 3,600 remaining volumes of the of House committee hearings collection in the Senate Library. Monitor the temperature and humidity in the Senate Library storage areas and other Senate collection storage areas.

Continue training six Senate Library staff members for repairing Senate Library materials at the warehouse. The six Senate Library staff are showing progress in book repair.

Begin work on fifteen old books in the Office of the Senate Curator collection that require phased box conservation for storage.

Continue training the Assistant Conservator in conservation techniques of books and paper. The Assistant Conservator is steadily progressing in learning these conservation techniques.

Continue to update aging equipment in the office.

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

A painting of Senator Trent Lott by artist Steven Polson was unveiled in the Old Senate Chamber on September 16, 2009, as part of the Senate Leadership Portrait Collection. A portrait of Senator Bill Frist is underway and will be unveiled in 2010.

One hundred and four objects were accessioned this year into the Senate collection, including four Senate Chamber gallery passes; 69 artifacts from the 2009 Presidential Inauguration; 15 examples of pins from the Secretary of the Senate's Service Award program; tickets from various Joint Sessions of Congress held during the 1st session of the 111th Congress; an envelope franked by Senator Charles Sumner; two stereo views of the Supreme Court Chamber (when the Court met in what is now the Old Senate Chamber); tickets from the Senate Nomination Hearing for Sonia Sotomayor as Associate Justice of the Supreme Court of the United States; and an historic porcelain shaving mug once used by Senator Frederick George Payne of Maine in the Senate's barber shop.

Forty-one new foreign gifts were reported in 2009 to the Select Committee on Ethics and deposited with the Curator on behalf of the Secretary of the Senate. The Office maintains 240 foreign gifts, which are catalogued and maintained by the office in accordance with the Foreign Gifts and Decorations Act. Appropriate disposition of 38 foreign gifts was completed following established procedures.

Implementation of a plan to provide expert care for the Senate's collection of historic clocks began in 2009. A clock expert conducted on-site maintenance for the clocks, starting with those in greatest need of care. By December 2009, all of the working clocks had received general maintenance, except for two that received complete conservation, and two others scheduled for conservation in 2010.

In 2008 the office conducted a comprehensive survey of original Russell Senate Office Building furniture located in Senate spaces of the Capitol and Senate office buildings. The survey resulted in the identification and location of 1,133 furnishings made for the Senate's first office building. Of particular interest to Senators and staff are the flat-top desks, 60 of which are still in use today. In 2009 the office launched a yearly desk survey program to document the occupant of each desk. Results are recorded in a database and can be easily queried for interested Senators and staff. In addition, the search for Russell furniture located in private collections, museums, and libraries continued: a total of 56 furnishings (18 more than last year) were identified.

Following conservation treatment, nine Senate collection objects, eight historic Russell furniture pieces, and the painting, *Henry Clay in the U.S. Senate*, by Phineas Staunton, were professionally photographed for documentation, disaster preparedness, use on Senate.gov, and publications promoting the Senate's collections.

The last phase of an environmental monitoring program in the two Curator storage rooms of the Capitol Visitor Center (CVC) was completed with the addition of electronic monitors. The monitors record temperature and relative humidity in the rooms and send alarms when the environment exceeds the desired temperature and humidity ranges. Environmental monitors are already present in the Curator spaces in the Capitol and the Senate Support Facility. Unlike the old paper system of recording temperature and humidity, these new monitors gather data remotely and more frequently. In addition, the monitors send out alarms to staff who can then immediately address the conditions or problems. The environmental monitors are critical in protecting and preserving the Senate's collections and maintaining proper storage environments.

The Curator's Office continued to work with CVC project staff and Architect of the Capitol (AOC) representatives to resolve problems in the new CVC storage spaces. In June, the AOC determined that the HVAC equipment installed in the storage rooms was not capable of meeting environmental requirements and needed replaced. The design for new equipment is underway, and installation is expected to be completed by summer 2010.

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 Senate Sergeant at Arms (SAA) and AOC's Senate Superintendent.

The office focused attention on the protection of the Senate's historic mirror collection. A plinth program was instituted, so now all mantel mirrors de-installed for conservation are outfitted with a protective plinth. 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. To date, 10 mirrors have been furnished with plinths that meet the new design standard. The office also outlined display guidelines to better protect the mirrors, and cleaned four mirrors.

The Curator's staff created a first-of-its-kind Senate fragment collection. Examples of such objects being considered for the collection include various carpet and curtain samples, fireplace inserts and removed state seals from the Leadership suites, This new collection preserves original, unique, significant, and informative objects that are removed from the Capitol. The collection will serve as a resource for future research, enhance knowledge of the Senate, and heighten understanding of the architecture, ornamentation, and decoration of the Capitol.

Conservation and Restoration

The complex conservation treatment required to restore the monumental painting, *Henry Clay in the U.S. Senate*, by Phineas Staunton, was completed in May 2009. The painting and frame were then reassembled in the conservation studio for the first time in more than 50 years. Created in 1865 for a competition it did not win, the portrait is one of three known paintings showing the Senate meeting in the Old Senate Chamber. It subsequently fell into obscurity until 2006 when it was rediscovered in a New York historical society storage area scheduled for renovation and then donated to the Senate. In order to access the Capitol, the frame was disassembled and carried up the East Front steps separately from the canvas. Final assembly took place on a scaffold-supported platform in the East Brumidi stairwell, where the painting is now prominently displayed. As part of the project, custom lights were fabricated and installed in the stairwell to create optimum viewing of the painting from the second floor landing.

In addition to the regular maintenance required to keep the Senate's historic clocks working properly, conservation treatment is occasionally necessary to thoroughly clean all working parts and replace material that has worn away. A condition assessment completed in 2008 identified those clocks in greatest need of treatment to prevent serious damage from occurring. Two clocks, the Simon Willard gallery clock purchased for the Supreme Court in 1837, and the mahogany floor clock purchased for the President's Room in 1887, were conserved in 2009. The Willard clock is particularly historic, and research into the lore surrounding the clock's significance as a timepiece for the justices is ongoing in the Curator's Office, to support its interpretation for the public.

Continuing to address the most critical conditions in the 94 mirrors that compose the Senate's mirror collection, the office completed conservation treatment of four mirrors. The frames required comprehensive conservation: structural issues were repaired; inappropriate previous work was removed; losses were filled; and the gesso, a plasterlike substance used to prepare surfaces for coatings, was cleaned, repaired, and gilded. In order to minimize the impact to offices caused by sending mirrors out for conservation, the Curator's Office acquired two suitable contemporary reproduction mirrors to fill the voids. Senate offices appreciated this solution and it has helped conservation scheduling.

Historic Preservation

The Senate's historic preservation program, established 10 years ago, 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. Construction and conservation efforts that required considerable review and assistance included: the Brumidi corridor mural conservation and scagliola conservation. Through this work, the Curator's Office was able to ensure that the highest preservation standards possible were applied to all Capitol projects.

The staff also originated several building projects in order to repair existing damage and minimize future loss. On the second floor, the office worked with AOC craftsmen to repair areas of the historic mosaic floor tile that were missing. The holes created by the missing tiles resulted in a situation where tiles continued to become dislodged by carts and other foot traffic at an alarming rate. The in-kind replacement restored the aesthetic of the floor and stopped the loss of significant building fabric. Similarly, the Curator's Office worked with the AOC shops to construct a picture rail in the Strom Thurmond Room in order to protect the Senate's last remaining example of a 1900 wall canvas. Prior to the installation of the picture rail, which was custom designed to be minimally intrusive, the wall canvas was routinely damaged by picture nails.

In response to longstanding concerns about the appearance of and wear to public spaces and reception areas, Curator's Office formed a working group to identify the causes of incidental damage and devise workable solutions. The group is using the Lyndon B. Johnson Room as a pilot space. The group is also looking at various utilitarian items in public spaces in an attempt to refine the aesthetic of the building.

The challenging Senate Reception Room restoration and rehabilitation project, developed by the Senate Curator and the AOC Curator, has successfully moved forward. Following paint analysis, large exposures of the original trompe l'oeil and Greek key patterns were revealed in an effort to determine the extent of remaining original paint, its condition, and the ability to remove the overpaint. The Senate Reception Room Advisory Board met in July to consider the issues and offer recommendations. During testing performed on the gold elements in the room, the staff discovered that the decorative plasterwork was originally gilded with brilliant, shiny gold leaf. The gilded surfaces are undergoing treatment testing to determine the best course of action. Aside from looking at the wall decoration, the Curator considered the state of the Reception Room furniture. A condition assessment of the eight historic benches purchased in 1899 for the room was completed, and the desk and cabinetry in the adjacent stair landing are being redesigned to improve functionality and appearance.

At the 2009 meeting of the Senate Curatorial Advisory Board, the staff presented the panel with several restoration issues related to the Old Senate Chamber. Board members responded with invaluable advice on the historic nature of the room, and its importance as an historic restoration and as a cultural icon for the American people and the U.S. Senate. This feedback will provide a sound basis for the Curator to develop long-term strategies and policies for the future interpretation, preservation, and management of this historic space.

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 closely with the U.S. Capitol Police to continue procedures developed to record the after-hours access to the historic chambers by current members of Congress. Fifty-eight requests were received from current members of Congress for after-hours access to the Old Senate and Old Supreme Court Chambers.

By order of the U.S. Capitol Police, the Old Senate Chamber was closed to visitors after September 11, 2001. However, in February 2009, the Senate Leadership (as Leaders of the Senate Commission on Art) approved the opening of the room to Capitol Guide and staff-led tours during week days. For the last 7 years the Old Senate Chamber was only open to the public when the Senate was in recess for a week or more.

The re-enactment swearing-in ceremonies for Senators elected during the 111th Congress were of special significance in the Old Senate Chamber. In addition, various filming occurred in the historic chambers throughout the year for educational projects. Of particular interest was the filming in the Old Supreme Court of certain scenes for the Seventh Circuit Bar Association in Chicago, Illinois, for a symposium titled *Abraham Lincoln—His Legal Career and His Vision for America*. Chief Justice John Roberts provided the narration of the Supreme Court case *Lewis* v. *Lewis*, which was argued in the room by Abraham Lincoln in 1849.

Loans To and From the Collection

A total of 57 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 four loans, coordinated 13 new loans, and renewed loan agreements for 37 other objects. 19 loans are projected to be renewed next year.

For the 2009 Inaugural Luncheon, the Curator's office facilitated the loan of the New-York Historical Society's painting by Thomas Hill, entitled *View of Yosemite Valley, to the Joint Congressional Committee on Inaugural Ceremonies*. The Curator's staff was also responsible for coordinating the loan of the Lincoln Table from the Massachusetts Historical Society, the Eagle Podium from the Daughters of the American Revolution, and the Lincoln Bible from the Library of Congress for the Inaugural Luncheon.

The official Senate chinaware was inventoried and used at 23 receptions for distinguished guests, both foreign and domestic. The Secretary's china was inventoried and used at seven receptions. It was used for the Inaugural luncheon.

Publications and Exhibitions

In March of 2009, offices of the Secretary of the Senate and AOC came together to celebrate the 100th anniversary of the Richard B. Russell Senate Office Building. Several initiatives planned for the event were unveiled, including: the installation of informational panels at locations throughout the building highlighting the social and architectural history of various spaces; a publication and poster on the historic furnishings; an exhibition in the Russell basement rotunda showcasing nine restored original furnishings; various merchandise available at the Senate Gift Shop; as well as lectures and tours. The office also published an extensive exhibit on Senate.gov featuring hundreds of historic images of the Russell building and its construction from the collections of the AOC, Library of Congress, and Senate Historical Office. The exhibit traces the construction progress as documented by official photographers, and presents various aspects of life in the building during its early years.

A second major Web exhibit educates the Senate community and the public about the history, rediscovery, and conservation of the monumental painting *Henry Clay in the U.S. Senate* by Phineas Staunton. The Web site details the history of this significant portrait, and contains interactive links to lead the viewer through the "before" and "after" phases of restoration as well as a thorough comparison of "then" and "now" images of the historic Old Senate Chamber, the setting for the painting. The site also features a 20-minute video documentary about the painting and its restoration, produced by the Curator's Office in conjunction with the Senate Recording Studio and Senate Photographic Studio.

The Curator's staff updated the Senate Chamber Desk Web site with the new map for the first session of the 111th Congress, as well as posting maps for all recently appointed Senators. In addition, 261 historic chamber seating maps (26th Congress to 106th Congress) from the Congressional Directory were added to the site with the assistance of the Senate Library; and two new stories were developed: A Record-Setting Filibuster by Strom Thurmond, and Thomas Constantine, Cabinetmaker.

Unveiling and artifact pages were created for the paintings of Senators Daschle and Lott; an online exhibition was posted highlighting the Senate's collection of 72 Senate Chamber gallery passes dating back to 1890; a feature exhibit was completed on the Senate Leadership Portrait Collection; and staff contributed to the Joint Congressional Committee on Inaugural Ceremonies Web site by providing information on the painting borrowed for the 2009 Inaugural Luncheon also on Senate.gov.

The office staff worked with the Government Printing Office (GPO) to develop a comprehensive series of exhibit signs for the Hart Building atrium to interpret Alexander Calder's *Mountains and Clouds*. The signs will be fabricated and installed in 2010.

Five brochures were updated and reprinted during 2009: *The U.S. Senate Appropriations Committee*; *The U.S. Senate Foreign Relations Committee*; *The Old Senate Chamber, 1810–1859*; *The U.S. Senate Republican Leader's Suite*; and *The Vice Presidential Bust Collection*. As part of an ongoing program to provide more information about the Capitol and its spaces, GPO created digital files of the new publications and added them to the Senate's Web site.

At the direction of the Committee on Rules and Administration, the Curator's staff supervised the fabrication and installation of a bronze plaque outside Room 713 of the Hart Senate Office Building, the former office of Senator Barack Obama, commemorating his Senate service. This plaque is similar to five other plaques previously placed in the Russell Senate Office Building to identify the offices of Senators who later became President. Also at the request of the Rules Committee, and pursuant to S. Res. 53, the office commissioned a bronze plaque honoring the work of African-American slaves in building the U.S. Capitol. The plaque will be installed 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. Several objects from past Presidential Inaugural Luncheons were installed, and in July, objects related to the Senate Chamber went on display in honor of the room's 150th anniversary.

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), attending planning meetings and presenting lectures to congressional staff at the 1-day and 2-day programs; assisted with brief question and answer sessions to the Capitol Guides to better inform them on Senate art and history; contributed to the development of the new e-learning program; 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.

Other joint congressional projects included planning and review for the Rosa Parks statue and participating in the Slave Labor Task Force Working Group assigned to develop solutions to Congress' recommendation to honor slave labor in the Capitol.

The Senate Curator and staff gave lectures on the Senate's art and historical collections to various historical groups and art museums. The staff also 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

In the area of file management, the Curator's staff continued work on the electronic files by applying a new file matrix organization and file naming protocols. This standardization and consistent records collation will greatly improve the usability of the office resources, streamline office record keeping, and enhance research efforts. The office reviewed the video media collection and developed a disposition plan to convert essential footage to standard preservation medium. Additionally, the collection database was reviewed and assessed by an outside contractor which resulted in a reconfiguration of the artist database, updates to loans and inscriptions, and the creation of an object maintenance table. This work will allow more efficient searching capabilities, a stable database, and an easier way of transferring information into reports.

In the area of continuity of operations (COOP) planning, all new loan agreements were digitized in PDF 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 Curator's Office also greatly increased its COOP-readiness through the assignment of remote desktop access for all staff members. The office also participated in the Secretary's pilot pandemic response tests in preparation for the full implementation of the plan. In conjunction with this and COOP preparedness, the office conducted several table top and work-at-home exercises to test readiness.

The Curator's Office, in conjunction with the Office of Web Technology, posted the newly redesigned Senate Art Web site. Visitors to the site may now explore the Senate's art and historical collections, online exhibits, and publications using an interface that is more intuitive and that allows better access to Senate art resources. In addition to being more user-friendly, the new site's information architecture has been reconfigured to enable easier updates and expansion, permitting the addition of more categories and enhancing the ability to feature specific subject-related aspects of the collections. For the first time, the more than 1,000 graphic art images in the Senate collection are now available online.

Staff from the Office of Police Operations, Security and Emergency Preparedness provided the Curator's Office with nine personalized emergency training classes this year. The training enhanced staff emergency preparedness skills, awareness, and readiness. The office emergency action plan was updated and processed into the new format required by the SAA, and new emergency action plans were created for the office's two collection storage rooms in the CVC.

The 111th Congress Senate Curatorial Advisory Board was empanelled. Two new and 11 returning members were welcomed at the first meeting held in November. Composed of respected scholars and curators, this 13-member board provides expert advice to the Commission on Art regarding the Senate's art and historic collections and preservation program and assists in the acquisition and review of new objects for the collection.

Objectives for 2010

The Curator's staff will continue to 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 Senate Reception Room. Specific efforts to be addressed in 2010 include updating the Senate Reception Room Advisory Board and the Senate community on the wall decoration and gilding treatment studies; working with the AOC to outline and implement a treatment approach and schedule for the walls (paint and gilding); conserving eight historic benches; and testing the functionality of different furnishings. The Curator's staff will also work with the AOC to devise a restoration treatment plan and schedule for the murals and historic wall canvas in the Strom Thurmond Room. The office has monitored this highly significant space for many years and now has the opportunity to study the materials and outline a thoughtful course of action to restore this lone remaining example of artist Elmer Garnsey's 1900 work in the Capitol.

Regarding the historic chambers, the Curator's Office will undertake a review of the 1970s restoration efforts in the Old Senate and Old Supreme Court chambers, looking at the decisions made, the research conducted, and the restoration justifications. The investigative findings will be placed within the context of 1970s preservation philosophy but will be critiqued by current preservation standards. This research project will greatly expand the staff's knowledge of the historic chambers and will highlight areas for further study. In addition, it will provide the basis for much needed paint, plaster, and drapery repairs, tentatively scheduled for 2011, and will help determine if there are opportunities for improving the interpretation of the room.

The conservation and preservation of the Senate's collection continue to be a top priority, and several projects are planned for 2010. Two of the Senate's most historic clocks are scheduled for conservation treatment. Both the case and the clock mechanism of the "Ohio" tall case clock, purchased by the Senate in 1816, have significant condition problems that will be addressed by a furniture conservator and a clock expert. The 1846 architectural shelf clock located over the door in the Old Senate Chamber is also scheduled to receive treatment to ensure its continued operation.

Plans are underway to professionally conserve the recent additions to the Senate Leadership Portrait Collection. Within a year or so of completion, each portrait is carefully examined and cleaned of surface dust, then given a final protective coating of varnish. Additionally, the office will address critical frame (mirror and painting) conservation priorities, focusing on on-site treatments. Staff also will review the mirror files and bring them in line with established collection recordkeeping standards.

The office will move forward with conservation treatment for the inkwells and sanders in each of the 100 Senate Chamber desks. These delicate artifacts date to about 1930 and are starting to show their age—hinges are loose or broken, glass is cracked, and metal parts have varying states of patina. Staff also will work with the SAA Cabinet Shop to survey the writing tops of the Chamber desks and develop a comprehensive plan for their repair and ongoing maintenance.

In 2011 conservation is planned for two of the Senate's most iconic works of art in the Old Senate Chamber: the *Eagle and Shield* sculpture and the portrait *George Washington* (Patriae Pater), by Rembrandt Peale. In preparation, a detailed review of past treatments and analyses will be undertaken in 2010. The Curator's Office will assemble a panel of experts to guide the development of treatment goals for the painting and sculpture, based upon findings from analyses conducted in 1998 and 2004, and conditions noted during previous conservation treatments.

With regard to future preservation, the office will work toward developing and instituting procedures and policies for the refinishing and protection of the historic Russell Office Building furnishings. Preservation priorities will be based on findings identified by the conservator during the 2008 Russell furnishings survey. The office will work closely with the Committee on Rules and Administration, the AOC, and the SAA on this initiative.

The Curator will continue efforts to locate and recover objects associated with the Senate, specifically Senate Chamber gallery passes, tickets to past inaugural events, and historic furnishings. In addition, staff will continue efforts to identify Russell flat-top desks outside the Senate, and where possible, return the desks to the Senate. New works of art for 2010 will include the portrait of Senator Bill Frist for the Senate Leadership Portrait Collection.

In the area of collections management, the office will review photographs in the collections database to ascertain that each object has a documentation photograph and that it meets required size parameters. Standardizing image sizes is important to ensure the functionality of the database.

Several publications and exhibitions are scheduled for 2010. According to its enabling legislation, the Senate Commission on Art is required "at least every 10 years" to publish as a Senate document a list of all works of art, historical objects, and exhibits currently within the Senate wing of the Capitol and the Senate Office Buildings. The Curator's staff will work with GPO to publish this document. Encompassing over 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 list of the entire collection.

The Curator's staff will begin work on a supplement to the *United States Senate Catalogue of Fine Art*, highlighting the art collected by the Senate since the catalogue was published in 2002. Also, with the upcoming Gold Medal ceremony in honor of Constantino Brumidi, the staff will work closely with other offices to develop exhibits, publications, oral histories, and various lectures and tours.

Several other exhibitions are also planned. A new exhibit will feature the 150th anniversary of the Civil War and replace the inaugural exhibit in the Senate wing's first floor connecting corridor. The exhibit will highlight items from the Senate's collections illustrating the war and its impact on the Senate and the Capitol. In conjunction with the Senate Library and Senate Historical Office, staff will complete two exhibits outside the newly remodeled Dirksen G–50 hearing room, as requested by the Committee on Rules and Administration. The exhibits will be placed in the showcases built into the walls of the room's vestibule. One case will highlight Senator Everett Dirksen, for whom the building was named; the other case will feature the building—its origins, construction, and architectural details.

Educational efforts also will focus on Senate.gov. Staff will develop a decorative art section. Decorative art slated for inclusion in this pilot project include gilded mirrors, historic clocks, and Russell Building furniture. In addition, an online exhibition featuring artifacts related to funerals held in the Senate Chamber will be posted, along with an online exhibit dispelling myths and rumors often heard about Senate art. A new Web section titled, "Curator's Picks" will feature the Curator's favorite works in the Senate collection. Additionally, staff will design and outline an historic spaces section for the Web site. This section will guide visitors through such treasures as the Old Senate and Old Supreme Court Chambers, the President's Room, and other significant historic spaces.

The office will continue to prepare for emergency situations that may affect the collection by identifying local disaster recovery companies to assist in the recovery of collection objects, as well as finalizing a binder with disaster recovery procedures. In the area of COOP preparedness, the office will conduct its annual table top exercise and will train staff to use remote desktop access through a series of work-from-home exercises.

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 three branches within the office: Technical Training, Professional Training, and Health Promotion. The Technical Training branch is responsible for providing technical training support for approved software packages and equipment used in either Washington, DC or the state offices. This branch provides instructor-led classes; one-on-one coaching sessions; specialized vendor provided training; computer-based training; and informal training and support services. The Professional Training branch provides courses 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. 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.

Training Classes

The Joint Office of Education and Training offered 1,225 classes and events in 2009, drawing 13,178 participants. The registration desk handled over 25,000 e-mail and phone requests for training and documentation.

In the Technical Training area 300 classes were held with a total attendance of 1,077 students. An additional 425 staff received coaching in 273 sessions on various software packages and other computer-related issues. In the Professional Development area 302 classes were held with a total attendance of 3,738 students. The staff managed or assisted the Employee Assistance Program; Police Operations, Security and Emergency Preparedness; Disbursing; and Committee on Ethics with 110 training classes for 1,369 students.

The Office of Education and Training staff is available to work with teams on issues related to team performance, communication, or conflict resolution. During 2009, Professional Development met over 160 requests for special training and team building for 1,038 staff.

In the Health Promotion area, 2,535 staff participated in 53 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.

The Office of Education and Training provides an annual Senate Service Expo for Senate office staff. This year 35 presenters from the offices of the Secretary of the Senate, the Sergeant at Arms, the Architect of the Capitol, the U.S. Capitol Police and the Library of Congress provided an overview of their services to 230 staff.

Working with Leadership, the Senate Committee on Rules and Administration and the Executive Offices of the Sergeant at Arms and Secretary of the Senate, the Office of Education and Training assisted in coordinating orientation sessions for the new Senators and their staff.

State Training

Since most of the classes that are offered are only practical for D.C.-based staff, the Office of Education and Training continues to offer the "State Training Fair" which began in March 2000. In 2009, three sessions of this program were attended by 171 state staff. Fifty-eight state administrative managers and directors attended the State Directors Forum, while 55 state staff attended a Constituent Services Forum.

In addition to classroom based learning, the "Virtual Classroom," which is an Internet-based training library of 3,000+ courses, is available to Senate staff. To date, 350 state office and Washington, DC staff have registered and accessed a total of 1,142 different lessons and publications using this training option. Additionally, the office offered 24 video teleconferencing classes, which were attended by over 624 state staff. Education and Training also provides 51 Senate-specific self-paced lessons that have been accessed by an estimated 1,000 staff.

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, collectables, 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, e-mail, or by printing and faxing the order form provided on the site. Along with offering over-the-counter sales, walk-in sales and 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, e-mail, 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 Senate Sergeant at Arms (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 non-perishable items alike.

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

Sales Activities

Sales recorded for fiscal year 2009 were $1,694,967.39. Cost of goods sold during this same period was $1,278,890.29, accounting for a gross profit on sales of $416,077.10.

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 $2,782,416.14. The inventory purchased for resale was valued at $2,904,681.69.

Additional Activity

The Gift Shop participated in the 2009 U. S. Senate Environmental and Energy Fair sponsored by the Architect of the Capitol (AOC). Environmentally friendly products that were displayed included wooden flag and desk boxes, wooden pens, custom designed wrapping paper produced from recycled paper, biodegradable travel mugs and a travel mug produced from 100 percent U.S. natural corn products.

In addition, the AOC installed energy efficient lighting in the Dirksen store. The lights in both the ceiling fixtures and product showcases were switched over to "LED" style bulbs.

Select Accomplishments in Fiscal Year 2009

Official Congressional Holiday Ornaments

This year marked the 16th year of the Congressional Holiday ornament. Each ornament in the 2006–2009 series of unique collectables depicts an image celebrating the day-to-day activities taking place on the Capitol grounds. The four images of the series are based on original oil paintings commissioned by the Gift Shop.

Sales of the 2009 holiday ornament exceeded 29,000 ornaments, of which more than 5,606 were personalized with engravings designed, proofed, and etched by Gift Shop staff. This highly successful effort was made possible by the combined efforts of our administrative, engraving, and store staff members.

Webster Intranet Site

The Gift Shop Web site was completely redesigned this year to improve readability and to provide a more intuitive shopping experience. The Web site continues to expand with the addition of new merchandise which is professionally photographed by the Senate Photography Studio. Product descriptions are written inhouse.

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

Projects Recently Produced and New Initiatives for 2010

Bookmarks

Bookmarks depicting the art and architecture of the Old Senate Chamber, Old Supreme Court Chamber and Ohio Clock were introduced in 2009. These historically significant bookmarks are fabricated in gold plated metal and are embellished in enameled colors closely resembling the authentic elements of each featured subject. The individual packaging contains text highlighting the significant, historical and architectural features of each bookmark.

Capitol Visitor Center

The Gift Shop provided the Capitol Visitor Center gift shops with a wide variety of inventory, offered service when needed, and guided the stores' management through the purchase order and invoice process. The Gift Shops plans to continue providing the CVC with products that have proven to be popular with their clientele.

Congressional Plate Series

The release of the 111th Congressional Plate in 2009 completes the most recent four-plate Congressional series. Plans and specific designs for a new 8 year, four-plate series of the 112th, 113th, 114th and 115th Congress are well under way. This new series will once again be designed and produced by Tiffany and Company. The designs for the new series will depict art and architecture from four of the most historically significant rooms in the Capitol. The spaces include the Senate Appropriations Room, Old Senate Chamber, Old Supreme Court Chamber and President's Room.

Wilton Armetale

As a complement to the original metal service pieces created with Wilton Armetale Company of Columbia, Pennsylvania, the Gift Shop has added a new four compartment tray. This piece, as well as the rest of the set, is decorated with the "Brumidi Rinceau" pattern replicating the borders of a series of vignettes decorating the ceiling of the Capitol's North Brumidi Corridor.

Russell Building "Centennial" Product

In conjunction with the Centennial Commemoration of the Russell Senate Office Building, several new products with unique designs were introduced. Ties depicting architectural shapes found in the lattice and rosette patterns throughout the building, as well as a scarf depicting the elegance of the sophisticated Beaux-arts style designs have been introduced. The ties and scarf, both of which are 100 percent silk, are exclusive to the United States Senate. In addition to the ties and scarf, a series of small magnets and photo note cards were produced, both containing images highlighting some of the more unique interior and exterior design elements of the building.

President's Room Oblong Scarf and LBJ Room Square Scarf

Working with Echo Design Company of New Jersey, two new scarves depicting art of the President's Room and LBJ Room were completed and delivered. The President's Room scarf is an oblong shape and is adorned with a fresco image detailing one of the many paneled walls of the room. The LBJ scarf is square and depicts the entire ceiling fresco as well as the unique architectural shape of the curved ceiling.

Senate Donkey and Elephant Ties

New Senate ties depicting whimsical donkey and elephant images were designed and produced just in time for the 2009 holiday sales season. The packaging includes a brief brochure which provides information regarding the origins of the political donkey and elephant images.

Musical Jewel Box

The Gift Shop worked with the Splendid Music Box Company of New York in 2009 to create a beautiful Senate music box depicting a highly detailed image of the Capitol West Laylight. The laylight, designed by the Philadelphia architect Thomas U. Walter, is located in the ceiling of the grand staircase in the Senate wing of the Capitol. Designs for a second, smaller box are in developmental stages and should be completed sometime in 2010. The smaller box will depict a historical cutaway architectural drawing of the Capitol.

Stemware

New designs of stemware etched with the were incorporated into our crystal line in 2009. The three styles of glasses are unique and environmentally friendly, as they are produced lead free and have shatter-resistant properties.

Hand Towels

Working with Creative Arts Company of Idaho, the staff produced high quality paper hand towels depicting images from the Brumidi art in the Capitol. The towels are packaged in quantities of sixteen and depict six panels of beautifully reproduced butterfly or bird frescos that are part of the Brumidi corridors on the Senate side of the Capitol.

Additional Products and Projects

Additional products that were either worked on or delivered in 2009 include new porcelain trays, night lights with Brumidi fresco designed shades, table linens and napkins with Capitol art, two styles of Minton tile boarder mirrors, children's activity books, puzzles for children depicting images from the frieze of the Capitol, two new Tiffany scarves, and a pocket map of the Capitol complex.

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 non-current 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

Revised Senate Chamber Brochure

The Historical Office staff revised and redesigned the guide that is given to visitors to the Senate Chamber. Previously, the booklet was published each Congress and included the seating chart and committee rosters, which increasingly resulted in publication delays. The seating chart and committee rosters were removed, making the 16-page brochure a timeless publication that can be distributed throughout each Congress. The text has been updated, with new images added, including a labeled photograph of the Senate floor that identifies the floor leaders, officers, and staff at the dais. This effort will result in significant savings, since print runs can be larger, at a lower price per copy, and copies will no longer need to be discarded at the end of each Congress.

"Documentary Histories of the U.S. Senate"

In 2009, the Historical Office developed a new online documentary history series that would include 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 will be 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 of this five-stage project have been completed.

"States in the Senate"

In this collaborative project, staff historians have created timelines and compiled selected illustrative images for each of the fifty 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 that will provide an interactive timeline for each state, with links to relevant documentary and visual material.

Joint Congressional Committee on Inaugural Ceremonies

The Historical Office staff assisted the Joint Congressional Committee on Inaugural Ceremonies (JCCIC) in preparation of printed materials, including the platform program, luncheon program, and the commemorative edition of *Inaugural Addresses of the Presidents of the United States*, for the presidential inauguration on January 20, 2009. Historical Office staff researched precedents and compiled historical data on previous inaugurations in response to queries by the JCCIC, the media, and the public.

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 Sergeant at Arms, considers 19th- and 20th-century reforms that resulted in reorganization and professionalization of Senate staff, and looks at how the Senate's administrative structure has grown and diversified.

Rules of the United States Senate, Since 1789

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

Since publication of the 2005 print edition of *The Biographical Directory of the United States Congress*, the Historical Office has added new biographical sketches and bibliographical citations that incorporate recent scholarship to the online database (http://bioguide.congress.gov). The associate historian and historical writer continue to work closely with the staff of the House of Representatives Office of History and Preservation 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 cooperated in an ongoing effort to update the online site in appearance and functionality. Over the past year, the Historical Office also began selecting printed obituaries for 19th-century Senators for inclusion in their online profile.

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 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.

Everett Dirksen and the Dirksen Senate Office Building Exhibits

The remodeling of the auditorium in the Dirksen Senate Office Building into a hearing room also created two large exhibit cases at its entrance. Working with the staff of the Senate Curator and the Senate Library, the Historical Office has been preparing exhibits 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 Charles McCurdy "Mac" Mathias (R-Maryland); Charles Ferris, former director of the Senate Democratic Policy Committee; two former Democratic secretaries, Martin Parone and Robert G. Baker; and W. Lee Rawls, the former staff director to Senators Pete Domenici and Bill Frist. 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. Each month, that site features a different oral history interview series, 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: "Senate Historical Minutes"

The historian and associate historian deliver a series of "Senate Historical Minutes" at the weekly Democratic and Republican Conference luncheons. These "minutes" highlight significant events and personalities associated with the Senate's institutional development. Many of them are now included on Senate.gov as "Historical Minute Essays."

Members' Records Management and Disposition Assistance

The Senate archivist assisted members' offices with planning for the preservation of their permanently valuable records, stressing the importance of managing electronic records and eventually transferring valuable records to a home-state repository with a digital asset management system. Special attention was devoted to ensuring the preservation of the entire collections of Senators Barack Obama and Joseph Biden and overseeing the completion of comprehensive inventories because the collections were being stored at the National Archives Center for Legislative Archives. The archivist also worked closely with the National Archives and the Sergeant at Arms to ensure complete archiving of Vice President Richard Cheney's office.

Senator Edward M. Kennedy's death brought challenges for ensuring that his personal office records and committee records were archived in the proper places. The archivist revised the *Handbook for Closing a Senator's Office* and met with personal office and committee staff to meet these needs. As a result of particularly close work with the Biden, Cheney, Clinton, and Obama offices, the archivist perceived a need for enhanced education of all office staff with regard to managing and archiving their electronic records. To meet this need, the office staff developed archiving "Quick Cards" that are available on the Secretary's Webster site. The three basic cards include "Is it a Historical Record?" (a series of questions that train staff on how to recognize a historical record) and two related cards, "Archiving Electronic Records" and "Archiving Paper Records." These cards promote best practices at all staff levels.

To meet the electronic records management challenges as offices transition to all electronic recordkeeping, the archivist worked with the Sergeant at Arms staff to have "V" drives established in all new Senate offices and made available on request for older offices. These drives are for placement of electronic records that have been tagged for the archives.

Brown-bag lunch discussions continued with one focusing on the topic: “What Can an Archivist Do for You?” Material gathered for this session was used to create a PowerPoint presentation aimed at persuading offices to either hire an archivist or train a staffer to perform the duties of an archivist. Archivists increase Senate office efficiency and ensure that staff members have the information they need when they need it, and are key to preserving electronic records since they are able to arrange, describe and document electronic records for the long term.

The Archivists Listserv has been used effectively for training and information updates about matters of records management and historical interest. A video seminar, first created in 2008, was re-worked and made available to members' state offices. The Senate archivist continued to work with staff from all repositories receiving senatorial collections to ensure the adequacy of documentation and the transfer of appropriate records with adequate finding aids. The archivist created a special in-depth records management seminar for Senate offices for the Modern Archives Institute, which is now available for Senate staff on demand.

Committee Records Management and Disposition Assistance

The Senate archivist provided each Senate committee with staff briefings, record surveys, 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. The archivist surveyed all committee chief clerks and systems administrators to ascertain the status of their electronic archiving, and discovered that many committees have voluminous electronic record backlogs requiring review for archiving. These backlogs fall into three categories: files of committee staff who have departed the committee; files of share drives, some going back for many years; and accumulations of e-mail. She distributed information on best practices for managing electronic records and encouraged committee chief clerks, systems administrators, staff directors, and chief counsels to consider hiring archivists to focus on electronic archiving. As a result, three committees each hired an archivist. The Senate archivist oversaw the transfer to the Archives of 691 accessions of Senate records totaling 3,350.5 cubic feet of textual records and 7.2 terabytes of electronic records. The archivist has noticed a growing gap between the documentary quality of records being archived from committees with archivists and those without archivists.

To further assist committee clerks with their responsibilities for maintaining committee records, the archivist devised three basic Quick Cards similar to those for members' staff. These cards supplement the *Guidelines for Committee Staff* pamphlet that is updated annually. The cards went to all staff directors, chief clerks, and systems administrators, with a request that they be distributed to all staff. A records-preservation PowerPoint briefing was also distributed to all staff directors and chief clerks and is available on the Secretary's Webster site. While this material has helped communicate the importance of record keeping to committee staff, it does not replace the effectiveness of a trained archivist being added to the staff to focus on archiving electronic records and adequacy of documentation for significant legislation. Training sessions were conducted for those Senate interns tasked with archiving committee records. The archivist and deputy archivist responded to 214 requests for loans of records back to committees, totaling nearly 1,544 boxes.

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 Sergeant at Arms. To date, records of the Committees on Agriculture, Appropriations, Armed Services, Banking, Budget, Energy, Environment and Public Works, Finance, Foreign Relations, HELP, Homeland Security, and Judiciary have been processed. The Center for Legislative Archives has received this information on CD–ROM both as a security measure and to enhance future researcher access to the records as they become open for research. The archivist and deputy archivist have participated in the 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 have commenced work on improving the level of description of records that committees send to the archives and devising an electronic form to help standardize this data.

Advisory Committee on the Records of Congress

This eleven-member permanent committee, established in 1990 by Public Law 101–509, meets semiannually to advise the Senate, the House of Representatives, and the Archivist of the United States on the management and preservation of the records of Congress. Its membership representing the Senate includes the Secretary of the Senate, who 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.

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. In 2009, the Office responded to more than 1,200 inquiries from the public, the news media, students, family genealogists, congressional staffers, and academics, through the public e-mail address listed on Senate.gov. The diverse nature of their questions reflected varying levels of interest in Senate operations, institutional history, and former members. Research assistance from the Historical Office was enhanced by the comprehensive scanning of the Office subject files into the OnBase document management system, allowing staff to search the full text of these files electronically.

Working with the Web team, the historians have added to Senate.gov such items as fourteen featured biographies; four front-page features on the Constitution, Photographs of Senate Life, the Russell Building Centennial, and the 150th Anniversary of the Senate Chamber; a special feature commemorating the 40th anniversary of the first moon walk; and added transcripts of four oral history interviews and digital audio clips for six interviews.

The historians also met with the Senate webmaster to plan a new feature for Senate.gov, "Learn about the Senate." This feature is specifically being designed to serve the educational needs of teachers and students at various grade levels. A reference page has been developed, using a list of frequently-asked questions to guide visitors to relevant information already available on the site.

Staff presented seminars on the general history of the Senate, Senate committees, women Senators, Senate floor leadership, relations between the press and the Senate, and the U.S. Constitution. The historians also participated in Senate staff seminars and members' office retreats, and conducted dozens of briefings for specially scheduled groups. The associate historian participated in the Dirksen Congressional Center's annual "Congress in the Classroom" conference, where she presented the "Ten Top Questions to Ask Students about the Senate," and collaborated with secondary school teachers from nearly every state in coordinating classroom activities to promote a better understanding of Congress.

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 e-mail, while cataloging, digitizing, relocating, and expanding the Office's 40,000-item image collection. As a member of the Russell Building Centennial committee, the photo historian was actively involved in the events surrounding the centennial of the building in March, working with the Government Printing Office to design and print tent cards and bookmarks for the centennial. She collaborated with the historical editor to redesign and publish the new Senate Chamber brochure. The photo historian oversaw the move of the entire photograph collection to a larger space mid-year. In conjunction with this move, she performed increased collection maintenance, including creating an inventory of the image collection. She completed cataloging the images of hundreds of Senators, collected in the early 1900s by John Pappas, which were donated to the Senate, and which have now been transferred to the National Archives. She assisted more than a dozen Senate offices in creating collages of all the Senators who previously served in that seat. She worked with Conservation and Preservation and the Senate Curator to replace the images in the Arthur Scott photographic exhibit on the third floor of the Capitol, provided poster-size enlargements of more than thirty historical prints from the collection to the Senate Recording Studio for the walls of their new office, and worked with the Senate Press Gallery to select images for their walls. The photo historian also assisted the Capitol Police in arranging their photographic negatives for eventual transfer to the National Archives.

Continuity of Operations (COOP)

As the Historical Office's COOP Action Officer and Emergency Coordinator, the photo historian completed the transfer of the Office's COOP plan into the LDRPS system. She created an extensive pandemic plan for the Office to ensure the ability of staff to maintain essential functions in the event of a pandemic situation and made back-ups of the office's vital electronic records to store off-site. She trained new staff members in the Office's emergency evacuation procedures.

Capitol Visitor Center

The historians continued to supply information and guidance to the staff of the Capitol Visitor Center (CVC) related to the educational component of the exhibition gallery. They have participated in the training program for staff-led tours, and provided text and images 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 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 Congressional Accountability Act. 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, FMLA program, parking allocations, and the summer intern program that offers college and other post-graduate students the opportunity to gain valuable skills and experience in a variety of Senate support offices. Human Resources staff has completed migration of eligible commuters to the Smart Benefits Program, which is operated by the Washington Metropolitan Area Transit Authority.

Recruitment and Retention of Staff

Human Resources 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 Sergeant at Arms (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 4,000 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, Family Medical Leave Act administration, and an overview of the Congressional Accountability Act. 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.

Combined Federal Campaign

The office has again taken an active role in the Combined Federal Campaign (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.

INTERPARLIAMENTARY SERVICES

The Office of Interparliamentary Services (IPS) has completed its 28th year of operation as a department of the Secretary of the Senate. IPS staff 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 May, the 50th Annual Meeting of the Canada-U.S. Interparliamentary Group was held in Canada. In June, the 48th Annual Meeting of the Mexico-U.S. Interparliamentary Group was held in Seattle, Washington. In September, the British-American Parliamentary Group was held in the United Kingdom. The U.S.-China Interparliamentary Group also met in China. IPS staff handled arrangements for these events.

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

IPS maintains regular contact with the Department of State and foreign Embassy officials. The office staff frequently 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 Sergeant at Arms in arranging programs for foreign visitors. In addition, IPS is frequently consulted by individual Senators' staffs on a broad range of protocol questions. Occasionally state officials or the general public contact IPS regarding Congressional protocol.

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

Continuity of Operations (COOP) Planning

The Office of Interparliamentary Services created a Pandemic Preparedness Plan this year and continues to fine tune its continuity of operations plan each year.

LEGISLATIVE INFORMATION SYSTEM (LIS) PROJECT

The Legislative Information System (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: 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 Legislative Information System (LIS) in January 2000, the LIS Project Office shifted its focus to the data standards program and established the LIS Augmentation Project (LISAP). The over-arching goal of the LISAP is to provide a Senate-wide implementation and transition to XML for the authoring and exchange of legislative documents.

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

LISAP: 2009

In early 2009, LIS staff trained the editorial and printing staff of the Appropriations Committee on using LEXA to produce appropriations bills in XML. The two groups also worked with House and GPO staff to convert prior year appropriation bills and text from the Budget Appendix to XML to be used as the basis for the 2010 fiscal year bills. The Committee staff provided feedback on their production requirements, and the LIS staff added or altered features in LEXA to make the drafting process faster, more efficient, and more consistent. By the end of the year, all thirteen Senate Appropriations bills, amendments, and conference report documents had been prepared in XML.

The LIS staff also worked with staff from GPO and the Committee on Armed Services to prepare and include military data and information in XML tables in the National Defense Authorization bill. The data was prepared in Excel spreadsheets by the Committee, and GPO staff imported the data into LEXA into XML table structures so that the tables could be printed as part of the introduced and engrossed versions of the Senate bill. The House Committee was able to use many of the tables and the same processes to produce the tables in the enrolled bill.

The LIS Project Office continued to provide support to the Senate Enrolling Clerks and the Senate Legislative Counsel in their use of LEXA for drafting. Several new features and fixes were added in LEXA releases to improve the process, including upgrading the underlying software, Xmetal, for the customized LEXA application. Xmetal 5.5 is a Vista-compatible version of the software, and the upgrade project required extensive testing of LEXA on both an XP platform and a Vista platform. GPO testers assisted with the testing.

The XML versions of Senate measures were made available on LIS and Thomas starting with the 111th Congress. The HTML version produced from the XML data more closely resembles the printed document. This improved HTML format will eventually replace the HTML version currently available on the Web.

LIS staff also worked on internal projects to make the office more efficient. These included implementing new defect tracking software called OnTime. This software provides a means to collect defects and new feature requests, record help call incidents, and manage releases. The staff also worked on developing a Sharepoint repository to organize documentation, requirements documents, test cases, and test documents.

LISAP: 2010

The LIS Project Office staff 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 all of the legislative measures produced by those offices will be created as XML documents.

The LIS Project Office staff will continue to work with the House, GPO, and the Library of Congress on projects and issues that impact the legislative process and data standards for exchange. These groups are currently participating in two projects with GPO—one to define requirements for replacing the Microcomp composition software and another to improve the content submission and exchange processes. The staff 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. A Windows 7 version of Xmetal will be available in the second quarter, and the LIS Project Office will build and test all LEXA functions on this platform in anticipation of offices moving to a Windows 7 operating system in the future.

The legislative process yields other types of documents such as the Senate and Executive Journals and the Legislative and Executive Calendars. Much of the data and information included in these documents is already captured in and distributed through the LIS/DMS database used by the clerks in the Office of the Secretary. The LIS/DMS captures data that relates to legislation including bill and resolution numbers, amendment numbers, sponsors, co-sponsors, and committees of referral. This information is currently entered into the database and verified by the clerks and then keyed into the respective documents and re-verified at GPO before printing. An interface between this database and the electronic documents could mutually exchange data. For example, the LIS/DMS database could insert the bill number, additional co-sponsors, and committee of referral into an introduced bill while the bill draft document could supply the official and short titles of the bill to the database.

The Congressional Record, like the Journals and Calendars, includes data that is contained in and reported by the LIS/DMS database. Preliminary document type definitions have been designed for these documents, and applications could be built to construct XML document components by extracting and tagging the LIS/DMS data. These applications would provide a faster, more consistent assembly of these documents and would enhance the ability to index and search their contents. The LIS Project Office staff will coordinate with the Systems Development Services Branch of the Office of the Sergeant at Arms to begin design and development of XML applications and interfaces for the LIS/DMS and legislative documents. As more and more legislative data and documents are provided in XML formats that use common elements across all document types, the Library of Congress will be able to expand the LIS Retrieval System to provide more content-specific searches.

LIBRARY

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

Management transition of the Senate Information Services program from the Senate Sergeant at Arms (SAA) to the Library continued as the Library designed and conducted an online survey of the Senate user community in November 2009. The survey of Senators' state and Washington, DC offices, Senate committees, and support offices requested feedback about current program offerings and training, and sought suggestions for change. Analysis of the results will form the basis for further program content review.

The Library's creation of new Web-based content, advanced and fine-tuned online resources, expanded outreach and training opportunities, and use of technology to support alternative means for information delivery continue to meet the Senate's increasing demand for information.

Notable Achievements

The Senate Library increased its service statistics in 2009, serving every member and committee office. Including Web-based inquiries, there was an 8 percent increase from 2008.

Two new tables were added to the Library's Virtual Reference Desk on Senate.gov, Senate Action on Cloture Motions and Summary of Bills Vetoed, 1789-present. This table is also published on Webster.

All printed House hearings in the Library's collection are completely searchable in the Library catalog. This retrospective project has taken 26 years to complete and is a testament to the hard work and dedication of Senate Library catalogers.

Four informational display cases, a special issue of Unum, bookmarks, and restaurant table cards were created to mark the Russell Senate Office Building centennial in March.

Design and implementation of a new online book request form in the Library catalog and increased exposure of online book lists resulted in a 47 percent increase in online book requests over 2008 levels.

Focus on new and more frequent Library instructional classes resulted in a 48 percent increase in Library instructional offerings in 2009.

An emphasis on careful negotiation or renegotiation of vendor contracts and purchases has already saved over $55,831 in database expenses over the next 4 years.

Senate Library Inquiries and Online Book Requests

The rise in electronic requests for materials, the availability of new and enhanced electronic database offerings, and the expanded availability of resources on the Web combined with efficient content management have dramatically increased the demand for Library resources. Inquiries for 2009 increased 8 percent from 2008.

SENATE LIBRARY INQUIRIES

Year	Traditional	Web Page Visits			Total	Change From Prior Year (in percent)
		Webster	LIS	Senate.gov		
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	+42
2004	33,750	([1])	20,749	581,487	635,986	+61
2003	46,234	([1])	18,871	329,327	394,432	[2] +751
2002	40,359	([1])	6,009	([1])	46,368	([3])

[1] Not available.
[2] Web inquiry statistics, first available in 2003, increased the total from the previous year by 751 percent.
[3] Baseline.

A 47 percent increase in online book requests for 2009 can be attributed not only to the continued popularity of audio books, but also because the Library links the online bibliographies for audio books, new books, and travel books to the catalog and the online request form.

Senate Library Content Creation

Two new tables were added in July to the Virtual Reference Desk on Senate.gov. Summary of Bills Vetoed, 1789-present lists the President, coinciding Congresses, type of veto, the total number of vetoes, and whether a veto was overridden by Congress. The table is also published on Webster. Senate Action on Cloture Motions lists the Congress, coinciding years, motions filed, votes on cloture, and the number of times cloture was invoked for all cloture motions since the 66th Congress (1919–1920).

Senate Knowledge Base

Projects to publish authoritative, standardized Senate data sources for multipurpose use continue to be a Library priority, ensuring accurate and timely dissemination of Senate information. The Senate knowledge base is an institutional repository for data to support these projects: the newly modernized Webster site, the Senate Library Webster site, and a senator biography database.

Webster Modernization

A greatly enhanced version of Webster was launched in September. The launch was a culmination of a multi-year collaborative effort of Webster's four stakeholders: the Secretary of the Senate, the SAA, the Senate Chaplain, and the Committee on Rules and Administration. The Senate Library and the Web Technology department represent the Secretary on the Webster Advisory Group (WAG), which oversees site management.

Since its debut in 1995, Webster has been the most-visited site for Senate staff seeking information about internal operations, support services, and employee benefits. The large-scale redesign initiative, launched by the WAG last fall, was intended to help staff easily navigate the ever-expanding volume of online information and to locate the resources staff need to do their jobs.

The improved Webster enterprise-level search functionality is popular with staff: there were 123,339 searches in 2009. Librarians improve search results by analyzing monthly statistics and matching popular search terms with topically relevant pages or search engine "key matches." During 2009, 346 "key matches" were established. To date, 969 document records and 1,393 term records in the Senate knowledge base are supporting the Webster search and taxonomy projects.

Web page visits for the five taxonomy-based indexes totaled 10,499 since their deployment in October 2008 as part of the Webster modernization project.

WEBSTER TAXONOMY USAGE STATISTICS, 2009

Taxonomy	Page Visits
Services	1,875
Leadership	681
Legislative	1,357
News & Research	835
About the Senate	1,380
Total Taxonomy Usage	6,128

Senate Library Webster Site

All existing Web files and images that supported both the Library Webster site and the catalog were moved to a content management system (CMS) in December with the assistance of the Office of Web Technology. The move enhanced the portability of the content and facilitated the upgrade of the CMS. CMS-published data is repurposed for Senate.gov, further economizing staff time and labor. The Senate Library Webster site is a research service and information portal for Senate staff. An intra-departmental team has continued to revise and update both the design and functionality of the site, improving the computer intern account registration pages and the "Library Class and Seminars" page. New interactive features were added to allow scheduling of online book pickups and fillable PDF registration forms for Library computer accounts. Work on the site will continue into 2010.

Instruction and Professional Outreach

The experienced and knowledgeable reference team from Information Services also teaches. A renamed class, "Research Tools on Your Desktop," joined the Library's instructional offerings, thus targeting need. Increasing the number of sessions taught allowed the Librarians to teach to smaller groups, increasing interaction and retention.

SENATE LIBRARY CLASSES, 2009

Subject	Students	Classes
Insider's Guide to Webster	25	8
LIS Savvy	228	39
Research Tips and Tricks	34	8
Research Tools on Your Desktop	108	29
Services of the Senate Library and Got Questions Tours	259	33
Totals	654	117

The number of classes taught and the number of sessions taught increased by 48 percent in 2009. However, attendance at those classes decreased 16 percent, resulting in fewer Senate staff trained in 2009. Because the Senate schedule and staff workload affect staff availability for training, the Library plans to schedule classes during Senate recess periods as well.

SENATE LIBRARY CLASSES BY CALENDAR YEAR

Year	Attendees Total	Change from Prior Year (percent)	Classes Total	Change from Prior Year (percent)
2009	654	−16	117	+48
2008	782	+2	79	+23
2007	770	+49	64	+7
2006	518	+25	60	+114
2005	416	([1])	28	([1])

[1] Baseline.

The Library also gave tours to Senate groups and to outside library professionals. These tours ranged from an introduction to each semester's Senate Page School class to hosting librarians from the National Library of China and the Law Library Association of Maryland. The Library also participated in the Senate Services Fair and in giving tours for National Library Week. The Library continued its participation in the Federal Library Institute, which introduces interested library school graduate students to Federal libraries, resources, and career opportunities.

Collection Development

Audio Books Program

The Library acquired 44 new audio book titles in 2009. Designed to assist users with diverse needs, including those who may be visually challenged, as well as to draw patrons into the Library, the program remains popular with patrons whose 606 loans were equivalent to circulating each item in the collection six times over. An online bibliography highlights the collection with links to the catalog and the online book request form.

New Digital Resources

The Library provides a number of digital resources to the Senate. New in 2009, and acquired with negotiation to reduce purchase and subscription costs, are the Hein Online Congressional Documents Library, the Gale *Encyclopedia of Governmental Advisory Organizations*, and *A–Z Maps Online* from World Trade Press. The *Encyclopedia of Governmental Advisory Organizations* and *A–Z Maps Online* are available to the Senate community through links on Webster.

The Library maintains an A–Z journal title index on Webster that lists electronic full-text journal titles available to the Senate. The Library has continued efforts to customize and refine the database content lists and to allow easier access to LexisNexis content, which has increased usage by 167 percent from 2008.

Expansion of Special Collections

As a participant in the Government Printing Office's (GPO) Federal Depository Library Program (FDLP), the Library receives selected categories of legislative, executive, and judicial branch publications. The Library received 9,683 government publications in 2009. In response to the trend of issuing government documents in electronic format, 2,962 links were added to the Library catalog, bringing the total to more than 28,938. The links provide Senate staff desktop access to the full text of each document.

ACQUISITIONS, 2009

Category	Total
Congressional Documents	7,566
Executive Branch Publications	2,117
Books (including Audio and E-books)	832
Electronic Links	2,962
Total Acquisitions	13,477

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 via the Legislative Information System (LIS), the Document Management System (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 2009, the Legislative Validation Clerk submitted 290 corrections.

Cataloging

The Library's productive cataloging staff draws on years of experience to produce and maintain a catalog of more than 208,000 bibliographic items. During 2009, 6,791 new titles were added to the catalog. The catalog is updated nightly to ensure that Senate staff will retrieve accurate and current information on Library holdings. The addition of nearly 300 book jacket images for the new titles enhanced visual appeal and utility.

All printed House hearings in the Library's collection can now be found in the Library catalog. This project, completed in August 2009, has taken 26 years to complete and is a testament to the hard work and dedication of many present and former staff.

Catalogers created 816 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 remain in the catalog until the printed hearing is received and cataloged.

A new electronic resources page was added to the catalog home page in June with the goal of creating a comprehensive list of resources by category. Senate staff increasingly use the Library catalog as an information resource, accounting for 6,585 visits in 2009.

INFORMATION SERVICE SUPPORT ACTIVITIES

Category	Total
Circulation:	
Document Deliveries	4,371
Item Loans	3,118
Pages Printed:	
Microform Pages Printed	1,378
Photocopies	71,756
Document Delivery Total	80,623

Library Automation

Library staff were provided with additional access to tools to facilitate remote access to their e-mail accounts and, where needed, secure access to the Senate network. Remote access was successfully tested on routine tasks to simulate a continuity of operations event and for pandemic flu planning.

Self-paced online database training was provided to staff working on the Senate Knowledge Base through the Office of Education and Training. These modules provide an introduction to client software.

Preservation, Binding, and Collection Maintenance

Technical Services staff and summer interns completed the shifting necessary to yield 10 years of growth for book collection shelving space in the Russell Senate Office Building. Judicious collection management will help to ensure that the Library's collections are focused on the needs of the Senate community.

Technical Services staff continued to participate in book repair training sessions led by the director of the Office of Conservation and Preservation. Trainees repaired 190 historic volumes, an increase of 24 percent from 2008, making significant progress in the preservation of the Library's bound book collection.

The Library worked with GPO to secure binding for rare and fragile materials. The first shipment of 11 volumes was completed in December with excellent results.

Budget

In addition to the substantial savings in purchasing new databases, budget savings from price reductions in 2009 subscriptions totaled $55,831 over the next 4 years; and, after 12 years of budget monitoring, savings total $136,908. 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. It serves as an historical record of accomplishments, events, and personnel news in the Office of the Secretary of the Senate. The newsletter is distributed throughout the Senate. Highlights from the 2009 Unum issues include a special issue on the Russell Senate Office Building centennial, covering the architecture and history of the building and special publications produced by Secretary offices; excerpts of Secretary Nancy Erickson's legislative branch appropriations testimony; an article on the 150th anniversary of the Senate Chamber that also featured a booklet issued by the Historical Office; an article on the Senate's role in the presidential inaugural ceremonies; features on the Trent Lott Leadership Portrait and the acquisition of a painting of Henry Clay; 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

The National Library Week events were well attended, with about 100 people attending the Library's reception. The Library made a special effort to invite staff from offices of new Senators. The talk by Senator George S. McGovern on his book, *Abraham Lincoln*, drew a standing room only crowd of 85 attendees.

Cooperative Projects

Working in cooperation with the Senate Historical Office and the Curator's office, Library staff completed the digitization of available Senate seating charts. The charts are now available on Senate.gov to enhance historical information about the Senate Chamber. Work continues on a printed compilation of the charts.

Library staff made significant contributions to the 2009 Russell Senate Office Building Centennial celebration. Four display cases were installed in March 2009 to highlight the Caucus Room, the Russell Building's architectural features, a historical chronology of events that have taken place in the building, and a look back at office life in the oldest Senate office building. A special Unum issue on the Russell Building's centennial was published. The Library worked with the Senate Historical Office, the Senate Curator, Printing and Document Services, and GPO to design a logo for use in all publications created for the event, and to create a set of table cards used in the Senate Restaurants as well as two versions of a commemorative bookmark. The bookmarks were a popular souvenir with staff.

Hearing URL data from the Library catalog is exported weekly to provide LIS and THOMAS with full-text links to Senate hearings for the 111th Congress. The Library contributed 702 new Senate hearing links to the LIS database during 2009.

The Library's Cataloging Supervisor worked 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 the Library of Congress. The cataloging portion of the project began in July and has added 580 titles to the catalog and contributed an additional 1,000 records for documents to be scanned. The scanning center will extract the data needed to enhance retrieval of the scanned documents on its public digital archive site.

Major Library Goals for 2010

Complete the assumption of eco-direction of the Senate Information Services Program in preparation for transition to full direction at the end of 2010;

Complete the analysis of the Senate Information Services survey results and seek additional user input regarding the program services;

Begin work on enhancements to the Senate Knowledge Base to streamline maintenance of the Webster taxonomy and improve search results;

Continue work on the redesign of the Library's Webster site;

Establish an outreach program for Senate office staff; and

Expand training opportunities to staff.

SENATE LIBRARY ACQUISITIONS FOR CALENDAR YEAR 2009

	Books		Government Documents		Congressional Publications				Total
	Ordered	Received	Paper	Fiche	Hearings	Prints	Bylaw	Reports/ Docs	
January	36	58	434	26	242	7	101	220	1,088
February	23	52	110	....	324	16	79	102	683
March	15	53	89	11	330	40	114	221	858
1st Quarter	74	163	633	37	896	63	294	543	2,629
April	27	48	104	84	295	31	124	164	850
May	16	106	35	6	193	16	113	227	696
June	24	86	120	50	256	16	99	317	944
2nd Quarter	67	240	259	140	744	63	336	708	2,490
July	21	42	135	30	429	11	119	292	1,058
August	21	58	140	92	334	12	30	188	854
September	73	82	85	24	359	15	82	114	761
3rd Quarter	115	182	360	146	1,122	38	231	594	2,673
October	17	136	106	67	386	16	99	243	1,053
November	30	53	61	16	352	13	93	241	829
December	11	57	234	58	160	11	109	211	840
4th Quarter	58	246	401	141	898	40	301	695	2,722
2009 Total	314	831	1,653	464	3,660	204	1,162	2,540	10,514
2008 Total	331	901	2,200	797	3,631	129	829	3,645	12,132
Percent Change	−5.14	−7.77	−24.86	−41.78	+0.80	+58.14	+40.17	−30.32	−13.34

SENATE LIBRARY CATALOGING STATISTICS FOR CALENDAR YEAR 2009

	S. Hearing Numbers Added to LIS	Bibliographic Records Cataloged								Total Records Cataloged
		Books		Government Documents			Congressional Publications			
		Paper	Audio/E-Books	Paper	Fiche	Electronic	Hearings	Prints	Docs./Pubs./Reports	
January	5	173	3	12	....	18	222	55	1	484
February	....	111	4	6	12	28	307	16	3	487
March	80	81	2	26	1	11	458	33	17	629
1st Quarter	85	365	9	44	13	57	987	104	21	1,600
April	52	51	6	5	....	45	461	6	25	599
May	7	19	9	8	13	10	635	26	21	741
June	37	24	8	3	....	6	342	92	13	488
2nd Quarter	96	94	23	16	13	61	1,438	124	59	1,828
July	83	15	14	5	....	7	247	552	21	861
August	15	32	43	9	49	1	316	161	4	615
September	8	46	49	7	95	7	302	141	34	681
3rd Quarter	106	93	106	21	144	15	865	854	59	2,157
October	19	69	12	7	40	5	234	43	10	420
November	14	44	4	9	46	8	232	42	80	465
December	11	12	1	10	61	7	120	18	92	321
4th Quarter	44	125	17	26	147	20	586	103	182	1,206
2009 Total	331	677	155	107	317	153	3,876	1,185	321	6,791
2008 Total	271	591	64	155	14	214	6,332	56	170	7,596
Percent Change	+22.1	+14.6	+142.2	−31.0	+2164.3	−28.5	−38.8	+2016.1	+88.8	−10.6

SENATE LIBRARY DOCUMENT DELIVERY FOR CALENDAR YEAR 2009

	Volumes Loaned	Materials Delivered	Facsimiles	Micro-graphics Center Pages Printed	Photocopiers Pages Printed
January	330	298	18	26	5,543
February	208	287	23	37	5,626
March	234	308	14	21	5,042
1st Quarter	772	893	55	84	16,211
April	254	361	13	13	7,131
May	178	309	12	66	4,807
June	276	359	24	395	6,821
2nd Quarter	708	1,029	49	474	18,759
July	379	424	22	207	7,346
August	257	354	15	171	7,344
September	202	356	17	88	13,843
3rd Quarter	838	1,134	54	466	28,533
October	263	338	23	72	4,137
November	323	501	11	102	4,116
December	214	264	20	180	
4th Quarter	800	1,103	54	354	8,253
2009 Total	3,118	4,159	212	1,378	71,756
2008 Total	4,337	3,405	258	3,513	100,266
Percent Change	−28.11	+22.14	−17.83	−60.77	−28.43

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 5, 2009, and January 22, 2010, the last day of school for each semester.

Orientation and course scheduling for the Spring 2009 and Fall 2009 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.

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

Faculty and staff provided extended educational experiences to pages, including 23 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 were provided for summer pages as an extension of the page experience.

National tests were administered for qualification in scholarship programs. Seventeen pages took 28t Advanced Placement exams in nine subjects.

The evacuation plan and COOP 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 continues certification in CPR/AED procedures.

Staff attended continuing education seminars.

Staff computers were upgraded by Computer Services to include Microsoft 2007.

Tutors and the substitute teacher completed training in evacuation procedures.

Communication among the Sergeant at Arms, Secretary of the Senate, party secretaries, the Page Program, and the Page School is ongoing.

Summary of Plans

Our goals include:

—Teachers will continue to offer individualized small group instruction and tutoring on an as-needed basis, 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 be offered on a trial basis in the fall of 2010.

—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 be administered to students each semester to assist faculty in determining needs of students for usage instruction.

—Staff development options include attendance at seminars conducted by Joint Office of Education and Training and subject matter and/or educational issue conferences conducted by national organizations.

—The community service project will continue.

PRINTING AND DOCUMENT SERVICES

The Office of Printing and Document Services (OPDS) serves as liaison to the Government Printing Office (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 staff 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 staff 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 2009, OPDS prepared 4,395 requisitions authorizing GPO to print and bind the Senate's work, exclusive of legislation and the Congressional Record, an 11 percent increase over the previous year. Since the requisitioning done by OPDS is central to the Senate's printing, the office is responsible for reviewing invoices and bids for Senate print jobs.

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, and Senate Library, as well as the U.S. Botanic Garden, U.S. Capitol Police, Architect of the Capitol, and the U.S. Capitol Visitor Center. 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;

—U.S. Senate Leadership Portrait Collection brochure;

—U.S. Senate Foreign Relations Committee brochure;

—U.S. Senate Appropriations Committee brochure;

—U.S. Senate Republican and Democratic Leader's Suite brochures;

—2009 Senate Telephone Directory;

—Senate gallery passes and visitor badges; and

—Capitol Visitor Center 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 Sergeant at Arms Computer Division that provides greater billing accuracy and information gathering capacity; and adheres to the guidelines established by the Senate Committee on Rules and Administration for commercial reporting companies to bill the Senate for transcription services. During 2009, OPDS provided commercial reporting companies and corresponding Senate committees a total of 1,136 billing verifications of Senate hearings and business meetings, a 33 percent increase over the previous year. Over 83,000 transcribed pages were processed at a total billing cost of $652,412.

The software program used to process the hearing verifications required by Senate Disbursing to pay vendors for transcription services was completely updated in 2008. OPDS worked with the Senate Committee on Rules and Administration to draft updated regulations governing the production and reimbursement of transcripts. In addition, input was solicited from vendors and committee clerks to ensure consideration of current transcription practices and costs. The new software program was fully tested by all current Senate transcription vendors and is now fully implemented.

During 2009, the office continued processing 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, improving the management of Congressional Printing and Binding funds. 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 10,875 distinct legislative items during the first 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. However, the responsibility and this office's dedication and assistance to the general public, the press, and other government agencies are virtually indistinguishable from the services provided to the Senate. During 2009, over 15,000 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 and document requests. Orders received by recorded messages, fax, and e-mail are processed as they are received, as are mail 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 GPO experiences a continuity of operations situation.

Accomplishments & Future Goals

Over the past year, OPDS has provided new services for customers and improving existing ones. Of particular note is the office's commitment to help "green" the Senate. During 2009 Senate offices ordered over 4.5 million sheets of 100 percent recycled paper, a 57 percent increase over 2008.. The office works diligently to track document requirements, monitoring print quantities, and reducing waste and associated costs. Over 400 new and revised print jobs were routed electronically for customer approval, improving turnaround time and efficiency. Additionally, blank paper orders, now transmitted electronically to GPO as they are processed, save time and move toward the office's goal of paperless ordering.

The office's future goals include working with GPO on their Federal Digital and Microcomp Replacement Systems to improve efficiency and help answer the evolving needs of the Senate. Focus on continuity of operations planning and the offices emergency preparedness will continue. The Office of Printing and Document Services continues to seek new ways to use technology to assist Members and staff with added services and improved access to information.

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 2008 through September 2009, 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 e-mail, nor help given to lobbyists attempting to comply with the provisions of the Lobbying Disclosure Act of 1995, as amended (collectively, the "LDA"). A total of 77,702 photocopies were sold in the period. 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 2009 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 compliance issues, referring close to 4,400 cases of potential non-compliance to the U.S. Attorney for the District of Columbia. The Senate Office of Public Records conducted a continuity of operations (COOP) exercise in August which required half of the staff to work from a remote location in preparation for a potential H1N1 pandemic.

Plans for Fiscal Year 2011

The Public Records office will assess the need to update the LDA guidance semiannually and will continue to concentrate on LDA compliance issues.

Automation Activities

During fiscal year 2009, the Senate Office of Public Records worked with the Sergeant at Arms to enhance the lobbying database performance in terms of public query programs for Senate.gov, and to create an internal compliance monitoring application.

Federal Election Campaign Act, as Amended

The Act requires Senate candidates to file quarterly and pre- and post-election reports. Filings totaled 4,298 documents containing 292,496 pages.

Lobbying Disclosure Act of 1995, as amended

The LDA requires semi-annual financial and lobbying activity reports. As of September 30, 2009, there were 5,700 registrants representing 20,007 clients. The total number of individual lobbyists disclosed on 2009 registrations and reports was 14,847. The total number of lobbying registrations and reports processed was 134,925.

Public Financial Disclosure

The filing date for Public Financial Disclosure Reports was May 15, 2009. The reports were made available to the public and press by June 12, 2009. Public Records staff provided copies to the Select Committee on Ethics and the appropriate state officials. A total of 3,137 reports and amendments were filed containing 18,528 pages. There were 253 requests to review or receive copies of the documents.

Senate Rule 35 (Gift Rule)

The Senate Office of Public Records received 214 reports during fiscal year 2009.

Registration of Mass Mailing

Senators are required to file mass mailings on a quarterly basis. The number of pages was 487.

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. We serve all Members, support offices, and other authorized people and 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.
—Ensuring the integrity of all funds and other government assets under our control.

	Fiscal Year 2009 Statistics	Fiscal Year 2008 Statistics
Gross Sales	$3,594,733.94	$4,547,289.64
Sales Transactions	47,459	41,704
Purchase Orders Issued	6,586	6,224
Vouchers Processed	7,073	6,832
Office Deliveries	5,661	6,985
Number of Items Delivered	134,191	160,538
Number of Items Sold	439,042	503,238
Full time Employees (FTE)	14	....

Fiscal Year 2009 Overview

Sales Comparison Analysis

While sales for fiscal year 2009 appear to reflect a decrease of $952,555.70 when compared to fiscal year 2008, it should be noted that the Stationery Room discontinued sales of the Metro Transit Subsidy Media in September of 2008. When taking Metro sales out of the equation, fiscal year 2009 sales ($3,594,733.94) increased $811,828.01 or approximately 29 percent, over fiscal year 2008 ($2,782,905.93). The Stationery Room experienced increases of 3 percent to 13 percent in such areas as total sales transactions, purchase orders issued, and vouchers processed.

"Suggestion Box"

With the assistance of the Office of Web Technology, the Stationery Room introduced an electronic "suggestion box" accessible to Senate employees from various areas on Webster. Linked to a Stationery e-mail address, the "suggestion box" is intended to request ideas for products customers would like to see available for purchase with official funds. Suggestions are collected and evaluated for appropriateness and usefulness and acted upon accordingly.

E-Commerce

Also with the assistance of the Office of Web Technology, Stationery staff began work on an expanded electronic commerce site available to authorized customers within the framework of the Senate intranet. Still in the development phase, the site will allow customers the ability to purchase in-stock items from Stationery online, request delivery to the office and charge the transaction to their account. Some initial features include product thumbnails and a shopping cart. The new system is expected to launch in June.

Electronic Document Delivery

Stationery sends hardcopies of sales receipts and office account statements daily through inside mail. Often those mailings number in the hundreds. Because of the volume of consumption of paper supplies (envelopes, receipt paper) and the impact on staff time and resources, the Stationery Room began to e-mail the documents instead. Administrative personnel set up and maintain distribution lists for each office account, convert each paper document to digital and then e-mail it to those on the appropriate distribution list. The program has eased the workload for staff and helped to ensure more secure delivery of documents to the offices served. Additionally, through the implementation of this program, Stationery staff has been able to substantially reduce its use of paper and envelopes.

Efforts to Green the Senate

The Stationery Room carries a wide variety of environmentally friendly options: recycled copy paper and toner cartridges; binders, pencils and pens made with recycled components; and custom printed options on recycled stock with soy based inks. Additionally, Stationery has partnered with the Senate Superintendent as a repository for battery recycling and in 2009 helped the Senate recycle 2,300 pounds of alkaline and rechargeable batteries.

Continuity of Operations (COOP)

Opening an office after an emergency relocation is of paramount importance to the Senate Stationery Room. To allow for quicker response and decreased office downtime, Stationery has packed 200 COOP boxes with a selection of basic office supplies. Staged offsite, they are available for immediate distribution if the need arises.

WEB TECHNOLOGY

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

- —the Senate Web site (Senate.gov)—available to the world;
- —the Secretary's internal Web site (Webster.senate.gov/secretary)—available to the Senate Staff;
- —the central portion of Senate Intranet (Webster.senate.gov)—available to all Senate Staff; and
- —the Senate Legislative Branch Web site (Legbranch.senate.gov)—available to the Senate, House of Representatives, Library of Congress (LOC), Architect of the Capitol (AOC), Government Accountability Office (GAO), Government Printing Office (GPO), Congressional Budget Office (CBO), and U.S. Capitol Police (USCP).

The Senate Web Site—Senate.gov

The Senate Web site content is maintained by over 30 contributors from seven departments of the Secretary's office and three departments of the Sergeant at Arms (SAA). Content team leaders meet regularly to 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 Site in 2009

—Roll Call Votes in XML http://www.senate.gov/legislative/LIS/roll_call_lists/vote_menu_111_2.xml
  —Published all roll call votes in XML back to the 1st Session of the 101st Congress and created a system to have future roll call votes automatically display in close to real time. Providing this data in a raw form enables greater access to this sought information. The project was realized through interactions with the Senate Committee on Rules and Administration and member offices. The posting of XML votes did not require any changes in the clerks' established work processes nor result in any system downtime.
—Russell Senate Office Building Bicentennial standalone Web site http://www.senate.gov/RSOB/
  —Worked with the Historical Office, Curator's Office, and the GPO to design, create, implement, enhance, and maintain a photographic history of the Russell Senate Office Building, meeting firm deadlines and accessibility requirements. While the site looks entirely different than other portions of Senate.gov, it is fully implemented through the content management system to allow for further modifications and additions by content experts.
—Henry Clay in the U.S. Senate standalone Web site http://www.senate.gov/Clay1851
  —Designed, built, enhanced, delivered and maintained a new standalone Web site that details the history and restoration of a portrait of Henry Clay hung in the East Brumidi Stairway during the spring of 2009. Many multimedia

and interactive features exist in the site making for an interesting and educational visitor experience applicable to a wide range of audiences. Capitalizing on advances in the Senate's information technology infrastructure, such as streaming flash video, greatly enhances the user's experience.

—Art Section Overhaul http://www.senate.gov/art

—Completely revamped the art section of Senate.gov, exposing more content in a much more visually appealing, organized, and useful manner. Created and implemented multiple advanced slideshow applications and new layout concepts to compliment the sections new information architecture and collection spotlights. The pages highlight the over 1,000 objects now published online. While creating a much richer user experience through utilizing thumbnails, subject-based collection lists, Web slideshows, and an art specific search, the Curator's office was also able to gain greater control over this content through implementing everything through the content management system in conjunction with the office's maintained object database.

—Contested Senate Elections http://www.senate.gov/artandhistory/history/common/contested__elections/intro.htm

—Historic exhibit delineating 56 past contested elections in the United States Senate. In-depth information provided for each instance including background information, facts relating to each case, response of the Senate, conclusions, and Committee reports.

—Expulsion and Censure http://www.senate.gov/artandhistory/history/common/briefing/Expulsion__Censure.htm

—Developed and launched exhibit on expulsion and censure in the United States Senate in conjunction with the Historical Office. The exhibit offers a wealth of information regarding cases of expulsion and censure and the individuals involved. Thirty-one expulsion cases are described and details of eight censure instances are explained.

—Senate Impeachment Trials http://www.senate.gov/artandhistory/history/common/briefing/Senate__Impeachment__Role.htm#4

—Enhanced the online report regarding impeachments with a complete listing of all impeachment trials in the Senate. Great detail given in several of the cases with more to be added in the future.

—Gallery Passes http://www.senate.gov/artandhistory/art/common/slideshow/Gallerypass/GalleryPass__Intro.htm

—Drawing from many previously created features, designs, slideshows, and layouts this exhibit contains gallery passes dating back to the 51st Congress. Relevant information regarding the galleries and their histories is interwoven, leveraging great content from multiple parts of the Web site.

—Placement Office Job Postings http://www.senate.gov/reference/Index/Employment.htm

—Implemented a completely new system for the Placement Office of the SAA to post and manage their job listings. Content is now delivered in a format that aligns with the one used throughout the Secretary's content management system. Besides providing a much more useful and searchable display to users and a more efficient system from the Placement Office, this also allows all job postings listed on Senate.gov to be combined on a single page.

—Sergeant at Arms Job Postings http://www.senate.gov/employment/saa/positions.htm

—Developed a system to allow the Human Resources Department of the SAA to begin posting job openings. This new system is coupled with their existing content management system to streamline workflow. SAA job openings now simultaneously appear on Senate.gov in conjunction with http://SAANET.

—Capitol Camera http://www.senate.gov/general/capcam.htm

—Takes advantage of the new flash streaming video servers to display a constant feed of the Capitol Dome from the Russell Building. The template originally created for this page has been reused many times as more video is added to the Web site.

—Senate Chamber Maps http://www.senate.gov/artandhistory/art/special/Desks/earlychambermaps.cfm

—Historic maps added to interactive Desks site dating back to 1840.

—Fourteen Featured Biographies http://www.senate.gov/pagelayout/history/one__item__and__teasers/featured__biographies.htm

—Six Audio Clips http://www.senate.gov/artandhistory/history/oral__history/AudioClipsList.htm

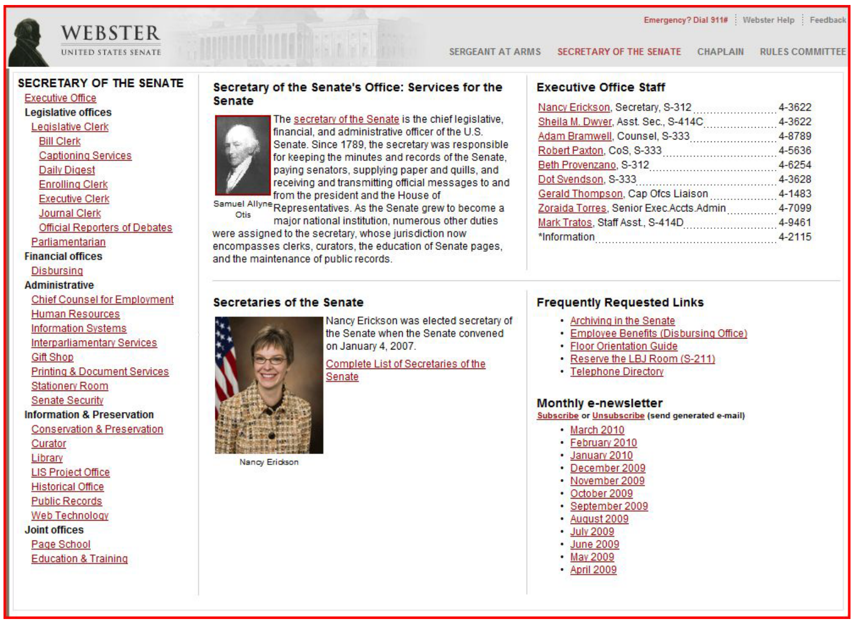
and

—Four Oral Histories http://www.senate.gov/pagelayout/history/g__three__sections__with__teasers/oralhistory.htm

Homepage feature articles were published on the following topics:

—The Senate Chamber: 1859–2009;
—Russell Senate Office Building: First Century, 1909–2009;
—Celebrate National Library Week: Browse Senate Art Publications;
—Moments in Senate History: Photographs of Senate Life;
—An Historic Painting, Rediscovered: Henry Clay in the U.S. Senate; and
—Focus on the Constitution: Advice & Consent of the Senate.

Secretary's Intranet—Webster.senate.gov/secretary



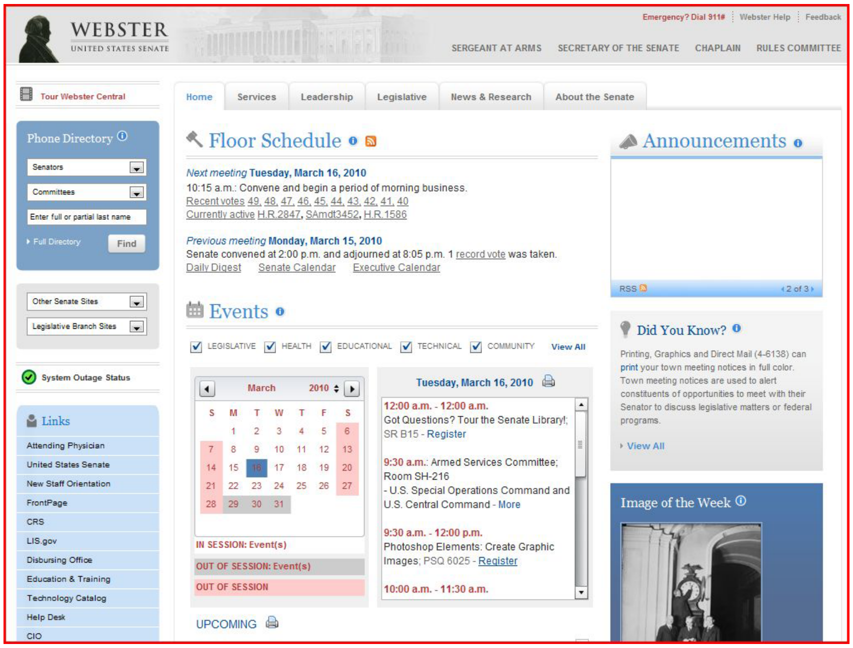
The new Secretary of the Senate intranet (http://Webster.senate.gov/secretary) grew considerably during its first full year online. An electronic newsletter managed by the Executive office was created and implemented, proving information specific to the Secretary's office. Web-based order forms were created and enhanced for use in requesting specific legislative documents, class registration, blank paper, room reservations, and stationery product suggestions.

Web Technology worked with the SAA and the Senate Archivist to establish a Web page (http://Webster.senate.gov/secretary/departments/Historical__office/Archiving/archiving__services.htm) to house information on archive management. Additionally, the office devised displays and organization for the information set.

A catalog-based ordering system is being developed for the Stationery Room, which will enable staff to order online. The new system will be managed with the content directly from the Stationery Room's existing retail management system. The ordering system is intended to be especially helpful to state offices. The new system is expected to launch in June.

A new virtual server was created to host the Secretary's content separate from the other officers on Webster. To facilitate this transition, legacy content was either deleted from the existing Webster server or migrated into the Secretary's content management system. Isolating Secretary's content onto a virtual machine leverages some of the newest technology offerings from the SAA, is more environmentally friendly as it replaces multiple physical servers, is easily recovered in emergency instances, and makes all systems involved operate more efficiently.

Webster Central Web Site—Webster.senate.gov



In conjunction with the SAA, Chaplain, and Senate Committee on Rules and Administration, Web Technology continued administering, managing, and enhancing the central section of Webster. As part of the Webster Advisory Group (WAG), Web Technology collaborated on the creation, distribution, and interpretation of a Webster user survey. Based on the feedback, WAG implemented changes to enhance users' experiences and increase ease of use of the site.

To streamline the management of content on the central site we repurposed many files that are already updated through existing systems on Senate.gov. The expansion of repurposing data has reduced duplicative efforts, increased consistency, relevancy, and timeliness of data displayed on Webster. Standardizing XML across both sites and having it integrated to Web Technology's content management system was essential to making this possible.

Another heavily utilized content system for the central portion of Webster is the Senate Library's taxonomy system, which generates the content used to produce the hierarchical data used in the "Service," "Legislative," "News & Research," and "About the Senate" tabs accessible from all Webster pages. The system is also used to direct suggested matches based on keywords or phrases. Web Technology and the Senate Library work closely to ensure timely updates in an efficient and user-friendly matter, as well as to modify the displays based on the desires and needs of Senate Staff, and offer continued support of the various systems and their integrations.

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. The Department of Web Technology maintains a basic Web site for a Capitol Hill e-mail 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 2009

Began the upgrade of the content management system upgrade. Planned completion date of the upgrade project is the beginning of April when new hardware will host the most currently released versions of the software that comprises our content management system.

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.

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, particularly regarding 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 2,000 e-mails 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.senate.gov based on user tendencies and requests.

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. Led a separate discussion relating to content management systems which had representatives from Republican Conference, DLC, SDMC, LOC, CRS, House Chief Administrative Officer, House Clerk, AOC, Capitol Visitor Centerm and CBO.

Continually trained and practiced working from remote locations to be prepared should the need arise. All staff are now fully capable of accomplishing their job functions from any location with Internet access. This was accomplished largely through configuring virtual machines that mimic workstations on office laptops.

Bibliography production greatly simplified for both Senate.gov and Webster. To enable Senate users to directly borrow books from bibliographies separate versions for Webster are implemented, and, when applicable, the data is drawn from Senate.gov bibliographies. This aligns the data between two sites, while displaying the appropriate options to the two separate audiences. The new system tremendously simplifies the process for creating and updating bibliographies in both sites.

Aided the Senate Library in aspects of Senate Information Services transition. Worked closely with the SAA to offer a variety of Web-based survey options for the Library to select from. Customized survey to meet the Senate Library's data collection and reporting requirements.

Published XML data for individual roll call votes and votes lists from the present back to the 101st Congress, 1st Session. Enacted and implemented a system to publish future roll call votes in XML format in addition to the already existing HTML renditions.

Worked extensively with the Senate Library in the continual development, implementation, and maintenance of taxonomies. Participated in the planning and approach to including the "Red Book" data to be integrated in the knowledge base.

Knowledge base data is now published directly to Senate.gov. Through modifications in the content management system, Web Technology has established a system with the Senate Library to allow for the direct export of reports to display as Web pages on Senate.gov and Webster, decreasing the need for human interaction and increasing efficiency.

Implemented algorithms to tally vital statistical calculations related to cloture and veto counts, streamlining the process and reducing the chance of errors.

Created virtualized production server for the Secretary's intranet. Cleaned legacy data from legacy physical server and migrated appropriate content into the content management system.

Worked with the Historical Office and GPO in the design of a new standalone site for states.

Worked with the Curator's Office to reorganize their content within the Art and History bucket. Instituted new information architecture for the artifact pages making editing much more efficient. Designed new layout concepts for the Curator's Office areas of focus. Built subject-based collection lists, initially organizing art objects by sitters, which was then expanded to other subject areas, all drawn from the Curator's maintained object database.

Maintained and continued to implement the use of handles established by the LOC for legislation, ensuring functional links to pieces of legislation regardless of changes to other systems. Handles are now used on the many different statistical tables maintained by the Senate Library reflecting information on currently active legislation, cloture motions, nominations, and vetoes. Also, summary tables were created for the various data sets to further ensure the accuracy and usability of data reported.

Expanded a system established for the Senate Placement Office to post employment offerings publically on Senate.gov, to include job openings from SAA Human Resources Department. Collaborated with the SAA in integrating the data across two separate content management systems. Having both sets of data in XML allows for the integration of all job postings from the SAA and the Placement Office into one comprehensive, searchable list.

Helped maintain back-up server for the CMS at the Alternate Computer Facility (ACF) with the SAA, ensuring our continuity of operations plan. 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.

Senate.gov Usage Statistics

In 2009 an average of over 350,000 visits occurred per day on the Senate.gov domain. Twenty-six percent of them entered through the main Senate homepage while the majority came to the site through a bookmarked page or to a specific page from search results; this indicates a slight rise in visitors entering through the homepage of Senate.gov from the previous year.

Title of Web Page	2008 Visits/ Month	2009 Visits/ Month	2008–2009 Percent Increase
Visits—Entire Site	8,521,779	10,754,581	+26
Senate Homepage	1,704,697	2,526,741	+48

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 drawn to the following content items, listed in order of popularity.

MOST VISITED PAGES IN 2009

Top Pages	2008 Visits/ Month	2009 Visits/ Month	Percent Change
Senators Contact Info List	546,847	698,084	+27
Roll Call Votes	182,691	169,276	−7
Committees	78,810	94,446	+20
Legislation & Records	64,010	91,689	+43
Active Legislation	37,860	74,199	+96
Votes	58,277	57,463	−1
Senate Leadership	19,981	20,663	+3
Committee Hearings Scheduled	16,668	21,726	+3

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 and comment forms. Visitors also continue to be interested in legislative matters in 2009 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. The decrease is most likely attributed to the information on the pages being consumed by other Web sites and then being redisplayed. Additionally, some of the most sought information began being offered in XML, Roll Call Votes, in 2009 making the consumption and dissemination faster and easier. Thus, although the actual visits to Senate.gov decreased on some pages more people are utilizing the information being provided across the site.

SERGEANT AT ARMS AND DOORKEEPER

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

Senator NELSON. Mr. Gainer.

Mr. GAINER. Thank you, Mr. Chairman and ranking member and Senator Pryor. I appreciate the opportunity this afternoon to discuss the work we have been doing in our budget for the upcoming fiscal year. I, too, ask that my written report be submitted and made part of the record.

Senator NELSON. It will. Thank you.

Mr. GAINER. The budget request I have submitted, as you indicated, requests a 7 percent increase, just over $15 million more than fiscal year 2010, a total of nearly $240 million. Last year we requested a 10.5 percent increase; the year before, 11.5 percent; 13.9 in 2008; and 12.8 in 2007. So we thought we were heading in the right direction.

I was on the floor last year when you sought the approximately 3 percent increase in the legislative branch, and as your opening remarks indicated, it was not well received again, even though all of us thought we were getting where we needed to be. I was also on the floor when there was an attempt to take a couple hundred million dollars from all of us, and we appreciate your defense of our budgets because it was so very important. But these events highlight the difficulty we all have in this.

We work together, the Secretary of the Senate, the Capitol Police, the Architect of the Capitol (AOC), and the Rules Committee, providing quality service to the Senate. Our SAA team does great work. They are industrious, honest, and very self-actualized. They are guided by leaders like my deputy, Drew Willison; Bret Swanson in operations; Chris Dey, our CFO; Pat Murphy in HR; Kim Winn, the Chief Information Officer; Christie Preach, who serves the entire Senate in the EAP program; Peggy Greenberg, who does so much training here and throughout the Nation; Mike Heidingsfield in Police Operations; Becky Daugherty, our Protocol Officer; Rick Edwards, on all issues related to the floor; Dave Bass in the Recording Studio; Joe Collins, the Postmaster. These are a few of the people who contribute.

Our services are not only in the D.C. area, but also in the 454 offices throughout the Nation.

My submitted 40-plus pages of testimony covers the accomplishments so that you and your staff know how hard we work for you. Allow me to mention a few highlights.

For instance, in IT, we have a 96 percent rating of satisfactory or better for help desk calls. You and your staff know how important that is. We have a 99 percent or better on-time arrival for IT installation. We processed some 247 million Internet messages last year. We have established the online purchasing of your office technology needs. A recent example of how IT continues to adjust to the workload of the Senate; recently we helped process 800,000 e-mails sent by one Senator in a single day. Your expectations of IT are very high.

From a security standpoint, every day we are monitoring what goes on in the IT area, and daily we deal with about 13.9 million network security events.

As the Secretary of the Senate indicated, we have opened the Senate galleries for the first time since 9/11.

Our cabinet shop has seen a 130 percent increase in repair and refurnishing of over 200 pieces of furniture.

Our printing and graphics, direct mail (PGDM) produced 7 million letters for you last year. They work in a space of about 30,000 square foot in the basement of the Postal Square, when every expert says they should be operating in an area of at least 50,000 square feet. In this past year in that particular unit, they suffered two massive floods of raw sewerage that they contended with themselves, while they kept up their work.

Our recording studio doubled the number of TV productions to 2,700 this past year. Live broadcasts were increased 44 percent.

In the customer support area, the 15 new Senators—we helped them set up their offices.

We negotiated leases on 171 State offices.

We increased the number of parking spaces, alleviating a problem.

For the duration of the snowstorm, several of the Capitol operators never went home. They slept on cots and couches in order to make sure the telephones were answered.

Capitol facilities reduced the number of employees by five over the year and kept up the workload that has increased in the Capitol Visitor Center (CVC).

Through process improvements, our post office reduced their head count by four FTEs which we moved over into the CVC to support the appointments desk. They processed 14.4 million pieces of mail. That is a 50 percent increase.

The expectations of you and your office administrators are very high. They are very demanding for you and for the constituents.

Having said that, I am truly well aware of the financial impact. As a small anecdote, I ran my budget by so many people in my own office, but spent some time with a good friend of mine in Chicago. We grew up together: grade school, high school, college roommates. He went off in the Navy as an aviator. I went off in the Navy in surface warfare. He runs two businesses in Chicago and is a part of a bank. Ron Fisher of Thompson Stainless Steel Polishing and Finished Metals.

When I talked to him about our budget and how he was working through this and what he expected of what we are doing, Ron related that the family has been in this business over 60 years. His dad started it. He has 35 employees. They are in their third year of no raises for those employees. They are in their third quarter of 32-hour work weeks in order to keep the people employed with health benefits. He indicates he pays about $20 an hour, plus benefits for work in this area. Work that could be done in China for 20 cents an hour.

So, I understand how he is struggling. And he wants to know how we are doing; what steps the elected officials are taking, and how I am going to run my office? He readily admits he does not have the answers to all the problems, but he believes like you that Government needs to be somewhat reduced.

Our budget is very real. This is the 17th budget I have participated in as the head of an agency, 7 or 8 years as the director of the Illinois State Police, running our Capitol Police, as Phil did, the Metropolitan Police Department, the Chicago Police Department, and this agency. I do understand the budget process. Our budget is transparent, and it is our professional recommendation how best to serve the Senate.

Having said that, I believe we can make changes. I believe we can deliver the same level of today's service for one more year at our current expense level. I believe that we can zero out the $7.7 million that we have requested in non-salary areas. We can sustain our existing technology and provide for current services. I do believe, though, that given the demands placed on us, it will be much more difficult to upgrade existing technology, to acquire new technologies which improve existing services, or introduce new services. That is where we would tighten our belt.

We have already put a freeze on the 19 vacancies we have currently. In our budget, we asked for five people. I would withdraw that and not ask to hire anybody. I would respectfully ask that our unobligated balance funds of $13.9 million that we have accumulated over the last couple of years, remain under our control. We would work with you over the year to reprogram as needed. So I am very much supportive of moving us to a flat budget.

Now, in the area of the cost-of-living adjustments (COLAs), and the merit increases, and the other adjustments, I will have to admit that is a bit more confusing. Our COLA increase of $1.1 million seems insignificant when compared to the overall budget of the legislative branch or the deficit, but I do believe that we should work with you to figure out whether this is a year for COLAs for us or not. Now, I say that not wanting to destroy the very morale of the people who have served all of us so ably, but again, reflecting back as you have on your constituents, on what is going on in the business world, I do have a personal, ethical problem with awarding ourselves the cost-of-living increases. By the same token, I certainly do not want to be the only organization on the Hill that asks our 959 employees not to take a raise that they fully deserve. The adjustments of some $4.4 million account for the people we have hired thus far through the year. So we would need to work very closely with you on how to ensure that we can maintain the level of services, keep the people on board, and exceed the expectations you have for us.

As I mentioned, the Senators and your staff are very demanding. For instance, I was down in the Hart subway today and people tried to come through on their way to the Capitol. The police officers, as we have instructed them to do, turned them around and told them to head to Russell. And I know how frustrating that is. Working with the Rules Committee and yourselves, you have said you want a way to get from the Hart building where so many of you work, to the Capitol building. So we have been working over the past year on how to develop that. It would require putting additional police officers in Hart, additional magnetometers in Hart, and additional people from our staff to direct visitors to where they want to go. That is the type of thing we do and costs money that you have requested.

So assuming we zero out our budget as close as possible, it really means your staffs must have a different expectation. The Secretary mentioned the Senate payroll system. One of the items that I would suggest we would not fund is the Senate office personnel system, highly sought by your office administrators in the Rules Committee. The two systems are related. The personnel system probably would not be turned on if we installed it until after the Senate payroll system is done, but in order to be ready to flip that switch, we would have to begin on that now. If we delay that now, and in 18 months, as the Secretary indicates, the Senate payroll system conversion is complete, someone is going to be standing on that side of the desk wanting to know why we are not flipping on the Senate office personnel system. So, when we work on our budget and reduce it, we have to have a multiyear approach on what that impact will be.

PREPARED STATEMENT

And let me conclude with this, if I might, and put on my police board hat for a second. I sat in Chief Morse's chair and our Police Board strongly supports what he is doing. We are as disappointed, probably less so than Phil is, on the missteps in his budget. But I think Phil Morse and his team are putting the department in the right direction, and we can get through this error. I stand and the Police Board stands firmly behind Phil.

I look forward to your questions. Thank you.

Senator NELSON. Thank you. I will do what I can to get my colleagues to be less demanding.

Remember, my name is Benjamin not Merlin.

[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 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 2011, the Sergeant at Arms respectfully requests a total budget of $239,286,000—an increase of $15,685,000 (or 7 percent) over the fiscal year 2010 budget. This request will allow us to maintain and improve the level of service we provide to the Senate community. It will also fund the development and maintenance of business and network security applications, among other support services. The Appendix accompanying this testimony elaborates on the specific components of our fiscal year 2011 budget request.

In developing this budget and our operating plans, we are guided by priorities framed in our Strategic Plan to include 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 accomplishments in the areas of security and preparedness, information technology, and operations are impressive. This year, I am pleased to highlight some of this office's activities, to include the furtherance of our efforts toward enhanced systems for better communication across the Hill during emergencies; added training courses and instruction on emergency preparedness, including personal preparedness at home; updated pandemic plans; and exercises to test our abilities to work remotely. Our IT successes included a 99 percent and better on-time arrival for our IT installation team and customer surveys that revealed a 96 percent rating of satisfactory or excellent in resolution of our Help Desk calls. We expect this level of performance to continue through fiscal year 2011 and always strive for perfection. Our robust messaging infrastructure processed approximately 247 million e-mail messages during the past calendar year. We also supported and enhanced the Senate's video conferencing capability. We enhanced security technology for devices used during international travel, enhanced secure video conferencing, and continued to test our ability to support mission-essential systems under adverse conditions. In other services, our Cabinet Shop repaired and refinished nearly 200 pieces of furniture—a 130 percent increase from the previous year—and designed, built, and installed 129 pieces of furniture, a 42 percent increase. Our Printing, Graphics and Direct Mail branch utilized the latest technology in digital printing to produce 6.7 million letters, an increase of 36 percent. In 2009, PGDM printed 9,434 posters for use on the Floor during debate.

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 most mail in over a decade with four fewer people. With the Senate being in session for more days during 2009 than any year since 1995, our Senate Recording Studio, Doorkeepers, Appointment Desks and Media Galleries generated more broadcasts, assisted more visitors and facilitated more media than at any time in the Senate's history. Last year, for example, Senate Floor proceedings telecasts increased by 44 percent; the number of Senate television productions doubled to 2,749, radio productions increased by 38 percent and Senate committee hearing broadcasts increased by 21 percent. We accomplished this increase in our efficiency through our dedicated staff improving processes, using improved technology, and leveraging existing resources—not by increasing staff. Our customer satisfaction and employee morale levels have never been higher. All of this is to say that the Sergeant at Arms Team is working toward the vision of our Strategic Plan: Exceptional Public Service . . . Exceeding the Expected.

Assisting with all of the efforts of the Office of the Sergeant at Arms is an outstanding senior management team including Drew Willison, who serves as my Deputy; Administrative Assistant Rick Edwards; Republican Liaison Mason Wiggins; General Counsel Joseph Haughey; Senior Assistant Sergeant at Arms for Police Operations, Security and Emergency Preparedness Michael Heidingsfield; Assistant Sergeant at Arms and Chief Information Officer Kimball Winn; Chief Financial Officer Christopher 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.

The Office of the Sergeant at Arms 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 Architect of the Capitol (AOC), the Office of the Attending Physician, and the United States Capitol Police (USCP). 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 pleased with the quality of the relationships we have built together.

I am very proud of all the men and women of the Sergeant at Arms team who help keep the Senate running. While serving as Sergeant at Arms, I have seen their great work and devotion to this institution. The employees of the Office of the Sergeant at Arms 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 also the Senate Committee on Rules and Administration.

POLICE OPERATIONS, SECURITY, AND EMERGENCY PREPAREDNESS

The Police Operations, Security, and Emergency Preparedness (POSEP) division of the Office of the Sergeant at Arms represents the integrated plans and programs for:

—Successful execution of law enforcement support and coordination,
—Security of the Senate as both an institutional body and a campus,
—Protection of Members and staff in the District of Columbia and respective state offices,
—Counterterrorism measures taken to physically guard against attack,
—Continuous Senate operations during minor or major disruptions, and

—Necessary testing, training, and exercising in preparation for any catastrophic event.

Contingency and Emergency Preparedness Operations

Emergency Communications and Accountability

The Senate collaborated with the House Sergeant at Arms' Office of Emergency Management to jointly procure and install the WebFusion software application for use in our emergency operations centers. The Senate and House are the first Federal entities to connect their WebEOC (Web Emergency Operations Center) applications using WebFusion within and between their departments. As a result, the Senate, House, and Government Accountability Office can now seamlessly share information during special events and emergency incidents.

The ability to account for Senators and staff remains a priority in all emergency plans and evacuation drills. Several years ago, we began to improve procedures for offices to report accountability information to the USCP and SAA quickly and accurately using proximity card-enabled laptops and a BlackBerry-based application that allows office emergency coordinators to account for staff remotely. The backbone of this capability is the Accountability and Emergency Roster System (ALERTS), which allows each office to manage staff rosters and designate individuals receiving e-mail and phone alerts. Senate staff and USCP personnel are trained to use ALERTS during personalized and classroom sessions.

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 primary alert and notification system for Senate ALERTS provides a single interface for delivering emergency e-mail, Personal Identification Numbers (PIN), and voice messages to the Senate population. AIRCON procedures for the fourth floor of the Capitol were improved.

In conjunction with the USCP, Secretary of the Senate, party secretaries, and other stakeholders, we conduct monthly Senate ALERTS tests for staff and biannual tests for Senators. These tests are designed to ensure our emergency messaging system is reaching all intended recipients and transmitted through e-mail, PIN, voice, annunciator, and public address systems. Additional capabilities to be implemented this year include an emergency alert system that will provide a text and/or voice messaging service broadcast over existing and new Senate cable television network channels. The system's capacity was recently demonstrated to the Committee on Rules and Administration to finalize standard operating procedures prior to use.

Training and Equipment

Three distinct areas serve as the foundation of our training program and provide essential knowledge regarding office emergency coordinator responsibilities, emergency preparedness basics, and emergency equipment use. Additional training courses focus on the specialized features of emergency preparedness on the Capitol campus. Our staff conducts personalized training covering such topics as accountability, shelter-in-place, evacuations, and internal relocation. One hundred sixty training sessions were conducted in 2009 to train 5,300 staff. We also recognize staff commitment though our newly-established Office Emergency Coordinator Certificate Program. Staff awareness and personal preparedness outside the workplace has been an equally important goal for which the Personal Preparedness Plan Tutorial was refined to provide step-by-step planning instructions that allows staff to create customized preparedness plans. We released an updated version of the *Roadmap to Readiness* in 2009 and included an *Emergency Response Guide*—a condensed, portable version of critical emergency information.

Each office receives an array of emergency equipment that is distributed, inventoried, and maintained by emergency preparedness staff annually. The caches include escape hoods, Victim Rescue Units, Wireless Emergency Annunciators, and emergency supply kits. Equipment accountability and functionality is ensured through testing and replacement of expired items such as batteries, food, and water. Over 18,800 escape hoods are currently deployed throughout the Senate. This number includes both adult and baby escape hoods located in Senate offices and public caches. Additionally, we positioned 1,229 Victim Rescue Units alongside escape hood bags and in emergency supply kits.

Nearly 1,600 Wireless Emergency Annunciators are deployed throughout the Senate complex. These devices allow the USCP to provide verbal instructions to staff during emergencies and other significant events and to provide periodic updates. A squelch issue reported by numerous Senate offices was resolved through software and charger base upgrades completed by January 2010 under warranty at no cost to the Senate and with limited interruption to offices. This solution has improved overall system functionality (reception, audibility) and customer satisfaction throughout Senate office buildings.

Emergency Plans, Operations, and Facilities

Emergency plans emphasizing life safety and continuity of operations after a disaster continue to be strengthened and fortified. All new Member offices will receive assistance in developing emergency action procedures, taking into account that many of these offices will initially be assigned temporary office spaces. When completed, each new office will have a functional emergency action plan, established primary and secondary evacuation routes, mobility-impaired evacuation procedures, and a complete collection of emergency contact records.

Senate SAA and House planners joined forces with the U.S. Capitol Police's Emergency Management Division and the AOC to establish procedures in response to respiratory threats requiring the use of internal relocation sites. Select facilities throughout the Capitol complex have been structurally improved and modified to allow for short term (2–3 hour) sheltering. Fifty-eight Senate office internal relocation plans were updated with general information and an additional 65 offices received internal relocation assignments. All Senate offices now have plans in place. Signage and increased training have improved awareness of internal relocation sites and procedures.

We developed a new Continuity of Operations (COOP) planning template for committees in addition to a new program to review existing Senate office plans that are more than 2 years old. This initiative has resulted in more than 80 percent of D.C. Member offices being equipped with updated COOP plans that will allow operations to continue in the event of relocation. A program has also been implemented to provide assistance in developing and executing tabletop exercises for D.C. Member offices to test their published plans. This capability allows offices to discuss individual roles and responsibilities that must be performed in order to continue legislative and constituent operations offsite. The Living Disaster Recovery Planning System is a new software tool that is being tested and piloted. It will allow Senate offices to quickly develop COOP plans that denote essential functions and vital records needed during a COOP incident and store them electronically.

Exercises

A comprehensive exercise program is structured to ensure Senate plans are practiced and validated regularly. The Sergeant at Arms 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 new exercise support contract was successfully put into place with no interruption to existing services. This year's exercise plan is designed to maintain and strengthen existing capabilities while addressing emerging needs and solutions. A total of eight Senate-wide exercises, four tabletops or guided discussion exercises, and four functional exercises were completed in 2009. Additionally, a Special Events Planning Guide and professional development and training program for security, contingency, and emergency preparedness staff have been developed for implementation in 2010. We successfully executed a telecontingency exercise for Pandemic (H1N1) 2009 and updated pandemic plans to reflect lessons learned from the spring 2009 outbreak. Additionally, we distributed pandemic health kits and telecommuting guidelines to facilitate preparation.

The office conducted "no-notice" exercises to test select preparedness functions at various locations in partnership with the USCP, Office of Attending Physician, Secretary of the Senate, AOC, Committee on Rules and Administration, and several entities within the U.S. House of Representatives. 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 after each exercise to document lessons learned for future plan improvement.

Law Enforcement and Security Operations

Congressional Delegations

Law Enforcement and Security Operations supports Senators and their staff as they travel overseas to conduct Senate business by providing security consultation services to prospective travelers in collaboration with the U.S. Department of State, USCP, and Secretary of the Senate. Actual budgetary requirements remain relatively low in this area but must be included in annual requests to support the security responsibility vested in the SAA organization.

State Office Security and Preparedness Programs

State office programs provide a level of security and preparedness in participating state offices similar to D.C. offices. There are over 400 state offices, varying from single to multiple staff offices, located everywhere from commercial storefronts to Federal courthouses. Several violent incidents in and around Federal buildings and offices and numerous high-profile and contentious issues arose in 2009, making these programs critical even with their voluntary implementation status. To combat these threats, offices receive equipment, training, and consulting for secure reception areas, access control, and duress and burglar alarms.

One hundred and one Senate state offices received assistance in completing a Comprehensive Emergency Plan (CEP) in 2009. The plan combines security, emergency preparedness, and continuity of government processes into one document that meets the requirements of the Congressional Accountability Act. Additionally, all new state offices received program briefings and emergency equipment and supplies similar to D.C. offices. Pandemic (H1N1) 2009 information was promptly disseminated to state offices and approval from the Committee on Rules and Administration allowed state offices to procure supplies to combat the spread of the virus. The focus will turn to providing an improved online software tool for creating CEPs and offering additional preparedness classes online in 2010.

The State Office Security Enhancement Program provided security enhancements in 65 Senate state offices in 2009. These enhancements included building secure reception areas where visitors can be screened for signs of hostility, intoxication, etc., before allowing them into the work space; duress buttons; closed-circuit cameras with digital video recorders; burglar alarms; and other items which provide increased security. To date, the program has provided security enhancements in 77 percent of offices located in commercial space and 58 percent of offices located in Federal buildings. Additionally, over 300 state office alarm systems were tested and inspected. The focus will turn to utilizing a new all-hazard risk assessment to survey all state offices and offer security enhancements to non-participating offices in 2010. Collaboration with representatives from the USCP, General Services Administration, Federal Protective Service, and the U.S. Marshals Service will continue as will onsite visits.

Senate Campus Access Accommodations

During 2009, we collaborated with the USCP to coordinate and approve over 259 requests for vehicles requiring special access to the Senate campus. This total does not include the military and government arrivals that were also organized. Requests for access continue to grow with the opening of the Capitol Visitor Center (CVC). Our organization works closely with our House counterparts to coordinate access on both sides of Capitol Hill for groups with special needs. This service involves working directly with Member offices and their constituents to help resolve accessibility issues and create memorable, meaningful, and safe trips to the Hill without compromising security. The program's webpage was recently updated to better facilitate accessibility requests from Senate offices.

USCP Command Center Support

To refine communication between the USCP and the Senate community during critical incidents, POSEP staff monitor and support the SAA Command Center Duty Desk while the Senate is in session.

Campus Security Vulnerabilities

The SAA, USCP, U.S. Secret Service and the Defense Threat Reduction Agency continue to identify and mitigate security vulnerabilities throughout the Senate complex. Area-specific security experts are dedicated to identifying vulnerabilities and implementing solutions. The Senate's physical presence extends well beyond Capitol Hill and into Senate state offices across the country.

INFORMATION TECHNOLOGY

Enhancing Service, Security and Stewardship

We continue to provide a wide range of effective information technology 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 our resources, including the funding we are provided, our personnel and the external resources that we consume—in all aspects of our information technology operation.

As we do each year, we have updated and are performing under our 2-year Information Technology Strategic Plan. The current revision, under which we will be operating in fiscal year 2011, continues to emphasize our five strategic information technology goals and the supporting objectives that drive our information technology programmatic and budgetary decisions:

—*Secure*.—A secure Senate information infrastructure.

—*Customer Service Focused*.—A customer service culture, top-to-bottom.

—*Effective*.—Information technology solutions driven by business requirements.

—*Accessible, Flexible & 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 information technology strategic goal—"Accessible, Flexible & Reliable"—may have the most impact of the five goals. The other goals might be considered self-evident, and we certainly spend a great deal of effort on them, but this fourth 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 half of the Chief Information Officer (CIO) organization's fiscal year 2011 request will go to direct support of offices through economic allocations, installing and supporting the equipment they acquire through the economic allocation, and for other programs that benefit offices directly. Another 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 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 Communication

Our information technology strategic plan stresses customer service as a top priority, and we actively solicit feedback. 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 IT Help Desk calls that were resolved during the initial call averaged 54 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 2011.

Also in fiscal year 2011, we will continue to communicate effectively with our customers through a well-developed outreach program that includes information technology newsletters; periodic project status reviews; encouraging customer participation in information technology working groups; weekly technology and business process review meetings with customers; and joint monthly 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 D.C. and state offices, to and from other Legislative Branch agencies, and through the Internet to the public, other agencies and organizations.

We spent a good portion of this past year enhancing the data network and the services it delivers in a number of ways to ensure they do, and will continue to, meet the evolving and increasing needs of the Senate. We will maintain these efforts in fiscal year 2011 and beyond.

We made several upgrades to our network on Capitol Hill to improve reliability and respond to the growing demands posed by the proliferation of multimedia network traffic. We have tripled the amount of Internet bandwidth available to the Senate and, through the use of new contracts, are saving approximately $350,000 per year. We expect that bandwidth demands will continue to grow in fiscal year 2011 and that we will be able to meet them.

As part of our ongoing effort to improve the ability of state office staff to work more effectively, we awarded a new contract for the wide-area network services that support them, and began the installation of optimization equipment, which compresses and caches data packets to deliver faster response to state office staff. The new services contract has lower costs for the existing services, the savings from which we will use to improve network speeds to those state offices that have the greatest requirement for them. In fiscal year 2009, we invested $664,000 in the optimization technology, which we are installing initially in approximately 100 state offices. Our fiscal year 2010 budget includes funding for an additional 100 units, the locations of which will be determined by identifying the sites most likely to benefit from performance gains. We expect these investments to yield savings through cost containment in fiscal year 2011 and beyond by reducing the demand for increased bandwidth through the use of optimization, and by reducing the cost of increased bandwidth through the terms of the new contract.

We are working with other Legislative Branch agencies to improve interagency communication technology by implementing and securing an upgraded Capnet network that connects all the 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 247 million Internet e-mail messages during the past calendar year, we also support effective communication through the use of video conferencing. During the last and current fiscal years, we enhanced our video conferencing infrastructure to allow participation in a high-definition video conference from virtually anywhere in the world using an inexpensive Web camera and the Internet. We also developed capabilities for offices to easily create video content for their websites or approved external sites using the video teleconferencing equipment they own.

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 a more flexible and robust infrastructure by taking advantage of technological advances. We will be replacing systems such as the voice messaging, group alert, and operational support 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. We look forward over the coming months and years to moving additional business process to the Web, delivering increasing functionality to office administrative staff, and reducing the time, paper and errors associated with the current manual processes.

Showcasing and Promoting Modern Information Technology in the Senate

We will continue to highlight new technologies in the Information Technology Demonstration Center through our well-attended demo days, which feature live demonstrations of new and emerging technologies. After products are tested and validated in our technology assessment laboratory, they are then available for offices to try in the demo center.

In order to perform technology assessments, feasibility analyses, and proof of concept studies, and to ensure we are considering technologies that will directly support the Senate's mission, we continue to improve the capabilities in our technology assessment laboratory. Technologies and solutions are vetted and tested here prior to being announced for pilot, prototype, or mass deployment to the Senate. To ensure we focus on the most relevant technologies and solutions, the Technology Advisory Group, consisting of CIO staff and our customers, performs high-level requirements analysis and prioritizes new technologies and solutions for possible deployment in the Senate. Among the technologies that we look forward to supporting over the next few months are the Apple iPhone and a means of transferring large files outside of the e-mail system. Software is becoming available that will allow us to support the Apple iPhone with the security, reliability and performance that our customers expect. Providing a solution to the problem of transferring large files will allow media-based and other large files to be moved in a secure and reliable fashion.

We will continue or intensify these efforts in fiscal year 2011 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 with Accessible, Flexible and Reliable Systems

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

This past year, we expanded the BlackBerry scanning program designed to detect security intrusions on wireless devices used during international travel. By increasing our education efforts, we found potential security compromises on BlackBerry devices that were taken to foreign countries. Our strong partnership with the National Security Agency helped mitigate the risk to the Senate once the discrepancies were found. We also installed a secure voice conferencing system that allows up to 20 participants using secure telephone equipment to join in a secure conference call. We plan to expand the system in the coming fiscal year to allow up to 60 participants.

Alternate Sites and Information Replication

We continue to test our technology in scenarios in which we are unable to access our primary infrastructure and primary work locations. This includes the simulated loss of our primary data and network facilities, as well as staff work space. All mission-essential Senate enterprise information systems continue to be replicated at our Alternate Computing Facility, 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. In August, we conducted an unprecedented exercise by shutting down most of the Senate's mission-critical systems at our primary site, letting them fail over to or bringing them up at our alternate site, and running them at the alternate site for a week before reversing the process. These exercises demonstrate our ability to support mission-essential systems under adverse conditions and the ability to support substantial numbers of people working remotely.

We also will continue to invest in 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 a result of the information security initiatives that we completed during fiscal year 2009, and were described in last year's testimony, and continuing information sharing relationships we have with other government agencies, we improved our insight into the sources and the dynamic nature of global cyber threats. This improved insight, combined with the flexible technologies we use in our information security operations centers, allows us to monitor and quickly respond to changes in the level of operational risk present in our information technology environment.

We continue to improve our active prevention and detection capabilities by deploying technologies and processes that help detect and prevent most malware infections and attempts to exploit vulnerabilities. This capability to detect and prevent attacks in real time is crucial in light of attacks targeting previously unknown vulnerabilities ("zero-day attacks"). These processes and technologies shield information technology assets from attack, thereby reducing the operational impact of downtime on offices and lowering remediation costs.

Similar to security in the physical world, protecting information and technology resources requires vigilance and the capability to detect and deter attacks. We operate in an escalating attack environment in which the threats to our information infrastructure are increasing in both frequency and sophistication. This is not just our own assessment based on our direct experience but also that of the Director of National Intelligence, who, in his testimony before the Senate Select Committee on Intelligence on February 2, 2010, stated:

"Malicious cyber activity is occurring on an unprecedented scale with extraordinary sophistication. While both the threats and technologies associated with cyberspace are dynamic, the existing balance in network technology favors malicious actors, and is likely to continue to do so for the foreseeable future. Sensitive information is stolen daily from both government and private sector networks, undermining confidence in our information systems, and in the very information these systems were intended to convey. We often find persistent, unauthorized, and at times, un-attributable presences on exploited networks, the hallmark of an unknown adversary intending to do far more than merely demonstrate skill or mock a vulnerability. We cannot be certain that our cyberspace infrastructure will remain available and reliable during a time of crisis. Within this dynamic environment, we are confronting threats that are both more targeted and more serious. New cyber security approaches must continually be developed, tested, and implemented to respond to new threat technologies and strategies."

Our raw numbers bear this out, so we must remain on guard. In 2008, we averaged 8 million network security events per month; in 2009, 1.6 billion per month; and so far in 2010, 1.8 billion per month. Fortunately, automated systems detect and defend against the vast majority of those events.

The threats we face include exposure to attacks that continuously target vulnerabilities using a variety of malware infection vectors, including viruses, worms, trojan horses, spyware, spybots, adware, keyloggers, and rootkits. During the last calendar year, this general threat environment shifted in focus toward application software that is vulnerable without the latest patches. Over the course of the year, vulnerabilities in products as diverse as Adobe Acrobat, Oracle Java, Microsoft Office, and Internet Explorer were increasingly targeted by varied means of infection. Many such attacks were facilitated by social engineering. As we are one of our nation's core government institutions, we continue to see not only general attacks that affect all Internet-connected organizations, but also sophisticated and targeted attacks originating from numerous foreign and domestic sources.

Last year, the Senate experienced an increase in spear-phishing attacks. These attacks used socially engineered e-mail messages to invite specifically-targeted Senate staff members to open malicious attachments or links. We began detailed tracking of this trend in August 2009 and through December saw an average of 18 attacks per month, of which approximately 4 per month resulted in successful delivery of malicious content. The attacks were widespread during this period and included the offices of 87 Senators, 13 committees, and 7 others.

Countering the risks inherent in this evolving threat environment requires situational awareness and robust processes, as well as continual research, testing and deployment of emerging security technologies. Recent infections have been highly virulent in nature and difficult to detect because they exploit newly-identified or previously-unknown vulnerabilities. These attacks are probably launched by determined and sophisticated adversaries, and we have very little advance notice of new types of attacks. Responding to these attacks requires significant investment in flexible security control structures and processes that can be rapidly revised and adjusted in response. As part of this effort, we strengthened our external relationships and use of external sources to improve our overall threat awareness.

As the global threat environment shifts and intensifies, we continually modify our processes and technologies to better protect the Senate's information and IT infrastructure. We also continue to reach out to Senators and staff to educate them as to securing their information and avoiding exploitation.

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 continue to look for ways to improve our processes or technologies to save time, money, electricity, paper, or other resources. Our CIO organization consistently and continuously improves the services offered to our customers while seeking only modest increases in funding. Many initiatives save offices 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 and maintenance and support costs by running more than 170 of our servers in a virtual environment. We will continue an aggressive campaign to virtualize servers until every server that can be virtualized is.

—Offices, especially those of the new Senators, have taken great advantage of our virtual machine infrastructure 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 will increase usable office 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 44 Senate 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, reducing power consumption and air conditioning requirements and saving Senate funds while enhancing our ability to provide reliable and redundant services. Fewer servers used by the Senate also means fewer servers will need to be manufactured and, therefore, fewer servers will have to be disposed of at their end of life, which is greening on a national scale.

—We used our catalog to highlight the energy-efficient aspects of our supported information technology 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 the Computers for Schools program. Last year we fulfilled 28 Member office requests and packed and shipped 345 surplus computers to eligible public schools. We send other surplus equipment to the General Services Administration 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 information technology equipment.

OPERATIONS

Capitol Facilities

SAA Capitol Facilities serves the Senate community by providing a clean and professional work environment through its Environmental Services Division. This division moves Capitol furniture, provides special event setups in the Capitol—including the ten event spaces in the Senate expansion space of the CVC—and completes other service requests. Given the cyclical nature of requests for event setups and furniture movement, Capitol Facilities was able to improve labor cost efficiency by supplementing our full-time work force with contracted labor to meet customer demands during peak request periods. This resulted in eliminating five vacant full-time positions in the Environmental Services Division, realizing a first-year cost savings of approximately $150,000.

In addition to supporting the administrative needs of Capitol Facilities, the Administrative Division provides event planning services to the Senate community and their constituents. During the past year, they assisted in planning 1,188 events in the newly-opened Senate expansion space of the CVC, in addition to the 2,057 events in the Capitol event spaces. They also coordinated the 111th Congress Congressional tag distribution.

The Furnishing Division provides framing services to all Senators and committees, custom cabinets and other high quality furniture, carpeting and draperies. Demand for framing services increased by 9 percent over the previous year, while the response time from initial request to delivery decreased from an average of 6 weeks to 4 weeks in fiscal year 2009. Recycling furniture is being emphasized. The Furnishing Division also installed carpeting in 36 offices, including 14 offices created due to expansion to the CVC. The renovation of the Senate Dining Room was a substantial project and included procurement of dining chairs, carpeting, draperies, and anteroom furniture, as well as the design and construction of five cabinets and a Victorian armoire, completed prior to the Presidential Inauguration.

Printing, Graphics, and Direct Mail

The Printing, Graphics, and Direct Mail (PGDM) branch provides high-level, direct customer support to the Senate community in photocopying, graphic design, printing, mailing, archiving, logistics, and security. During fiscal year 2009, PGDM met a growing demand for Constituent Services System imaging by scanning, digitizing, and electronically transferring 1.4 million pages of constituent mail responses, an increase of 197 percent over fiscal year 2008. The production of charts was another area with a high interest during fiscal year 2009; PGDM handled this increase by utilizing upgraded equipment that eliminated multiple production steps that were required in the past. In fiscal year 2009, PGDM produced 8,052 charts, an increase of 20 percent over fiscal year 2008.

PGDM is customer-focused and achieved high levels of customer satisfaction through maintaining reliable, easy-to-use copiers in convenient satellite copy centers, which produced over 7.7 million copies in fiscal year 2009. PGDM also maintained a high level of color printing, producing over 21.1 million color pages utilizing traditional offset printing and digital printing. Of the 21.1 million color pages, 2 million were produced digitally, an increase of 33 percent over fiscal year 2008.

PGDM saved the Senate over $2.2 million in postage costs by presorting 11.1 million pieces of Senate franked mail, a 2 percent increase over fiscal year 2008. PGDM continually reviews operations to ensure the most efficient use of Senate resources and to provide postage savings to Senate offices. To validate, correct, or remove bad addresses prior to mailing, new software systems were integrated in a number of processes. Addresses on constituent letters are validated or corrected before printing, mass mail address files are validated or corrected before addressing, and addresses are validated or corrected a final time while mail is being sorted and discounted. PGDM is testing a system to provide address correction and validation, and delivery tracking for shipping of constituent flag requests. PGDM's commitment to teamwork and excellent customer service extends to our Senate partners as well. The department's collaborative work with the Architect of the Capitol fulfilled 70,614 flag requests during fiscal year 2009 and, in tandem with the Government Printing Office, delivered over 2.5 million documents (Pocket Constitutions, Our Flag, Our American Government, etc.) to requestors.

Through effective communication and teamwork, PGDM's Senate Support Facility upheld the SAA mission for operational security in fiscal year 2009 by receiving 67,740 items from the USCP off-site inspection facility and transferring them to the Senate Support Facility. This eliminated 628 truck deliveries to the Capitol complex, while reducing traffic and allowing the USCP to focus on other safety aspects.

As fiscal year 2009 was an election year, PGDM's ability to maintain a flexible and responsive organization enabled us to provide additional support for a variety of essential services. After the elections, PGDM's Logistics and Operations section assisted with 14 office closings and relocated 4,169 pieces of office equipment. In addition, PGDM managed logistics for 12 repository shipments consisting of 10,180 boxes of documents. This repository shipping provided by the SAA resulted in a savings of $92,979 to Senate offices. PGDM's Printing and Mailing section shredded 3,705 boxes of documents, an increase of 35 percent over fiscal year 2008.

PGDM's contributions to a successful fiscal year 2009 Presidential Inauguration included printing, logistics, and security support. PGDM printed 9,000 letters for the Joint Committee on Inaugural Ceremonies to be included with Inauguration Invitation packets, which PGDM addressed and mailed at a discounted rate, saving $1,500 in postage. PGDM produced 237 signs or banners and 54 charts for a variety of uses from ceremony planning to crowd control. In support of security operations for the Inauguration, PGDM produced 200 Presidential Inauguration booklets for SAA Law Enforcement and Security Operations, 4,000 Threat Assessment action plans and 5,000 vehicle security placards with reflective labels for the USCP. PGDM's Logistics and Operations section provided support by assembling and disassembling 31 viewing sites throughout the Capitol, setting up equipment for the Office of the Attending Physician on the west front of the Capitol, and receiving and delivering 50,000 invitations.

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 offices are located in Federal buildings across the country. While Legislative Branch adoption of HSPD–12 is optional, compliance will allow Members and staff unhindered access to work freely within these facilities. We are currently collaborating with our Executive Branch counterparts to implement compatible access cards to paid staff beginning with the 112th Congress.

Although a substantial cost is associated with system architecture, we continue to explore the advantages of Smart Card deployment. Sophisticated Smart Card credentials can provide multiple functions beyond current "flash pass" identification badges. While maintaining the proximity technology used in the USCP's current physical access control system, digital certificates placed on the cards may be used for encryption of personally-identifiable information exchanged with Executive Branch agencies in the processing of constituent casework. Within the Senate community, digital certificates may be used as digital signatures for financial documents and to facilitate secure, single network sign-on.

The First Responder Authentication Credential system launched under the auspices of the Department of Homeland Security outlines issuing cards to individuals who require access to controlled areas during emergencies. We envision limited Senate staff receiving these badges at the beginning of the 112th Congress and are working with our Legislative Branch partners and other program administrators within the National Capital Region to determine the Senate's involvement in this program.

Transportation and Fleet Operations

Transportation and Fleet Operations safely and securely procures, manages, maintains and disposes of SAA vehicles; provides transportation and logistics solutions for offices; manages the Senate Parking Shuttle Service; and operates the parking sticker booth located in the Russell Garage. The SAA fleet, numbering 57 vehicles in fiscal year 2009, 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 over 400 of these services in fiscal year 2009. Fleet staff scheduled over 300 transportation requests and transported over 16,000 passengers through the SAA parking shuttle service in fiscal year 2009, while issuing over 8,500 permanent and temporary parking permits.

We added 18 additional motorcycle parking spaces to the Thurgood Marshall Garage, Lot 12 and North East Drive. By altering existing parking spaces on First Street, NE (north of C Street), from parallel to angled spaces, we created eight additional parking for visiting government agency vehicles without negatively affecting available spaces for First Street permit holders.

Transportation and Fleet Operations is a leader in "Go Green" initiatives with 24 flex E-85 fuel vehicles, two hybrids, and one electric vehicle. Fleet Operations will continue to explore use of alternative fuel vehicles and currently plans to purchase additional hybrid and all-electric vehicles in fiscal year 2010.

To further the Senate's "Go Green" initiative by reducing fuel usage and harmful emissions, three electric Segways were purchased for parking enforcement. Representatives of the Segway Corporation and the D.C. Metropolitan Police Department trained and certified Parking and Fleet Operations employees in safe Segway operation. Use of Segways for parking enforcement resulted in an initial increase of over 25 percent in the number of parking violations issued. The number is now trending downwards as more and more drivers are "taking heed" and parking off campus or, if staff, in their assigned areas.

Senate Parking Office

The 31 Senate Parking Office employees are responsible for managing parking for over 2,500 parking spaces in 28 parking areas, maintaining accurate records for over 5,700 active permit holders, and providing transportation needs for Hill staffers, while insuring safety and security of the Senate campus. With no disruption in service to the Senate community, the Senate Parking Office relocated seamlessly in November 2009. To better serve the Senate community during morning and evening rush hours and to help accommodate the 100 non-reserved permit holders displaced by the AOC's closure of Lot 575, SAA parking shuttle service expanded to include extended hours and additional stops. These steps contributed to a 16 percent increase in ridership during the first full month of operation. Due to traffic restraints placed during the 2009 Inauguration, Fleet management organized bus transportation for Senate staffers to offer an alternative to taking Metro and driving.

Photography Studio

The Photography Studio provides photography and imaging services for Senate offices, capturing more than 83,000 photo images and producing more than 100,000 photo prints in fiscal year 2009. The Studio's popular image archiving service was used to scan, organize, and transfer more than 128,000 photo images for archiving purposes in fiscal year 2009. The Photography Studio is currently replacing the Photo Browser application with a fully supported digital asset management product that is well-architected and meets all modern, open architecture programming standards. Vendors are working with Photography Studio staff to finalize the configuration and customization of the Order Fulfillment Module and plan to pilot to Senate offices by March 2010.

Senate Hair Care

Senate Hair Care serves our customers by offering the latest trends in hair styling to Senators and thousands of customers, including staff and the general public. In fiscal year 2009, revenue increased by $25,290 (5.6 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.

Office Support Services

During the past year, Customer Support assisted nine newly-elected and six appointed Senators in setting up their offices. Additionally, support of the Hart renovation project continued, as well preparations for the renovation of the Democratic Policy Committee Studio. The State Office Liaison negotiated 171 leases for state Senate offices, including 104 in new commercial space, 32 in new Federal buildings, and 35 renewals. Both Customer Support and the State Office Liaison have begun preparations for the upcoming elections by ensuring that all documentation and procedures are current.

Mail Processing

Mail remains a primary medium for constituents to communicate with Senators and their staff. During 2009, the total volume of mail was significant, representing the most mail that the Senate has received and processed in over a decade. Our Senate Post Office received, tested, and delivered 20,853,000 safe items to Senate offices, including 14,400,000 pieces of United States Postal Service (USPS) mail; over 6,000,000 pieces of internal mail that were routed within the Senate or to or from other government agencies; 95,000 packages; and 277,000 courier items. Total mail and packages processed increased by 35 percent and the USPS delivered over 50 percent more mail to the Senate during 2009 than in 2008.

Protecting the Senate and its staff is the SAA's highest priority. We work collaboratively with this Committee, 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 to develop safe and secure mail protocols, and created two of the best mail processing facilities of this type in the world.

All mail and packages addressed to the Senate's Washington, D.C. offices are tested and delivered by Senate Post Office employees. 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. We have been asked to demonstrate our procedures and showcase our facilities to other government agencies, including the Departments of Defense and Homeland Security. In many ways, our facilities have become the model for others.

We also worked with this Committee 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 Courier Acceptance Site ensures that all same-day documents are X-rayed, opened, tested, and safe for delivery to Senate offices. The 277,000 items we processed during 2009 represented a 113 percent increase as compared to the total items processed during 2008. This also represented the most documents processed at this facility since it opened in August 2006. We were able to absorb this additional volume through cross-training our existing staff and by instituting process improvements rather than increasing our workforce.

Additionally, our organization worked collaboratively with our science advisors to introduce the first device designed to provide Senate staff who work in state offices 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.

Despite the expansion of our capability and the significant increases in mail volume, we continue to be good stewards of taxpayer dollars. This is best evidenced by the initiatives we took in 2009 to further reduce our costs. During 2009, we implemented a technology solution to replace the manual "clip and jog" process that had been employed for the past 8 years. We worked with our science advisors to create a solution that would be less damaging to letter mail, without compromising safety to Senate offices. This process improvement enabled our Senate Post Office to reduce our full-time employees by four, without compromising safety or customer service.

We compared our costs to other agencies and discovered that we have one of the most efficient and cost-effective operations of this type. A comparative analysis with similar organizations that contract out mail processing found that the Senate is able to process its mail for up to 62 percent less costs than others.

Capitol Visitor Center

Calendar year 2009 marked the first full year that the Capitol Visitor Center was open. Many SAA departments were impacted as our volume of tasks escalated. And, despite the wide variance as to what to expect, I am pleased to report that all of the SAA departments involved with the CVC completed all of their tasks on time and within budget.

Our office has been involved with the CVC since its inception. We worked collaboratively with others, including representatives of this Committee, 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, information technology, 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.

Over 2.3 million visitors experienced the CVC during 2009, more than doubling the number of visitors to the Capitol during 2008, and represented the most visitors in the Capitol in a decade. Feedback from our guests has been extremely positive. Each of our departments affected by the CVC adjusted its processes when this magnificent addition to the Capitol opened. The impacts to their operations were significant, yet by maximizing our resources, we were able to achieve desired results.

Senate Appointment Desks

To improve security and the flow of visitors to the Capitol, we expanded the Senate Appointment Desks by 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 additions required four additional FTEs to staff the desks. Improved technology and process improvements achieved by the Senate Post Office enabled the transfer of four FTEs 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 compliment of employees assigned to the Sergeant at Arms organization.

Our four Senate Appointment Desks collectively processed 174,484 guests during 2009. The total badges issued were the most in a given year since the Appointment Desks were created over 25 years ago and represented a 135 percent increase in guests over 2008. Nearly 55,600 guests entered 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 baring the elements. 70,099 guests entered via the Russell Appointment Desk, including 60,994 who were destined for the CVC. This represented a 912 percent increase over 2008 in the number of badges issued by the Russell Appointment Desk.

Improving security by reducing the number of guests who enter through the Capitol's North Door was one of the goals for opening the CVC. The Capitol Appointment Desk reduced its number of guests by 28 percent, as compared to 2008, to 48,787. This reduction of guests in the Capitol reduced wait time for entrance through the North Door of the Capitol, improved visitor flow, and reduced congestion within the Capitol proper.

Senate Gallery Visitors

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 by eliminating the long lines and congestion that had been commonplace throughout the Capitol. Our Senate Doorkeepers manage a staging room in the CVC that facilitates the collection of Gallery prohibited items and the movement of people in a secure and efficient manner.

The number of visitors to the Senate Gallery increased to 226,690 during 2009. Beginning in August 2009, our Senate Gallery remained opened during scheduled recesses for the first time since September 11, 2001. 21,359 people visited the Senate Gallery during these recesses during the latter half of 2009. Our Gallery remains open during scheduled recesses for 2010.

Even with the increase in visitors, the feedback 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.

Doorkeepers

In addition to their work in processing visitors to the Senate Gallery, 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. Despite the fact that our Doorkeepers' footprint of responsibility increased by over 70 percent, we were able to improve our performance by utilizing existing resources and by refining Doorkeepers' job descriptions. This was another opportunity where our team was able to make significant improvements without adding FTEs.

The year 2009 proved to be one of the busiest and most demanding years 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 expand our capability without adding FTEs. The Senate was in session for 191 days during 2009, including five Saturdays and four Sundays. This represents the most days that the Senate was in session for the past 15 years. Additionally, the Senate was in session for 25 consecutive days from November 30 through December 24, 2009. This consecutive day streak was the second longest in Senate history, superseded only in 1917.

The past 3 years have been extraordinary in that the Senate has been in session an average of 188 days from 2007 through 2009. This represents a 25 percent increase to the 150 average numbers of days the Senate was in session from 1996 through 2006. The year 2009 was not only busy but also an extraordinary and historical year. Our Doorkeepers provided exceptional support for special events including the 56th Presidential Inauguration; the swearing-in of Senators elected during 2008; the swearing-in of new Senators who replaced Members who left office during 2009; the confirmation of Supreme Court Justice Sonia Sotomayor; and the impeachment of Samuel Kent.

Our Doorkeepers facilitate the movement and seating of Senators during Joint Sessions of Congress conducted in the House of Representatives. During 2009 there were five Joint Sessions, including the counting of electoral ballots for the 2008 election; the President's initial address to Congress; the German Prime Minister's address to Congress; the British Prime Minister's address to Congress; and the President's address on healthcare.

Congressional tributes and Congressional Gold Medal ceremonies require the services of Doorkeepers. During 2009, Doorkeepers facilitated the seating of Members and guests for President Lincoln's 200th birthday; Days of Remembrance; unveiling of the bust of Sojourner Truth; the President Reagan statue dedication; 9/11 ceremony; the Helen Keller statue dedication; and the Senator Edward Brooke Congressional Gold Medal ceremony.

Recording Studio

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 their staff. The convenience of the Studio's location and proximity to the Senate Floor and Senate subway system please 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.

The year 2009 represented one of the busiest years in the Recording Studio's history. Senate Floor proceedings telecasts increased by 44 percent; the number of Senate television productions doubled to 2,749; radio productions increased by 38 percent; and Senate committee hearing broadcasts increased by 21 percent. Additionally, our Recording Studio produced Democratic Media Center and Republican Conference shows while their studios were being renovated. During this 2-week period, the Recording Studio produced 250 shows, representing a 635 percent increase from the Senate Recording Studio norm.

The Committee Hearing Room Upgrade Project continued during 2009. Demand for additional committee broadcasts has been ever increasing, evidenced by a 21 percent increase in committee hearing broadcasts during 2009. In 2003, we began working with this Committee and the Committee on Rules and Administration to upgrade and install multimedia equipment in Senate rooms. The project includes digital signal processing audio systems and broadcast-quality robotic camera systems.

To date, we have completed 28 rooms. Room enhancements include improved speech intelligibility and software-based systems that we can configure based on individual committee needs. The system is networked, giving 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.

As part of the upgrades, we installed technologies in our new CVC Recording Studio 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 one staff member. Before the upgrade, three staff members were required to adequately cover a hearing. These technology enhancements, coupled with the expansion of the number of control rooms for committee broadcasts to twelve, has enabled us to increase our simultaneous broadcast coverage of committee hearings from five to as many as twelve.

Our Senate Recording Studio is another shining example of where we have increased productivity by utilizing process improvements and technology rather than adding FTEs.

Media Galleries

The four Senate Media Galleries are comprised of the Senate Daily Press Gallery, the Senate Periodical Press Gallery, the Press Photographers' Gallery and the Senate Radio and Television Press Gallery. The unique structure of the four Media Galleries requires them to work closely with their respective Standing and Executive Correspondent's Committees, our organization, the USCP and the Senate Committee on Rules and Administration in order to facilitate media arrangements and credentials for the over 7,000 credentialed media covering Senators, Senate committees and related media events.

While the media industry has recently 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, the Media Galleries have seen a burgeoning population of new and emerging media. The staff of the Media Galleries have diligently worked to accommodate this new population through the current credentialing process.

In the past year and a half, the Media Galleries handled record numbers of media credential applications for the 2008 Presidential Conventions and the 2009 Inauguration. The vast number of national and international media outlets interested in covering the Presidential Conventions and Inauguration forced the Media Galleries and their small staffs to innovate the way we process credential applications, assign media workspace, and distribute press passes, using cutting-edge technology as a guide. The Media Galleries worked closely with the Sergeant at Arms Computer Design teams to create new software database information management programs that took advantage of the growing reliance on the Internet. While the systems were designed to handle larger capacities, they were occasionally overwhelmed by the volume of requests that poured into the Media Galleries. When the application period finally closed, the Media Gallery staffs had to quickly process thousands of documents in order to assign the limited media resources available to cover the Inauguration. If not for the diligent work of all our Media Gallery staff, the process would never have been completed on time.

The growth of 24-hour news channels and websites has increased the demands for constant news. As a result, Congress may be 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 the technical infrastructure of the Media Galleries offices including incorporating Wi-Fi in all four Media Galleries.

Senate Daily Press Gallery

Just over a year ago, we completed remodeling and rewiring the Daily Press Gallery. 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 removed and redone; and walls, ornate ceilings, Minton-tiled floors and historic mirrors were completely restored down to the smallest detail. The renovation not only improved the gallery's appearance and working conditions for reporters, it did away with piles of haphazard wires that had evolved over the years.

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 Senator Press Secretaries in order to familiarize them with the Periodical Gallery's functions at committee hearings. Constant collaboration occurs with 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, Senate Appropriations Committee events, and Senate Banking Committee consideration of the automobile industry and banking crises.

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 constantly, 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, as more news organizations seek to the fill the demand for more images.

Senate Radio and Television Press 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. Along with the Senate committee rooms, several meeting rooms in the Capitol and the Senate wing of the CVC were outfitted with fiber optic cable.

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

Employee Assistance Program

Our Employee Assistance Program (EAP) offered a variety of services to staff, Pages, interns, and family members. In 2009, 4.6 percent of Senate employees and/or their family members met with/spoke to an EAP Counselor, 263 employees took a mental health on-line screening, and 2,042 employees attended EAP training. 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, self-paced training modules and access to mental health, management and trauma response resources; and offering a variety of training programs including video teleconferencing training programs for state offices. EAP continued to hone, expand and utilize the skills of the 32 members of the Senate Peer Support Team through a series of presentations, trainings and informational lectures. In July 2009, EAP began working with a vendor to provide Senate employees and their family members with access to personalized information and referrals for childcare and parenting, adult care and aging, education, legal and financial concerns. Between July 1 and December 31, 2009, 1,751 employees and their family members utilized these services.

APPENDIX.—FISCAL YEAR 2011 BUDGET REQUEST

ATTACHMENT I.—FINANCIAL PLAN FOR FISCAL YEAR 2011

EXECUTIVE SUMMARY

[Dollar amounts in thousands]

	Fiscal year 2010 budget	Fiscal year 2011 request	Fiscal year 2011 vs. fiscal year 2010: Amount	Fiscal year 2011 vs. fiscal year 2010: Increase/decrease (percent)
General Operations and Maintenance:				
Salaries	$70,000	$78,000	$8,000	+11.4
Expenses	$90,409	$92,403	$1,994	+2.2
Total General Operations and Maintenance	$160,409	$170,403	$9,994	+6.2
Mandated Allowances and Allotments	$52,239	$53,596	$1,357	+2.6
Capital Investment	$4,503	$9,612	$5,109	+113.5
Nondiscretionary Items	$6,450	$5,675	($775)	−12.0
TOTAL	$223,601	$239,286	$15,685	+7.0
Staffing	961	962	1	+0.1

To ensure that we provide the highest levels and quality of security, support services, and equipment, we submit a fiscal year 2011 budget request of $239,286,000, an increase of $15,685,000 or 7 percent compared to fiscal year 2010. The salary budget request is $78,000,000, an increase of $8,000,000 or 11.4 percent, and the expense budget request is $161,286,000, an increase of $7,685,000 or 5 percent. The staffing request is 962, an increase of one.

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 $78,000,000, an increase of $8,000,000 or 11.4 percent compared to fiscal year 2010. The salary budget increase is due to the addition of one FTE, a COLA, merit funding, and other adjustments. The additional staff will support increased demand for services, as well as advancing technology.

The general operations and maintenance expenses budget request for existing and new services is $92,403,000, an increase of $1,994,000 or 2.2 percent compared to fiscal year 2010. Major factors contributing to the expense budget increase are escalating costs of the IT Support Contract and other IT Support agreements, $2,042,000; replacement of the Senate Office Personnel System (SOPS), $2,000,000; IT Security consulting and equipment, $1,000,000; audio visual equipment intended for the Senate Emergency Operations Centers (EOCs), $1,000,000; and a decrease due to Research Services' transfer to the Secretary of the Senate, $3,889,000.

The mandated allowances and allotments budget request is $53,596,000, an increase of $1,357,000 or 2.6 percent compared to fiscal year 2010. This budget supports state office rents, $16,594,000; voice and data communications for Washington, D.C. and state offices, $15,385,000; purchase of computer and office equipment, $13,894,000; procurement and maintenance of member office constituent services systems, $4,500,000; wireless services and equipment, $1,548,000; and state office security enhancements, $1,275,000.

The capital investment budget request is $9,612,000, an increase of $5,109,000 or 113.5 percent compared to fiscal year 2010. The fiscal year 2011 budget request includes funds for equipment purchases for the Storage Area Network (SAN), $2,775,000; hardware related to the network upgrade project $2,500,000; data network expansion, $1,600,000; Senate Floor Camera replacement, $1,500,000; PGDM server replacement, $400,000; replacement of a digital printer, $200,000; layout and design upgrades, $162,000; and EPPN upgrade, $100,000.

The nondiscretionary items budget request is $5,675,000, a decrease of $775,000 or 12 percent compared to fiscal year 2010. The request funds projects that support the Secretary of the Senate: contract maintenance for the Financial Management Information System, $3,824,000; maintenance and necessary enhancements to the Legislative Information System, $885,000; support for public records systems, $500,000; and support for payroll systems, $466,000.

UNITED STATES CAPITOL POLICE

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

ACCOMPANIED BY:

DAN NICHOLS, ASSISTANT CHIEF

GLORIA JARMON, CHIEF ADMINISTRATIVE OFFICER

Senator NELSON. Chief Morse.

Mr. MORSE. Chairman Nelson, Senator Murkowski, Senator Pryor, I am honored to be here today and I appreciate the opportunity to be able to present the United States Capitol Police (USCP) budget for fiscal year 2011.

Behind me is sitting my executive management team, along with my Assistant Chief, Dan Nichols and my Chief Administrative Officer, Gloria Jarmon.

And with your permission, sir, I would like to submit a written testimony for the record.

Senator NELSON. Without objection.

Mr. MORSE. Thank you.

First, I would like to thank the subcommittee for its sustained and unwavering support for the men and women of the United States Capitol Police. You and your staff have continued to generously support both the mission, as well as our personnel, not just in a monetary way, but also in a private and public recognition of our role and responsibilities. The security and protection of this great institution is, indeed, our job, but we consider it to be a sacred duty and it is a 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 day of the year.

Over the last year, the department has, with your support, successfully implemented the Library of Congress police merger. We have transitioned our primary fleet to a fleet leasing program through the General Services Administration and replaced ballistic vests for our officers. We have proceeded with the migration of our financial system to the Library of Congress for cross-servicing.

Our mission focused request is grounded in the USCP's strategic goals that describe our mission and frame our budget planning, assessing the threat, taking proactive measures to mitigate the threat, responding in the event of a disruption, and supporting the USCP's mission through constructive internal business processes and controls that foster effective and efficient mission delivery.

This budget is in strong support of these goals. Yet, the department is flexible enough to achieve and maintain solid mission-critical results with efficient use of resources at a funding level near the fiscal year 2010 appropriated level, if necessary.

The proposed 2011 budget is designed to address and mitigate identified security challenges that potentially affect the safety and security of the Capitol complex and keep up with the changing security environment and threat level. And it also contains requests to solidify innovative protective technical initiatives previously funded and that are underway, for example, the radio modernization initiative and continuing to support the alternate computer facility.

In addition, it incrementally augments our force development goals to maximize personnel depth and strength.

Based on the department's rigorous force development business process that includes a review of our budget requirements by our executive management team, our executive team, and the Police Board, the department has identified for fiscal year 2011 budget consideration only those increases most critical to further our mission and support certain projects planned by our legislative partners. We are well aware and we understand the economic climate and the effects on our country, the legislative branch, and the entire Federal Government, and we want to assure you that the USCP will successfully adapt our resources and continue to safeguard the congressional community.

As for the budget shortfall and resulting budget amendment, when things do not go right in the police department, I take full responsibility for it. I take quick action to stabilize the situation. I assess it and I find a way to fix it. And then I ensure that it never happens again. In this case, I have taken responsibility for it. I have found solutions and proposed those solutions to the Capitol Police Board. Security of the complex and personnel programs will not be affected, and I want to pledge to you that this type of incident will not happen again.

PREPARED STATEMENT

Finally, I would like to thank all the men and women of the Capitol Police for their support of me and their outstanding performance yet again another year in keeping this campus safe.

Thank you.

Senator NELSON. Thank you, Chief.

[The statement follows:]

PREPARED STATEMENT OF PHILLIP D. MORSE, SR.

Chairman Nelson, Senator Murkowski, and Members of the Committee, I am honored to be here today, and appreciate the opportunity to present the United States Capitol Police budget request for fiscal year 2011.

First, I would like to thank the Committee for its sustained and unwavering support for the men and women of the United States Capitol Police. You and your staff have continued to generously support both the 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 indeed 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 day of the year.

Due in large part to your support, the Department continues to progress and evolve toward our shared vision of becoming a premier security and law enforcement agency.

With your support, the Department has over the last year successfully implemented the Library of Congress Police Merger, transitioned our primary fleet to a fleet leasing program through the General Services Administration, replaced ballistic vests for our officers, and proceeded with the migration of our financial management system to the Library of Congress for cross-servicing.

With regard to our progress on addressing administrative deficiencies and improving corresponding business practices, we continue to experience challenges.

In recent weeks, we discovered some calculation errors that occurred with regard to the formulation of our fiscal year 2011 budget request. I am able to report to you however, that we identified the sources and scope of the errors, and have submitted an amended budget request to the Congress for consideration.

These calculation errors originated in our fiscal year 2010 budget causing a need to identify funds within our accounts to address funding requirements. We have identified these funds and will be asking for your support through a reprogramming request in the near future.

The modifications to our intended fiscal year 2010 budget execution will ensure our ability to maintain the security of the Capitol Complex and to support our workforce by maintaining our critical human capital programs. They will not be without pain for the Department, but are necessary for our mission capability.

Our amended fiscal year 2011 budget request does not change the scope of the mission requirements within the request before you. It is still with two basic principles in mind—moving forward and achieving continuous improvement—that our fiscal year 2011 budget request is based.

Our mission-focused request is grounded in the USCP strategic goals that describe our mission and frame our budget planning: (1) assessing the threat to the Capitol community, (2) taking proactive measures to mitigate the threat so as to prevent disruption to the legislative process, (3) responding in the event of a disruption so that Congress can continue to operate, and (4) supporting 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 that move us soundly toward our vision of a model, state-of-the-art Federal law enforcement agency—yet it is flexible enough to achieve and maintain solid mission-critical results with efficient use of resources at a funding level near our fiscal year 2010 appropriated level.

The proposed fiscal year 2011 budget is designed to address and mitigate identified security challenges that potentially affect the safety of the Capitol complex and keep up with the changing security environment and threat level, and also contains requests to solidify innovative, protective technological initiatives previously funded and underway, for example, the Radio Modernization Initiative and continuing support of the Alternate Computer Facility. In addition, it incrementally augments our force development goals to maximize personnel depth and strength.

I would first like to offer the Committee an overarching summary of our fiscal year 2011 request. I will follow the summary with a discussion of specific budget items of particular significance to you and the Department.

The fiscal year 2011 request totals $385 million representing an overall increase of 17 percent, or $57 million over the enacted fiscal year 2010 funding level of $328 million. Our request represents increases in three areas: (1) Personnel or "salaries"; (2) General expenses; and (3) Special projects and new initiatives.

With regard to personnel, we are requesting an overall increase which includes funding for 52 new sworn positions and 12 new civilian positions.

With regard to general expenses, we are requesting an overall increase which is primarily due to the modifications made to general expenses in 2010 including funding for operational travel; outfitting and training new sworn personnel, if approved; enhanced management systems, et cetera.

With regard to the third area of special projects and new initiatives, we are requesting funding that would support the final phase of the Radio Modernization Initiative and certain other new annual and multi-year initiatives that would fund security requirements primarily associated with projects expected to be undertaken by the Architect of the Capitol, as well as other security related programs.

The combined bottom line for all three of these areas represents an overall increase of 17 percent over enacted fiscal year 2010 funding levels.

The first subject area that I would like to provide more detail for is in the area of personnel salaries and overtime, where we are requesting an increase of which includes staffing enhancements and funding for overtime.

Personnel costs are reflective of salaries and benefits—to include an anticipated cost-of-living increase, insurance benefits and retirement, within-grade step increases and promotions, and overtime. In addition, personnel costs also include funding for workers compensation, specialty-assignment pay for sworn personnel, metro-transit subsidy, incentive awards, and student loan repayment programs.

The Department's fiscal year 2011 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 and its environs.

Using the 2007 Enlightened Leadership Solutions (or ELS) manpower study, we now have a multi-year roadmap to help guide our budget and staffing recommendations regarding the resources needed to accomplish each operational process as identified in the study.

To better manage our sworn resources and to work toward determining the actual manpower needed to meet our existing mission, in conjunction with the ELS study, a custom-designed formula was devised to determine the true 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 post coverage, 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.

The Department's current authorized sworn strength does not entirely provide the necessary resources to meet all our mission requirements within the established utility. Thus, mission requirements in excess of available personnel must be addressed through use of overtime, identification of efficiencies such as post realignment and/or reductions, technology, and cutbacks within the utility, such as reductions in the number of hours of training.

With that in mind, our requested fiscal year 2011 personnel costs support the current authorized staffing levels of 1,800 sworn and 443 civilians as well as a request for 52 new sworn and 12 new civilian positions, resulting in a total overall increase in personnel from 2,243 to 2,307.

In fiscal year 2011, the addition of 52 new sworn positions would address mission needs and work toward our goal of closing the gap—as validated by the ELS manpower study—between existing mission requirements and current staffing levels through assignment of the additional personnel to the Uniformed Services Bureau.

The approval of additional sworn strength in fiscal year 2011 will have a positive effect on our ability to manage the inter-related balance of mission requirements, overtime use, and officer training.

The request for 12 new civilian positions will provide much needed professional and technical support for the Department in the areas of fleet management; budget analysis; IT security, network operations, systems administration, and telecommunications; and physical security operations, as well as three positions in the Office of Inspector General, consisting of one criminal investigator, one financial management and internal control auditor, and one information technology and contract auditor.

It should be noted that half of the requested new civilian positions would replace existing contract employees, with the resulting savings in contract dollars offsetting the cost of additional personnel added to the permanent employment rolls.

At current overtime levels, we are able to meet our mission by continuing to adjust officers' training hours and finding efficiencies in post requirements. However, any additional or new mission assumptions will require additional sworn personnel or equivalent overtime to meet new requirements.

At current staffing levels, the Department's fiscal year 2011 basic overtime projection of approximately $27 million reflects an increase over the $25.5 million that was provided for in fiscal year 2010. This increase of $1.5 million adjusts for mostly cost-of-living.

Other requested increases to overtime include an additional $201,000 in funding to cover Library of Congress' non-reimbursable events, and $1.84 million for overtime necessary to secure new multi-year AOC initiatives, to include the Capitol Dome Skirt, and Utility Tunnel projects.

These items bring the total fiscal year 2011 overtime request to $29.094 million which is an increase of $3.6 million—or 14.1 percent over the enacted fiscal year 2010 level for overtime.

The second area of detail is our requested general expenses budget, which includes protective travel; hiring, outfitting, and training of new sworn personnel; supplies and equipment; management systems; et cetera.

Significant savings in our general expense budget provides an offset to our requested increases by realizing reductions in major areas such as contractual services, executing efficiencies in physical security systems, movement of our financial systems from the Department of the Interior's National Business Center to the Library of Congress, and the realigning of core training requirements to specific and critical job competencies.

The third and final area of detail is a request for multi- and no-year funding for special projects and new initiatives, to include the final phase of the Radio Modernization Initiative, Alternative Computer Facility fit-out, and the design and installation of security equipment and systems for utility tunnels, hallways, and garages throughout the Capitol complex. The total funding requested for these special projects is $32.187 million, of which $15.956 million is for the final phase of the Department's multi-year Radio Modernization Initiative.

Over the past 2 fiscal years, the Congress approved the USCP's requests to develop an encrypted, interoperable digital radio system able to communicate securely and immediately across the Capitol campus as well as with other first responding Federal, state and local law enforcement partners.

The upgrade to a new-generation VHF trunked radio communications system will achieve reliable, secure radio contact in routine day-to-day operations and in emergency situations from any location within the jurisdiction of the USCP.

We are grateful for the Congress' substantial response to our previous requests in the fiscal year 2009 Supplemental and fiscal year 2010 annual appropriation that addressed this critical communications vulnerability, supporting our endeavor to provide dynamic enhancements—in this post-9/11 security environment—to our aging, outdated radio equipment and infrastructure.

I am especially pleased to report that the system delivery for Phase I of the radio modernization is on schedule and within budget for completion within budget estimate.

The current fiscal year 2011 budget request of $15.956 million over 2 years is for the final indoor portion of this highly complex project. This request falls within the contract's broadly estimated range of costs, including contingencies, which we provided for you during the fiscal year 2010 budget discussion. The final phase will provide the infrastructure changes necessary to support the new radio system.

To calculate the cost of completing the Radio Modernization Project, our NAVAIR contractors—who are highly experienced in design and implementing communications systems for other Federal agencies—conducted a detailed design engineering study of each building, garage, tunnel, and outdoor site in the Capitol complex—each with unique characteristics requiring different engineering design solutions. With Congressional approval of this request, we expect the project to be completed on-time and within budget by 2012.

Further, the Department is requesting $16.231 million to support eight additional new security initiatives. These include: security enhancements for the Alternate Computer Facility; security designs for the utility tunnel system; design and installation of a security program for the AOC's Dome Skirt Rehabilitation project; design of a security management system for the Federal Office Building 8; design and installation of a security camera system in egress points within House and Senate office buildings; design and installation of security management systems within House and Senate parking garages; a perimeter security and a garage and tunnel screening.

Based on the Department's rigorous Force Development business process that includes review by our Executive Management Team, Executive Team, and Police Board of our budget requirements, the Department identified for fiscal year 2011 budget consideration only those increases most critical to further our mission and support certain projects planned by our legislative partners.

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.

SENATE INFORMATION SERVICES

Senator NELSON. Let us do a 5-minute round.

Nancy, the $32 million, which really stands out, involves a multiyear request for certain continuing services. Is that something that has to be done on a multiyear basis? Because the implications to the budget are so significant that one wonders if it would not be better to spread that out over a longer period of time. What have you found about that?

Ms. ERICKSON. Well, we would be happy to work with your subcommittee staff to work out a funding mechanism for this program.

My concerns are that our staff working with the Sergeant at Arms staff and the chairman's staff—we have looked at the trends, the cost increases in this program over the years. There has been real consolidation in the news industry and so there is not the competition that there used to be. So it is fair to say there has been an average of a 10 percent increase in a number of contracts over the years.

I also know that the Sergeant at Arms has incurred other costs associated with this program that required them to tap into other funding sources. I want to create a firewall between these program funds and my operating budget funds so that it is very transparent.

And then the other reality is, as you well know, we have a strong track record of operating under continuing resolutions, and it is important, when we are negotiating these contracts that are 1-year contracts with the option of a 4-year renewal, that we have a little bit of flexibility in our budget to fund these contracts.

But I think it is fair to say, yes, we do have flexibility and look forward to working with your subcommittee's staff on some other funding options.

Senator NELSON. Well, as you know, we have trouble even with the Medicare doctor fix to get something over some short period of time, and if somebody identifies this at 5 years, they will ask us why we cannot fix everything for 5 years. So that is one of those optic things, but obviously we need to look at it and if there is a way to retain some efficiencies cost effectively, we ought to seek to do that.

Ms. ERICKSON. And I will add I am very proud of our library's staff. They have saved just this year $55,000 over the next 4 years in negotiating similar contracts that we have in the Senate Library. So I can assure you that we are going to be shrewd negotiators with these contractors and get the best dollar for the Senate.

Senator NELSON. Well, I think that we would have some leverage to be able to do that, but there is a limit to what that can do.

Ms. ERICKSON. Right.

SENATE EMPLOYEES CHILD CARE CENTER

Senator NELSON. Also, could you give us an update on the Senate child care feasibility and expansion study that we directed last year, together with the AOC?

Ms. ERICKSON. Correct. The AOC was charged with the child care study, consulting with the Secretary's office. I just received the report, and let me report on some good things have happened since last year's hearing and issues that Senator Pryor and his staff notably have raised.

There is wait list transparency now. The flip side is, unfortunately, there was a long wait list. We have roughly 106 families that are waiting to get into the infant room, and there are currently only nine slots. There is a waiting list of over 143 to get into the child center as a whole. But for the first time, families now know where they stand on the wait list.

Another positive development is the Parent Cooperative Board decided to adopt Senate preference policies. So parents who have children get preference. If they have a child already in the day care center, they also have sibling preference. Right now, 72 percent of the families that are enrolled in the Senate child care center have one parent who is a Senate employee. I believe over 82 percent of the families have at least one parent who works in the legislative branch.

I think it is fair to say the goal is to increase the size of the Senate day care center from 68 to 134 slots overall. I think it is also fair to report that it is probably unrealistic that we can expand the current site or reconfigure the current space. So I think the subcommittee will receive recommendations for building or leasing property. I think it is also unlikely that we will be able to find another child care center to partner with. But we will be providing that report to you and your staff shortly.

Senator NELSON. Thank you.

Senator Murkowski.

Senator MURKOWSKI. Thank you, Mr. Chairman.

SENATE INFORMATION SERVICES

Nancy, let us go ahead and continue with the SIS program, the Senate information services program. Tell me why we are moving it from the Sergeant at Arms to your offices.

Ms. ERICKSON. Well, it actually was a recommendation that was made by the Sergeant at Arms staff. Tom Meenan, who manages the program and another colleague—one colleague had retired and Tom Meenan is nearing retirement. And he looked at the model that is used in the Government to finance other similar enterprise contracts such as the SIS program, and they are typically run and managed by people with a library of science degree. So it was a decision that we embraced. It was something that we spent a great deal of time deliberating, and the recommendation was that we felt that our folks who already negotiate such contracts for our Senate library would be in the best position to take over this program.

And I do think there are some improvements that can be made in the program. I think we need to do a better job of doing outreach in the Senate community to make sure they are aware of these free online services that your offices——

Senator MURKOWSKI. That is one of the questions that I have of you. To what extent are these services actually utilized? Who uses them? Are all of the services necessary? Are there some that can be eliminated? And as this transfer is being made, are you doing that kind of a review to figure out whether we are current? We know that access to information today—what is current today is not current tomorrow, and users change dramatically. So are we giving this that level of scrutiny?

Ms. ERICKSON. We are. The services can be found on Webster, and some of the examples of some of these services we provide would be CQ, National Journal, BNA, Roubini Economics, Newswatch. These are real live, up-to-the-minute news developments that you can have sent to your desk to track information on a Member or issue.

Senator MURKOWSKI. Do we survey the Members to ask them——

Ms. ERICKSON. Well, the last study, Senator, that was conducted was in 1999 by the Sergeant at Arms, and our library staff initiated a recent study. We decided to do it on our own as a cost-saving mechanism rather than to hire an outside firm. So we are in the process of looking at those results and looking at usage statistics——

Senator MURKOWSKI. Will you take those assessments and analyses into account before you negotiate with——

Ms. ERICKSON. Yes, definitely. And we will—as I mentioned, the Senate Rules Committee has close oversight of this program, and we will not be making any decisions without getting Senate Rules Committee approval, and we will be going over the survey results, usage statistics.

I also think we need to do a better job of providing training for offices on how to use these online services.

Senator MURKOWSKI. Let me ask the math question here. Your budget increases $32 million, and as the chairman has noted, that raises eyebrows here. But yet, the Sergeant at Arms' budget, which is transferring this same system over to you, is only being decreased by $4 million. What happens to the money in the middle?

Ms. ERICKSON. Well, as I mentioned, Senator, we looked at the historic cost increases of these programs and money that was spent and decided that it was an opportunity to take a fresh look at this program and how we can manage it most effectively for the Senate. And it was a recommendation of the people who had managed the program that multiyear funding would provide us with the best leverage for managing this program.

Senator MURKOWSKI. Even if you were not doing the multiyear funding, your numbers still do not add up.

Terry, do you want to speak to that?

Mr. GAINER. I was just going to add that if we were starting this program anew, it probably would have never been in our office, and I think it really ended in our office because it involved technology.

But I also think what the Secretary is trying to do versus the $4 million that we are giving up on this is do exactly what we talked about earlier. Do you want us to sustain a process and give you the same thing that we are doing, or do you want to upgrade and acquire and be prepared for the future? So, again, I think it is kind of a policy decision.

I do believe we handled it well. I believe that the Secretary and the librarians and the people who do research have a vision of enhancing this and reaching out further and deeper, and that is part of the decision one makes on whether you do the "same old, same old" or take the opportunity to do it the correct way.

Senator MURKOWSKI. Well, my time is expired, Mr. Chairman. But even if we were to just look at this as a 1-year instead of a multiyear request, as you have, the request from the Secretary's office is still an increase. So I guess what you are suggesting is that it is enhanced services. And I guess what I would come back to you with is before we talked about enhanced services, let us make sure that we are using all of these services and an assessment or an analysis or survey of the offices. It sounds like you are underway with that and I think that that is a good approach.

Ms. ERICKSON. And like I said, we also looked at the program and understand that Terry's office tapped into other funding options within their budget to finance this program outside of SIS funds. An example would be when they received a letter from 57 Members requesting that leadership directories be added to the SIS program, and so Terry's office did that and tapped into other funding sources and options in their budget to do that.

Senator MURKOWSKI. That is helpful.

Thank you, Mr. Chairman.

Senator NELSON. Senator Pryor.

Senator PRYOR. Thank you, Mr. Chairman.

Nancy, let me start with you if I can and kind of pick up where Senator Murkowski left off. This $32 million for the Senate information services—I understand that that is generally subscription services. And I know it is like Westlaw, Lexis/Nexis, et cetera. I do not know if you provided it to staff, but I would like to see a breakdown of each of those and how much we are paying per year. I know that, on the one hand, we just have 100 offices, but I know it is a lot broader than that. So I would like to, if I could, understand how that contract is structured, and I want to look at it to see if we are getting a good deal for that usage.

And I have a question about, if you know or if you can tell, how well the Senate staff is using it. In other words, we had an incident when I was in the Attorney General's office. We were negotiating a Westlaw contract back then. And we had two or three people on the staff that just turned it on in the morning and left it on all day, and the clock was just running on it, and that caused our contract price to go up. Of course, their view was, hey, it is free to me. So it must be okay. I am curious about sort of the practices, and if you can monitor that. In our office back in the Attorney General's office, we could actually monitor that. We knew who was on because of the way it was set up. And I do not know how your contract is. But I would like to know some of that detail before——

Ms. ERICKSON. The services that we provide are stipulated by the Rules Committee and require unlimited access. In the old days, offices—maybe 1987—were each given $12,000 to enter into these contracts. But yes, offices are not incurring costs for leaving Westlaw on all day, although we do have those types of contracts that we enter into with the Senate library, Courtlink, and we restrict that to our librarians because of that very reason. But I think you raise a good point. I think that we need to take a hard look at user statistics and we will be sitting down with the Rules Committee staff to share that information with them. But I would be happy to provide you a breakdown of what the current contract costs are.

Senator PRYOR. That would be great.

Also, you mentioned in one of your answers a minute ago that you had some savings on some current contracts. Are these same subscription services?

Ms. ERICKSON. They are similar to ones that our Senate library enters into, such as Courtlink. But they were able to achieve $55,000 in savings over the next 4 years for those contracts.

Senator PRYOR. Do these contracts—both these contracts we are talking about there—that is a great savings. I love that. But both these contracts here—they also include the hard copies of this material or is this the online?

Ms. ERICKSON. The online.

PGDM RELOCATION

Senator PRYOR. Let us see. Let me ask, if I may, Terry, about the $1.2 million request to relocate your printing, graphics, and direct mail operation. That is in your budget, if I am not mistaken. And you are talking about going out to the Maryland suburbs. I understand that that is a pretty expensive proposition out there. Could you talk about that? I understand you need more space, but could you talk about the decision there?

Mr. GAINER. Yes, Senator. The fact of the matter is it is substantially less expensive. So from a purely business point of view, if one concurs that we need the additional space—and again, I think reasonable people would feel that is the case—our return on investment over the 20 years would be significant.

Senator PRYOR. How so?

Mr. GAINER. Well, because the rent we are paying at the Postal Square versus the rent of the building that we are suggesting is substantially different, that we would save approximately $500,000 a year. Now, when I say that, I mean the money gets saved by our partner, the Architect of the Capitol. Now, there is an up-front investment preparing the building for that of about between $8 million and $10 million.

Senator PRYOR. Is that $500,000 a year based on a per-foot basis or is it based on actual when the rent would be here versus there? I know you have a limited space here, so you have a smaller space.

Mr. GAINER. It is per foot.

Senator PRYOR. So in other words, you are paying more there but you are getting more space.

Mr. GAINER. We will be getting more space. We would be paying less per square foot and we would be saving $500,000 per year.

Senator PRYOR. You would be saving $500,000 over what you are paying currently.

Mr. GAINER. Correct.

Senator PRYOR. I see.

Mr. GAINER. And Senator, if I can speak on that issue: we have added powerful equipment in the Postal Square building. There is really not an ounce more of electricity available there. So we have worked with the General Services Administration (GSA), we have worked with the building owner, and we could, tongue in cheek, say if we are running our presses and someone plugs in a toaster, we would be in trouble.

Senator PRYOR. Is Postal Square a GSA building?

Mr. GAINER. It is a private building run by the GSA, as I recall.

Senator PRYOR. As I understand it—well, I am out of time. So why do you not go ahead and I will do a second round. Thank you.

IT SECURITY

Senator NELSON. Terry, your request includes $1 million for IT security. What does this involve and is this going to require additional funding in the future with respect to that IT?

Mr. GAINER. Senator, I do not think there is ever going to be an end in sight for IT security. As I mentioned, the amount of people trying to get to our network is continuing.

Senator NELSON. Do you feel like we are protected?

Mr. GAINER. I think we are very safe. As I said, we deal with some 1.8 million attempts per month. We average about 1.5 per day that actually penetrate. Once we find out, we then take action, along with the Member's office on how that occurred. But looking at what is happening to IT across the Nation, the Department of Defense (DOD), and Homeland Security, it is a continued constant threat. Our adversaries are getting sharper. We must also get sharper.

Senator NELSON. Are we partnering with DOD, as well as Homeland Security? Because there is clearly a lot of work that is being done protecting against cyber and malware, everything that we fear most. I know they are doing a significant amount of work on that.

Mr. GAINER. We do have a good partnership with them. We have some great security experts who come from some of those agencies. We work closely to look at the best practices of the National Security Agency and others. We really are on top of it, but again, our adversaries are playing chess with us trying to stay one move ahead.

Senator NELSON. Yes. Offense always seems to be one step ahead. We are always playing catch-up.

SENATE PERSONNEL SYSTEM

Also, you have got $2 million for a Senate office personnel system. Could you explain what that is about?

Mr. GAINER. Yes. It is somewhat related but separate from the Senate payroll system, but the Senate office personnel system is really a direct request of your administrative officers and the Rules Committee to aid in keeping track of your own employees and their time. And we are operating in a very antiquated system. This one ought to begin, but again, it can be deferred. But your systems administrators will be very unhappy with us.

Senator NELSON. Are you telling me Senator Schumer is spending our money over here?

Mr. GAINER. I am taking the fifth on that.

TELECOM MODERNIZATION PROGRAM

Senator NELSON. The telecom modernization project. I know there has been some movement on that. Could you give us an update on the progress of what is, obviously, a $20 million project, what we might be able to expect from it?

Mr. GAINER. Yes, sir. The telecom modernization project is proceeding slowly but steadily. The design phase of the project has been completed. We were not particularly happy with the contractor, Verizon Business in this case, and we struggled with them for well over 1 year to meet the goals and steps that we wanted in this. They could not meet our goals. We brought in other contractors to take a look at it. The manufacturer of the main switch was bought out by another company. We had to wait some 6 months to see who was going to buy the company. Then we waited longer to see if the company that made the purchase was going to continue making the product. We now know that they will stay at it for about another 6 years. So looking at it in the most positive vein, we would hope we would have the program up and running sometime in 2011. The worst case scenario, it might be as far away as 2012.

Again, as time goes by, the technology keeps taking leaps and bounds. So the technology will improve as we move closer and it is going to drive the price up a little bit. Ultimately, the Senate will have a powerful, 21st century telecom system.

Senator NELSON. And still in the 21st century?

Mr. GAINER. Yes.

Senator NELSON. Okay.

USCP SALARY MISCALCULATION

Chief Morse, can you give us some background on the salary miscalculation? I know there is an in-house review underway. Are you looking at every aspect of it, whether there is any criminal activity or whether this is a human error of some sort without regard to that?

Mr. MORSE. Yes. The salaries shortfall was found during the first quarter budget execution review. We do that, obviously, to ensure that the budget is being executed as we had planned, and there are things that we have to plan for in the next quarter, for instance, promotions of our employees, as well as recruit classes. During that review, there were salary shortfalls identified.

Our preliminary look at this indicates that those salary shortfalls are human error. There were miscalculations in both sworn and civilian salaries, as well as the lack of submission for funding for lump sum repayment when our employees retire or leave the agency and miscalculations associated with night differential and premium pay and holiday pay. All those sort of pile on top of each other when you have a low attrition rate. So I am happy to report we have one of the lowest attrition rates in 20 years I am told.

But because of the miscalculations, there is no dependency on any of the salary lag and therefore the shortfall is about $5.5 million.

We have our recommendation to correct this through reprogramming monies within our general expenses, as well as identifying other money in savings through overtime and perhaps if the attrition rate stays as low as it is, savings in general expenses and salaries with regard to hiring the next class and a look at only hiring civilian staff that are critical to the operational mission.

So we have identified means to correct the problem within our budget, and now my focus, obviously, is on exactly what did happen and who is responsible so that we can ensure that the appropriate oversight is there, that the internal controls and processes that we have in place are followed, and that we can ensure you that this never happens again.

Senator NELSON. Have you taken any action thus far against any personnel at this point?

Mr. MORSE. No adverse action of any type has been taken against any employee because we do not have all the facts yet. There are employees who have been put on administrative leave, but that is a part of our general performance or discipline process. It is a process in which we look at things thoroughly, we find out what the facts are, we hear both sides of the story, and certainly I make no judgments until that adjudication takes place.

Senator NELSON. I appreciate that.

Senator Murkowski.

Senator MURKOWSKI. Thank you, Mr. Chairman.

Let me just continue, if I may, Chief. You have indicated that to make up this shortfall of some $5.8 million, that you can look to reprogramming and you have also suggested in the area of expenses. But in your proposed budget here, in your expenses account, you have got an increase of $16 million for the final phase of the radio modernization project, but you also have $16.2 million for other new initiatives.

Are you proposing then that you would scale back on some of these new initiatives, or how are we going to take care of this expense?

Mr. MORSE. With regard to the salary shortfalls, it is in the fiscal year 2010 budget that we are currently operating under that we will go into the general expenses to pay for the salary deficit. With the approval of the subcommittee, we resubmitted a fiscal year 2011 budget to ensure that the calculations are correct and that the budget that I am testifying to reflects the same needs it did before we corrected it. But, of course, with the corrected calculations, the budget request is higher.

But with respect to the $16 million radio modernization money in 2011 and the remaining $16 million for other new initiatives, we will certainly work with the subcommittee in some cases where they are or could be multiyear funding.

So the current problem that we are dealing with is within the fiscal year 2010 budget and the general expenses and savings to reprogram and pay for that. And we have corrected the miscalculations associated with 2011 through a resubmission of our fiscal year 2011 budget.

TELECOM MODERNIZATION PROGRAM

Senator MURKOWSKI. Mr. Gainer, let me ask you about this telecom modernization plan and the situation with Verizon. You have indicated that you are not happy with what has happened, and you are talking to potentially other vendors. What does this do to the timeline that you had anticipated? What does it do to the budget that you had anticipated? I know when you try to change horses in midstream, oftentimes it can end up costing more and taking longer. Can you speak to that?

Mr. GAINER. Yes, ma'am. It will take longer. And the phase that Verizon Business completed, the design phase, is solid. So the next vendor that is ultimately selected can take and validate that and then use it for implementation. So that is not a truly lost opportunity. That is money that was well spent, although it took us too long to get there.

Senator MURKOWSKI. It is your intention, though, to get a vendor who will accept that Verizon plan.

Mr. GAINER. That is correct. And that is entirely doable. Again, we have had some other outside experts come in and look at the design phase and ascertain whether it is usable. So we are not going to lose the work product. We are not going to lose the money invested. We are losing time. The only up side of the lost time is, again, that technology improves, and we will have an even better system when we ultimately get there. So, we have been set back a good 1½ years on the project.

Senator MURKOWSKI. Is it my understanding that—well, obviously, if we have got to bring in a new vendor, we do not know what the total cost is expected to be. What are our ranges? What do you anticipate?

Mr. GAINER. Well, the range of new total cost is anywhere from $3.5 million to $8.7 million more dollars.

Senator MURKOWSKI. And that is on top of what we have already authorized.

Mr. GAINER. That is correct.

Senator MURKOWSKI. So in looking through my notes here, I had been under the understanding that we had anticipated a need for an additional $2 million to $4 million for implementation, but you are suggesting that it is going to be about double that.

Mr. GAINER. I believe so. I can provide additional information to clarify that. That is my understanding, Senator.

Senator MURKOWSKI. If you would.

PRIOR YEAR BALANCES

And let me ask you about the unobligated balances. I appreciate your statement and your commitment to really work to provide a flat budget under these very difficult times. I think the American public appreciates that, and I do not think they understand the half of what we ask our staff and the folks that you all manage to do. So I appreciate that effort.

You have indicated that you would like that flexibility with these unobligated balances which are somewhere between $14 million and $15 million. Clearly you have needs for the funds, but can you give the subcommittee some parameters in terms of what you are looking at?

For instance, you have mentioned the situation with the facility over there at Postal Square. You have got some expenses within the Senate personnel system. You have indicated that maybe the staff system would not go forward. Where are you thinking that you might be plugging in these unobligated balances?

Mr. GAINER. We are still working through that. The suggestion of our experts is to prioritize some of the things that we are talking about leaving out of the fiscal year 2011 budget. The Senate office personnel system would be very high on the list, as well as the funds to complete the telephone modernization program. And quite frankly, in doing the briefings I have had in the last 24 hours, I feel pretty strongly about what we need over at Postal Square in our PGDM operations.

Number one, we would have to determine where we go if we cut the $7.7 million that we suggested, that we think are important to improve, and then work with you and the Rules Committee and others to decide what is the best use of those limited dollars. And we would work with you to do that.

Senator MURKOWSKI. Mr. Chairman, my time is expired. But I think this is a very important part of the conversation, and we would like to be working very closely with you on that. Thank you.

Senator NELSON. Thank you.

Senator Pryor.

Senator PRYOR. Thank you, Mr. Chairman.

TELECOM MODERNIZATION PROGRAM

Terry, let me follow up on the telephone issue, the modernization there. Last year, especially during the healthcare debate, my understanding is several offices' phone systems had problems, and it seems to me like it may have been in the capacity in terms of how many calls they were getting and voice mail systems, et cetera. Will this modernization fix that?

Mr. GAINER. It would, Senator. That is important information. On one of our busiest days for the healthcare debate, for instance, we had 770,000 phone calls come into our switch in a 24-hour period. During the busiest hour, which was at 5 o'clock, we had 155,000 telephone calls come in. Just for going to voice mail, I think our current system was developed to handle 182 simultaneous voice mails. This system, as I understand it, would be about seven times that. Again, what your office is doing is what a lot of us are doing at home. Calls are going to voice mail so you can kind of pick and choose the voice mail. But the current system was never, ever designed to handle 155,000 calls an hour, and the new system will do that.

But we are actually on the cutting edge, I believe, of the technology to do that. That is some of the difficulty in getting some of the best people like Verizon, whose phones we all use, to make our system work for us.

Senator PRYOR. Thank you.

USCP RADIO PROJECT

Chief, let me ask you a question about the radio modernization project. When it is completed and fully up and running, will it be fully interoperable with the systems and other first responders in this jurisdiction and your key partners in the day-to-day operation of the U.S. Capitol Police?

Mr. MORSE. Yes, it will. During the design phase of this project and throughout its build-out and implementation, those partnerships are used to ensure that we have that interoperability.

Senator PRYOR. And have either you or NAVAIR—I am assuming you are still working with NAVAIR—sat down with these key partners to make sure everything is the way it should be with regard to interoperability?

Mr. MORSE. Yes, we have.

Senator PRYOR. When do you anticipate that the new radio system will be completely installed and fully operational?

Mr. MORSE. The spring of 2012.

Senator PRYOR. As I understand it, it is kind of a phased program, a phased process. Can you give the subcommittee here a status report of where you are right now in your phases?

Mr. MORSE. Right now we are in phase two of the project. So we are currently in the design for the mirror site, the redundant site. It is off campus.

Senator PRYOR. And who is doing that design for you?

Mr. MORSE. Verizon. It is a Verizon building. Verizon is doing the design and the AOC has oversight of that design and construction.

Senator PRYOR. Do you know who is going to actually be doing the construction? Will it be Verizon?

Mr. MORSE. Yes, sir.

Senator PRYOR. So the total cost of this project is how much?

Mr. MORSE. The total cost? $97.6 million.

Senator PRYOR. And where are we in terms of our spending of that, that has actually gone out the door or is in the process of being spent? Where are we in the process of that?

Mr. MORSE. Right now, I believe we have obligated about $3.5 million in phase two, but we are currently working on an obligation plan to be submitted to you this month that is being reviewed by the AOC which will obligate another $10 million to begin the cabling work for this project. And if we back up to phase one, of course, we had initial funding, I believe, of about $10 million that was associated with design and concept of this.

So as we complete the construction of the off-sites, I believe we are looking at December for the Manassas off-site, as well as February 2011 for the Verizon. We will then begin to obligate more money and the pace of this project will begin to accelerate.

Senator PRYOR. Given the size of the project, I am just concerned—I want to make sure, I should say, that every step of it is properly competitively bid and that there is the right amount of competition in this. Are you going through this with competitive bids, or have you kind of deferred that to some of these companies to let them take care of that for you?

Mr. MORSE. Well, first, we have the Government Accountability Office (GAO) who is working with us. We meet weekly with NAVAIR and GAO keeps the oversight of this project. But NAVAIR also recognizes the need to have a very competitive process and they also are under the requirements of the Federal acquisition regulations. So with that communication, the communication from our oversight, the constant review by our partners in GAO, we feel certain that this will be a fair and competitive process.

Senator PRYOR. Great. Thank you.

Thank you, Mr. Chairman.

USCP OVERTIME

Senator NELSON. Chief Morse, your fiscal year 2011 request assumes an increase of 52 officers and roughly $30 million in overtime costs. After a study to try to determine how best to manage overtime, have we created, let us say, a fixed part of the budget every year that is going to be calculated for overtime, just as part of the basic compensation, or is this $30 million simply based on an expectation of what might happen if we have extraordinary circumstances or something of that sort?

Mr. MORSE. We have worked very hard on this particular issue with our study and our methodology which our partners from S&I from House Appropriations reviewed; and GAO are currently reviewing who have reviewed our methodology. We feel that we are very on course with being able to project accurately what our overtime needs are.

What we have been able to do with our study is establish a utility number, the number of hours an officer is available to us in a year, the number of hours of mission requirement. The gap between the two is where the overtime comes into play. If you reduce the mission, you reduce the overtime. If you add officers to that gap, you reduce overtime.

We have been very innovative and proactive in the way that we have tried to internally reduce overtime and produce officers, and let me give you a couple of examples.

First, with the Library of Congress transfer, we were able to civilianize some 23 positions within the command center of the Library of Congress. Those officers then are able to be put back into the field. The civilianization of our off-site delivery center—we were able to put officers back into the field.

We most recently—not a savings of overtime but a savings of money through contract—we were able to take folks off the DOL list, the Department of Labor list, and bring them back to our organization, replace the contractors and put them into the alarm monitoring where we have better supervision and more efficiency and the ability to bring back our employees because of that DOL payment that we have to do.

We are working on technology, for instance, within the truck interdiction program. Once that is complete, it will be a give-back of officers.

We also have had some other projects that we are working on that would generate less overtime and produce more officers for the core business hours. I was actually talking to Mr. Gainer yesterday about this issue, as we discussed potential questions. But the culture here—and he talked earlier about the convenience. I have been on the police department for 25 years, and I worked many of the doors that are here on the campus. Today we have looked at the number of people, for instance, the pedestrian counts at many of our doors after 7 o'clock when the Senate or House stays in late. We still have to man those doors.

We have done a study. We have done a cost analysis based on pedestrian counts where we could move some 60 officers to the core business hours by closing those doors. Moving them to the core business hours enables us to fill some of the empty mags that we see during the daytime, to shorten lines, to reduce overtime over the year, and provide a more robust presence during the most critical times of the day when we have subcommittee hearings and dignitary arrivals and both the House and Senate are in session.

So we think that we have done a very good job of managing overtime, creating positions within the police department without asking for the additional officers that we need, and also being creative in the way that we plan to continue to do that, to master the overtime issue and to have the best and robust protection that we can during the core hours.

CIVILIAN CONTRACTING

Senator NELSON. Have you considered at some of the sites civilianizing those who read the magnetometers or the scopes as the bags are going through to be x-rayed rather than have a uniformed officer do that at particular points in the day, as well, maybe the lower traffic locations, lower traffic times? If you have considered that, could that result in some savings and better utilization of the uniformed officer's time?

Mr. MORSE. It is not something we have considered. It is certainly not something that is off the table. But as I think back to the 1998 shootings, there were some issues and things that we addressed with regard to the simple structure of the doors and how the screening equipment and tactical positioning of officers could take place because these buildings were not built for this type of security.

So there are situations where internally people have already been screened at a certain level, and they are simply being screened at a higher level to proceed into the Capitol. Those are areas that certainly we could take a look at and, if possible, discover savings there. But we want to make sure that we keep in mind the safety of all our employees and obviously be able to mitigate any threat that would exist at those locations.

Senator NELSON. Absolutely. Security stands first, but from time to time, there are other ways to accomplish it, and depending on the timeframe, as well as the location, it is possible to maybe consider that as well.

Mr. MORSE. Yes, sir.

Senator NELSON. Thank you.

Senator.

Senator MURKOWSKI. Thank you, Mr. Chairman.

OVERTIME

To continue with the discussion about where we are with the overtime, I understand that within the budget request here, you are seeking to add 52 new sworn, 12 new civilians, and the budget justification material provided to the subcommittee states that even with the addition of these officers in fiscal year 2011, it would not reduce the overtime costs. And you have just stated that there are a couple of different ways to reduce these overtime expenses, and one of them is obviously moving forward with additional staff.

So tell me how, if you were to fill these positions, we would not be getting closer to that management point that we seem to discuss a lot around here about how we work to reduce that overtime.

Mr. MORSE. The 52 officers—there is, first, a recruiting process for that. There is the hiring process for that that must take place, and then there are some 30 weeks of training that have to take place which include field training. Then we look at the schedule of when we can hire those classes throughout the year, and when you add all that up, you are not going to realize—you will realize some overtime savings in 2011 dependent upon when those employees are hired, when they complete training, and when they are permanently assigned to the division. But the real savings comes in 2012.

Senator MURKOWSKI. Well, let me ask you that then because in fiscal year 2010, the plan was to add 24 sworn officers and 15 civilian staff positions. So where are we in that pipeline?

Mr. MORSE. I believe the 24 you are referring to is the backfill, which is already in our base salaries, which is the backfill for attrition. And that was the——

Senator MURKOWSKI. So are those positions filled?

Mr. MORSE. Those positions are currently filled and if attrition does not pan out to what we projected—and so far it has not because it is extremely low—if that does not pan out, then there is not a need to hire those officers. If the attrition continues, as we projected, then we will make a decision to hire that class because we need for them to be brought on board and trained so that we can feel the effects of a savings of overtime, which equates to about $1 million for 24 FTE in 2011.

Senator MURKOWSKI. So when do you make that decision as to whether or not you are at that attrition level that you had anticipated?

Mr. MORSE. What we do is we have our recruiting efforts continue and we have people in the queue to hire. The decision to hire them is made a couple months prior. So for July, we would have to be prepared to make the decision to hire them based on attrition sometime in April or early June.

NEW INITIATIVES

Senator MURKOWSKI. I appreciate the responses that you gave to the Senator from Arkansas about the radio modernization project, where you are with that. And there has been a lot of discussion in this subcommittee about the expense of that undertaking and the need to have this interoperability.

I would like to know a little bit more about these new initiatives that you are proposing, a little over $16 million for new initiatives beyond the radio project. It seems like a lot of funding—a lot of new projects to be taking on at a time when we are looking to really rein in the budget here. As I looked down the list, can you give me your top two or three absolutely, positively must-haves? I am going to make you choose between your favorite children here because I think it will be helpful to know what we can anticipate here in terms of new initiatives.

Mr. MORSE. I am not going to take the fifth.

But I will say up front that two of these initiatives of the eight that you see are force development, meaning they are for the safety and security of the Capitol campus. And that would be, for instance, the modernization of our video management system upgrade. We have already completed the first phase of that, and we would like to be able to complete the second phase of that.

The remaining new initiatives are really from our threat analysis of the campus, and it is in partnership with the Capitol Police Board. So if I go picking anything right now, without my bosses' input, then they will be a little bit mad at me. But I think we can certainly take a look at these.

And as I said before, there are several here that are very expensive but, for instance, in one case, can be funded throughout fiscal year 2014. So the impact of that from a budget standpoint is not that high, but the results of not doing this certainly have an impact on the level of security that we provide.

So I can work with the Capitol Police Board to look at this as a priority and certainly work with the subcommittee to make the best choices we can for the safety of the complex.

Senator MURKOWSKI. I would certainly appreciate that. If it is something in progress—and as I understand what you have just said, the only one that is in progress in terms of phases is the video management system. But of the other items that are listed, I would like to know from a security perspective what the must-haves are.

If there are some that can be done in a phased approach, I would also like to know and understand that.

I am hesitant, while we are in the midst of a very expensive radio modernization project, which again I agree we have got to do, that we be taking on other initiatives that may be nice but not necessary. So I would like to know what the nice and what the necessary are, and if you can help us prioritize that, that would be greatly appreciated.

Mr. GAINER. Senator, I can give him some guidance now. All the ones on the Senate side we should approve. All the ones on the House side can be deferred.

Senator MURKOWSKI. See, you have got your first helping hand right there.

Thank you, Mr. Chairman.

Senator NELSON. Thank you.

I do not know that I have anything further. Do you?

Senator MURKOWSKI. I am done. That was my last question.

Senator NELSON. That was mine too.

I want to thank all three of you and, once again, emphasize how appreciative we are of your staff to continue to work so diligently on our behalf and on behalf of the American people. It is difficult for us to ask you to do more and then ask you to do it with less. We understand that that is a challenge that you face. It is a challenge we face as well. We appreciate your spirit of cooperation and willingness to work with us to find a way through, sort of a way forward for all of us to have security, have services, and be able to accommodate our offices and make certain we do work on behalf of the American people in a more diligent way.

Are you sure that my office did not get all 150,000 of those calls in 1 hour?

ADDITIONAL COMMITTEE QUESTIONS

I thought we got at least that.

So thank you all.

[The following questions were not asked at the hearing, but were submitted to the offices for response subsequent to the hearing:]

QUESTIONS SUBMITTED TO TERRANCE W. GAINER

QUESTIONS SUBMITTED BY SENATOR BEN NELSON

FISCAL YEAR 2011 BUDGET REQUEST

Question. If the Legislative Branch Appropriations bill for fiscal year 2011 is held to current year levels, what will be the impact to your agency's operations and on the day to day operations of the Senate?

Answer. We will be forced to delay some initiatives and cancel others. We will review all of our major spending plans and reevaluate each one, setting new priorities, recognizing the reduced resources allocated to us. As a note, we constantly evaluate our plans and resources and have concluded that about $1 million in the fiscal year 2011 budget for equipment for an Emergency Operations Center is not cost effective and no longer needed.

Specifically, if we do not upgrade network and data storage equipment, we may face increasing maintenance outages and higher future maintenance costs. We also planned to add capacity to State office Internet connections to improve network speed. We will be forced to eliminate that project. As a result, offices will continue to experience slower response times when using the Internet.

PRINTING DEPARTMENT RELOCATION

Question. The Architect of the Capitol's request includes $1.2 million to relocate your Printing, Graphics and Direct Mail operation to a leased space in the Maryland suburbs. Why is this move necessary right now when we are attempting to rein in spending?

Answer. One of our departments currently runs a large printing operation in the basement of a building a few blocks from here. Since 2007, we have had 2 major sewage floods, 2 clean water floods, 4 ceiling collapses of tile or concrete, among other events, that disrupt work, threaten the health of our staff or pose risk of damage to our expensive printing equipment. We have over $20 million in sophisticated equipment in the building. We believe that remaining in the facility will at some time cause an injury to staff or serious damage to our equipment. While we recognize the need to manage spending carefully, we believe this move is justified.

Question. What is the total cost of this relocation?

Answer. The initial cost to set up the facility will be between $7.8 million and $9.7 million depending on construction contingencies. In the long term, the government will save millions of dollars. One a purely financial basis, the government saves money over the life of the lease. The project has a net positive cash flow and a positive return on investment. The positive cash flow comes from significantly reduced rent and operating costs at the new facility compared to rent and operating costs in the heart of the District. We are paying over $54 per square foot today and would pay about $22 per square foot at the new facility. Costs for the space now occupied are projected to be about $36 million over the next 20 years. The proposed facility would cost about $25 million over the same time period. The funds included in the Architect's budget would pay for the rent at the new facility that would be shared by us and the Architect. We believe that the Architect would use the space to consolidate several storage locations into one facility.

UNOBLIGATED BALANCES

Question. Last year, your office identified a substantial amount of unobligated multi-year balances from fiscal year 2006, fiscal year 2007, and fiscal year 2008. What is the total sum of these balances and how can you best utilize these funds to reduce your fiscal year 2011 request?

Answer. We have about $14 million in unobligated balances. Some of these funds can be used to reduce the fiscal year 2011 request, especially some of the capital investments in equipment that we plan to make.

Additionally, there are three important projects that are not fully funded at this time. These are the Telecom Modernization Project, payroll system replacement and the move of our printing operation to a new facility. At the present time, only the costs of the relocation of the printing operation are known. As we clarify our priorities and as costs for TMP and the payroll system replacement become more defined, we will make a recommendation to the Committee on the use of the funds.

Question. Are there remaining balances from fiscal year 2009 as well?

Answer. We expect that all fiscal year 2009 funds will be obligated for the purpose intended and that there will not be unobligated balances as we had in fiscal years 2006–2008.

FISCAL YEAR 2011 BUDGET REQUEST

Question. Your organization has requested a 7 percent increase in fiscal year 2011. As we have discussed, increases are going to be very difficult in a tight budget year. What projects in your fiscal year 2011 request can be deferred for another year?

Answer. If funding is not available, we will defer some of the capital investments in network and data storage equipment, and possibly replacement for video and printing equipment. We also may have to defer development of the Senate Office Personnel System. We will look closely at all of our operations and get back to the Committee with more specific information.

Question. Your request includes $1 million for IT security. What will this cover and what additional funding if any will be required?

Answer. The additional funding will primarily cover continued migration to Symantec Endpoint Protection version 11, which is a vast improvement upon the current software we use for anti-virus protection on individual desktop and portable computers; security assessments and additional monitoring for new projects, including the payroll system and telecommunications modernization; improvements to our IT Security awareness program; and development of an enterprise risk-reduction "dashboard" that will help individual offices view and quantify the risks present in their networks, assess their adherence to security standards and guidelines, and receive rapid feedback on the risk reduction effects of their remediation efforts.

Question. How well is the Senate protected against a cyber-attack?

Answer. We believe the Senate is well-protected, for now. We employ a variety of state-of-the-art security technology, procedures, and training to help defend the Senate network against cyber attacks. However, the frequency, complexity and sophistication of attacks against our systems continue to escalate, particularly in the form of targeted attacks from organized adversaries with adequate resources. The fact that the Senate has not yet suffered a major incident in the face of these escalating attacks is a testament to the people, processes, and technology that we commit to our defense. However, as the Senate continues to rely more heavily on ever-changing Internet technologies that can potentially expose us to new avenues of attack, we must also continue to improve our defenses to keep ahead of our adversaries.

Question. Your request includes $2 million for a "Senate Office Personnel System." Can you explain this?

Answer. This project is to replace the antiquated system many administrative managers and chief clerks use to manage personnel administrative functions such as salaries, leave, and time and attendance. One of the key goals is to integrate office personnel requests with other automated systems to eliminate redundant data and data entry. Once the current requirements gathering effort is completed, we will be able to make a decision whether commercial systems can meet the requirements or whether we will have to develop a system ourselves.

Question. Is this a one-time cost?

Answer. Two million dollars is the estimated implementation cost. Funding for annual maintenance will be required in an amount to be determined after the system acquisition strategy is selected.

COMBINED APPROPRIATION ACCOUNT

Question. What economies do you expect to realize by combining your salaries and expenses into a single appropriation, which you are requesting to initiate in fiscal year 2011?

Answer. A single appropriation account will reduce the 70 monthly manual reconciliations of balances for the accounts we have currently to seven reconciliations for the consolidated accounts. At any point in time, we have seven active appropriations to manage. Each appropriation has 10 subaccounts.

Also, because salaries and expenses will be combined in one structure, managers also will be able to have a complete view of the cost of their operations in one report rather than the two at a minimum currently needed (one for salaries and one for expenses).

Additionally, the current appropriation account structure is a legacy of Sergeant at Arms' organization structure of the early 1990s and the Senate's financial systems at the time. Today, the Senate has a financial system that easily can accommodate a consolidated appropriation and allow the appropriate level of management reporting for tracking both salary and expenses.

TELECOM MODERNIZATION PROJECT

Question. I understand there has been some movement on the telecom modernization project. Can you update the subcommittee on the progress of this $20 million project and whether or not additional funding may be required?

Answer. The design phase of the Telecom Modernization Project has been completed. At this time, we do anticipate that additional funding will be needed for the project. Improvements to the buildings to support the solution have proven more expensive than originally estimated. In addition, new components to improve security and the manageability of the solution were added during the final engineering and design effort. We are evaluating that design against recently announced product roadmaps to determine what changes, if any, should be made to align with the manufacturer's direction. Depending on which of various implementation options is chosen, the additional cost is projected to be between $3.5 million and $8.7 million. We will continue to strive to minimize these increases. Based on these changes we anticipate that testing will begin late this year and that the system will be installed during fiscal year 2011.

TELEPHONE/VOICEMAIL INTERRUPTION

Question. What steps has your office taken to address the interruption in telephone and voicemail service that the Senate experienced during the Health Care Reform debate last summer?

Answer. We have identified and rectified several issues over the past months to improve the reliability of the system, which will address most of the issues that we experienced. However, there is an issue we cannot resolve with the current voice mail system: it can handle only 132 simultaneous callers being redirected to voice mail. That number is not sufficient in this time of organized call-in campaigns and increased reliance on the voice mail system for screening callers. In the longer term, we will be installing a new voice mail system, which will have 782 ports, as one of the early efforts of the new telephone system implementation.

SENATE EMERGENCY NOTIFICATION SYSTEM

Question. There was an event last year where the Senate community was not immediately notified of an emergency which caused many road closures and interruptions to traffic in and out of Senate parking lots. What have you done to improve your system for alerting offices during an emergency that affects the Senate community?

Answer. The Sergeant at Arms works closely with the USCP Command Center to ensure the Senate community is notified of potential impacts throughout evolving emergency situations. To assist the Command Center in keeping the Senate community informed, the Sergeant at Arms moved a full time employee to USCP Headquarters to provide a presence during normal work hours for real-time information relay. Furthermore, a Sergeant at Arms employee fully trained to issue notifications is present in the Command Center after normal work hours while the Senate is in session to support communication between USCP and the Senate community.

QUESTIONS SUBMITTED BY SENATOR LISA MURKOWSKI

SALARIES

Question. I understand the Sergeant at Arms (SAA) has successfully filled 25 positions since our hearing last year. What impact has that had on your operations?

Answer. We have filled over 25 positions since the hearing last year. The impact has been real and substantive and has occurred in nearly every department. For instance, in Technology Development, one major outcome of filling several vacancies during the year was the very successful launch of the virtual machine infrastructure service. This service allows Senate offices needing new servers to build logical servers in the SAA physical environment at Postal Square at a fraction of the cost of buying their own physical servers. In addition to the cost savings, there are significant savings in office space, power, noise, and air handling for these offices. Several of the employees recently hired were instrumental to this successful launch. Another new staff person will implement electronic leave request and approvals for our staff, replacing the manual, tri-part forms now used. This project has been planned for 18 months and can be completed now with the position filled.

In Capitol Facilities, we added a night manager and filled three vacancies in the night cleaning crew. We needed a manager to oversee the work of the 34 staff that keep the Senate side of the Capitol well maintained. We have observed a higher degree of good order in the Capitol and OSHA compliance since these staff were added.

Question. I understand there are 23 positions currently vacant and that the budget request seeks 7 new positions, proposing to convert 6 of those into contract employees, for a net gain of 1 new position in fiscal year 2011. If we approve the budget request as presented, there will be 24 vacancies in SAA. What would be the impact of not filling those 24 positions? Which services that you provide would have to be scaled back or eliminated?

Answer. In the case of filling the existing positions, the most immediate and significant impact will be delay in completing current work. Member office and committee staffs expect rapid turnaround on work order and service requests. These response times will lengthen somewhat for certain services.

In the case of the newly requested positions, following are explanations of their need.

In addition to providing support for information technology, telecommunications and general office equipment and applications, IT Support Services has seen its less visible responsibilities expand rapidly over the past 2 years in the areas of contractor oversight, financial management of contracts, and asset management. The escalating workload has resulted in a strong need for additional FTEs to handle the growing demands.

Three FTEs are requested for the Constituent Services Systems Coordination section, one of the areas hardest hit by increasing contract oversight and financial management duties. During the past year, due to office demands, we added a new vendor to the list from which offices could select a constituent services system. Because of the complexities of the CSS contracts, each contractor is assigned a separate contracting officer's technical representative from the CSS Coordination section. With the addition of the newest CSS vendor, the COTRs are forced to concentrate primarily on ensuring the contract terms and conditions are met. The critical financial management of the contract has become, at best, a tertiary duty for the COTRs. This new FTE is vital to our ability to fully manage the financial aspects of the CSS vendor contracts and ensure the Senate is receiving the best value for its money.

The CSS Coordination section, again due to office demand, is now also tasked to provide oversight and support to three new categories of contracts covering the areas of website development, SharePoint integration, and member scheduling software, with multiple vendors in each of those areas. An office can select a vendor from each of those categories to perform work. Because current staff levels do not allow us to provide adequate oversight for these new areas, we now have an additional vendor onsite to oversee the website development contracts. We believe it is vitally important for us to have these responsibilities in-house due to the sensitive nature of information that must be gathered from offices. Having contractors oversee other contractors is not in the best interest of the offices. The additional FTEs would allow us to absorb the increased workload caused by the new contracts and provide the type of detailed contract oversight that the Senate community expects.

The Asset Management section has also seen an expansion of duties as a result of the need for more accurate State inventories, the addition of service levels to the work being done for offices, and additional workload caused by the two new $5 million party recording studios. Previously, GSA assisted with State office inventories. GSA staff does not have adequate knowledge of the types of assets the Senate must capture, and, over the past 2 years, they have been unable to perform the inventories at the rate at which we need them. This has resulted in inaccuracies in State offices inventories and the need for time-consuming research to ensure offices are not forced to pay for equipment that may not be missing, or pay twice for equipment that is missing. The new equipment for the party recording studios must also be tracked by the Asset Management section. The equipment is staged off-site and in smaller components that are aggregated together to form larger units. The only way to ensure accuracy of these inventories is to send Asset Management staff to the off-site location leaving the rest of the section short-handed. Without the new FTE, we will continue to have issues with State offices inventories and GSA interactions and will not be able to provide the level of oversight needed for the $10 million worth of Senate assets in the studios.

Our Printing, Graphics and Direct Mail group seeks to add a systems administrator position. Providing immediate systems support and troubleshooting is essential to maintaining a constant work flow. PGDM's networked equipment is in six separate locations, and troubleshooting, maintenance and general oversight is impossible for the current single systems administrator.

PGDM's one systems administrator will not be able to maintain efficiency and quality service for future hardware/software acquisitions and for increases in production data. No back up for the systems administrator means less support to Postal Square, Senate Support Facility and ACF facilities. Another year's delay in filling this essential position will ensure delays in service to PGDM equipment, PGDM employees and customers.

Question. How much money would you save?

Answer. We could save about $1.5 million were these positions not filled.

EXPENSES

Question. The budget request includes $2 million for replacement of the Senate Office Personnel System (SOPS). Please explain why replacement of SOPS is necessary at this time.

Answer. One of the key goals of the project, as expressed by administrative managers and chief clerks, is to integrate office personnel-related requests with other automated systems to eliminate redundant data and data entry. The current system is built on technology no longer supported by its vendor, which leaves the application at risk to potential exploits and makes integration with related Senate systems more costly and difficult, if not impossible.

Question. Has a replacement system already been identified? Is the $2 million requested the total amount needed for the new system?

Answer. We have not yet chosen a replacement system. Once the current requirements gathering effort is completed, we will be able to make a decision to what degree commercial systems can meet the requirements and to what degree we will have to develop the system ourselves. The $2 million represents the estimated implementation cost. Funding for annual maintenance will be required in an amount to be determined after the system acquisition strategy is determined.

UNOBLIGATED BALANCES

Question. I understand that SAA has approximately $14 million available in unobligated balances from fiscal year 2006–2008. Do you have any anticipated needs for these funds?

Answer. There are three important projects that are not fully funded at this time. These are the Telecom Modernization Project, payroll system replacement and the move of our printing operation to a new facility. At the present time, only the costs of the relocation of the printing operation are known. As we clarify our priorities and as costs for TMP and the payroll system replacement become more defined, we will make a recommendation to the Committee on use of the funds.

TELECOM MODERNIZATION PLAN

Question. The fiscal year 2011 budget request includes an increase of $2 million in the telecommunications portion of the budget, which is necessary to maintain two systems in tandem throughout the installation of the new system—possibly 18–24 months. Will this $2 million increase cover the maintenance costs for the entire installation phase, or will additional funding be requested in fiscal year 2012?

Answer. We will not request additional funding for maintenance in fiscal year 2012. We anticipate that the new system will be installed in fiscal year 2011 and that the cost to do so will include maintenance for the first year. Because maintenance costs on the new system will be lower than on our current system, no additional funding will be needed for fiscal year 2012.

Question. Please give us an update on the Telecom Modernization Plan. What is the status of the $21 million that was previously appropriated for this project?

Answer. We have awarded contracts for about $8.6 million for the following: engineering and design ($2.1 million); electrical and HVAC improvements in Senate office buildings ($5.1 million) and independent third party reviews and validation of the design ($1.4 million).

At this time, we anticipate that additional funding will be needed for the project, although as mentioned above, we may be able to use some of our unexpended balances from prior years. Improvements to the buildings to support the solution have proven more expensive than originally estimated. In addition, new components to improve security and the manageability of the solution were added during the final engineering and design effort. Depending on which of various implementation options is chosen, the additional cost is projected to be between $3.5 million and $8.7 million. We will continue to strive to minimize these increases.

Question. Are you ready to begin the implementation of the new system?

The design phase of the Telecom Modernization Project has been completed. We are evaluating that design against recently announced product roadmaps to determine what changes, if any, should be made to align with the manufacturer's direction. Upon completion of this evaluation, we anticipate that testing will begin later this year and that the system will be installed during fiscal year 2011.

PAYROLL SYSTEM UPGRADE

Question. Please give us an update on the payroll system upgrade, which we funded in fiscal year 2010 at the requested level of $2 million.

Answer. The $2 million in the fiscal year 2010 budget will cover software maintenance costs for both the old and new software and the cost of the project management office and independent verification and validation of the implementation project. The original estimate for implementation was $5 million, but this is only a rough estimate. Responses to the solicitation are due at the end of March, at which time we will have a range of costs and will be able to determine what the cost for implementation would be.

Answer. Would utilizing a portion of the current unobligated balances to fund the contract award for implementation of the new payroll system complete the funding necessary for this project?

Answer. As noted above, there is a possibility that these unobligated balances can be used for the payroll system upgrade. We will work with the Committee as we review our priorities and funding options.

PRINTING, GRAPHICS AND DIRECT MAIL RELOCATION

Question. SAA is in the beginning stages of developing a plan to move the printing facility to a suburban warehouse in Landover, Maryland. Projected upfront costs of this relocation could be approximately $7.5 million. What will be the long-term savings associated with this relocation?

Answer. Net savings in rent and other operating expenses would be $11 million over the life of the lease or approximately $500,000 per year when compared against the much higher cost of leasing space in the current D.C. facility.

Question. What is the timeframe for making the decision about relocation?

Answer. Ideally, the decision to relocate the printing facility will be made in the next 60–90 days in order to take advantage of currently available space and cost estimates.

Question. Why is a warehouse in Landover, Maryland a better location than somewhere closer to Capitol Hill?

Answer. The current D.C. facility has a decaying infrastructure which is not being addressed by the owners/lessee and presents no opportunity for our production plant to grow as we expect the requirements to entail. Other locations near Capitol Hill do not have sufficient open spaces that allow for the efficient layout of machinery. The Landover facility also would be in close proximity to the Senate's warehouse which would permit economies to be realized by use of common transportation equipment.

QUESTIONS SUBMITTED TO PHILLIP D. MORSE, SR.

QUESTIONS SUBMITTED BY SENATOR BEN NELSON

SALARY MISCALCULATION

Question. Chief Morse—I want to better understand the circumstances surrounding the salary miscalculations which you recently discovered and their impact on your fiscal year 2010 appropriation. The Capitol Police has long been plagued with financial management problems and I had hoped we were moving in the right direction in that regard.

Regarding the budget shortfall, Chief you say you have identified potential reductions in the fiscal year 2010 General Expenses account that could, with this committee's approval, provide funds to be transferred to the Salaries account. What specific reductions are being considered?

Answer. To address our projected salaries shortfall in fiscal year 2010, the United States Capitol Police has conducted an internal review of available funding and have identified potential areas for the reprogramming of funds. In doing so, the Department's primary focus has centered on its ability to maintain its security and law enforcement mission, as well as mitigate potential impacts to human capital programs affecting its workforce.

The funds identified for potential reprogramming include funding to support lifecycle replacement of technology, technology upgrades, integration of technology systems, internal and external training and lifecycle replacement of uniforms and equipment, as well as general administrative mission support functions.

The elimination of these funding sources in fiscal year 2010 will delay the Department's established lifecycle replacement processes and result in greater fiscal needs in future years, but it will not affect the security of the Capitol Complex. Further, while it will also hamper the Department's ability to invest in professional and technical training for its workforce, the Department will continue to provide mission critical mandatory and certification training.

Additionally, for the remainder of fiscal year 2010, the Department will fill mission critical civilian vacancies through civilian attrition salaries savings from within an 393 civilian strength target. As civilian positions are vacated through attrition, the vacated position will be added to our comprehensive civilian vacancy lists based on an analysis of mission critical requirements. Available salaries funding will be directed to the next position on the prioritized civilian vacancy list for backfill.

In an effort to make the necessary adjustments to our fiscal year 2011 budget request, and to remain close to our fiscal year 2010 enacted appropriation, I have determined that we will limit our onboard civilian strength to 393 in fiscal year 2011, unless a mission critical requirement makes it necessary to exceed that level. Therefore, I would respectfully request that we retain the budgetary authority for our authorized civilian positions above our target civilian staffing level of 393, so that the Department may take the necessary hiring actions to meet unforeseen civilian hiring requirements within appropriated funding levels.

In addition, fewer sworn officers are leaving the Department. This has reduced the Department's need to backfill officer attrition, which has resulted in available funding that would have otherwise been used to recruit, hire, train and equipment new officers.

Later this fiscal year, the Department has indicated that it plans to reevaluate the projected salaries shortfall and will make a request to the Committee at that time for the reprogramming of necessary funds to its salaries account.

Question. I would like you to provide this subcommittee with a detailed plan outlining the sources of funding you will use to cover this shortfall within 30 days.

Answer. The Department has "fenced" the identified funding referenced above (total of $5.886 million in annual general expense funds and $1.385 million in no-year and 2-year funds). The Department plans to reevaluate the salaries shortfall during the fiscal year third quarter, at which time we will identify the funding necessary to meet the salaries shortfall. Based on this reevaluation, the Department plans to submit a request for the approval of funds reprogramming. To ensure we have "fenced" sufficient funding to address this issue, the Department based its salaries shortfall projection on a worst case scenario. (Currently estimated at $6.8 million.)

Because of the security sensitive nature of the information included in the Department's response to this question, I am respectfully providing my specific response under separate cover. I would, therefore, request that the information provided in that document not be included as a part of the public record.

Question. This committee gave your department a 7 percent increase in salaries in fiscal year 2010 to maintain your current workforce, yet we were still short. The actual total needed for fiscal year 2010 is nearly 10 percent over 2009. How do you explain this increase to simply maintain your staffing level?

Answer. The Department began fiscal year 2009 with close to its authorized level of 1,702 officers as of September 30, 2008. With the Library of Congress Police merger, the backfill of LOC sworn attrition and the coverage of the CVC tunnels requirement, our authorized level increased in fiscal year 2009 to 1,799. The transferring LOC sworn employees were added to the USCP payroll during the last 4 days of fiscal year 2009, but the larger authorized staffing level required for these employees was carried for the entire fiscal year in 2010.

Likewise on the civilian side, the authorized levels increased from 418 in fiscal year 2009 to 444 in fiscal year 2010. This increase of 26 civilians resulted from the 21 former LOC sworn officers transferring as civilians to the Department on October 11, 2009 and the addition of 5 radio technicians to support our new radio modernization project. These increases in sworn and civilian staffing levels contributed to the nearly 10 percent increase.

Question. You have made significant personnel changes within the administrative side of your agency. Do you feel you have the right personnel in place to put together an accurate budget? If not, how do you plan to prevent this from happening again?

Answer. Over the last 2 years, we have hired a number of employees who we felt possessed the requisite knowledge, skills and abilities to resolve the ongoing systemic problems within our financial management area.

Unfortunately, in fiscal year 2010 the formulation of our budget did not follow our repeatable budgeting process, to include our Force Development review for the evaluation of specific mission requirements and potential new programs. This deviation from the prior fiscal year process resulted in the resubmission of our fiscal year 2010 budget and a resulting salaries shortfall. The fiscal year 2010 salaries miscalculation was carried forward into our fiscal year 2011 budget formulation as well.

The USCP Inspector General (OIG) is currently auditing the budget development processes for fiscal year 2010 and 2011 to determine the reasons for the budget formulation miscalculations and why the fiscal year 2009 budget process was not utilized as a repeatable process.

While the OIG audit is being conducted, the Department is reviewing the overall financial management function of the Department to determine the best method for achieving the budget, accounting and procurement functions.

The outcome of the OIG audit, our internal business process review, and our continued interaction with the Capitol Police Board, the Government Accountability Office and oversight committees, we believe will assist the Department in developing permanent solutions for resolving the systemic financial management problem.

FISCAL YEAR 2011 REQUEST

Question. How confident are you that the revised fiscal year 2011 numbers you provided to us are accurate?

Answer. Upon finding the fiscal year 2010 salaries miscalculation, the Department notified the Capitol Police Board in its budget oversight capacity. To assist the Department in preparing a fiscal year 2011 budget amendment with accurate and verifiable information, the Board convened a budget review panel consisting of the Chief Financial Officer for the Senate Sergeant at Arms, the CFO for the Architect of the Capitol (AoC), the Director of the Office of Security Programs for the AoC, and a technical expert from the House Sergeant at Arms Office. Based on this review and the review of the Department's Executive Team, we believe the revised fiscal year 2011 submission is accurate based on the assumptions at the time of development.

Question. Your fiscal year 2011 request assumes an increase of 52 officers and roughly $30 million in overtime costs. How much will it cost to maintain your current staffing levels in fiscal year 2011 without the additional officers you requested?

Answer. To maintain current staffing levels of 1,800 sworn and 393 civilians in fiscal year 2011, the Department will require $342.9 million in Salaries and General Expenses, as well as an additional $15.9 million to complete the indoor coverage portion of the radio modernization project. This does not include funding for the special initiatives included in our fiscal year 2011 budget submission.

Question. Have you realized any savings as a result of the GSA fleet-leasing initiative?

Answer. From the initial review of the leasing program in fiscal year 2009, we estimated a potential cost savings over a 5 year period of $2 to $3 million at our current primary fleet size. This projected savings reflects the difference between purchasing lifecycle replacement vehicles for our primary fleet and leasing the vehicles from the General Services Administration (GSA). So far, we have realized work hour savings in efficiencies in the vehicle surplus/disposal process through GSA. More importantly, we are in a consistent lifecycle replacement process for our primary fleet, which is critical to our mission capability.

Question. You mentioned in your testimony, that half of the civilians you are requesting in fiscal year 2011 will replace contract employees. Will adding these individuals to your workforce actually save money?

Answer. First, I would like to clarify a reference in my testimony that was derived from our fiscal year 2011 budget submission. In our fiscal year 2011 budget submission, we indicate that all five of the new Office of Information Systems civilian positions, as well as the additional budget analyst position for the Office of Financial Management, which we are requesting would replace contractors, when in fact only two of the five OIS positions are requested in order to replace contractors. Therefore, only three of the civilian positions being requested in fiscal year 2011 would replace contractors.

To address your specific question, yes, we believe that adding these individuals to our workforce will save money. We are requesting to convert the annual general expense cost for the two contractors which is approximately $405,000 to salaries to support two new civilian positions, a CP–11 and a CP–7, which fully loaded have an annual FTE cost of approximately $225,000. In future fiscal year budget requests we intend to request additional conversions where it makes fiscal sense.

In the Information Technology field, for example, it is not uncommon for FTE cost to be lower than contractor cost. In situations where we have Information Technology staff augmentation contractors that cost more than the fully loaded cost of an FTE equivalent we should pursue a conversion. OIS conducted an informal review and determined it could save over $1 million per year by addressing these and other contractor conversions.

Question. You are requesting $16.2 million in "new initiatives," including hallway security, House and Senate garage security, and several AOC projects. Could these items be deferred, or funded in phases?

Answer. If these projects are deferred, the vulnerabilities that they are designed to mitigate would remain. Some of these projects could be funded in phases.

Because of the security sensitive nature of the information included in the Department's response to this question, I am respectfully providing my more detailed response under separate cover. I would, therefore, request that the information provided in that document not be included as a part of the public record.

MANPOWER REDUCTIONS

Question. What effect has the merger with the Library of Congress police had on the USCP's salaries and overtime thus far? What additional changes, if any, are expected to result from the merger?

Answer. In fiscal year 2010, the Department received funding to support the sworn and civilian employees who transferred from the Library of Congress (LOC)

Police to the Department as a part of the Library of Congress Police/USCP Merger. When the funding for overtime was requested for fiscal year 2010, the fiscal year 2009 overtime executed as a part of the LOC's appropriation (approx. 17,000 hours) was not requested to be included as an increase to the Department's overtime base. Therefore, the Department absorbed these mission requirements into our base for fiscal year 2010.

Following the implementation of the merger, the Department load-leveled the LOC Division's sworn personnel allocations with other mission requirements across the Department. This resulted in an overtime allocation of 560 hours of overtime from within the USCP overtime base per week to meet current mission requirements associated with the LOC Division.

Currently, the Department is reviewing the results of our physical security and threat assessments that were conducted on the LOC Buildings post-merger. We are in the process of evaluating potential mission set adjustments that may result in sworn personnel and overtime savings. Resulting savings would be placed against existing mission requirements across the Department. Once we have concluded this review and analysis, we will vet potential changes through the Capitol Police Board and appropriate stakeholders for consideration.

Question. Having conducted risk assessments, security testing, and coordinating intelligence with other Federal law enforcement agencies, in your opinion, do you have the right mix of officers, technology, and equipment to provide for the security of the Capitol Complex?

Answer. To better manage our resources and to work toward determining the requirements needed for the Department to meet its mission, we undertook, with full support of our committees, a staffing study in 2007 focused on the core mission requirements at that time. This study resulted in a target sworn officer utility of 1,560 in an optimum resource environment, which includes a level of overtime needed to address unplanned events.

USCP plans and projects its resources, to include overtime (OT) requirements, based on this target 1,560 hours annual utility for each USCP officer. This number includes the use of leave both scheduled and unscheduled, holiday, training, and administrative time for each officer.

To determine the overall current staffing requirements for our mission in fiscal year 2010, the Department balanced the scheduled core mission requirements of today, projected unscheduled events (demonstrations, state funerals, heads of state visits, etc.), unfunded core mission requirements (those that have been added after the annual budget submission and appropriation of funds for the current fiscal year), and available annual salary and overtime funding to determine the level of sworn officer utility required to perform the mission of Department.

The Department's current authorized sworn strength does not provide the necessary utility to meet current core mission requirements within the target 1,560 utility. This was determined by applying the 1,560 utility hours against the hours necessary for base core mission requirements. The remaining hours must be met through overtime, post reduction, the use of technology, or reductions from within the utility, such as training.

To maximize the utilization of resources, the Department balances a number of factors as noted above. For example, in an effort to control overtime costs, the Department must maintain a robust sworn strength throughout the year. Therefore, the onboard sworn strength must remain at or above the authorized sworn strength to accommodate attrition without increasing the resource gap. This allows the Department the maximum sworn officer utilization to meet core mission requirements.

However, in doing so, the Department is utilizing its appropriated salary funds to their maximum potential throughout the year. A by product of this level of funding utilization is the potential slowing of civilian hiring to allow for the funding availability for sworn hiring.

Further, the Department has an average of 40–60 sworn officers in recruit training during various parts of the fiscal year, which results in these sworn officer utility hours not having an immediate direct impact of the reducing the resource gap upon their entry on duty with the Department. Generally, recruit officers hired and trained after March of any given fiscal year will not have a impact on reducing the resource gap until the next fiscal year, assuming that the core mission does not increase or projected attrition is not exceeded.

In an effort to reduce requirements and narrow this gap, the Department has worked with the Capitol Police Board and its oversight committees to review possible requirements reductions. In fiscal year 2008 and fiscal year 2009, the Department closed a number of non-security posts, which allowed the Department to remain within the appropriated salary and overtime funding levels.

To further reduce the resource gap, the Department has looked at a number of opportunities to civilianize positions currently performed by sworn officers, so these sworn staffing resources may be realigned to meet other core mission requirements. In fiscal year 2009, the Department utilized available civilian positions to return former USCP employees from the Department of Labor's Worker's Compensation Roll to the Department's Communications Section. This allowed the Department to utilize civilian personnel to perform the security camera and alarm monitoring function in-house, rather that using contractors. Further, this allowed the Department additional general expense funds for potential use on technology, as well as allowing for some realignment of sworn resources.

Additionally, the Department civilianized 26 sworn positions in the Library of Congress command center during the LOC Police and USCP Merger. This allowed the Department to utilize civilianizing former LOC Police employees to perform the Command Center functions and realign sworn resources to other core mission requirements.

The Department is currently reviewing other areas that may result in civilianization of posts, which may provide additional available sworn officer utility. As these are developed, they will be vetted through the Capitol Police Board and appropriate stakeholders for consideration.

Even with these reductions efforts and the use of technology, the remaining requirements currently exceed the Department's appropriated overtime funding level. Therefore, the training hours contained within the 1,560 officer utility must be utilized to meet the requirements gap between available sworn officer resources and requirements.

An analysis was conducted by USCP with available data to estimate the current sworn officer utility, which is estimated in an approximate range of 1,650–1,725 per officer annually, including overtime. Almost all of these utility hours are used in support of USCP core mission requirement. Based on this estimated utility range, the Department is not currently meeting its 80 hour annual training target as contained in the target 1,560 sworn officer utility described above.

A random sampling of USCP officers in the Uniform Service Bureau (USB) indicates that approximately 7–20 hours were actually used for training in fiscal year 2009, vice the 80 hours allotted for training in the utility calculation. By focusing this analysis on USB, we are addressing the largest sworn population within the Department. This analysis did not include USCP specialty units such as K9, CERT or HDS and DPD.

The reduction of training hours will not have an immediate impact on the USCP mission. However the long term impact of reducing core training hours, will impact the recertification of officers in certain programs, may affect officer response capability and may result in the overall degradation of the proficiency of our officers to meet their mission. All of these will result in greater risks to the Department and create a cycle that will have long-term impacts on the Department.

In an effort to address this training matter before it becomes a serious issue and work toward the optimum sworn officer utility of 1,560, the Department has requested overtime funding to support a minimum of 16 hours of training for 1,500 sworn officers in fiscal year 2011. Because our current onboard officers cannot work increased overtime levels for the long-term without affecting their effectiveness, we are also requesting 52 additional officers to begin to narrow the resource gap while allowing for the minimum annual training level described above. These two resource requests are a part of a larger balance that the Department is attempting to reach between the use of personnel, overtime, technology and mission balance to meet required core mission requirements.

Question. What effect have these assessments had on post openings and closings? To what extent are there opportunities for further post closings?

Answer. In an effort to reduce mission requirements and narrow the sworn utility gap referenced above, the Department has worked with the Capitol Police Board and its oversight committees to review possible requirements reductions. In fiscal year 2008 and fiscal year 2009, the Department closed a number of non-security posts, which allowed the Department to remain within the appropriated salary and overtime funding levels.

To further reduce the resource gap, the Department has looked at a number of opportunities to civilianize positions currently performed by sworn officers, so these sworn staffing resources may be realigned to meet other core mission requirements. In fiscal year 2009, the Department utilized available civilian positions to return former USCP employees from the Department of Labor's Worker's Compensation Roll to the Department's Communications Section. This allowed the Department to utilize civilian personnel to perform the security camera and alarm monitoring function in-house, rather that using contractors. Additionally, this allowed the Department additional general expense funds for potential use on technology, as well as allowing for some realignment of sworn resources.

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The Department is currently reviewing other areas that may result in civilianization of posts, which may provide additional available sworn officer utility. As these are developed, they will be vetted through the Capitol Police Board and appropriate stakeholders for consideration.

It is important to note, in order for the Department to reduce overtime utilization, the mission requirements expected of the Department cannot increase. Otherwise, the Department will be required to request additional overtime or staffing to meet the new requirements.

Question. Chief, one of the big issues you and your department face each year are the ever-mounting responsibilities that require the use of more and more overtime. I think you should consider a study to determine the feasibility and wisdom of contracting out some of your technology-related tasks, such as x-ray machines and magnetometers, to highly trained civilian technicians. This will free up your sworn personnel for other more traditional law enforcement activities. Obviously, sworn personnel will still provide appropriate law enforcement support and action at doors, as appropriate. What are your thoughts on this?

Answer. Prior to the 1998 shooting of two USCP sworn officers in the Capitol Building, we had instituted a staffing model that would place one unarmed civilian security aide at various entry points to operate the metal detectors and x-ray machine, as well as a single police officer to take law enforcement actions.

Based on our analysis of the 1998 shooting and reviews of other similar situations around the nation, we know that the confrontation point for an armed intruder will be at the screening locations. Therefore, we instituted a staffing model that eliminated the civilian position and replaced it with a sworn officer to improve security and the ability to confront an armed attack.

It is recommended that we maintain that model at building entry points.

That said, we will undertake a study to determine if we can place civilian screeners at select secondary screening points at interior building locations and will report the findings back to the Committee once completed.

Question. If you are held to your fiscal year 2010 appropriation in fiscal year 2011, what adjustments could you make to your request to maintain current staffing?

Answer. Within the context of reviewing our budget requirements at or near the fiscal year 2010 appropriations level, the Department has undertaken a comprehensive review of its fiscal year 2011 salaries and general expense request. The review was intended to determine the core mission requirements necessary to operate at our current staffing level (1,800 sworn and 393 civilian) in fiscal year 2011, while maintaining the ability to carry out our core mission.

Because of the fiscal year 2010 salaries miscalculation, our fiscal year 2011 salaries mandatory base funding requirement is higher than anticipated. In an effort to reduce the overall fiscal year 2011 budget requirements (both salaries and general expense), we are attempting to reduce all non-mandatory general expenses from our no-growth request.

As the Committee is aware, our fiscal year 2011 budget amendment resulted in a $9 million difference between our original and revised fiscal year 2011 request. However, in our effort to develop a fiscal year 2011 request at or close to our fiscal year 2010 appropriated level, the Department anticipates that we will require in fiscal year 2011 an estimated $14 to $16 million in funding above of fiscal year 2010 appropriated level in order to meet our current staffing and mission levels, to include the carryover of the fiscal year 2010 salaries miscalculation.

We are again reviewing our fiscal year 2010 general expense base to look for potential areas to reduce this overall funding requirement and plan to submit to the Committees by the end of the second week of April, an fiscal year 2011 base requirements budget to support our core mission requirements.

Question. The fiscal year 2011 budget justification states that the 52 new sworn officers you are requesting would not reduce overtime until at least 2012 because of the time it takes to train an officer. What longer-term strategy does the USCP have to reduce overtime?

Answer. There are two factors which affect the Department's ability to reduce its overtime utilization: (1) sworn utility and (2) additional mission requirements.

To better manage our resources and to work toward determining the requirements needed for the Department to meet its mission, we undertook, with full support of our committees, a staffing study in 2007 focused on the core mission requirements at that time. This study resulted in a target sworn officer utility of 1,560 in an optimum resource environment, which includes a level of overtime needed to address unplanned events.

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Question. With the country in the midst of an economic crisis, attrition rates have been lower than usual. Has your department seen lower attrition rates? Have you taken this into consideration when preparing your budget request?

Answer. Yes, USCP has seen an unprecedented lower attrition rate (almost half of what would be normal). This was factored into the re-formulated budget for fiscal year 2011.

RADIO MODERNIZATION PROJECT

Question. On September 30, 2009, the Committee received the first funding obligation plan pursuant to the fiscal year 2009 Supplemental Appropriations Act that provided $71.6 million for the USCP radio modernization project. That funding obligation plan specified $3.5 million for the design and construction of the mirror site facility to house the radio system's technical requirements. Who is doing the actual design of the mirror site and when will it be completed?

Who will be doing the construction of the mirror site and when will it be completed?

Answer. The design and construction of the mirror site will be done by Verizon and its contractors under the supervision of the AOC and USCP. The design is scheduled to be completed by July 15, 2010 and the construction build out is scheduled to be completed by March 2011.

Question. When can the Committee expect to receive the next obligation plan?

Answer. The Committee can expect to receive the next obligation plan in March 2010 then another one in April 2010.

Question. Will the $16 million requested in fiscal year 2011 be the final funding request for this project?

Answer. That is our intention and is our plan. At this point in time, the estimate for the total cost of this project is just over $91.9 million. The total amount appropriated (assuming the $16 million in fiscal year 2011) is $97.562 million, leaving a contingency fund of $5.655 million.

Should we need to utilize contingency funds during the project, the Department plans to notify the Committees and provide an explanation for its utilization.

Additionally, the Department plans to provide an update on the status of the radio modernization project to the Committees in the near future. As a part of this update, we will provide additional information on the development and status of our budget estimates, a current status of funds utilization, the status of the various phases of the overall project, and our revised obligation plan for the appropriated and requested funds.

Question. With only $3.5 million obligated of the $71.6 million that was appropriated in the fiscal year 2009 supplemental, is it really necessary to have an additional $16 million in fiscal year 2011?

Answer. Yes, it is necessary. Without the additional funding, there will be insufficient funds to complete the project. The total cost of the project is estimated to be $91.9 million, and that is without any contingency fund. The additional $16 million in funding will bring the total appropriated amount to $97.562 million which should be sufficient to complete the project and to provide for a small contingency fund.

Currently, there is an Obligation Plan that was recently sent to the House and Senate Appropriation Committees seeking permission to obligate another $9.9 million. Another obligation plan will be prepared in April 210 for approximately $12 million. This summer, once the Request For Quote process is completed over $34 million should be obligated with most of the remaining funding obligated in the fall of 2010.

Question. What are the consequences of delaying or phasing this $16 million?

Answer. The completion of the project would be delayed month for month for any delay in funding beyond October 2010. Many of the components of the project have long lead times for order delivery and then they have to be installed within the campus buildings. In order to complete the project by spring of 2012, the infrastructure and installation work must start in Spring 2012. Delaying the project would mean continuing to operate longer with an aging analog radio system that is becoming more difficult and more expensive to maintain.

Question. When do you anticipate having the new radio system completely installed and fully operational? Will there be a multi-phase implementation plan?

Answer. The project is scheduled for completion during Spring 2012. The most challenging part is the in-building wiring and installations in 16 different buildings/facilities including the Capitol Building. Though this work is expected to take about a year, there are always unforeseen issues when doing this type of work in these buildings. Also, if the in-building wiring work is not allowed to start prior to the passage of the fiscal year 11 budget, then the schedule is in jeopardy.

The project itself is divided into five phases as follows: Phase 1: Cost Analysis; Phase 2: System Design; Phase 3: Procurement, Integration and Installation; Phase 4: Acceptance Testing; and Phase 5: Operations and Maintenance.

We are currently entering into Phase 3. Within Phase 3, implementation will be conducted in a parallel approach. Inside work, outside work, facilities construction, etc. will be done in parallel; the goal is to have all the component pieces completed by September 2011 in order to then conduct system integration and testing. The "go-live" migration plan will have a single cutover event from the analog system to the digital system.

Question. When this system is completed, will it be fully interoperable with the systems of other first responders in this jurisdiction that are key partners to the day-to-day activities of the U.S. Capitol Police? Who does the USCP view as its key partners? Has the USCP, or NAVAIR on behalf of the USCP, consulted with those partners on the radio requirements to ensure interoperability?

Answer. Yes. The P25 Digital radio system was designed to be fully interoperable.

Our key partners are MPD, D.C. Fire/EMS, Office of the Attending Physician, FBI, U.S. Secret Service, U.S. Park Police, WMATA Police, and Amtrak Police.

Yes, the USCP is currently working on creation and updates on MOUs with all of the above mentioned agencies. The MOUs will include the Standard Operating Procedure (SOP) for the interoperability to occur. USCP, NAVAIR and the various agencies need to have further detailed meeting to determine the technical details for this. NAVAIR has the IP gateways, needed for interoperability, included in the cost estimate to perform this effort.

Question. The Committee remains concerned that all aspects of this significant procurement for the USCP will be openly and fairly competed. What assurances do you have from NAVAIR that this is the case?

Answer. Early in the program effort, in the review of the requirements document NAVAIR developed a broader specification to meet the requirements of the USCP radio program and to preclude any vendor specific solutions/capabilities. NAVAIR is not utilizing in-house, existing contracting vehicles for the required materials. NAVAIR is independent of any particular vendor, and are vendor agnostic. NAVAIR has engaged their designated Contracting Authority who is adhering to the Federal Acquisition Regulations and clauses, promoting full and open competition. Their Contracting Authority has issued Request For Information's for all significant procurements for the USCP effort. NAVAIR has assessed the RFI's against the specifications and are developing the Request For Proposal to be broad enough to include all of the vendors found to satisfy the requirements for the USCP radio program. Additionally, through extensive market research, NAVAIR knows there are vendors capable of satisfying the requirement and if these vendors did not respond to the RFI they still have the opportunity to respond to the RFP.

ADDRESSING THREATS TO SENATE OFFICES

Question. What is your normal procedure when a threat is received against a member of the United States Senate? My office is somewhat frustrated at the lack of response received from the Threats Division after a threat was called into my office.

Answer. The United States Capitol Police Investigations Division provides a broad range of investigative services in support of the Department's protective mission. The Investigations Division is comprised of the Criminal Investigations Section (CIS), Threat Assessment Section (TAS), and the Intelligence Investigations Section (ISI). One of the key components to our protective mission is our ability to manage and investigate threats to the Congressional community. The Investigations Division continues to provide an investigative response to subjects who make direct or implied threats, or who demonstrate unusual or concerning behavior toward any USCP interests. Threats are conveyed in a variety of means to include in-person contact, telephone calls, and/or written correspondence/emails. Once notified by the community several investigative procedures are implemented to include notifying the FBI. Certain criminal offenses (U.S. Code Title 18 part 1, chap. 18 S351 Congressional, Cabinet and Supreme Court Assassination, kidnapping, and assault) provide specific investigative authority to the FBI. The Threat Assessment Section continues to actively work with the FBI Violent Crimes Task Force (VCTF) to facilitate investigative efforts. This task force position provides immediate access to law enforcement agent's nationwide in order to identify, locate, and prosecute criminal offenders. Aside from the task force position, the Investigations Division has special agents assigned to conduct criminal investigations to include the reporting of an offense, collection of evidence, coordination with prosecutors both locally and across the nation for the purposes of seeking prosecution of offenders.

In addition to the intensive investigative work associated with the Division, agents are often tasked with dual responsibilities to include elevation of the protection models for USCP interests. Not only are threats investigated, but offenders, once identified are examined in order to develop a viable threat assessment. Depending on the set of circumstances surrounding the threat and the offender, considerations are made for the assignment of protection details. Some of these factors include the behavior demonstrated by the offender, for instance if approaches have been made toward USCP interests. Extensive background investigations are also conducted by subject matter experts in the field of threat management to examine not only the offender's intent and ability, but also to verify access to weapons and relevant criminal history, and finally, ascertain the veracity of an offender's threat. If the assessment identifies an offender as a moderate or high threat than requests for protection details are considered. Protection teams are coordinated through the Dignitary Protection Division (DPD) with support of the Investigations Division.

Additionally, I have tasked that Division to reach out to your office to follow up on the specific threat you reference in the question above.

INTERNAL CONTROL WEAKNESSES

Question. The fiscal year 2008 Capitol Police financial statement audit report cited 3 material internal control weaknesses: (1) verification of employee hours worked; (2) inadequate timekeeping records; (3) internal weaknesses with regard to duplicate payments. The report also discussed problems related to payroll processing and invoice handling along with other issues. The problems the auditors cited are troubling.

What is the USCP doing about these internal control weaknesses? How do these weaknesses impact your budget proposal?

Answer. Since becoming the Chief of Police, we have focused our Executive Team and Executive Management Team energies on addressing material internal control weaknesses and recommendations from the Government Accountability Office and USCP Inspector General, as well as to establishing standardized and repeatable business practices. We believe that addressing these core issues will substantially address the long term systemic administrative issues within the Department.

To that end, Office of Administration under the guidance of the Chief Administrative Officer has indicated that they have taken the following steps to addressing the fiscal year 2008 financial statement audit material weaknesses:

An electronic system has been implemented, and is monitored by OHR in order to track and report time and attendance certification compliance. All recordkeeping requirements have been reinforced through briefings, training, and written memorandums. Random inspections to ensure compliance with timekeeping procedures are conducted quarterly with the results reported to Bureau Commanders.

With regard to payroll processing, the pre and post National Finance Center payroll data reconciliations have been reinstated and are executed within 4 weeks of payroll transmission. Variations are reported, researched and resolved.

Internal Standard Operating Procedures have been developed for payroll processing, as well as time and attendance certification procedures to ensure repeatable business processes are outlined and utilized.

The Office of Financial Management accounts payable section processed approximately 8,050 payments totaling $46.3 million in fiscal year 2008. During the financial statement audit, 1 duplicate payment was noted for $384.20. This duplicate payment was discovered by Accounts Payable staff and the amount was repaid to USCP prior to the financial statement audit.

To further enhance internal control, OFM accounts payable section has implemented a daily review of aging accounts payable invoices. Communication improvements have been established between OFM accounts payable section and the financial liaison officers from each of the bureaus and offices thru periodic status updates regarding oldest invoices. The OFM accounts payable section has implemented a Vendor Input System utilizing the Microsoft Access software which has significantly enhanced the detection of a potential duplicate payment prior to distribution. Additionally, OFM is currently updating an internal Standard Operating Procedure for the processing of payment vouchers.

To insure that these weaknesses are fully addressed, our Executive Team is working closely with the USCP Inspector General and the Department's auditors to validate our progress in the upcoming financial statements. Based on this audit feedback, we will continue our efforts to improve our administrative functions.

In the interim, we are working to close the many recommendations focusing on our administrative functions.

We believe that control weaknesses or a lack of standardized and repeatable business processes have potential impact on our ability to execute our management functions and responsibilities, to include budget formulation and execution.

QUESTIONS SUBMITTED BY SENATOR LISA MURKOWSKI

SALARIES

Question. The budget justification material provided to the subcommittee states that the addition of these officers in fiscal year 2011 would not reduce overtime costs in fiscal year 2011. Please explain.

Answer. To better manage our resources and to work toward determining the requirements needed for the Department to meet its mission, we undertook, with full support of our committees, a staffing study in 2007 focused on the core mission requirements at that time. This study resulted in a target sworn officer utility of 1,560 in an optimum resource environment, which includes a level of overtime needed to address unplanned events.

USCP plans and projects its resources, to include overtime (OT) requirements, based on this target 1,560 hours annual utility for each USCP officer. This number includes the use of leave both scheduled and unscheduled, holiday, training, and administrative time for each officer.

To determine the overall current staffing requirements for our mission in fiscal year 2010, the Department balanced the scheduled core mission requirements of today, projected unscheduled events (demonstrations, state funerals, heads of state visits, etc.), unfunded core mission requirements (those that have been added after the annual budget submission and appropriation of funds for the current fiscal year), and available annual salary and overtime funding to determine the level of sworn officer utility required to perform the mission of Department.

The Department has on average 40–60 sworn officers in recruit training during various parts of the fiscal year, which results in these sworn officer utility hours not having an immediate direct impact of the reducing the resource gap upon their entry on duty with the Department. Generally, recruit officers hired and trained after March of any given fiscal year will not have an impact on reducing the resource gap until the next fiscal year, assuming that the core mission does not increase or projected attrition is not exceeded.

Question. With a total of 76 additional sworn officers proposed through fiscal year 2010 and 2011, will we start to see a reduction in overtime costs with the fiscal year 2012 budget request? Will there be a requirement for additional officers in fiscal year 2012?

Answer. For clarification, I offer the following explanation of what I believe the referenced 76 additional sworn officers includes.

In fiscal year 2010, the Department did not receive authorization or funding to support additional sworn personnel above our sworn authorization of 1,799 (now 1,800 with the reallocation of 1 civilian position). In the final quarter of fiscal year 2010, the Department has scheduled a recruit officer class consisting of 24 recruit officer slots to backfill sworn attrition from within our authorized strength referenced above should backfill be required.

In fiscal year 2011, the Department has requested 52 new sworn officers above our current authorized and funded sworn staffing level.

As for the reduction of overtime, there are two factors which affect the Department's ability to reduce its overtime utilization: (1) sworn utility and (2) additional mission requirements.

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To determine the overall current staffing requirements for our mission in fiscal year 2010, the Department balanced the scheduled core mission requirements of today, projected unscheduled events (demonstrations, state funerals, heads of state visits, etc.), unfunded core mission requirements (those that have been added after the annual budget submission and appropriation of funds for the current fiscal year), and available annual salary and overtime funding to determine the level of sworn officer utility required to perform the mission of Department.

The Department's current authorized sworn strength does not provide the necessary utility to meet current core mission requirements within the target 1,560 utility. This was determined by applying the 1,560 utility hours against the hours necessary for base core mission requirements. The remaining hours must be met through overtime, post reduction, the use of technology, or reductions from within the utility, such as training.

To maximize the utilization of resources, the Department balances a number of factors as noted above. For example, in an effort to control overtime costs, the Department must maintain a robust sworn strength throughout the year. Therefore, the onboard sworn strength must remain at or above the authorized sworn strength to accommodate attrition without increasing the resource gap. This allows the Department the maximum sworn officer utilization to meet core mission requirements.

However, in doing so, the Department is utilizing its appropriated salary funds to their maximum potential throughout the year. A by product of this level of funding utilization is the potential slowing of civilian hiring to allow for the funding availability for sworn hiring.

Further, the Department has an average of 40–60 sworn officers in recruit training during various parts of the fiscal year, which results in these sworn officer utility hours not having an immediate direct impact of the reducing the resource gap upon their entry on duty with the Department. Generally, recruit officers hired and trained after March of any given fiscal year will not have a impact on reducing the resource gap until the next fiscal year, assuming that the core mission does not increase or projected attrition is not exceeded.

In an effort to reduce requirements and narrow this gap, the Department has worked with the Capitol Police Board and its oversight committees to review possible requirements reductions. In fiscal year 2008 and fiscal year 2009, the Department closed a number of non-security posts, which allowed the Department to remain within the appropriated salary and overtime funding levels.

To further reduce the resource gap, the Department has looked at a number of opportunities to civilianize positions currently performed by sworn officers, so these sworn staffing resources may be realigned to meet other core mission requirements. In fiscal year 2009, the Department utilized available civilian positions to return former USCP employees from the Department of Labor's Worker's Compensation Roll to the Department's Communications Section. This allowed the Department to utilize civilian personnel to perform the security camera and alarm monitoring function in-house, rather that using contractors. This allowed the Department additional general expense funds for potential use on technology, as well as allowing for some realignment of sworn resources.

Additionally, the Department civilianized 26 sworn positions in the Library of Congress command center during the LOC Police and USCP Merger. This allowed the Department to utilize civilianizing former LOC Police employees to perform the Command Center functions and realign sworn resources to other core mission requirements.

The Department is currently reviewing other areas that may result in civilianization of posts, which may provide additional available sworn officer utility. As these are developed, they will be vetted through the Capitol Police Board and appropriate stakeholders for consideration.

Even with these reductions efforts and the use of technology, the remaining requirements currently exceed the Department's appropriated overtime funding level. Therefore, the training hours contained within the 1,560 officer utility must be utilized to meet the requirements gap between available sworn officer resources and requirements.

An analysis was conducted by USCP with available data to estimate the current sworn officer utility, which is estimated in an approximate range of 1,650–1,725 per officer annually, including overtime. Almost all of these utility hours are used in support of USCP core mission requirement. Based on this estimated utility range, the Department is not currently meeting its 80 hour annual training target as contained in the target 1,560 sworn officer utility described above.

A random sampling of USCP officers in the Uniform Service Bureau (USB) indicates that approximately 7–20 hours were actually used for training in fiscal year 2009, vice the 80 hours allotted for training in the utility calculation. By focusing this analysis on USB, we are addressing the largest sworn population within the Department. This analysis did not include USCP specialty units such as K9, CERT or HDS and DPD.

The reduction of training hours will not have an immediate impact on the USCP mission. However the long term impact of reducing core training hours, will impact the recertification of officers in certain programs, may affect officer response capability and may result in the overall degradation of the proficiency of our officers to meet their mission. All of these will result in greater risks to the Department and create a cycle that will have long-term impacts on the Department.

In an effort to address this training matter before it becomes a serious issue and work toward the optimum sworn officer utility of 1,560, the Department has requested overtime funding to support a minimum of 16 hours of training for 1,500 sworn officers in fiscal year 2011. Because our current onboard officers cannot work increased overtime levels for the long-term without affecting their effectiveness, we are also requesting 52 additional officers to begin to narrow the resource gap while allowing for the minimum annual training level described above. These two resource requests are a part of a larger balance that the Department is attempting to reach between the use of personnel, overtime, technology and mission balance to meet required core mission requirements.

Question. The budget request proposes converting some contractor positions into full-time civilian positions with USCP.

Isn't it more expensive to take on a full-time employee for a position that is currently under contract?

Answer. Not in all cases. In the Information Technology field, it is not uncommon for FTE cost to be lower than contractor cost. We are requesting to convert two positions, a CP–11 and a CP–7, the annual cost for the two contractors is approximately $405,000, while the fully loaded annual FTE cost for those positions is approximately $225,000.

Question. Why do you feel it is more beneficial to the USCP to have some of the positions converted?

Answer. In situations where we have staff augmentation contractors that cost more than the fully loaded cost of an civilian FTE equivalent it makes financial sense to make the conversion. The Office of Information Systems did an informal review and determined they could save over $1 million per year if they could convert most of their staff augment contractors to civilian FTEs.

Question. How were the decisions made about which positions to convert from contract to full-time?

Answer. Realizing the limitations of the overall Legislative Branch annual budgetary resources, we kept our fiscal year 2011 request for civilian positions to replace contractors to those that would provide the largest offset. We plan to review this matter annually and may make additional requests in future fiscal years for civilian positions to convert contractors.

RADIO MODERNIZATION PROJECT

Question. On September 30, 2009, the Committee received the first funding obligation plan pursuant to the fiscal year 2009 Supplemental Appropriations Act that provided $71.6 million for the USCP radio modernization project. That funding obligation plan specified $3.5 million for the design and construction of the mirror site facility to house the radio system's technical requirements. Who is doing the actual design of the mirror site and when will it be completed? Who will be doing the construction of the mirror site and when will it be completed?

Answer. The design and construction of the mirror site will be done by Verizon and its contractors under the supervision of the AOC and USCP. The design is scheduled to be completed by July 15, 2010 and the construction build out is scheduled to be completed by March 2011.

Question. When can the Committee expect to receive the next obligation plan?

Answer. The Committee recently received an obligation plan in March 2010. The next obligation plan is anticipated in April 2010.

Question. Will the $16 million requested in fiscal year 2011 be the final funding request for this project? With only $3.5 million obligated of the $71.6 million that was appropriated in the fiscal year 2009 supplemental, is it really necessary to have an additional $16 million in fiscal year 2011? What are the consequences of delaying this appropriation?

Answer. That is our intention and is our plan. At this point in time, the estimate for the total cost of this project is just over $91.9 million. The total amount appropriated (assuming the $16 million in fiscal year 2011) is $97.562 million, leaving a contingency fund of $5.655 million. Should we need to utilize contingency funds during the project, the Department plans to notify the Committees and provide an explanation for its utilization.

Additionally, the Department plans to provide an update on the status of the radio modernization project to the Committees in the near future. As a part of this update, we will provide additional information on the development and status of our budget estimates, a current status of funds utilization, the status of the various phases of the overall project, and our revised obligation plan for the appropriated and requested funds.

Yes, the additional funding is necessary. Without the additional funding there will be insufficient funds to complete the project. The total cost of the project is estimated to be $91.9 million, and that is without any contingency fund. The additional $16 million in funding will bring the total appropriated amount to $97.562 million which should be sufficient to complete the project and to provide for a small contingency fund.

Currently, there is an Obligation Plan that was recently sent to the House and Senate Appropriation Committees seeking permission to obligate another $9.9 million. Another obligation plan will be prepared in April 2010 for approximately $12 million. This summer, once the Request For Quote process is completed over $34 million should be obligated with most of the remaining funding obligated in the Fall of 2010.

The completion of the project would be delayed month for month for any delay in funding beyond October 2010. Many of the components of the project have long lead times for order delivery and then they have to be installed within the campus buildings. In order to complete the project by spring of 2012, the infrastructure and installation work must start in spring 2012. Delaying the project would mean continuing to operate longer with an aging analog radio system that is becoming more difficult and more expensive to maintain.

Question. When do you anticipate having the new radio system completely installed and fully operational? Will there be a multi-phase implementation plan?

Answer. The project is scheduled for completion during late spring 2012. The most challenging part is the in-building wiring and installations in 16 different buildings/facilities including the Capitol Building. Though this work is expected to take about a year, there are always unforeseen issues when doing this type of work in these buildings. Also, if the in-building wiring work is not allowed to start prior to the passage of the fiscal year 11 budget, then the schedule is in jeopardy.

The project itself is divided into five phases as follows: Phase 1: Cost Analysis; Phase 2: System Design; Phase 3: Procurement, Integration and Installation; Phase 4: Acceptance Testing; and Phase 5: Operations and Maintenance.

We are currently entering into Phase 3. Within Phase 3, implementation will be conducted in a parallel approach. Inside work, outside work, facilities construction, etc. will be done in parallel; the goal is to have all the component pieces completed by September 2011 in order to then conduct system integration and testing. The "go-live" migration plan will have a single cutover event from the analog system to the digital system.

NEW INITIATIVES IN FISCAL YEAR 2011

Question. $16.2 million is requested for other new initiatives, beyond the radio project, which seems to be a lot of funding for new projects in one year. Does this request represent the full funding requirements for these projects, or will additional funding be requested in future fiscal years?

Answer. Funding requirements are specific to each project. In some cases the projects may be funded in stages. All future funding requests to support the continued maintenance and operation of the projects will be requested through increases in the Bureau's base annual general expense funding requests.

Because of the security sensitive nature of the information included in the Department's response to this question, I am respectfully providing my more detailed response under separate cover. I would, therefore, request that the information provided in that document not be included as a part of the public record.

Question. What would be the impact of providing only that funding which would actually be obligated in fiscal year 2011 for each of these projects?

Answer. Some of these projects could be funded in phases. Because of the security sensitive nature of the information included in the Department's response to this question, I am respectfully providing my more detailed response under separate cover. I would, therefore, request that the information provided in that document not be included as a part of the public record.

SUBCOMMITTEE RECESS

Senator NELSON. The subcommittee will stand in recess until 2:30 p.m. on March 18, 2010, when we will meet in room SD–138 to take testimony on the fiscal year 2011 budget requests of the Architect of the Capitol and Office of Compliance.

We are recessed. Thank you.

[Whereupon, at 6:08 p.m., Thursday, March 4, the subcommittee was recessed, to reconvene at 2:30 p.m., Thursday, March 18.]