



PRESERVING THE **PAST**,
ENABLING THE **PRESENT**,
PREPARING FOR THE **FUTURE**



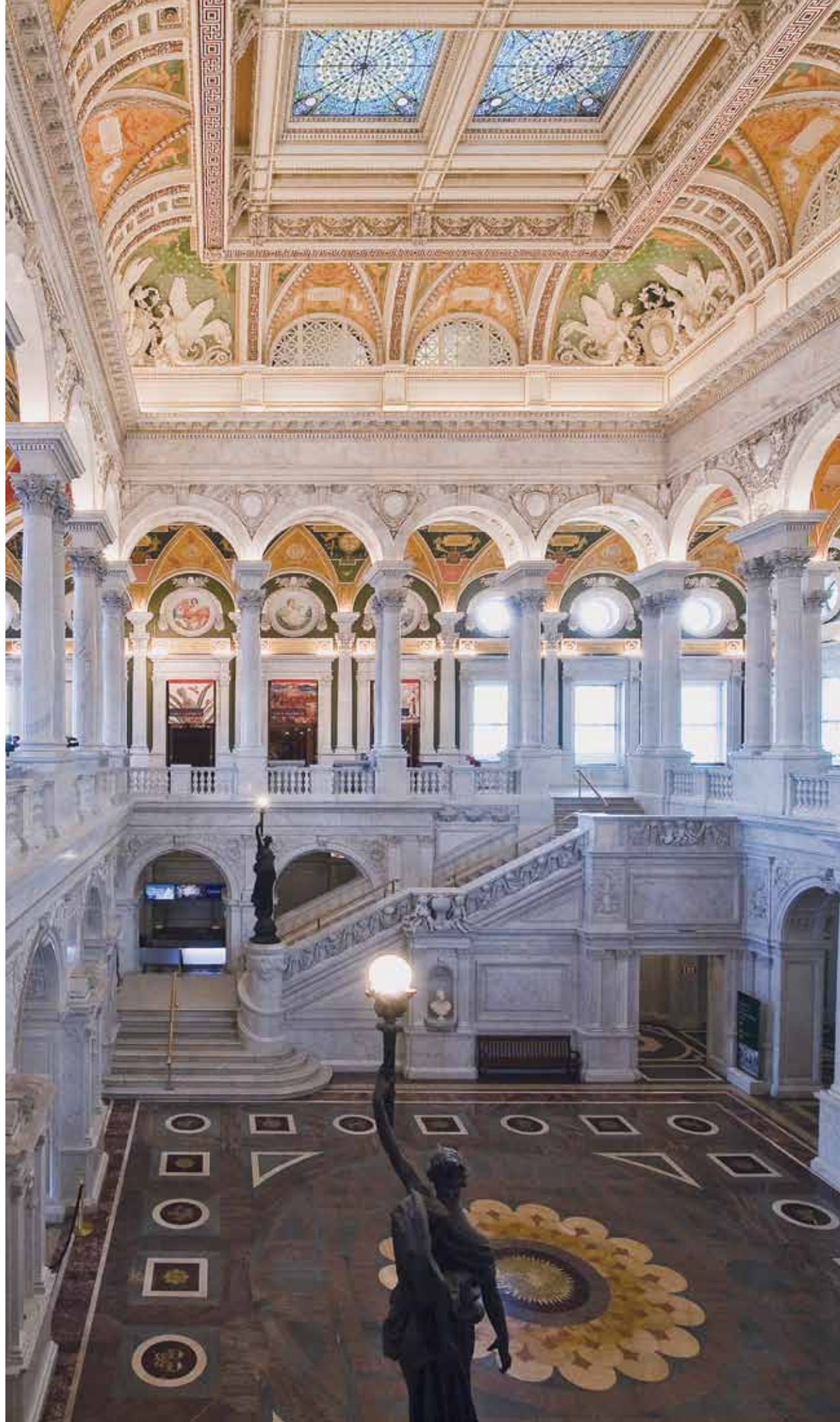
THE ARCHITECT OF THE CAPITOL

2009 PERFORMANCE AND ACCOUNTABILITY REPORT





Since the laying of the Capitol cornerstone in 1793, the Architect of the Capitol (AOC) and its predecessors have served the Nation as builder, caretaker, and curator of many of the Nation's most iconic landmark buildings.



2009

Performance and Accountability Report

PRESERVING THE PAST, ENABLING THE PRESENT, PREPARING FOR THE FUTURE

ABOUT THIS REPORT

This *Performance and Accountability Report* (PAR) for Fiscal Year (FY) 2009 provides the results of the Office of the Architect of the Capitol's (AOC) program and financial performance, demonstrating to the Congress, Supreme Court, public, and other stakeholders the AOC's commitment to the accomplishment of its mission and accountability for its financial resources. The AOC is a Legislative Branch Office and, as such, is not subject to the legislation that is required for the Executive Branch. However, the AOC, as a best practice, is committed to ensuring that the information included in this report complies with the spirit of transparency and accountability. As current federal standards apply to the Executive Branch, the AOC has not adopted them. Nonetheless, the AOC refers to such legislation as a general guide for best financial management practices. Legislation that is used for reference purposes includes:

- Federal Managers' Financial Integrity Act of 1982;
- Chief Financial Officers (CFO) Act of 1990;
- Government Performance and Results Act of 1993;
- Government Management Reform Act of 1994;
- Reports Consolidation Act of 2000;
- Accountability of Tax Dollars Act of 2002; and
- Improper Payments Information Act of 2002.

The assessment of the AOC's performance that is contained in this report compares performance results with the Office's strategic and performance goals. This report and the AOC's prior annual PARs are available on the AOC Web site at <http://www.aoc.gov/aoc/cfo/index.cfm>. The AOC welcomes all feedback on the form and content of this report.



East Front of the U.S. Capitol, including the historic Olmsted bronze fountain basin, photograph ca 1920.

ABOUT THE COVER

The cover of this report focuses attention on the West Front of the U.S. Capitol as it appeared for the 56th Presidential Inauguration Ceremony on January 20, 2009. Every four years, the AOC supports the Presidential Inauguration in a wide variety of ways, including the construction of the Inaugural platform for the ceremony.

The AOC-at-a-Glance

AN EXECUTIVE SUMMARY REPORT TO THE CITIZENS OF THE UNITED STATES

The Architect of the Capitol (AOC)

Branch of Government: Legislative

Established: The AOC originated in 1793 and was formally established by congressional legislation in 1876.

Mission: Provide Congress and the public a wide range of professional expertise and services to preserve and enhance the Capitol complex and related facilities.

Number of Full-Time Equivalents (FTEs): Over 2,500 actual FTEs as of September 30, 2009.

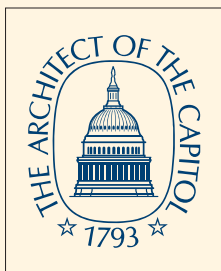
Leadership: Stephen T. Ayers, AIA, LEED AP, Acting Architect of the Capitol.

Budget Authority: The annual budget authority for the AOC in Fiscal Year 2009 was \$540 million.

Overview: The AOC is a nonpartisan, professional services office with oversight of 16.5 million square feet of facilities and 450 acres of grounds on the Capitol complex. The AOC is comprised of ten jurisdictions and several central administrative offices.

History

- President George Washington laid the cornerstone for the United States Capitol in 1793.
- Dr. William Thornton, whose design was selected by President Washington, is honored as the first Architect of the Capitol.
- The December 2008 opening of the 580,000 square foot Capitol Visitor Center marked the largest expansion of the U.S. Capitol in its history.



Did You Know?

- The Architect of the Capitol is appointed by the President following the recommendation of a bipartisan, bicameral, Congressional panel, with confirmation by the Senate for a ten-year term.
- The AOC is responsible for developing the Capitol Complex Master Plan, which provides a comprehensive framework for long-term planning initiatives within the Capitol complex.
- The AOC provides curatorial services for the works of art located throughout the Capitol complex. These heritage assets range from bronze and marble statues to oil portraits and fresco murals.
- Through its commitment to energy efficiency and conservation, the AOC reduces energy consumption across the Capitol complex, saving taxpayer dollars while protecting the environment.



On Tuesday, January 20, 2009, the 44th President of the United States, Barack Obama took the oath of office from Chief Justice John Roberts, Jr. on the West Front of the U.S. Capitol.

How Are We Doing? Key AOC Accomplishments in Fiscal Year 2009

Fiscal Year (FY) 2009 was an historic year for the AOC that witnessed opening the Capitol Visitor Center, welcoming of the 111th Congress, and hosting the 56th Presidential Inaugural Ceremony. The AOC's numerous projects and achievements, highlighted in Table 1, supported the organization's goals in the areas of Congressional and Supreme Court operations support and heritage asset stewardship.

TABLE 1: Key FY 2009 Accomplishments

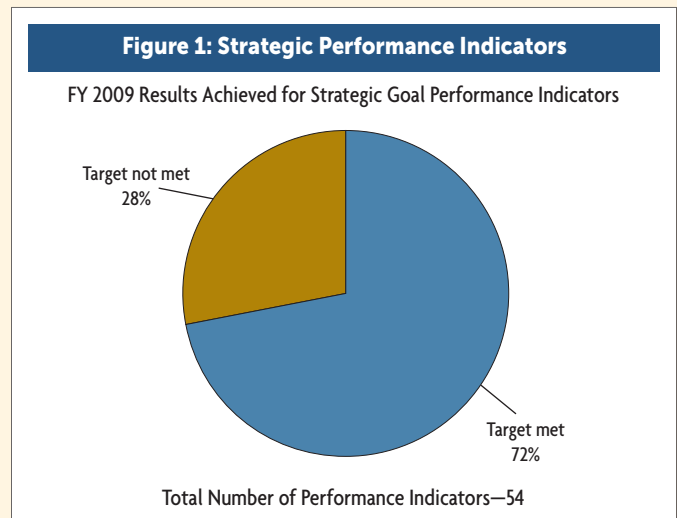
FY 2009 Accomplishments
Initiated and completed over 80% of the second phase of the restoration project for the Botanic Garden's historic Bartholdi Fountain.
Effectively supported the 56th Presidential Inaugural Ceremony, including the construction of the Inaugural stands, and support facilities.
Transformed the West Grounds for the Inaugural Ceremony to accommodate the 28,000 seated guests and the standing public and restored the landscaping around the newly opened Capitol Visitor Center.
Began the solicitation for construction of a primary and mirror site data center to support the U.S. Capitol Police program to upgrade its radio system to a modernized digital system.
Improved the Capitol Power Plant's utility tunnel conditions to put the AOC on track for resolving all tunnel safety conditions by 2012 and converted to natural gas as the primary fuel source at the Capitol Power Plant.
Opened the Capitol Visitor Center to the public and managed visitor service operations for over two million Capitol visitors since the December 2008 opening.
Coordinated 184 House of Representatives' Member office moves and the related infrastructure adjustments as part of the 111th Congressional transition.
Completed off-site Ft. Meade Book Storage Modules 3 and 4 to help preserve the Library of Congress' collections.
Coordinated the office moves and space reassignments for 13 new Senator-elects and managed the related office changes for sitting Senators.
Completed the construction of the underground annex on the Maryland Avenue side of the Supreme Court building to support the Supreme Court Modernization Program.

Strategic Plan Highlights

The AOC *Strategic and Performance Plan* focuses on three goals:

- **Goal 1:** Congressional and Supreme Court Operations Support
- **Goal 2:** Heritage Asset Stewardship
- **Goal 3:** Leadership and Administrative Support

The *Strategic Plan* emphasizes the organization's mission areas and enabling services and contains several performance indicators. The AOC met or exceeded its targets for 72 percent of its FY 2009 key performance measures, as shown in Figure 1. Plans are in place to address the performance results not achieved.



Implementation of GAO General Management Review Recommendations

The Government Accountability Office (GAO), the investigative and audit arm of Congress, provided suggestions for improving AOC operations in the areas of: strategic management, human capital management, financial management, information technology management, project management, facilities management, worker safety, power plant operations, and recycling. AOC fully implemented an additional five recommendations during FY 2009—bringing the total number closed to 56 out of 67, or 84 percent. The remaining open proposals involve long-term efforts on which the AOC continues to make progress—such as enterprise architecture and internal controls.

Independent Audit Results

An independent audit of the annual Financial Statements of the Architect of the Capitol is an integral part of meeting its financial management obligations. The AOC received an unqualified (clean) audit opinion by its independent auditors for the fifth consecutive year.

The FY 2009 audit saw the AOC resolve one material weakness, while zero new material weaknesses and significant deficiencies were added. Table 2 summarizes the internal control audit findings. The AOC is committed to fiscal accountability and will continue to work diligently to establish the policies, procedures, and systems to resolve the remaining material weaknesses and significant deficiencies.

Financial Statement Highlights

As of September 30, 2009, AOC’s total assets amounted to \$2.41 billion, which was an approximate 1 percent increase from the previous FY. At the end of FY 2009, the AOC’s total liabilities summed to \$330 million, which was approximately 17 percent lower than the previous fiscal year. Figures 2 and 3 show the distribution of the AOC’s total assets and liabilities, respectively.

Figure 4 depicts the net cost of AOC’s operations for FY 2005 through FY 2009. Net cost includes total costs less all revenues attributed to a program and permitted to be offset against those program costs.

TABLE 2: Summary of Independent Auditor’s Internal Control Findings

Audit Finding	FY 2008	FY 2009
Material Weaknesses	1. Internal Control Assessments (Repeat Condition)	1. Internal Control Assessments (Repeat Condition)
	2. Risk Assessment Updates (Repeat)	2. National Finance Center SAS 70 Payroll Reconciliation (Renamed, Repeat Condition)
	3. Financial Information System and Financial Reporting Internal Control Design and Operation (New)	Cleared
Significant Deficiencies	1. Information System General Controls (Repeat)	1. Information System General Controls (Repeat)
	2. Information Systems Financial Management and Time and Attendance Application Controls (New)	2. Information Systems Financial Management and Time and Attendance Application Controls (Repeat)
	3. Time Recordation, Processing, and Approval Procedures (Repeat)	3. Time Recordation, Processing, and Approval Procedures (Repeat)

Figure 2: Summary of Total Assets

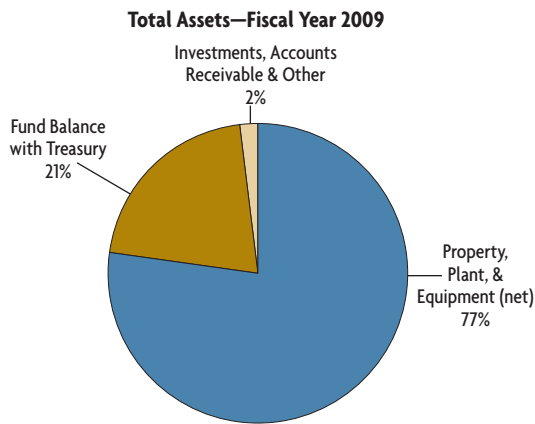


Figure 3: Summary of Total Liabilities

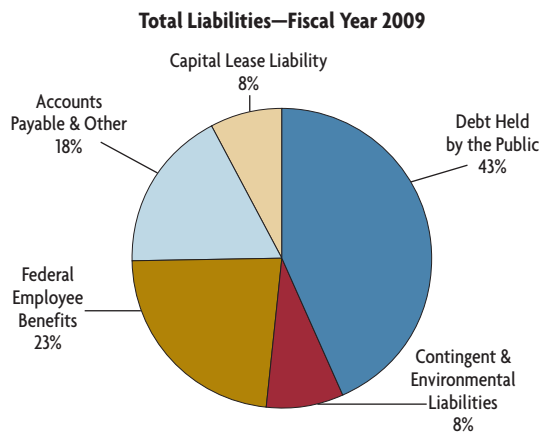
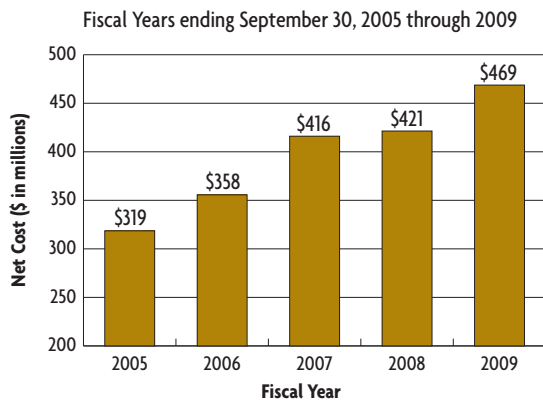


Figure 4: Comparison of Net Cost



What's Next? Management Challenges and Looking Ahead

The most pressing long-term challenge facing the AOC is to continue meeting its stewardship responsibilities in an era of competing demands for limited financial resources. Many of the AOC's historic buildings and infrastructure are over 50 years old and have accrued sizable deferred maintenance and capital renewal requirements that will require significant funding over the next two decades to remain safe and viable.

Energy reduction and sustainability are other areas on which the AOC is focusing. The AOC recognizes the significance of making the Capitol complex more energy efficient. A number of key projects have been implemented throughout the campus in an effort to decrease energy consumption and the AOC is analyzing the most cost-efficient and effective options to fulfill its energy reduction mandates.

Congress has supported many key AOC program initiatives and the AOC will continue to work with Congress to identify and execute solutions to meet these challenges and best serve the citizens of the United States.



The AOC begins its work in the early morning and continues long after the end of the regular work day, operating behind-the-scenes to minimize disruption to the work of Congress and the Supreme Court.

For more information about The Architect of the Capitol, visit our website at: <http://www.aoc.gov/>.

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The Office of the Architect of the Capitol has oversight responsibility for over 16.5 million square feet of building space and 450 acres of land throughout the Capitol complex.



Introduction

HOW THIS REPORT IS ORGANIZED

The *2009 Performance and Accountability Report* (PAR) provides financial and performance information for the Fiscal Year (FY) beginning on October 1, 2008 and ending on September 30, 2009 for the Architect of the Capitol (AOC). Though the AOC is not required to prepare a PAR, it chooses to publish the report to demonstrate accountability to Congress and the American people and provide a transparent snapshot of the AOC's operations, accomplishments, and challenges. The 2009 PAR begins with an Executive Summary of this report and a message from the Acting Architect, Stephen T. Ayers, AIA, LEED AP, followed by four main sections:

Section 1: Management's Discussion and Analysis

An overview of the AOC is presented in this section including a description of the organization's history, mission, vision, values, and organizational structure. It discusses the AOC's significant accomplishments, provides a look ahead to upcoming challenges, management assurances on AOC internal controls, and highlights of the AOC's financial results.

Section 2: Performance Information

This section describes the AOC's strategy and process for assessing performance. It details the AOC's performance measures, compares actual performance results to AOC's strategic targets and goals, and describes plans for improvement.

Section 3: Financial Information

The section begins with messages from the Chief Financial Officer, Paula G. Lettice, and the AOC Audit Committee, followed by the independent auditor's reports, and audited financial statements and footnotes. The Required Supplementary Information provides unaudited information on the AOC's heritage assets.

Section 4: Other Accompanying Information

The auditor's report and audited financial schedules for the Capitol Visitor Center (CVC) construction project are provided in this section. A table summarizing AOC's financial statement audit results and management's assurances on internal controls and prompt payment information are also presented.

Appendices

This section includes a summary of the individuals and organizations who contributed to this report and a list of abbreviations and acronyms used within this PAR. The inside back cover contains a map of the AOC's facilities and grounds located on Capitol Hill.

A MESSAGE FROM THE ACTING ARCHITECT OF THE CAPITOL



Stephen T. Ayers,
AIA, LEED AP
Acting Architect of the
Capitol

On behalf of the Office of the Architect of the Capitol (AOC), I am pleased to share our *Performance and Accountability Report* for Fiscal Year 2009. This annual report details the AOC's role in working for and serving the U.S. Congress and Supreme Court.

In recent years, we have undergone a significant transformation in our operational, business, and communication practices to better support our unique mission—providing the Congress with

a wide range of professional expertise and services that preserve and enhance the Capitol complex. We are responsible for the maintenance, operation, development, and preservation of 16.5 million square feet of building space and more than 450 acres of land. At any given time, we have numerous projects underway throughout our campus, with much of this work done behind the scenes and outside of traditional work hours. Our stewardship responsibilities include:

- Supporting the day-to-day activities of the Congress and Supreme Court so that they may go about the legislative and judicial business of government without disruption;
- Serving as stewards of the priceless heritage assets and national treasures that have been entrusted to our care;
- Maintaining and operating our facilities on- and off-Capitol Hill, as well as tending to the historic Capitol Grounds; and
- Supporting Congress during official, national events, such as the Presidential Inaugural and the annual State of the Union address.

During this Fiscal Year, the AOC succeeded on many fronts. I am proud to highlight the following key achievements through which we have continued to build a strong, effective, and accountable organization.

Project Delivery and Customer Support

- **Capitol Visitor Center (CVC) Opened to the Public.** A permanent Certificate of Occupancy was received and nearly 200 Capitol Guide Service employees were transitioned to the AOC before the CVC opened its doors to the public in a highly successful ceremony on December 2, 2008.
- **Capitol Events and Exhibits Supported.** The AOC effectively supported the historic 56th Presidential Inaugural Ceremony, the Capitol Rotunda ceremony held for the unveiling of the Ronald Reagan statue, among others.
- **Office Moves Completed.** The AOC successfully executed the House and Senate Member and Committee office moves related to the 111th Congressional elections.
- **Senate Restaurants Privatized.** We effectively transitioned U.S. Senate Restaurant employees and coordinated the privatization of the catering and day-to-day food service operations to improve restaurant management and services.
- **Ft. Meade Book Storage Modules 3 and 4 Completed.** A July 2009 ceremony marked the completion of Modules 3 and 4 of the Library's state-of-the-art, high-density storage facility that will extend the lives of collection items.

Stewardship of our Resources

- **Clean Audit Opinion Received.** For the fifth consecutive year, we received a clean audit opinion on our financial statements from our independent auditors.
- **Information Security Test Passed.** The AOC successfully passed the House of Representatives' Inspector General's information security penetration test on our computer systems.
- **Small Business Set-Asides Program Achieved.** The AOC reached an agreement with the Small Business Administration to establish a program of small business set-asides for purchases of \$100,000 or less for the procurement of supplies and services.

Energy Savings and Sustainability

- **Energy Savings Targets Met.** Projects such as the campus-wide installation of meters helped us surpass energy reduction goals set by Congress for the third straight year.
- **Energy Savings Performance Contract (ESPC) Awarded.** This year the AOC awarded its first ESPC to provide nearly \$34 million in infrastructure improvements to the House office buildings via a unique public/private partnership.
- **Capitol Power Plant Using Natural Gas as its Primary Fuel Source.** Fuel mix changes at our Capitol Power Plant helped reduce the Capitol complex's carbon footprint.
- **Sustainable Sites Initiative Realized.** At the U.S. Botanic Garden, our people were crucial partners in the development of the Sustainable Sites Initiative—an interdisciplinary effort to develop the first national guidelines and performance benchmarks for landscapes and gardens.

Managing and Caring for the AOC's Greatest Asset—Our People

- **Human Capital Investment Strategies Pursued.** The AOC is dedicated to strategies which identify, attract, hire, and retain a high-performing workforce. Recent efforts focused on a new *Human Capital Plan* and creating workplace flexibilities.
- **Worker Safety Improved.** Our worker safety record has shown significant improvement over the past nine years—an impressive life-safety milestone and continues our progress in this area.
- **Tunnel Improvements Managed.** The AOC continues to effectively manage its Utility Tunnel Improvement Program. Through a more efficient integrated schedule, we decreased total program costs by 30 percent while still maintaining a June 2012 completion date.

Management Opportunities and Challenges

Last year, we presented Congress a complete picture of the Capitol complex's deferred maintenance and capital renewal requirements. In FY 2009, we used our carefully crafted project prioritization process to identify the most urgent requirements and successfully worked with Congress to increase its investment in support of these critical projects. These efforts, and the promise of continued support, represent a shared commitment to the long-term future of Capitol complex facilities. The AOC continued to refine its Capitol Complex Master Plan and, as a result, we have made real progress toward identifying a comprehensive long-term strategy for meeting the facility requirements of Congress and preserving these one-of-a-kind facilities for generations.

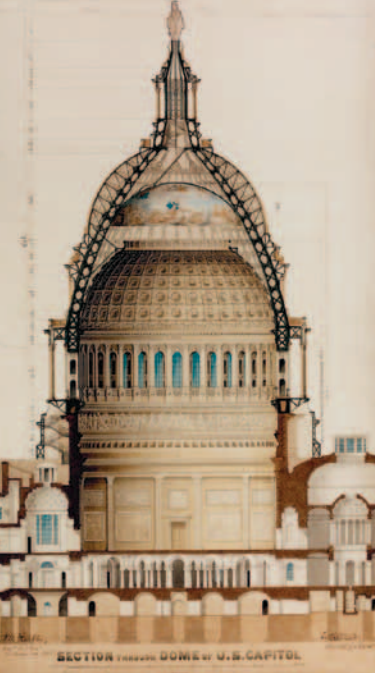
We pledge to continue to adapt to meet future challenges, and provide a transparent review of our operations. As in past years, we strive to balance our facilities management role and meet the needs of Congress in an effective and efficient manner. Based on our most recent financial statement audit, we are pleased to have cleared one material weakness from the prior Fiscal Year. Our auditors identified two repeat material weaknesses, which are discussed in the *Financial Section* of this report. We are working diligently to resolve these remaining weaknesses.

It is with pride that we note the AOC's annual performance and I want to provide my assurance that the AOC financial and performance data presented herein are complete, reliable, and accurate. This year has demonstrated that our strategic efforts have positioned us to effectively meet our mission requirements. Our organization has continued to evolve to meet the challenges of being an excellent steward and provider of exceptional service. We are honored to be entrusted to serve the Congress and look forward to continued positive results.

Sincerely,



Stephen T. Ayers, AIA, LEED AP
Acting Architect of the Capitol
December 18, 2009



The 1859 cross-section drawing of the Capitol dome and rotunda, top above, illustrates the cast-iron dome that exists today. The dome was finished in 1866 at a total cost of \$1,047,291.

The center of the U.S. Capitol is the Rotunda, an imposing circular room 96 feet in diameter and 180 feet in height. It connects the House and Senate wings of the Capitol, and is visited by thousands of people daily.



SECTION 1

Management's Discussion and Analysis

OUR HISTORY



The platform and stands are constructed entirely from scratch for each Inaugural Ceremony. This photograph shows the delivery of lumber to the Capitol for the construction of the 1921 Inauguration stands.

BACKGROUND

The Office of the Architect of the Capitol (AOC) has evolved over two centuries, with origins dating to the first U.S. Congress. The Architect's responsibilities for the care and maintenance of the Capitol were authorized in the *Residence Act of 1790*, which required the appointment of commissioners "to provide suitable buildings for the accommodation of Congress." In 1791, President George Washington appointed a Board of Commissioners to

oversee the development of the new federal city and launched a national competition for a design of the Capitol, the centerpiece of the government's Legislative Branch. As construction of the city began,¹ the commission selected amateur architect Dr. William Thornton's proposal for the Capitol in 1793. His design depicted a grand, two-winged structure topped by a central dome.

To mark the start of construction, Washington laid the building's cornerstone in 1793. By 1800, the Federal government had relocated from Philadelphia and Congress took up residence in the Capitol's north wing. Despite continuing construction, the Capitol hosted the first Presidential Inaugural Ceremony for Thomas Jefferson in 1801. The Capitol has been host for most Inaugurals since.

In 1802, Congress transferred the duties of the Board of Commissioners to a single Superintendent and appropriated funds in 1803 to make repairs to the Capitol's north wing and to begin work on the south wing. President Jefferson appointed Benjamin Henry Latrobe as architect and engineer and the south wing construction was completed in 1807. Following the aftermath of the War of 1812, Congress authorized the borrowing of funds to repair the damaged public buildings and began repairs to the Capitol in 1815.

The Capitol has continued to expand beyond its original design. In 1850, Congress authorized the Capitol's enlargement. Thomas U. Walter was named Architect of the Capitol Extension and served during most of this expansion. The work was completed in 1868 under Walter's assistant, Edward Clark, tripling the size of the Capitol with extended corridors for each wing and a new fireproof, cast-iron dome atop the structure. This expansion resulted in the world's most recognizable symbol of representative democracy.

THE ESTABLISHMENT OF THE PERMANENT OFFICE OF THE ARCHITECT OF THE CAPITOL

In 1867, Congress appointed Edward Clark to the position of "Architect of the Capitol Extension," with responsibility for the care and maintenance of the Capitol and its grounds in a newly-created permanent position. Assumption of these duties was confirmed by legislation passed in 1876,² which officially established the Office of the Architect of the Capitol as part of the Federal Legislative Branch.

¹ Pierre L'Enfant was hired to design the Federal city and selected Jenkins Hill, on the elevated east end of the National Mall, as the Capitol's location.

² 40 USC §162, 163.

Major expansion of the Capitol grounds occurred from 1874 through 1888 when work began on landscape architect Frederick Law Olmsted's grand design. This design created drives, paths, trees, and fountains. By 1892, marble terraces were added to the Capitol, as part of the Olmsted plan.

In 1897, the Library of Congress' new Thomas Jefferson Building was added to the AOC's building portfolio. Clark's successor, Elliott Woods, oversaw much of the early growth in the AOC's holdings, with the addition of the Cannon House Office Building, Russell Senate Office Building, and the Capitol Power Plant during his term as Architect.

GROWTH OF THE ORGANIZATION

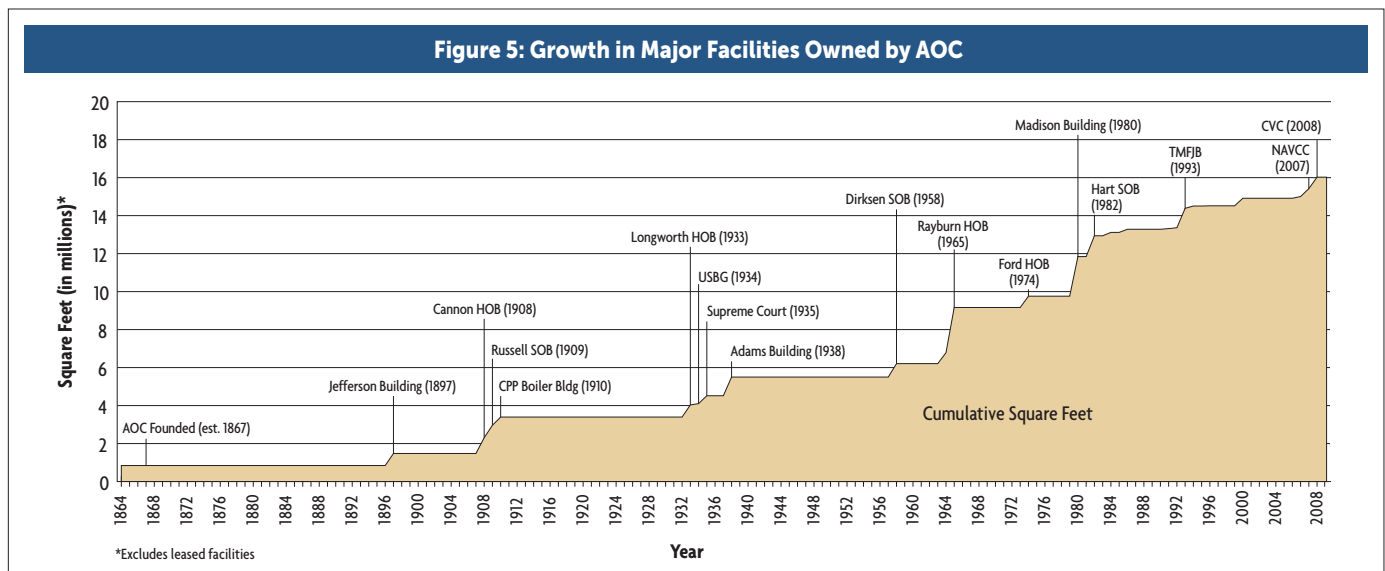
The AOC witnessed significant growth in its responsibilities during the twentieth century, including the construction, addition, and stewardship of several new facilities. In 1934, Congress transferred the U.S. Botanic Garden from the Interior Department to the AOC and, in 1935, the Supreme Court was relocated to its own building across the Capitol East Front. The East Front extension, West Front renovation, and construction of new congressional office buildings³ were overseen by the AOC during this era.

Until 1989, the position of Architect of the Capitol was filled by presidential appointment for an indefinite term. Recent

legislation⁴ limited the Architect's term to 10 years. In 1997, Alan Hantman was the first Architect appointed using this process. Since Hantman's retirement in 2007, Stephen T. Ayers, AIA, LEED AP, has served as Acting Architect of the Capitol.

When Edward Clark became the first modern-day Architect of the Capitol, his office consisted of fewer than 10 full-time employees, the Capitol was the only building under his care, and the grounds covered just 30 acres. From this start, the office has grown as Congress authorized the expansion, construction, and acquisition of new buildings and added to its grounds. Today, the AOC is staffed by over 2,500 employees who care for 16.5 million square feet of building space, 450 acres of grounds, 15 monumental buildings, plus dozens of minor ones. Figure 5 shows the growth of the AOC's responsibilities as new buildings have been added to its stewardship⁵. While most the AOC buildings are located on or near Capitol Hill, some critical new additions are located off-site.⁶

The AOC's work has become more diverse and sophisticated as its responsibilities have expanded. Though the basic duties are unchanged, there are now complex communication, security, and historic preservation duties that were unknown at its inception. Keeping pace with fast-evolving technology and sustainability requirements, while respecting the special requirements of historic buildings, are part of the present-day responsibilities.



³ These include the Longworth and Rayburn House Office Buildings and Dirksen and Hart Senate Office Buildings.

⁴ 40 USC §162-1.

⁵ The addition of the Capitol Visitor Center recently added 580,000 square feet to the AOC's holdings.

⁶ These additions include the National Audio-Visual Conservation Center in Culpeper, Virginia and the Fort Meade Book Storage Modules in Anne Arundel County, Maryland.



AOC is responsible to Congress for the maintenance, operation, development, and preservation of the Capitol complex.



With the opening of the Capitol Visitor Center, the AOC added visitor service operations to its core responsibilities. The Center attracted two million visitors by the end of the Fiscal Year.

OUR MISSION AND ORGANIZATION

WHO WE SERVE

The Office of the Architect of the Capitol (AOC) ensures the effective and efficient management of the Capitol complex so that Congress and the Supreme Court may fulfill their duties in service to the Nation. This high-profile and historic setting creates a multitude of fast moving challenges. Despite these challenges, the AOC remains committed to meeting the needs of the members of Congress, Justices of the Supreme Court, Congressional and Court staff, dignitaries, members of the visiting public, and others who call on the Nation's Capitol every day. The AOC takes great pride in providing its services and expertise as stewards of the Capitol and looks forward to meeting new requirements in the future.

OUR MISSION

The mission of the AOC is to provide Congress and the public a wide range of professional expertise and services to preserve and enhance the Capitol complex and related facilities.

OUR VISION

The AOC will be an innovative and efficient team dedicated to service excellence and to preserving, maintaining, and enhancing the national treasures entrusted to our care.

OUR VALUES

- **Service Excellence:** To provide superior service to our internal and external customers in a timely and efficient manner.
- **Stewardship:** To be responsible and accountable for the care of the national treasures and properties entrusted to us.
- **Integrity:** To be honest and sincere and to earn the trust of those we serve.
- **Professionalism:** To adhere to the highest standards of practice applicable to the work we do.
- **Creativity:** To be inventive and imaginative in the work we do.
- **Loyalty:** To be faithful to the interests of the Office of the Architect, the United States Government, and the public.
- **Respect and Diversity:** To value the differences in all people and demonstrate loyalty to those who bring to the job varied backgrounds, talents, abilities, knowledge, and skills.
- **Teamwork:** To work in a cooperative and coordinated way with others to achieve our mission.
- **Flexibility:** To be quickly adaptable to the needs of the Congress.

OUR ORGANIZATION

The AOC is a nonpartisan, professional services office of the Legislative Branch. The organization is led by the Architect of the Capitol, who is appointed by the President with the advice and consent of the Senate. Upon nomination by the President and confirmation by the Senate, the Architect serves as an official of the Legislative Branch, acting as both an officer and agent of Congress.⁷

The AOC provides a wide range of professional expertise and services to preserve and enhance the Capitol complex and the national treasures entrusted to its care. The AOC's primary duties are to provide effective facilities management expertise and operations support to Congress and the Supreme Court and to preserve the historic Capitol campus, its heritage assets, and the artistic elements within. The AOC's facilities management responsibilities include the operation and maintenance of its properties' infrastructure and grounds and the management of new construction, repair, and renovation projects. During this past Fiscal Year (FY), the AOC added new mission areas to its core responsibilities—visitor service operations and retail gift shop operations at the new Capitol Visitor Center (CVC).

The AOC's skilled employees—its most important resource—are responsible for the daily operations throughout the Capitol



In September 2008, the First Nail Ceremony was held on the West Front Terrace of the Capitol. This ceremony marks the traditional start to construction of the Inaugural platform.

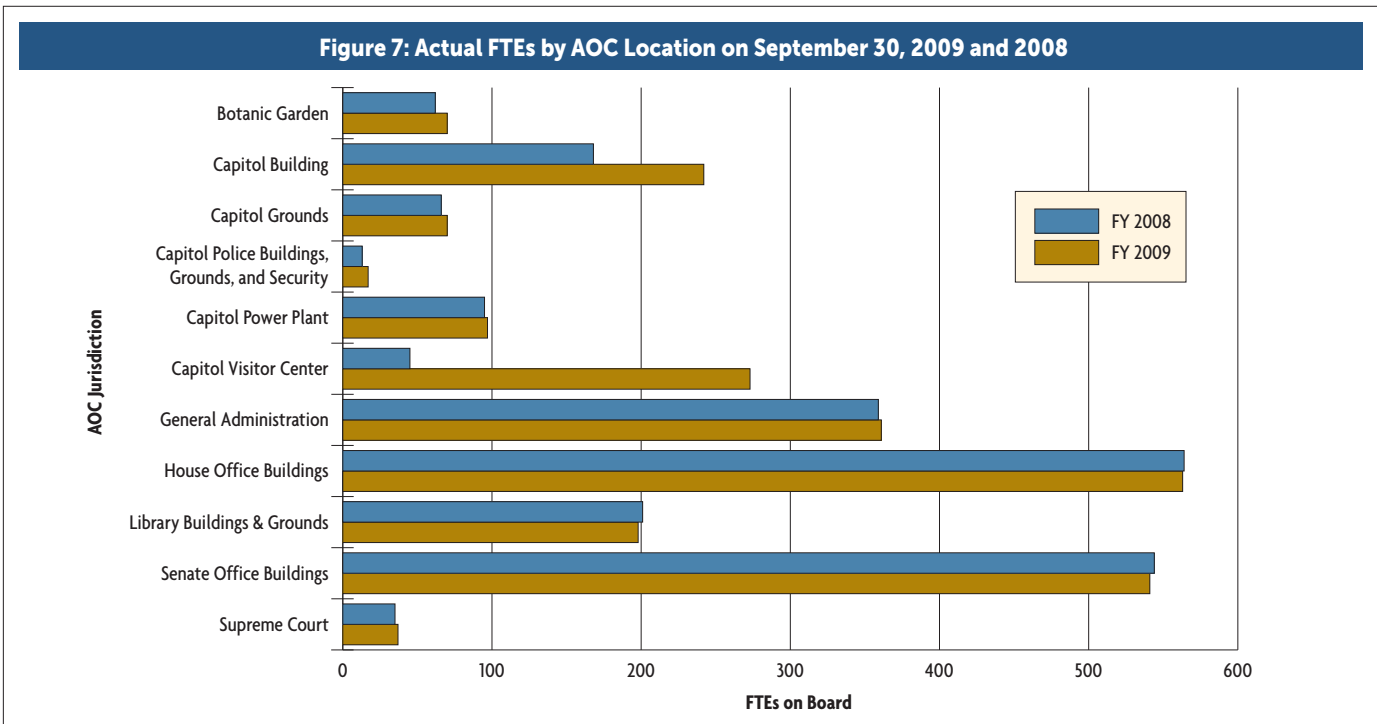
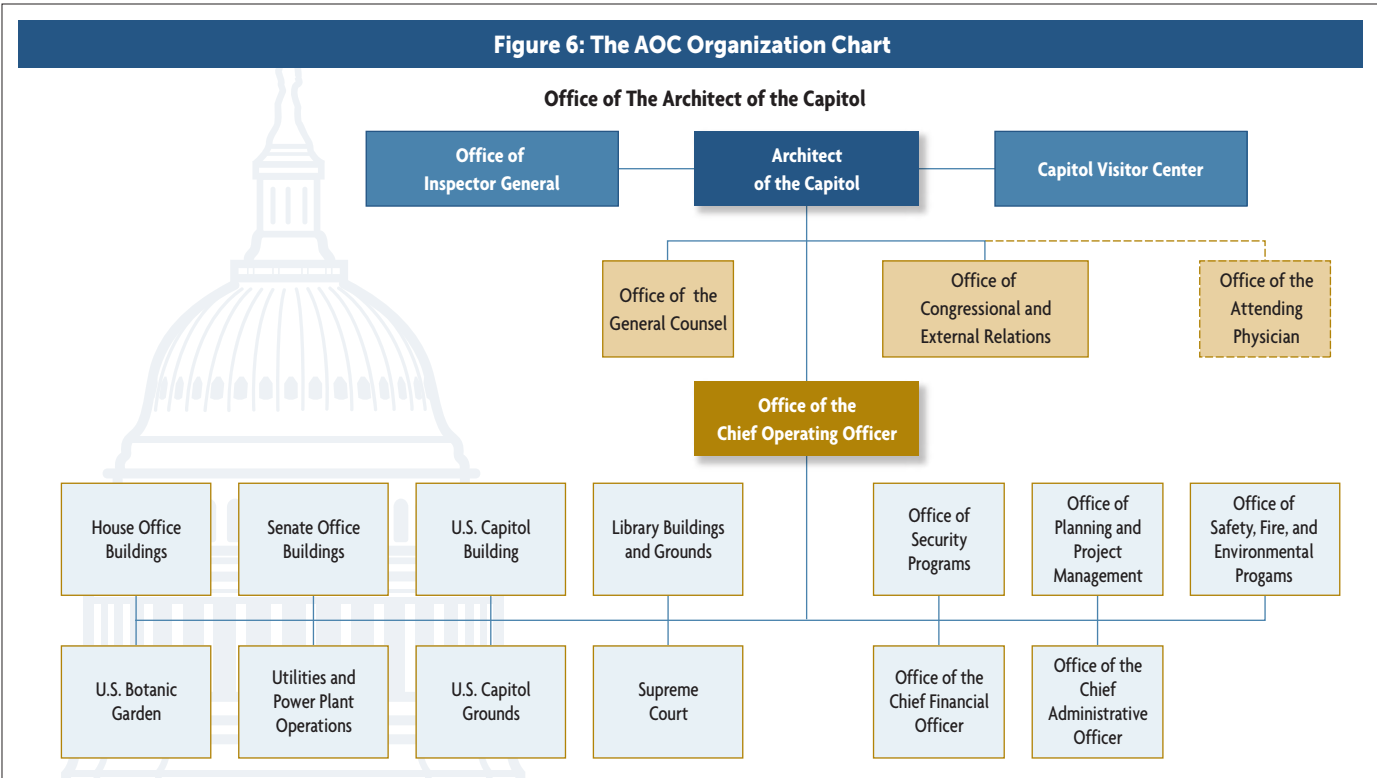


In August 2009, the funeral procession for the late Senator Edward M. Kennedy stopped at the Capitol's East Front.

complex. The AOC is comprised of central administrative functions—which provide services AOC-wide such as accounting, administrative and project management—and ten jurisdictions. The jurisdictions include a diversity of skilled laborers: custodians, gardeners, electricians, plumbers, upholsterers, carpenters, painters, masons, and other craftspeople. Labor unions assist in the support of a large portion of our workforce. The AOC organization chart is shown in Figure 6.

The AOC's workforce has grown to meet its expanding responsibilities. During FY 2009, nearly 200 employees were transferred from the Capitol Guide Service into the AOC's organization to support the CVC. This increased staff to approximately 2,500 Full-Time Equivalents (FTEs). Figure 7 details the distribution of FTEs across the organization. This chart indicates that most growth in FY 2009 was within the CVC jurisdiction reflecting this transfer of guide service personnel, along with the addition of FTEs to meet the new facility needs associated with this expansion of the Capitol.

⁷ The Architect further serves as a member of several governing or advisory bodies, including: the Capitol Police Board, Congressional Accessibility Services Board, Advisory Council on Historic Preservation, National Capital Memorial Advisory Commission, and the District of Columbia Zoning Commission. The Architect also serves as an *ex-officio* member of the United States Capitol Preservation Commission and the National Building Museum and as the Acting Director of the U.S. Botanic Garden under the Joint Committee on the Library.





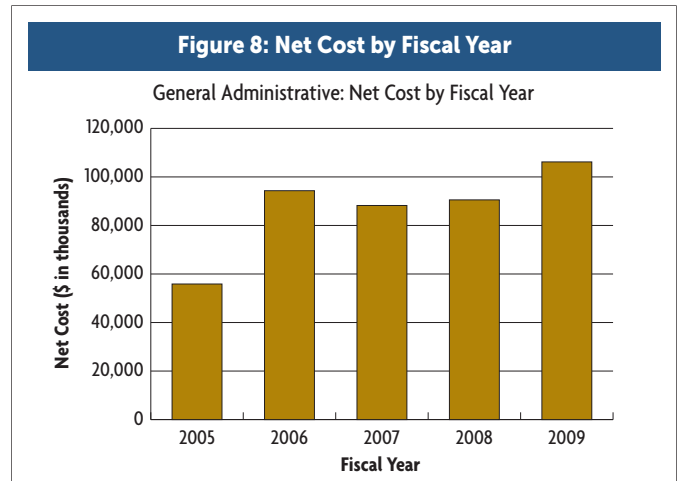
The sculptural pediment over the east central entrance of the U.S. Capitol is called *Genius of America*. The entire pediment is 81 feet 6 inches in length and the figures are 9 feet high.

GENERAL ADMINISTRATIVE AND CENTRAL MANAGEMENT FUNCTIONS

The management and administrative offices, or central staff, support the AOC organization-wide. These central offices include, but are not limited to, such functions as: human resources, budgeting and accounting, project planning and management, procurement, information systems, safety, and care and conservation for works of art. The largest AOC general administrative offices are the:

- Office of the Chief Financial Officer;
- Office of the Chief Administrative Officer;
- Office of Planning and Project Management;
- Office of Safety, Fire, and Environmental Programs;
- Office of the General Counsel; and
- Office of Congressional and External Relations.

In addition, the AOC supports the Capitol complex through its Front Office and Offices of the Attending Physician, and Inspector General. Figure 8 provides a summary of the General Administrative Office's net cost of operations for the Fiscal Years 2005 through 2009.



OFFICE OF THE CHIEF FINANCIAL OFFICER

The Office of the Chief Financial Officer (OCFO) is responsible for the financial stewardship and management at the AOC. This office oversees the operations of three divisions within the organization: Accounting, Budget, and Financial Systems⁸. The AOC's Internal Controls Manager also reports directly to the Chief Financial Officer (CFO).

⁸ At the close of FY 2009, the AOC reorganized its human resources operations and transferred the Workforce Planning and Management Division from the OCFO to the Office of the Chief Administrative Officer.

Accounting Division

The Accounting Division provides direction, planning, and oversight for accounting policy and procedures. This includes financial analysis and reporting, accounting operations, managerial cost accounting and reporting, and inventory management at the AOC.

The Accounting Division provided significant support to the OCFO in achieving an unqualified (clean) audit opinion on the AOC's principal financial statements for the fifth consecutive year.⁹ The Division also provided support to the CVC during its pre-opening phase by providing new accounting policy guidance in the areas of cash management, retail inventory, and fountain coin collections. Further, the Division provided assistance in establishing new revolving funds for the CVC and recycling efforts, and helped with the Senate Restaurants' privatization.

Budget Division

The AOC's Budget Division is responsible for preparing, presenting, and monitoring the execution of its appropriated funds. This includes monitoring Congressional action on appropriation bills, performing execution reviews, working with jurisdictions to formulate budgets, providing a payroll projection service, and managing reprogramming actions.

This year, the Division developed a budget that was lauded by Congressional staff as the best they had seen from the AOC. It included a comprehensive introduction that articulated the AOC budget strategy and integrated a performance-informed budget with its operational and capital budgets—linking budget requirements with performance. The Division helped facilitate the transfer of the Capitol Guide Service to the CVC and completed a comprehensive review for an end-of-year reprogramming—moving over \$12 million to allow the AOC to address deferred maintenance projects, fund critical energy and sustainment projects, and accelerate citation-related efforts.

Financial Systems Division

The Financial Systems Division (FSD) manages and coordinates the design, implementation and maintenance of the AOC's financial systems. The Division supports end-users through its Help Desk operations, training programs, and issuance of monthly reports.

FSD made significant progress in streamlining operations and driving down costs during FY 2009. By moving the AOC's core financial system hosting venue, the OCFO was able to

achieve greater efficiency in accounting operations and reduce costs by over \$1 million per year by having the core financial, inventory, and property systems hosted by the same provider. The Division also continued work on the AOC's Business Process Re-Engineering (BPR) Project and conducted the initial research on new hosting venue and system options.

Internal Controls Manager

AOC management is committed to exercising sound internal controls to ensure effective and efficient program operations, reliable financial reporting, and compliance with applicable laws. The Internal Controls Manager is dedicated to assisting senior management and, in particular, the CFO in carrying out these responsibilities. For a description of recent internal control actions and plans for the future, please refer to *Management Challenges* and *Looking Ahead* in this report.

OFFICE OF THE CHIEF ADMINISTRATIVE OFFICER

The Office of the Chief Administrative Officer (OCAO) provides administrative support for all areas of the AOC. The Office's Chief Administrative Officer (CAO) oversees the following divisions within the organization: the Business Transformation Division, Curator Division, Human Capital Office, Information Technology Division, Office Services Division, and the Procurement Division.

Business Transformation Division

OCAO formed the Business Transformation Division (BTD) in FY 2009 to improve the AOC's efficiency and responsiveness to organizational needs. The BTD consolidates process improvement functions that previously existed as distinct offices—such as strategic and operational business planning, organizational analysis, quality management, customer satisfaction, and the development of business solutions in support of the AOC's mission. This new office was created to help continue the transformation of the AOC and support a business culture of continuous improvement.

Curator Division

The Curator Division supports the AOC's stewardship mission. Stewardship includes documenting, researching, and educating visitors about heritage assets and their preservation. The Curator preserves and grants access to the AOC historical records and oversees the care and conservation of architectural, fine, and decorative art under the AOC. Their research, construction drawings, records, and photographic images are vital for project planning and stewardship of the complex.

⁹ This followed two straight years in which the AOC received a clean opinion on its Balance Sheet-only audits.

The Division's Records Management and Archives Branch is responsible for the AOC archives—the repository for architectural and engineering drawings and for administrative, construction, and project records dating from the mid-19th century.

The Division's Photography Branch documents construction, renovation, restoration, and ceremonial events; maintains the photographic archive; and provides images.

Major FY 2009 conservation projects are discussed in Section II under *Focus on... Curatorial and Preservation Projects*.

Human Capital Management Division

Towards the close of FY 2009, the OCAO created a new Human Capital Management Division (HCMD), to be headed by a Chief Human Capital Officer (CHCO). This office combines the former Equal Opportunity and Diversity Programs Division (EEO/DP), Human Resources Management Division, and the workforce planning function to form a concentrated office dedicated to serving the human capital needs of the AOC. During this FY, this office was instrumental in the transfer of 200 employees from the Capitol Guide Service to the AOC. When the U.S. Senate Restaurants was privatized, they also facilitated the separation of approximately 100 restaurant employees. In addition, the HCMD developed and implemented an AOC-wide diversity training for all non-supervisory employees. An equally important achievement was the implementation of a Reasonable Accommodation Program designed to advance equal access and employment for qualified people with disabilities.

Information Technology Division

The Information Technology Division (ITD) manages the AOC's information technology (IT) needs and allocates the technology resources upon which the AOC is dependent for operations. To accomplish this, ITD developed and implemented the Information Technology Investment Management process with full support and participation of the AOC's leadership. This provides the criteria for selecting technology investments that best support the AOC's goals, as well as ensuring that an optimal IT portfolio is achieved. During FY 2009, the position of Information Technology Director was elevated to Chief Information Officer, to emphasize the importance of this office in serving the information resource needs of the entire AOC.

Office Services Division

The Office Services Division is responsible for a range of AOC services. While primarily responsible for mail service, they also provide office supplies and printing, copying, and imaging services. In addition, they manage flag replacement and disposal for the Capitol complex and provide parking assignment support.

Procurement Division

The Procurement Division is responsible for procurement throughout the AOC which includes: solicitations, awards, and administration of contracts. During FY 2009, this Division improved its acquisition support services when the AOC negotiated a memorandum of understanding (MOU) with the U.S. Small Business Administration (SBA) in support of a small business set-aside program at the AOC. This MOU, a first for a Legislative Branch office, established the activities, roles, and responsibilities necessary for the AOC to fully utilize small businesses when awarding small purchase contracts. This year, the Division also transitioned to a new provider for the government charge card program to provide enhanced tools for preventing and controlling fraud, waste, and abuse.

OFFICE OF PLANNING AND PROJECT MANAGEMENT

The AOC's Office of Planning and Project Management (PPM) includes the Project Management, Design Services, Technical Support, Facilities Planning and Programming, and Construction Divisions.

Project Management Division

The Project Management Division (PMD) is responsible for managing the design and construction of projects in AOC's existing buildings and provides expertise in the design and construction of new or leased facilities. This Division publishes monthly performance metrics for internal use and Quarterly Construction Progress Reports for external stakeholders.

The PMD completed the complex Library of Congress collection storage modules project during FY 2009—see *Focus on... Fort Meade Book Storage Modules 3 and 4 Completed* for further detail. In addition, PMD helped advance the AOC energy conservation goals in a number of areas, such as managing the House Office Building metering program, and successfully met its project delivery goals of having 90 percent of projects on-time and on-budget, with a 90 percent customer satisfaction level.



FOCUS ON

The AOC Partners with DC High School to Share Expertise

In a unique community outreach and workforce planning initiative, the AOC is developing a partnership with the Phelps Architecture, Construction, and Engineering High School in Northeast Washington, D.C. Through these efforts, the AOC staff shares its professional expertise with students who are preparing to enter career fields related to the AOC's core work.

As part of this partnership, architects and engineers from the AOC's Planning and Project Management Division have helped teach classes at the school on the subjects of architecture and sustainable design. At the same time, students from Phelps have taken field trips to the Capitol Building's Decorative Painting, Sheet Metal, and Carpentry Shops to see first-hand how what they learn in class is applied in practice. These visits included trips to the Capitol Visitor Center's Control Room for a discussion about monitoring lighting,

heating ventilating and air conditioning (HVAC) systems, elevators, and fire safety systems.

This partnership demonstrates the AOC's innovative thinking and forward planning in positioning itself as the employer of choice for future architects, engineers, and construction professionals. Plans are already underway to expand the AOC's involvement with the Phelps High School by providing internships for students and having the AOC employees teach classes on a routine basis.

As a result of this initiative, the AOC hopes that Phelps graduates will give employment at the AOC serious consideration. The partnership with the Phelps High School is a unique opportunity for the AOC to help the D.C. community and participate in the education of future architects, engineers, and construction tradespersons.



The AOC has formed a partnership with Phelps High School in Northeast D.C. to share our expertise with students looking to enter career fields related to the AOC's mission.

Design Services Division

The Design Services Division is responsible for architectural and engineering design services, stewardship oversight, and project management services for studies and the execution of small projects. Stewardship responsibilities include the implementation of the AOC historic preservation policy, as outlined in the Strategic Plan.

The Division provided dedicated support for the successful election year move projects and the Presidential Inaugural during FY 2009. In addition, the Division completed the realignment of the Electronics Engineering Branch to improve customer satisfaction and assisted the AOC cross-jurisdictional energy program by assigning four key staff to provide support to energy and sustainability issues. Going forward, the Division aims to attain Leadership in Energy and Environmental Design (LEED) certification for as many staff as possible.

Technical Support Division

The Technical Support Division (TSD) is responsible for AOC-wide technical support. TSD develops, maintains, and enhances cost control, construction specification, master scheduling, and computer-aided design (CAD) systems.

During FY 2009, the Division improved its cost estimating process by developing and implementing cost estimating templates for Architecture and Engineering (A/E) fee proposals for designs and studies which improves the ability to consistently estimate A/E costs and will provide a valuable source of data for future performance metrics. In addition, TSD completed a training series on the major disciplines for Building Information Modeling (BIM), a virtual building tool that will improve project delivery and facility management. See *Management Challenges and Looking Ahead* for more detail on the use of BIM at the AOC.

Facilities Planning and Programming Division

The Facilities Planning and Programming Division (FPPD) is responsible for capital planning and improvements for the entire AOC organization. This Division conducts Facility Condition Assessments, develops the short-term Capital Improvements Plan, and develops and maintains the long-term Capitol Complex Master Plan (CCMP).

FPPD has significantly increased the AOC's focus on energy efficiency and sustainable development throughout the Capitol complex during FY 2009. Its efforts included: revising project priorities, analyzing all proposed new projects and incorporating sustainable aspects where possible, seeking the advice of the National Academies expert panel, and providing a major rework

of the AOC Sustainability Framework Plan and the CCMP. In addition, FPPD assisted in developing the draft comprehensive five-year Capital Improvements Plan to guide all facilities planning, programming, design, and construction decisions.

Construction Division

The Construction Division provides construction and facility management support to the jurisdictions. With its own internal construction workforce, the AOC is able to react quickly to urgent, minor construction needs.

The Construction Division completed 80 construction projects worth approximately \$30 million across the campus during FY 2009. The Division's efforts were rewarded when two members won the Washington Building Congress' Craftsmanship award. In addition, the Division assists AOC energy conservation initiatives by ensuring that construction efforts adhere to LEED specifications whenever possible.

OFFICE OF SAFETY, FIRE, AND ENVIRONMENTAL PROGRAMS

The Office of Safety, Fire, and Environmental Programs (SFEP) establishes policy and conducts oversight to ensure AOC compliance with safety, fire, and environmental laws and regulations. The office coordinates emergency planning and preparedness activities and is the primary point of contact with external regulatory agencies for the AOC's occupational safety and health, fire protection, and environmental programs.

This year, SFEP's Safety and Environmental Division focused on improving communications channels and providing information and tools to foster a culture of proactive safety, health, and environmental practices. SFEP began publishing a quarterly environmental newsletter, "Enviro Focus," to highlight the AOC's environmental programs, accomplishments, and initiatives. SFEP expanded the AOC emergency preparedness program by overseeing completion of detailed emergency action and response plans. This included the implementation of select protective measures from the AOC Pandemic Flu Plan after an outbreak of the H1N1 (swine) flu in Mexico, along with the holding of Emergency Operations Center readiness exercises. Their continued focus on Office of Compliance safety-related matters and collaboration with AOC jurisdictions resulted in the closure of 11 citation items and 13 occupational safety and health cases.

SFEP's Fire Marshal Division issued Certificates of Occupancy for the Capitol Visitor Center and Ft. Meade Storage Modules 3 and 4 after extensive fire alarm acceptance testing

plans were developed. This testing was completed on time and within cost. The Division improved its performance and completed over 110 requests for project-related reviews with an on-time performance of 91 percent—6 percent above target.

OFFICE OF THE GENERAL COUNSEL

The Office of the General Counsel (OGC) provides legal counsel to the Architect, senior staff, and others within the organization on legal matters involving procurement, contract claims and litigation, real property, the environment, employment, labor, occupational safety and health, torts, and others. OGC serves as the supervising ethics office for the AOC and reviews financial disclosure forms filed by senior employees with the Clerk of the House of Representatives. OGC also represents the organization in administrative hearings directly, or through private lawyers under contract, and arranges for legal representation by the Department of Justice in judicial proceedings.

OFFICE OF CONGRESSIONAL AND EXTERNAL RELATIONS

The Office of Congressional and External Relations (OCER) is responsible for strategic communication initiatives, legislative affairs, and media relations. Activities include oversight of communications with Members of Congress and their staff including: correspondence, hearing testimony, reports, queries, and briefings. In this capacity, OCER serves as a liaison between congressional oversight committees and the AOC and guides the development and implementation of congressional engagement strategies. Activities also include oversight of communications with external parties such as the press, government agencies, industry partners, and the public, establishing AOC communication standards and message branding, and supporting internal communication initiatives.

OFFICE OF THE ATTENDING PHYSICIAN

The Office of the Attending Physician includes several Health Units throughout the Capitol campus and provides primary care, emergency, environmental, and occupational health services in support of the Capitol Building, the Supreme Court, visiting dignitaries, pages, staff, and tourists.



The Office of Attending Physician is committed to enhancing the health and well being of the Congressional community by offering an array of services. These include first aid, emergency treatment, immunization, and educational/outreach programs.

OFFICE OF INSPECTOR GENERAL

The Office of Inspector General (OIG) is responsible for supporting the integrity, efficiency, and effectiveness of AOC activities by conducting internal audits and investigations, reviewing existing policy and legislation related to the AOC and making recommendations concerning its impact. The OIG makes recommendations to promote economy and efficiency, preventing and detecting fraud and abuse, and informing the Architect of its findings. 2009 represents the AOC's first complete Fiscal Year with a statutory Inspector General. The OIG reports its activities in its Semiannual Report to Congress.



AOC workers provide daily maintenance and care for the plants located throughout the Capitol complex.



On June 7, 2009, the CVC's Emancipation Hall was the site for a traditional ceremony in honor of Hawaiian King Kamehameha, whose statue was gifted to the National Statuary Hall Collection.

JURISDICTIONS AND MISSION AREAS

The Architect of the Capitol (AOC) has oversight responsibility for several jurisdictions across the Capitol complex. Each jurisdiction is responsible for a designated area as follows:

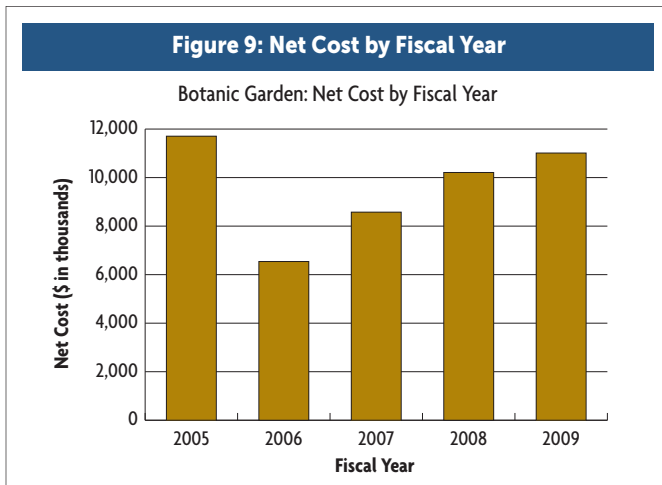
- Botanic Garden;
- Capitol Building;
- Capitol Grounds;
- Capitol Police Buildings, Grounds, and Security.
- Capitol Power Plant;
- Capitol Visitor Center;
- House Office Buildings;
- Library Buildings and Grounds;
- Senate Office Buildings; and
- Supreme Court.

The AOC jurisdictions play a unique role in fulfilling the organization's mission and meeting the goals outlined in the *Strategic and Performance Plan* (see Section II: Performance Information for detail on the specific performance targets for FY 2009). The following section presents each AOC jurisdiction and their individual mission responsibilities, accomplishments, and priorities.

BOTANIC GARDEN

The U.S. Botanic Garden (USBG) was established in 1820 by Congress. It moved to its present location southwest of the Capitol in 1933. The Joint Committee on the Library oversees the USBG and designated responsibility for the maintenance, operation, and construction improvements for the Botanic Garden to the AOC in 1934. Daily operations are managed by the Executive Director. Public areas of the USBG include the Conservatory, five acres of surrounding outdoor gardens including the National Garden, and the outdoor display gardens in Frédéric Auguste Bartholdi Park. The jurisdiction includes an administration building as well as a plant production and support facility at D.C. Village that has 36 greenhouse bays, outdoor nursery areas, storage, and maintenance shops.

The USBG serves Congress with its stewardship of a large, diverse plant collection. The jurisdiction provides constituent tours; expertise and education in botany, botanical illustration, sustainable landscapes, and plant sciences; and maintains facilities for Congressional events. The stewardship strategy is also met through its work as a public plant museum, while highlighting plant diversity. The USBG offers educational programs, tours, exhibits, consultations, and a national partnership program that provides conservation leadership and environmental and botanical education. Figure 9 provides a five year summary of the USBG's net cost of operations.



Key Accomplishments in Fiscal Year 2009

Flora: Growing Inspirations Exhibition

The USBG launched the exhibit *Flora: Growing Inspirations* during the summer of 2009. This exhibit was presented in partnership with the Washington Sculptors Group and featured more than 30 sculptures by artists from across the United States and Zimbabwe. The display was in the outdoor garden rooms spanning the Conservatory Terrace and in the East Gallery and drew more than 272,000 visitors.

Client Service Highlights

This year, for the first time, the USBG offered a National Garden Fellowship to increase educational outreach in conjunction with the National Fund for the U.S. Botanic Garden. The USBG also achieved accreditation from the American Association of Museums recognizing the museum's commitment to excellence and professional standards of operation. The USBG completed another year of progress with the Sustainable Sites Initiative (SSI), a partnership program with the Lady Bird Johnson Wildflower Center and the American Society of Landscape Architects, which holds the potential for transforming the design, construction, and maintenance of built landscapes of the future.

Bartholdi Fountain Restoration Progressing

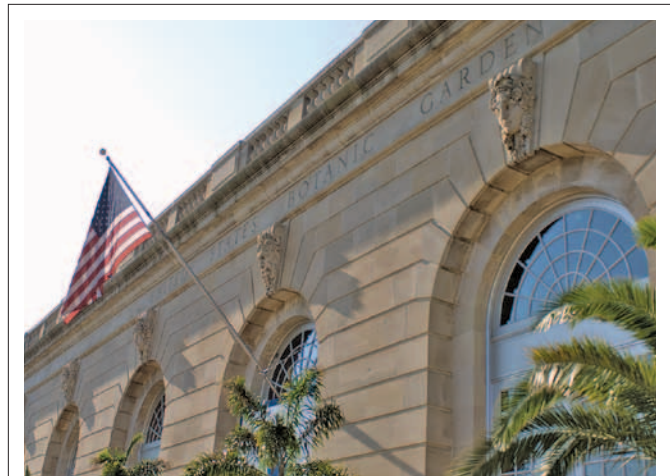
The USBG continued work on restoring the historic Bartholdi Fountain. After removing the sculpture and sending it off-site for repair, the restoration of the concrete basin and pedestal and installation of energy efficient operation systems began. Restoration is well underway with an anticipated re-installation of the Fountain in FY 2010. See *Focus on...Bartholdi Fountain Restoration* for additional detail.

Administration Building Renovation Began

A renovation project for the USBG Administration building began in FY 2009 and installed new HVAC, electrical distribution, and lighting systems throughout. All exposed asbestos was eliminated, along with 60 percent of lead-based painted surfaces. An Americans with Disabilities Act (ADA)-compliant restroom area was installed and the remaining restrooms were renovated. The USBG took extensive care in maintaining the architectural integrity of the building's interior finishes—including restoring the original wood floors, wood cabinetry, and ceramic tile.

Staff Capabilities Enhanced

The USBG maintains its commitment to broaden the skill sets of its staff and to provide outstanding service to its clients. During FY 2009, the USBG welcomed a landscape architect to the staff to broaden the scope and breadth of skills and improve both the process and product of our exhibits and design work. USBG continuously assesses staff skills and realignment for the highest performance.



The Botanic Garden includes the Conservatory, National Garden, Frédéric Auguste Bartholdi Park, an administration building, and a plant production and support facility. The Botanic Garden achieved accreditation from the American Association of Museums, the highest national recognition for a museum.

Summary of Fiscal Year 2009 Priorities and Performance

In FY 2008, the jurisdiction identified key priorities and targets for FY 2009. These priorities and the jurisdiction's performance against them are shown below.

2009 Priorities and Targets	2009 Actual Performance
<p>Enhance sustainability operations and education for staff and the public through:</p> <ol style="list-style-type: none"> 1. Establishing a final draft of national voluntary green standards for landscapes for the Sustainable Sites Initiative, 2. Host programs on sustainable practices through a partnership with the Environmental Protection Agency (EPA), 3. Enhancing educational programs about native plants and green gardening practices, and 4. Investigating methods of moving staff between facilities to reduce transportation costs and fuel use. 	<ol style="list-style-type: none"> 1. Issued the SSI Guidelines and Benchmarks. 2. Signed a Memorandum of Understanding with EPA and made decision to study the potential for reclamation of water from the Conservatory roof and transition temporary rain garden to a fully functioning and expanded rain garden. 3. Developed an invasive plant brochure in conjunction with the Nature Conservancy and National Park Service and taught an integrated pest-management class with the University of the District of Columbia. 4. For energy conservation, drafted plan to reduce trips between the Production Facility and Conservatory (a six mile distance) by restructuring duty stations and schedules.
<p>Oversee redesign and fabrication of interpretive and wayfinding signage to address deterioration, improve worker safety and increase message effectiveness.</p>	<p>Evaluated all signs for content. Completed 70% of the redesign of a flexible and safe panel system for the Conservatory signage. Procured a new header panel prototype and began installation of test samples. Project will be completed in the upcoming year.</p>
<p>Begin the Bartholdi Fountain restoration, including sculpture restoration; renewal and replacement of internal piping; and replacement of bowl sconce light fixtures.</p>	<p>Began the Bartholdi Fountain restoration, including sculpture restoration; renewal and replacement of internal piping; and replacement of bowl sconce light fixtures.</p>

What's Next? Fiscal Year 2010 Priorities

The jurisdiction has established priorities for the upcoming Fiscal Year that support the overall mission of the AOC. These initiatives are discussed below.

Business Plan Closeout

Complete the USBG Business Plan that is a five-year plan that parallels the AOC Strategic Plan and precisely maps USBG work to the AOC's strategic goals.

National Garden Education

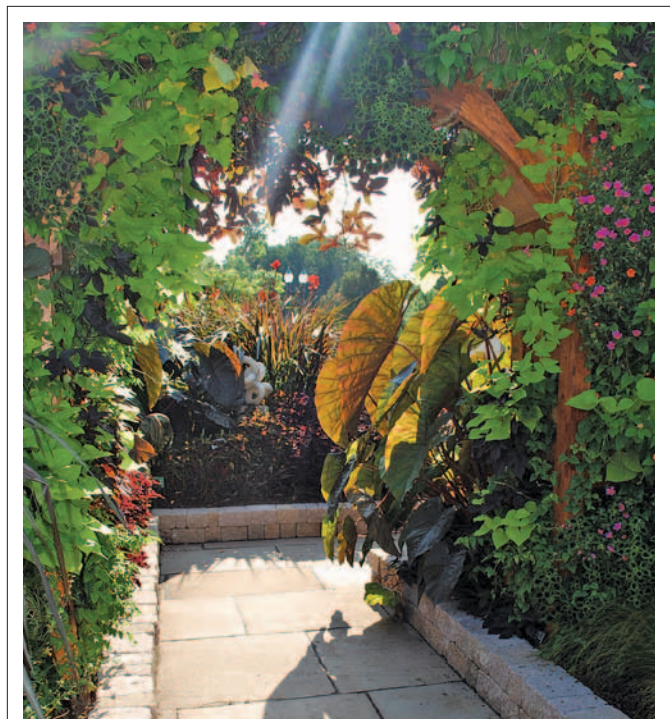
Purchase interpretative signage for the National Garden's native plant gardening initiative to educate visitors about conservation and sustainability.

Research and Development

Launch a pilot program and select Sustainable Sites demonstration projects. Complete homeowner version of SSI guidelines.

Operations Sustainment

Initiate sustainable systems in the Horticulture Division to investigate options such as water harvesting capability, solar panels at the Production Facility, and a wind turbine to generate renewable energy for the greenhouse.



The U.S. Botanic Garden's *Flora: Growing Inspirations* exhibition featured more than 30 contemporary sculptures inspired by plants by artists from across the United States and Zimbabwe.



FOCUS ON

Bartholdi Fountain Restoration

In September 2008, the Office of the Architect of the Capitol, with coordination by the Office of Planning and Project Management, began work on a multi-phased restoration of the historic Bartholdi Fountain. The historic fountain was created out of cast iron by Frederic Auguste Bartholdi¹⁰ and dates to 1876. After it was first exhibited at the International Exposition in Philadelphia, it was purchased by Congress in 1877 and installed on the National Mall. It was moved to its present location near the U.S. Botanic Garden in 1932.

Restoring this heritage asset to its original glory, as well as updating it with the latest technology to make it energy efficient, is a top priority for the AOC. This restoration project builds on prior preservation efforts. The Fountain was refinished and restored in 1986 when the cast iron surface was given a new protective coat, the plumbing and wiring were replaced, and its basins were repaired and leveled. Later, in 1996, the top coat of paint was renewed. Continued deterioration and the Fountain's exposure to an outdoor environment have made a full restoration necessary. The project is budgeted for under \$5 million.

Starting in 2002, condition assessments of the Bartholdi Fountain were developed, separating the planned restoration into phases. The first phase of the multi-year project involves restoring the fountain itself. The sculpture was disassembled, removed by crane, and sent to an off-site architectural metal specialist. The restoration includes repairing deteriorated metal, replacing all interior mechanical and electrical components, and replacing the light fixtures with energy-efficient LED fixtures similar in style to its original gas sconces. This work is expected to take 24 months and was 41 percent complete at Fiscal Year-end.

After the sculpture was removed, the overlapping second phase began. This phase focuses on restoring and waterproofing the concrete basin and pedestal. Also included is the installation of energy-efficient plumbing, pumps, and electrical distribution systems. The Phase 2 work, scheduled to take 12 months, was already 81 percent complete at Fiscal Year-end. Once finished, the Fountain will be re-installed. The Fountain will not be operational, however, until the third phase is finished. Phase 3 will involve upgrading the utility vault and electrical and plumbing equipment. Subsequent phases will focus on the renovation of Bartholdi Park, the permanent location of the Fountain.

Bartholdi Park will remain open to the public throughout the restoration, and the construction fence will contain educational portals for the public to view the on-going renovation work. Phases 1 and 2 of this extensive restoration are on schedule, with Phase 3 projected to begin in FY 2010.



The historic 1876 Bartholdi Fountain was disassembled, removed by crane, and sent to an architectural metal specialist to restore the sculpture to its original beauty and update it with energy efficient technology.

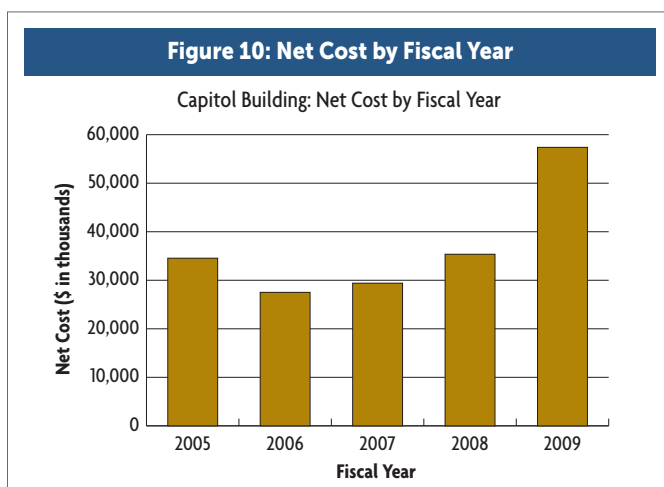
¹⁰ Bartholdi, a 19th Century French sculptor, is primarily known for his design of the Statue of Liberty.

CAPITOL BUILDING

The U.S. Capitol is among the most architecturally impressive buildings and is recognized as a symbol of freedom and democratic government. It is a working building for the Legislative Branch and has been the meeting place for the Congress for over two centuries. Its historic rooms, halls, and ceilings also serve as a showcase for American art.

The care and stewardship of the Capitol Building jurisdiction (CB) is entrusted to the Office of the Capitol Building Superintendent, whose daily operations focus on client services, building maintenance, occupational health and safety management, construction project management, special events coordination, and flag office operations. In FY 2009, the Superintendent gained the responsibility for facility maintenance at the new Capitol Visitor Center (CVC) which added nearly 580,000 square feet to the Capitol.

The CB continually strives for excellence in serving Congress. It supports its legislative operations and assists Congressional and Committee staff, business visitors, and the general public, while preserving, protecting, and enhancing the Capitol and its historic assets. The jurisdiction uses the AOC *Strategic and Performance Plan* to guide its daily operations. Figure 10 below provides a five year summary of the CB's net cost of operations. FY 2009 Net Cost increased from FY 2005–2008 as a result of the addition of CVC facility maintenance costs.



Key Accomplishments in Fiscal Year 2009

Presidential Inauguration Support

CB constructed a wood platform at the West Front of the Capitol in preparation for this year's historic Inauguration ceremony. This platform was designed for ease of access, code compliance, and architectural harmony. In conjunction with this event, the Jurisdiction

assisted in the preparation of the Capitol's Statuary Hall for the traditional Inaugural Luncheon. See *Focus on... Capitol Building 2009 Presidential Inauguration Support* for more detail.

Capitol Visitor Center Support

The Jurisdiction made a significant contribution to the CVC grand opening and assisted with the relocation of statues from Statuary Hall, the plaster model of Thomas Crawford's *Statue of Freedom*, and numerous pieces of artwork for display at the CVC. They also helped ensure that the CVC met fire safety codes and that the facility received a Permanent Certificate of Occupancy. As part of the facility maintenance of the Capitol, CB manages facility maintenance for the CVC.

Client Service Improvements

Customer feedback is a significant tool used by the Jurisdiction to guide process improvement efforts. Despite the accelerated and challenging work in opening the CVC facility during FY 2009, CB maintained its high customer satisfaction level. New efforts initiated during FY 2009 concentrated on areas such as improved egress capacity.

Restoration and Renovation of the Capitol

During FY 2009, to maintain the beauty and preservation of the Capitol, CB completed the exterior painting of stone surfaces and windows of the building. They also coordinated the safe installation of the Henry Clay Portrait in the East Brumidi Corridor stairwell; the design, fabrication, and installation of the Memorial Plaque for Flight 93; and the safe relocation of numerous statues selected for the CVC.

Building Safety and Accessibility Improvements

CB completed the three-phase Emergency Exit Signs and Lighting Project during FY 2009. Also completed was the installation of two additional building emergency exit doors and stairs on the Lower West Terrace. This improved life-safety conditions for occupants of the building by providing a direct means of exit from the lower West Terrace. They also initiated the fabrication of wheelchair lifts at the House Chamber's Rostrum to bring it into compliance with the Americans with Disabilities Act (ADA).

Enhanced Safety of Employees

In response to H1N1 (swine flu) concerns, CB strategically placed more than 60 hand sanitizer stations throughout the Capitol and CVC, distributed individual sanitizer bottles to staff and promoted awareness to minimize risk. They also reviewed and updated its pandemic plan to review action plans for a pandemic situation and conducted various emergency preparedness exercises.

Summary of Fiscal Year 2009 Priorities and Performance

In FY 2008, the jurisdiction identified key priorities and targets for FY 2009. These priorities and the jurisdiction's performance against them are shown below.

2009 Priorities and Targets	2009 Actual Performance
Support the 2009 Presidential Inauguration ceremonies, including construction of the West Front Inaugural stands, provision of media support and sound systems, security and crowd control.	Constructed an Inaugural platform at the West Front; built reusable outdoor structures; procured media and sound systems; and restored the ceremonial area to normal state by February 2009.
Complete the emergency exit signs and lighting system project and related life safety projects.	Completed the Emergency Exit Signs and Lighting project to address the deficiencies identified by the fire and life safety study/design.
Complete implementation of the facilities maintenance program for the CVC to maintain facility systems and equipment in support of the CVC operations.	Developed a Preventative Maintenance Program and performed a gap analysis to identify deficiencies in equipment assets and maintenance requirements. Resolution of gaps will be finalized in FY 2010.
Install smoke control system in the grand stairwells to provide a dedicated exhaust system at each of the three-story monumental stairs in the House and Senate wings.	Contract award is planned for FY 2010 and completion expected within 16 months of award.
Complete the modernization of elevators S-4 and H-9 to bring them into compliance with the ADA and current safety codes.	Modernized the S-4 elevator. Elevator H-9 project was delayed due to the occupancy of Congressional staff in project space. Completion expected in late FY 2010.

What's Next? Fiscal Year 2010 Priorities

The jurisdiction has established priorities for the upcoming Fiscal Year that support the overall mission of the AOC. These initiatives are discussed below.

Capitol Dome Rehabilitation

Prepare, prime, and repaint the exterior and interior portions of the Dome with custom-tinted alkyd paint to match the existing paint and protect the cast iron shell as part of the multi-phased restoration.

Elevator Modernization

Complete the modernization of elevator H-9 to bring it into compliance with the ADA and current safety codes. The completion of elevator H-9 will bring all elevators in the Capitol into full compliance.

Preventative Maintenance Program Implementation

Work with the AOC Preventative Maintenance Standards Committee to obtain the routine equipment priority list and verify the current equipment. Schedule and track the frequency of maintenance.

Smoke Control System Installation

Begin the installation of the smoke control system to provide dedicated exhaust capabilities throughout the grand stairs in the House and Senate wings.



The AOC maintained the Capitol by preparing, priming, and repainting the exterior stone surfaces and windows during the Fiscal Year to prevent moisture penetration and corrosion.



FOCUS ON

Capitol Building 2009 Presidential Inauguration Support

The Presidential swearing-in took place January 20, 2009 on the West Front of the U.S. Capitol. Every four years, the AOC's Capitol Building jurisdiction supports the Presidential Inauguration ceremony by building the Presidential Inaugural stands, and support facilities.

The AOC's funding to support the 2009 Presidential Inaugural event was approximately \$3.5 million. Planning and design of the platform began more than a year in advance of its construction. Key initial milestones took place in September 2008 with the closing of the upper and lower terraces and the West Front Grounds of the Capitol and the holding of the First Nail Ceremony to mark the start of the platform construction.

The Inaugural platform is constructed entirely from scratch for each ceremony. The platform was more than 10,000 square feet and constructed entirely of lumber to protect the surfaces of the Capitol. A stadium design maximized sightlines and helped blend with the Capitol architecture. The stands were configured to provide optimum access and egress, comply with fire and life safety codes, and adhere to ADA requirements.

On Inauguration Day, the stands held more than 1,600 people, including the President and Vice-President-elects and their families, Members of U.S. Senate and House of Representatives, Justices of the Supreme Court, and many others dignitaries. For the ceremony, the AOC Office of Visitor Services escorted 120 Medal of Honor recipients and nine busloads of Tuskegee Airmen among the guests. In addition, bleachers built above the platform on the Upper West Terrace held another 1,000 people, including choirs and guests.

Besides designing and building the platform, the AOC was responsible for the setup of the other reusable outdoor structures, including metal and wood de-mountable ramps, stairs, and crossovers. The AOC was also in charge of the rental or procurement of other needed elements such as media towers, a special-

ized sound system, audience chairs, portable restroom facilities, and security-related items.

Inside the Capitol, the AOC prepared the Capitol Rotunda as an alternate site for the Inauguration in case of inclement weather. In addition, the Capitol's Statuary Hall was setup for the traditional Inaugural Luncheon that takes place after the President takes the oath of office and delivers his address.

After this historic event concluded, the Inaugural stands were dismantled and removed and the West Front re-opened by mid-February. Lumber from the Inaugural platform was donated to charity. For its excellent support of the 2009 Inaugural Ceremony, the Capitol Building Jurisdiction received many letters of appreciation from the Senate and House Leadership and dignitaries in attendance.



The AOC is responsible for building the Inaugural platform where the President of the United States is sworn in. The platform is made entirely of lumber to protect the surfaces of the Capitol.



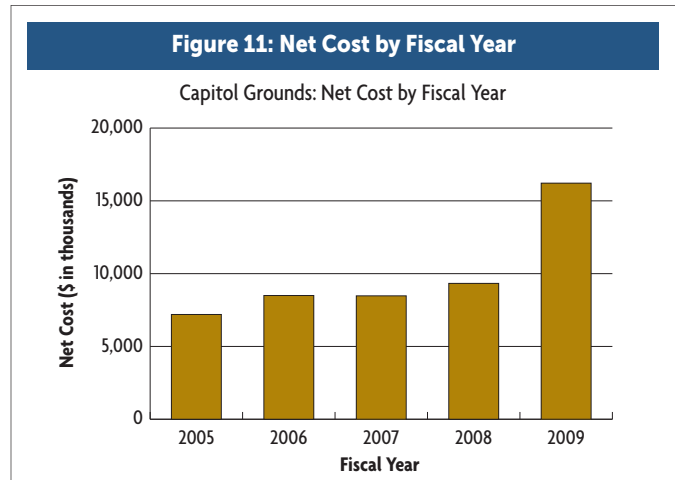
The Capitol Grounds provide a park-like setting for the U.S. Capitol, offering a picturesque counterpoint to the building's formal architecture. Over 200 varieties of trees and bushes are planted on the Grounds.

CAPITOL GROUNDS

The Capitol Grounds jurisdiction (CG) has the responsibility for preserving and maintaining approximately 274 acres of landscape, including plantings and infrastructure, across the Capitol complex. The original grounds encompassed a 31-acre parcel. By 1872, Congress acquired land to enlarge the grounds and, two years later, Frederick Law Olmsted was hired to oversee their expansion and create grounds that appropriately reflected the Capitol's grandeur. Olmsted designed a circular pattern of walkways and drives, with open lawns and tree plantings. His design sought to create a peaceful, open park-like landscape that would welcome visitors and provide a dignified setting for the Legislative Branch of the Federal government.

On a daily basis, Grounds staff are involved in routine and cyclic landscape maintenance such as mowing lawn areas, weeding and watering seasonal plantings, and comprehensive tree care, as well as the upkeep of the Grounds' supporting features, infrastructure, vehicles, and equipment. Much of its work program is directed toward the maintenance of miles of sidewalks, drives and parking lots, operation of irrigation systems and ornamental fountains, and preservation maintenance of historic walls. They also provide snow and ice removal, trash collection, and a campus shuttle bus service. Support for major events—such as the annual Capitol Christmas Tree Lighting Ceremony on the Capitol's West Front lawn—includes the erection of security fencing plus a variety

of support tasks in an effort to provide a safe and aesthetically pleasing experience for Capitol visitors. Figure 11 provides a five year summary of the CG's net cost of operations.



Key Accomplishments in Fiscal Year 2009

Presidential Inauguration Support

CG transformed the West Grounds for the Inauguration ceremony to accommodate 28,000 seated guests and tens of thousands of standing public. Grounds protection included covering flower beds, providing temporary walkways, and installing security fencing. At the event's conclusion, damaged turf areas were quickly repaired and restored to its normal state. See *Focus on...Capitol Grounds 2009 Presidential Inauguration Support* for more detail.

Capitol Visitor Center Grounds Restoration

While the bulk of the landscape associated with the construction of the CVC was restored, CG will provide technical support and complete follow-on projects. For the December grand opening, a variety of staff from numerous trades were required to complete the final clean-up work. The grounds were prepared in time for the first spring events on the Capitol complex.

Tree Inventory Completed

Maintenance of historic trees is an important function of the Jurisdiction. During FY 2009, CG took steps to improve tree maintenance and preservation by completing an inventory of trees across the Capitol complex based on field observations and surveys. To aid this process, CG acquired software that will allow for the automated tracking through a database of approximately 4,200 trees using more than a dozen specific factors (e.g., location, size, age, and condition assessment).

Summary of Fiscal Year 2009 Priorities and Performance

In FY 2008, the jurisdiction identified key priorities and targets for FY 2009. These priorities and the jurisdiction's performance against them are shown below.

2009 Priorities and Targets	2009 Actual Performance
Support the 2009 Presidential Inauguration ceremonies and return the grounds to good order by the spring.	Set up the West Grounds to accommodate the seated guests and standing public, covered flower beds, provided temporary walkways, and set up crowd control fencing. Restored the area by Spring 2009.
Continue sustainable landscape maintenance practices including recycling, water conservation, Energy Savings Performance Contracts, and replacement of gasoline powered vehicles.	Expanded composting program, changed the shuttle bus fuel to B-20*, replaced high volume irrigation spray heads to reduce runoff, substituted less polluting equipment engines, utilized certified algaecides in fountains, and planted 150 new trees.
Use industry standards to promote historic landscape preservation on Capitol Square and for related structures such as the Olmsted walls and Summer House.	Completed the Summer House stabilization project. Repaired a number of small sections of the Olmsted walls utilizing historic techniques.
Restore the East Front grounds upon completion of the Capitol Visitor Center with landscape plantings and the re-institution of routine maintenance.	Restored the grounds and reestablished routine landscape maintenance schedules. Continuing to work on irrigation system issues in FY 2010.
Complete a computer-based tree inventory that will improve management and historic documentation.	Established the computer-based tree inventory accounting for 4,200 trees.

* B-20 is an alternative 20% bio-based diesel fuel.

Client Service Highlights

Customer surveys are used as a tool for understanding workforce performance and improving the delivery of services. In FY 2009, improved customer ratings were received in the major areas of landscape maintenance, sidewalks, and snow and ice removal. CG incorporated sustainable practices, including the expansion of composting and the use of alternative fuels, and made significant infrastructure additions and repairs to improve the safety and structure of the grounds.

Preservation of Olmsted Walls

For this Fiscal Year, the restoration of the Olmsted walls surrounding Capitol Square required the repointing of 1,700 lineal feet of historic walls using original techniques outlined in the Historic Structures Report. The Construction Division completed this important preservation work.

Summer House Stabilization Project Completion

This project, completed during FY 2009, was a temporary measure to address critical preservation issues previously identified in the Historic Structures Report. This work included partial restoration of the roof and surrounding brick structure to make the building water tight and curtail further degradation of the structure until a comprehensive restoration may be designed and undertaken.

What's Next? Fiscal Year 2010 Priorities

The jurisdiction has established priorities for the upcoming Fiscal Year that support the overall mission of the AOC. These initiatives are discussed below.

Sustainable Practices Implementation

Incorporate sustainable practices in grounds management and project plans for storm water management and water conservation. Consider alternative fuels for all purchased equipment.

Recycling Program Implementation

Plan and implement a campus-wide Capitol Grounds recycling program for pedestrian trash, such as water bottles and soda cans.

Resurface Independence Avenue

This heavily-used road has significant deterioration and will be assessed and remediated to provide a stable and long-lasting finish.

Develop Cultural Landscape Reports

This study will be a comprehensive and scholarly review of the history, development, and assessment of the Capitol Square and the Senate Parks landscapes and provide recommendations for their restoration and preservation maintenance.



FOCUS ON

Capitol Grounds 2009 Presidential Inauguration Support

Every four years, the AOC's Capitol Grounds jurisdiction supports the Presidential Inauguration in a variety of ways. The AOC transformed the Capitol's West Grounds for the temporary set up of approximately 28,000 seats for invited guests and to accommodate the tens of thousands of standing members of the public.

To protect the Grounds from the large crowds, flower beds were covered in advance and mulch applied for 6,500 lineal feet of walkways. The temporary walkways between the major sections of chairs and access points were mulched to provide a uniform surface that would not become muddy during rainy weather conditions. In case of inclement wintry weather, the AOC prepares with snow shovels, brooms, chutes, ice melt, and blowers. After months of preparing the West Front, the AOC installed chairs, lighting, and speakers to the Grounds in January 2009.

The Jurisdiction also assisted the Inaugural ceremony with security coordination, emergency support, and crowd control. This work included the installation of security fencing and signage, crowd control barricades, utility hook-ups for temporary trailers, and tents for security screening and medical posts. On the day of the 2009 Presidential Inaugural, Capitol Grounds staff was available as an on-call labor force to handle unforeseen problems and emergency support.

While this date was one of the colder Inaugurals on record and brought one of the largest crowds ever to the Capitol, the fact that the ground was frozen greatly reduced any potential damage. After the ceremony, the immediate goals of grounds policing and

returning the West Front back to its original condition were quickly met. Temporary signs were removed as part of the trash clean-up and completed in two days despite the extra time and effort required due to the record high number of visitors. In a matter of two to three weeks, the security fencing was removed as was the mulch from the temporary walkways. As conditions allowed, grounds staff repaired the damaged turf areas by Spring 2009 so that the Grounds were in good shape prior to the first large Capitol events in May. Additional follow-on work was completed during the Fall 2009. For its excellent support of the Inaugural, the Jurisdiction was recognized by the Acting Architect of the Capitol and by the U.S. Capitol Police.



To protect the grounds from the large crowds during the 2009 Presidential Inauguration, flower beds in front of the Capitol were covered and mulch was applied to 6,500 lineal feet of walkways. An estimated 1.8 million people were in attendance to witness the 56th Presidential Inauguration.



The AOC's Office of Security Programs supports the U.S. Capitol Police with crowd and traffic control, screening, and security services for several events held on the Capitol complex.

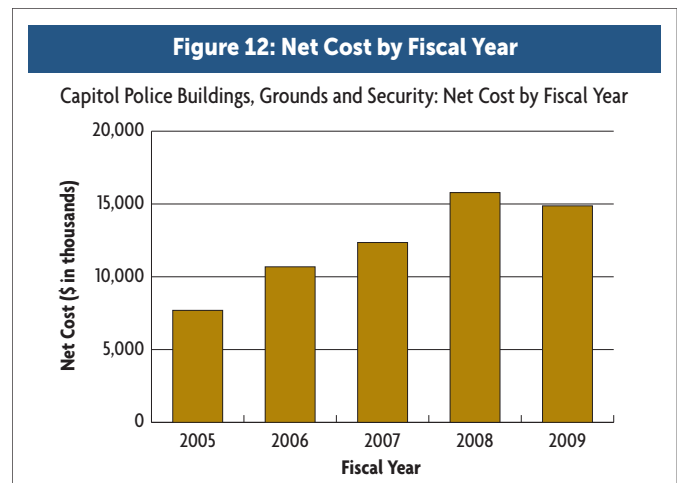
CAPITOL POLICE BUILDINGS, GROUNDS, AND SECURITY

The AOC, through its Office of Security Programs (OSP), which manages the Capitol Police Buildings, Grounds, and Security (CPBG&S) appropriation, is responsible for the maintenance, care, and operation of the buildings, grounds, and security enhancements of the U.S. Capitol Police (USCP), the Alternate Computer Facility (ACF), and AOC security operations.

The jurisdiction includes the following facilities, which are listed with their construction completion or acquisition dates in parenthesis:

- Eney, Chestnut, Gibson Memorial Building Headquarters Building (transferred from GSA in 1986);
- Courier Acceptance Site (1996);
- Vehicle Maintenance/Hazardous Device Unit Facility (leased facility space since 2001);
- Canine (K-9) Facility at DC Village (Administration Building 2003, Kennels 2004);
- Chemical/Explosive Storage Facility (2004);
- Fairchild Building (leased a portion of facility space since 2004);
- Alternate Computer Facility (ACF) (2005);
- Interim Offsite Delivery Facility (2005), and
- Government Printing Office (leased a portion of facility space since 2006).

The AOC's mission includes the oversight and support of the USCP and other security functions for policing, protecting, and securing the Congressional community and its visitors in a safe and open environment. OSP is responsible for the delivery of unique, value-added, integrated support services that includes the delivery of all cross-jurisdiction security enhancements, the management of all internal security programs and perimeter security kiosks and coordinates interagency emergency preparedness. Figure 12 provides a five year summary of the jurisdiction's net cost of operations.



Key Accomplishments in Fiscal Year 2009

Business Development Plan Completed

During FY 2009, OSP completed the development of a five-year strategic business plan that covers its roles and responsibilities to provide services on behalf of the AOC. The plan, to be implemented in FY 2010, will help OSP achieve organizational and customer service excellence. The strategic business vision identified in this plan will drive the development of its management systems, organizational structure, and resource efforts.

Capitol Complex Event Support

Events, demonstrations, and rallies present special security challenges. To assist the Capitol Police in these challenges, OSP provided crowd and traffic control, screening and security services for the more than 17 events held on the Capitol complex (e.g., the Presidential Address to Congress, Capitol concerts, and numerous smaller events). OSP also provided nearly 3,600 bike rack barriers for crowd control, 400 jersey barriers for traffic control, and screening tents to support these events.

Summary of Fiscal Year 2009 Priorities and Performance

In FY 2008, the jurisdiction identified key priorities and targets for FY 2009. These priorities and the jurisdiction's performance against them are shown below.

2009 Priorities and Targets	2009 Actual Performance
Implement a recycling program for all remaining facilities.	Implemented recycling programs for the ACF and security kiosks throughout the campus. In FY 2010, the AOC will work with GPO to have its leased building space covered under their program.
Develop a jurisdictional web page to provide the public with better access to information about the jurisdiction's resources and efforts.	In FY 2009, it was decided that all AOC Websites would be upgraded to a standard format and OSP offered to be a pilot for that effort. The anticipated completion for the new design and the pilot OSP Web page is late-FY 2010.
Execute USCP radio project support in accordance with approved schedule and funding. The digital system upgrade will be fully interoperable with other law enforcement entities.	Finalized infrastructure specifications to support the radio project. The design-build process is scheduled for completion in Spring 2011.
Develop AOC's <i>Internal Security Manual</i> to provide a basis for improving the protection of AOC facilities, personnel, information, equipment, and operations.	Identified, developed, and implemented three top policy priorities in lieu of developing the manual. The security policies were assigned a higher priority and the manual was delayed.
Expand interagency security, anti-terrorism and emergency preparedness networks to help ensure organized response to and recovery from large-scale events.	Expanded the interagency network of emergency response service providers and served on a number of interagency working groups, committees, and task forces to identify further improvements.

Support Data Center and Radio System Modernization

The radio communication system modernization project is currently underway and includes the design and construction of the infrastructure to support the upgrade of the U.S. Capitol Police radio system to a modernized digital system. See *Focus on... Radio Modernization Program Support to Secure the Capitol Complex* for further detail.

Customer Service Highlights

In FY 2009, OSP improved its customer satisfaction by 3.2 percent for the cleanliness of its facilities, bringing satisfaction up to 91.7 percent. OSP also improved the AOC's critical infrastructure reliability by upgrading the electrical circuit infrastructure with redundant electrical feeds to secure continuity of operations in the event of a power outage.

Emergency Response Plan Developed

OSP developed and established an Emergency Action Response Plan (EARP). The EARP provides critical response direction in the event of a Capitol complex emergency. The plan's development required considerable coordination and will be critical in the event of an emergency to ensure that OSP has a timely, complete, and coordinated response.

What's Next? Fiscal Year 2010 Priorities

The jurisdiction has established priorities for the upcoming Fiscal Year that support the overall mission of the AOC. These initiatives are discussed below.

Implement Business Plan and Vision

Begin implementation of the five-year strategic business plan. The business plan covers the roles and responsibilities to provide integrated support services on behalf of the AOC.

Infrastructure Improvements

Provide electrical and system redundancies in the ACF data center to ensure continuous operation of all critical equipment and minimize disruptions. Continue progress in the plans to select a site to build a permanent, off-site screening facility.

Conduct EARP Testing

Conduct EARP exercises to ensure that all OSP staff understands how to implement the emergency procedures.

Customer Satisfaction Improvements

Improve customer satisfaction, as rated by the annual survey to meet or exceed the target of 85 percent in all reported areas by implementing the strategies contained in the new OSP Strategic Business Plan.



FOCUS ON

Radio Modernization Program Support to Secure the Capitol Complex

The AOC, in coordination with the U.S. Capitol Police (USCP), Capitol Police Board, and Congress, has begun work on the design and construction of a primary and mirror site data center to support the USCP's program to upgrade their radio system to a modernized digital system. The new radio system will be fully interoperable with other law enforcement entities to improve the security and emergency preparedness of the entire Capitol complex.

Interoperability is one of the most important joint issues between local and Federal partners within the National Capitol Region (NCR). Although the NCR partners received one of the highest marks in the nation in a 2006 interoperability exercise, agencies using an older analog communications platform are at a disadvantage. Currently, the USCP radio system interoperability is programmed through one of the oldest operability tools in the region. Modernization of their radio system will have a direct impact on general security operations, where rapid coordination and response in emergency situations is critical.

The AOC plays an important support role for the USCP in the radio modernization program. The Office of Security Programs (OSP) completed a preliminary assessment that indicated the need for significant space and facility alterations to accommodate the new data center and digital radio system infrastructure for the primary and mirror site, and in-building antennas and repeater locations. The OSP is taking steps to coordinate personnel from each AOC jurisdiction to provide pertinent building information. The project will provide for

8,500 square feet at the primary site and 5,800 square feet at the mirror site. The project specifications and the design work to upgrade the infrastructure for the primary and mirror sites have been finalized, with the construction work expected to begin in FY 2010.

The AOC supported project infrastructure improvements are anticipated to be complete by Spring 2011, which is when the equipment arrival is expected to begin. The USCP radio modernization program completion is projected for Spring 2012.



The AOC has begun work on the design and construction of a primary and mirror site data center to support the U.S. Capitol Police's program to modernize their radio system.

CAPITOL POWER PLANT

The Capitol Power Plant (CPP) was commissioned in 1910 and operates 24 hours per day, 365 days per year. When first placed into operation, the CPP provided the Capitol complex with both steam and electricity.¹¹ Today, it is the Capitol complex's centralized provider of utility services not available from other sources. The CPP serves a critical role in generating steam for heating and chilled water for cooling 24 facilities on the Capitol complex, including six buildings that are not managed by the AOC.¹² The steam and chilled water provided to non-Congressional clients is on a reimbursable basis.

In addition to the central steam plant, the property houses a refrigeration plant, administration building, and the tunnel distribution and metering systems associated with delivering these utilities. The jurisdiction recently completed a 25,000 square foot addition to the West Refrigeration Plant, which has improved total refrigeration plant efficiency and enabled the CPP to meet demand through 2025. The CPP jurisdiction is responsible for the daily care, maintenance, and operation of these facilities. Figure 13 provides a five year summary of the CPP's net cost of operations. The FY 2007–FY 2008 peak resulted from repairs and improvements to the utility tunnel system.

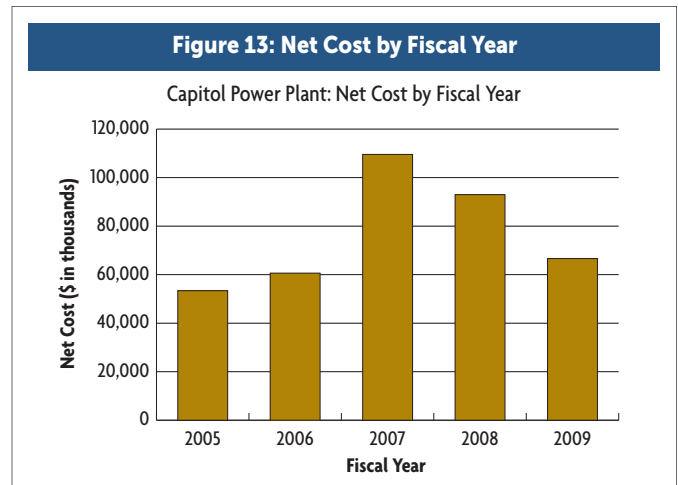
Key Accomplishments in Fiscal Year 2009

Utility Tunnel Improvements

The CPP is working to resolve Office of Compliance (OOC) citations in reference to the safety of the Capitol complex's utility tunnels. During FY 2009, resolution for the walkable and non-walkable tunnels was well underway and on target for completion in June 2012. See *Focus on... Utility Tunnel Improvements* for more detail.

Coal Use Reduction

In February 2009, the AOC began operating the CPP using natural gas as the primary fuel source with the understanding that extreme situations may necessitate the use of other fuels to ensure the Plant can continue to deliver steam to all the facilities it serves without interruption. For long-term planning, the AOC has made systems upgrades to increase reliability and efficiency.



Boiler Feed Water Piping Improvement

The CPP maintains and operates two deaerators¹³ and one must be in service at all times. When a critical problem was discovered on the North deaerator, the CPP staff initiated the repair immediately. All boiler systems were switched over to run on the South deaerator and a full replacement of the North equipment was completed during FY 2009.

Asbestos Management Program

The CPP completed a comprehensive asbestos survey of all buildings within the CPP jurisdiction and implemented a new asbestos management program.

Safety Initiatives

The CPP designed a comprehensive safety plan and began implementation during FY 2009. This plan includes instructions on tunnel system and power plant emergency evacuation. It also includes a response plan, a plant integrated contingency plan, and an electronic plant chemical inventory. A comprehensive plant safety audit will be conducted in FY 2010 to review plant compliance and recommend process improvements.

¹¹ The current refrigeration plants were built after the original electrical generation plant was decommissioned in 1952, at which time the CPP stopped generating electricity.

¹² These include the Government Printing Office, Postal Square, Folger Shakespeare Library, the U.S. Supreme Court, the Thurgood Marshall Federal Judiciary Building, and Union Station.

¹³ This is equipment that removes air and other gases from the feedwater to steam-generating boilers.

Summary of Fiscal Year 2009 Priorities and Performance

In FY 2008, the jurisdiction identified key priorities and targets for FY 2009. These priorities and the jurisdiction's performance against them are shown below.

2009 Priorities and Targets	2009 Actual Performance
Improve the jurisdiction's Injury and Illness (I&I) rate, as the CPP work environment is potentially more hazardous than other AOC jurisdictions due to its special type of work.	CPP held all-hand safety meetings every other week, increased safety training, and held a Spring and Fall "Safety Stand-Up Day." In FY 2009, CPP had a 3.04% I&I rate which is below the AOC target of 3.94%. In preparation for a possible HINI epidemic, CPP briefed staff on prevention, distributed hand sanitizers and respirators, and reviewed continuation plans.
Initiate a Lessons Learned Encyclopedia for the jurisdiction to use as a guide for further improvements in CPP's operations and performance.	Created a Lessons Learned Encyclopedia for plant operations and maintenance. The document is reviewed and updated on a monthly basis.
Ensure that both a safety and environmental audit is successfully performed.	Conducted an environmental audit and gap analysis. Completed the plant and tunnel system emergency evacuation and response plans and the plant integrated contingency plan.
Create and conduct an annual customer satisfaction survey to assess areas for improvement and enhance performance and services. This survey will be CPP's first attempt at soliciting feedback on customer satisfaction.	Completed face-to-face feedback sessions with all customers in the Capitol complex to provide information about CPP initiatives and solicit customer feedback.

What's Next? Fiscal Year 2010 Priorities

The jurisdiction has established priorities for the upcoming Fiscal Year that support the overall mission of the AOC. These initiatives are discussed below.



The Capitol Power Plant operates 24 hours per day, 365 days per year, and provides steam for heating and chilled water for cooling the buildings on the Capitol complex.

Continued Utility Tunnel Improvements

Continue with tunnel-related remediation projects, such as asbestos abatement; communications, electrical, and lighting improvements; construction of new egress points; roof and structural wall replacements in the tunnels; CVC branch tunnel repairs; and direct-buried utility repairs.

Long-Term Strategic Energy Plan Completion

Finalize the jurisdiction's long-term strategic energy plan. A major challenge is to improve the overall system energy efficiency while balancing the utility needs of the campus facilities. The jurisdiction is participating in the AOC Energy Working Group to improve communications regarding energy usage and delivery. The CPP is also involved in the review of Energy Savings Performance Contracts for the AOC.

Mechanical System Survey and Retro-Commissioning

Evaluate steam and chilled water generation, distribution, and building systems to determine the most energy efficient operational parameters for various seasonal and ambient conditions. Begin boiler tuning and retro-commissioning.



FOCUS ON

Utility Tunnel Improvements

The Capitol Power Plant operates six walkable and five non-walkable utility tunnels containing steam and chilled water pipes and accompanying control systems to serve the heating and cooling needs of the Capitol complex and multiple surrounding facilities. The walkable tunnels are also the pathway for Capitol complex telecommunications systems.

In June 2007, the AOC and the Office of Compliance (OOC) signed a comprehensive settlement of a complaint and three citations involving safety and health issues in the utility tunnels. Features of the agreement include:

- The AOC will abate the safety and health issues in the tunnels within five years;¹⁴
- A baseline health and safety audit will be conducted to identify tunnel conditions;
- The OOC and AOC representatives will meet monthly;¹⁵ and
- The OOC will monitor abatement progress to ensure that milestones are met.

A Utility Tunnel Improvement Program, with a dedicated management team, was established to address these issues. In the most recent Tunnel Structural Report, the AOC outlined that the overhead hazards may be mitigated without a total tunnel reconstruction and, as a result, may be completed for significantly less than the initially estimated \$295 million cost. Based on continuing engineering assessments and quarterly audits of the tunnel system, AOC currently estimates the utility tunnel abatement work over the five year program will cost slightly over \$176 million.

The AOC made great strides in accomplishing a significant portion of the repairs by the close of FY 2009. The citation work for the tunnels is in various stages of design and construction. The initial focus has been on tunnel hazards of immediate concern: asbestos, lack of egress, inadequate communication systems, delaminated concrete, and heat stress conditions. Abatement projects performed by the AOC's Construction Division include the installation of new egresses, improvements to electrical and lighting systems,

enhanced ventilation, and mechanical and concrete repairs. The AOC is making strong progress towards managing known risks with the ongoing removal of delaminated concrete in the tunnels and the removal of friable asbestos insulation.

As the AOC continues to improve the tunnel conditions, it plans to review its practices and operating procedures. The review will ensure that all employees have the training, tools, and resources to perform their tunnel work assignments in a safe and effective manner. Under the AOC's revised work plan, the resolution of all three citations is on target for June 2012. The AOC understands that it will take continued dedication to meet this deadline and is committed to work with Congress to resolve the tunnel issues.



The AOC made strides in abating utility tunnel health and safety issues during the Fiscal Year and currently estimates the tunnel abatement work will cost slightly over \$176 million.

¹⁴ Unless extended by mutual agreement or necessitated by funding shortfalls.

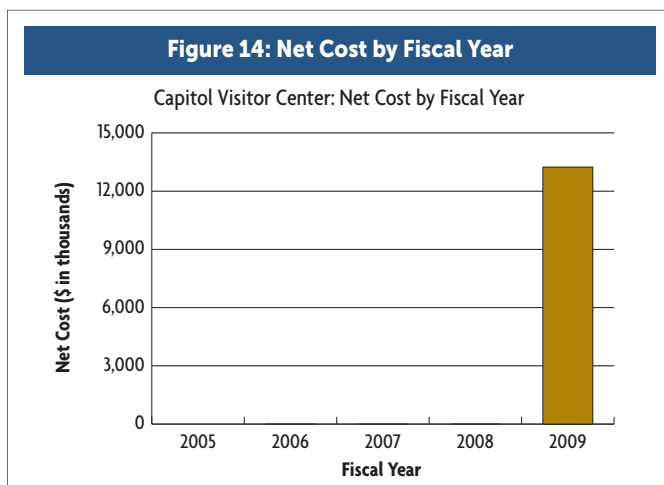
¹⁵ An employee representative who works in the tunnels will also be permitted to attend.

CAPITOL VISITOR CENTER

Congress established the U.S. Capitol Visitor Center (CVC) with the intent to provide a more convenient and comfortable place in which to welcome visitors; learn about the work of Congress, the legislative process, and the U.S. Capitol; and allow for greater security for all persons working in or visiting the Capitol. The opening of the CVC in December 2008 added a new AOC jurisdiction on the Capitol complex and new business lines (visitor services and retail sales) to AOC's operations.

The CVC is an extension of the Capitol and, with 580,000 square feet of facility space, it is the largest expansion in its history. With the support of many AOC jurisdictions, the CVC staff creates an inviting, welcoming, and comfortable setting for visitors to the Capitol. While visitor service operations are handled by the CVC jurisdiction, facility maintenance at the Capitol Visitor Center is managed by the Capitol Building jurisdiction.

The CVC achieves its goal of providing a welcoming atmosphere by offering visitor tours, presenting an orientation film, and providing two large gift shops and a full service restaurant. The CVC's Exhibition Hall contains several documents and artifacts for display, including rare documents borrowed from the Library of Congress and the National Archives. At the center of the Hall is a touchable, 1/20th scale model of the Capitol Dome. The Capitol visitor experience may begin long before a visitor enters the Capitol through the CVC's informative and attractive Web site. Figure 14 provides a summary of the CVC's net cost of operations. Fiscal Year 2009 was the CVC's first year of operations and, as a result, had zero net cost of operations for FYs 2005 through 2008.



Key Accomplishments in Fiscal Year 2009

Visitor Services Operations Began

Since its historic opening in December 2008, the CVC has welcomed over two million visitors—double the number of visitors to the Capitol from the previous year. Between March and April 2009, the CVC visitors averaged 15,500 a day, with a record volume of over 19,000 visitors in a single day. See *Focus on... Capitol Visitor Center Grand Opening* for detail on readying the CVC for visitor operations.

Visitor Security Facilitated

Visitor security was facilitated by a screening zone process, resulting in an average wait time outside the facility of approximately six minutes. The CVC also worked with Members of Congress and their staffs to accommodate staff-led constituent tours of the Capitol.

Retail Operations at Visitor Gift Shops Opened

The CVC opened its two gift shops to the public during FY 2009. The shops offer unique keepsakes and high quality gift items to the public such as books, collectibles, and educational toys. Each item is related to the Capitol or Congress. Congressional appropriations provided the start-up funds to purchase the gift shops' inventory. Since the grand opening, both shops have experienced strong sales with combined revenue of more than \$2 million in the short initial year of operations.

Restaurant and Special Events Services Provided

The CVC opened its Restaurant and Special Events Division during FY 2009. The CVC facilities support the food service operations and Congressionally-sponsored events that occur within its event spaces. The largest event space, the Congressional Auditorium, has a seating capacity of 450 and is used almost daily for a variety of functions. In less than six months of operation, the Special Events team supported more than 400 Congressionally-sponsored events at the Visitor Center.

Historic Asset Display and Education

The CVC is responsible for the maintenance of the historic documents and artifacts in its Exhibition Hall, including documents on loan from the Library of Congress and the National Archives. Many of these assets are maintained through a six month rotation cycle to replace documents that are sensitive to light exposure. The CVC completed its first full rotation in April 2009 with the installation of 55 new documents.



The CVC provides a convenient and comfortable facility in which to welcome Capitol visitors of all ages. Two gift shops feature a unique selection of merchandise inspired by the Capitol's art and architectural treasures.

Congressional Historic Interpretive Program

The CVC developed the Congressional Historical Interpretive Program (CHIP) to assist Congressional staff in leading tours of the Capitol by providing the tools necessary to present consistent, compelling, safe, and accurate tours. The CVC has trained more than 4,000 Congressional staff in giving tours of the Capitol. During the two busiest weeks of the spring 2009 Cherry Blossom season, Congressional staff toured with more than 11,000 constituents through the Capitol.

Summary of Fiscal Year 2009 Priorities and Performance

FY 2009 was the first year of operations for the CVC jurisdiction.

What's Next? Fiscal Year 2010 Priorities

The jurisdiction has established priorities for the upcoming Fiscal Year that support the overall mission of the AOC. These initiatives are discussed below.

Visitor Accommodation Improvement

Accommodate as many visitors as possible while still maintaining a positive visitor experience. The CVC will establish and present informative public programs and educational events, to include: lectures, talks, and special tours on the history of Congress and the Capitol.

Operating Plan Development

Develop detailed operating guidelines to direct the operations of all areas within the Visitor Center under the CVC's responsibility. This includes developing a blueprint that will provide for standardized processes and best practices.

Visitor Satisfaction Improvement

Determine if the CVC is meeting the needs of its visitors. The jurisdiction will implement a research project that measures visitor demographics, the visitor experience at the Capitol, and operations.

Reservations Call Center Development

The Office of Visitor Services responded to a larger than expected influx of calls in the first months of operations by setting-up a call center operation. The development of the reservations call center will continue into FY 2010, with a plan to improve and centralize the call center space.



FOCUS ON

Capitol Visitor Center Grand Opening

The Capitol Visitor Center (CVC) opened to the public on December 2, 2008.¹⁶ The grand opening ceremony in Emancipation Hall was attended by the Congressional leadership¹⁷, current and former Members of Congress and staff, as well as visitors and the press. The CVC provides a welcoming and educational environment to inform, involve, and inspire visitors to the Nation's Capitol.

The CVC is the largest expansion of the Capitol in its construction history—at 580,000 square feet, it is three-quarters the size of the Capitol itself. The CVC welcomes guests with a number of educational opportunities. The large, 16,500 square foot Exhibition Hall tells the dual story of the development of representative democracy in the United States and the transformation of the Capitol complex through displays and interactive media. Prior to touring the Capitol, visitors watch an orientation film on the history of Congress and the construction of the Capitol. The CVC also serves as the new home for 24 statues from the National Statuary Hall Collection and the plaster model of Thomas Crawford's *Statue of Freedom*. The CVC offers visitor amenities such as a restaurant facility and two gift shops.

The AOC worked diligently through the start of FY 2009 to prepare for the grand opening. Laborers from a variety of trades continued to complete interior punch-list work and exterior landscaping. At the same time, the operations team continued to stand up its team of service, museum, and facility management personnel and training staff developed the Congressional Historical Interpretive Program (CHIP) to assist Congressional staff with Capitol tours. With construction substantially complete, crucial project work in fire safety was needed to meet the target completion date. These efforts enabled the facility to receive a Permanent Certificate of Occupancy in October 2008. Before opening, a robust test and adjust period allowed the operations team to modify procedures to improve visitor flow and operations.

To improve visitor services, a new Website (www.visitthecapitol.gov) launched in November 2008. The site includes an Advance Reservation System (ARS) which allows the public to book tours of the Capitol online.¹⁸ Before ARS' debut, visitors would obtain tickets from Congressional offices or by showing up at the Capitol the morning of the tour. In December 2009, more than 89,000 tickets were reserved through ARS. The impact of the CVC on attendance was immediately evident. In December 2009, there were more than 104,000 visitors to the Capitol—an increase of more than 172 percent over December 2007.



The CVC opening ceremony in Emancipation Hall was attended by the Congressional leadership, current and former Members of Congress and staff, as well as visitors and the press.

¹⁶ The date is a significant one in U.S. Capitol history. Exactly 145 years before, the final section of the *Statue of Freedom* was placed atop the new iron dome to signify the completion of construction.

¹⁷ Congressional leadership included Speaker of the House Nancy Pelosi, Senate Majority Leader Harry Reid, Senate Republican Leader Mitch McConnell, and House Republican Leader John Boehner.

¹⁸ Visitors without Internet access may arrange tours through the Office of Visitor Services at (202) 226-8000.

HOUSE OFFICE BUILDINGS

The House Office Buildings jurisdiction (HOB) provides office and committee space for U.S. House of Representatives members and their staff. Throughout the 19th century, Congressmen worked within the Capitol itself. By the start of 20th century, overcrowding was a problem and committee rooms were in short supply. To address this overcrowding, construction to build and connect the first House Office Building (Cannon) to the Capitol via an underground tunnel began in 1903 and was completed in 1908. A second office building (Longworth) was completed in 1933, followed by a third (Rayburn) in 1965. This AOC jurisdiction, under the direction of the HOB Superintendent, is responsible for the operation and maintenance of the following seven structures¹⁹ listed below with their dates of construction completion or acquisition:

- Cannon House Office Building (1908);
- Longworth House Office Building (1933);
- Rayburn House Office Building (1965);
- East and West House Underground Garages (both 1965);
- Ford House Office Building (transferred from the General Services Administration (GSA) in 1974); and
- House Page Dormitory (transferred from the GSA in 1986).

The HOB provides the daily domestic care, structural and equipment maintenance and repair work for the U.S. House of Representatives buildings. Work is initiated by client requests, preventative maintenance program, building inspector surveys, compliance issues abatement, energy savings initiatives, recycling program, and safety specialist inspections. Work is performed by the Superintendent's in-house workforce, as well as the AOC's Construction Division and outside contractors. Figure 15 provides a five year summary of the HOB's net cost of operations.

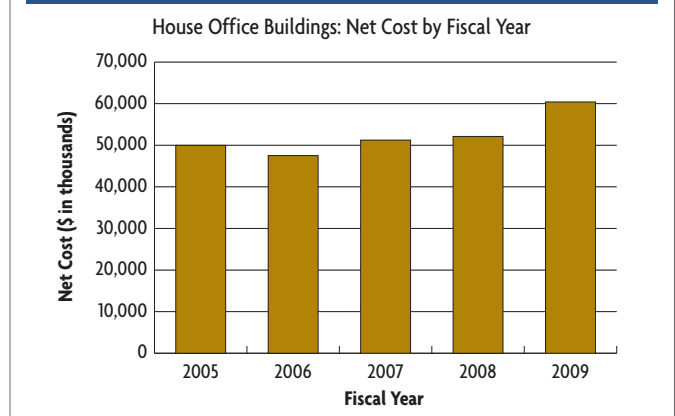
Key Accomplishments in Fiscal Year 2009

Election Year Moves Achieved

HOB supported the 111th Congressional transition resulting from the biennial November 2009 elections. There were 184 actual moves which involved architectural layouts, partition removals, carpet installations, and infrastructure system adjustments, for which they achieved a 96 percent satisfaction rating. See *Focus on...111th Congress Election Year Moves—House Office Buildings* for further detail.

¹⁹ The HOB also maintains the House subway system, annexes, and pedestrian tunnels connecting the House Office Buildings to the Capitol.

Figure 15: Net Cost by Fiscal Year



House Metering Project Accomplished

The HOB installed more than 100 energy meters in the House Office Buildings to better manage energy usage and track the performance of the electric, steam, and chilled water systems. The Ford Building, alone, saved \$336,000 of potential annual steam use due to metering. During FY 2009, meter data was collected and analyzed in an effort to further improve performance. The installation was completed under an aggressive schedule that was completed on time and on budget.

Computerized Maintenance Management System (CMMS) Utilized

The CMMS is a work order system that is used to track all work accomplished by the HOB workshops, including demand work orders, projects, Congressional moves, and most recently, preventative maintenance. During FY 2009, the HOB loaded information for more than 12,500 pieces of equipment into the CMMS and began preventative maintenance for all critical life-safety equipment. Hand-held devices were implemented to capture the real time status of work order execution. These efforts help expedite work, increase data accuracy, and reduce the administrative time required by supervisory staff to complete and close out work orders.

Energy Reduction Efforts Continued

In FY 2009, the HOB reduced energy consumption by 21 percent—far exceeding the Congressional requirement of 12 percent. This year, energy evaluations of 70 Member offices were conducted as part of an energy conservation outreach program in conjunction with the Office of the Chief Administrative Officer

Summary of Fiscal Year 2009 Priorities and Performance

In FY 2008, the jurisdiction identified key priorities and targets for FY 2009. These priorities and the jurisdiction's performance against them are shown below.

2009 Priorities and Targets	2009 Actual Performance
Execute the Congressional office moves related to the November 2008 elections for the U.S. House of Representatives.	Completed 184 office moves, including the refurbishment of offices, within a three-week period in December 2008.
Provide security enhancements to Federal House Office Building 8 after its renovation and refurbishment by the General Services Administration (GSA).	Worked with GSA to finalize the security design on security enhancements and is scheduled to begin on time in FY 2010.
Implement phase two of the emergency lighting upgrade for the Rayburn House Office Building.	Initiated the installation of the emergency lighting and exit signs. Completion is scheduled for FY 2011.
Reduce energy consumption throughout the jurisdiction by 12% in accordance with the Energy Independence and Security Act of 2007.	Reduced energy consumption by 21%. Installed meters and occupancy sensors, and implemented the House Night Lighting Policy.

(CAO)²⁰. These evaluations identified opportunities for reduced energy consumption by shutting off equipment when not in use and installing occupancy sensors. In FY 2009, the HOB was the first AOC jurisdiction to award an Energy Savings Performance Contract (ESPC) contract through the Department of Energy. This public-private partnership will result in the implementation of a number of projects designed to further reduce the AOC's energy footprint.



The House Office Buildings jurisdiction provides over 1,300 office and committee rooms for the U.S. House of Representative members and their staffs. Its facilities include the Cannon, Longworth, and Rayburn, and Ford House Office Buildings.

What's Next? Fiscal Year 2010 Priorities

The jurisdiction has established priorities for the upcoming Fiscal Year that support the overall mission of the AOC. These initiatives are discussed below.

Cannon House Office Building Rehabilitation

Continue implementation of the Cannon Building renewal plans. Though still in the planning stage, this comprehensive multi-year rehabilitation project will help maintain the integrity and safety of this facility.

Service Improvement

Improve customer satisfaction, as rated by the annual survey to meet or exceed the target of 85 percent in all reported areas by implementing the feedback from past surveys.

Energy Conservation

Continue to meet or exceed the annual AOC energy conservation goals—as established by EPACT 2005, EISA 2007, and the Green the Capitol Initiative. Begin work on the initial Energy Savings Performance Contract (ESPC) projects.²¹

²⁰ The Office of the CAO is a fellow Legislative Branch office with support responsibilities for the House of Representatives on the Capitol complex.

²¹ Under this contract, energy savings projects will include nearly \$34 million in facility infrastructure upgrades in the Rayburn, Longworth, Cannon, and Ford House Office Buildings, as well as the House Page Dormitory.



FOCUS ON

111th Congress Election Year Office Moves—House Office Buildings

An important behind-the-scenes service that the AOC performs for its Capitol Hill customers is the execution of the Member and Committee Congressional office moves and space reassignments associated with the biennial November elections. The room assignment process for the House of Representatives dates to 1908. For the AOC, the election cycle is accompanied by increased requirements for temporary labor, materials, equipment, and supplies to accomplish these moves in a timely and efficient manner.

At the House of Representatives, there were 184 moves of sitting Members conducted and 56 Freshmen Member suites were setup. For these office moves, AOC work involved developing architectural layouts; removing, relocating, and installing partitions; updating the electric, data, telecommunications infrastructure; and painting. The first moves began on December 1 and all were completed by December 22, 2008, averaging 10 moves per day. Additionally, 101 Member storerooms were moved between December 16, 2008 and January 2, 2009. Accomplishing this task on time with a 96 percent satisfaction rate, up from the 2006-07 election cycle moves, is quite an achievement.

During the 111th Congressional transition, the HOB jurisdiction demonstrated service excellence, creativity, professionalism, and teamwork. In anticipation of this transition, the HOB staff worked throughout the year to improve and streamline the room selection and filling process. The HOB executed an automated system to facilitate checks and balances to make sure errors did not occur during the selection of suites. New procedures were implemented during the Congressional transition which improved the timeliness in disseminating information to impacted offices. The information technology for the room selection process has also improved over the years and the software for this process includes new logic to evaluate when a Member was “bumped,”

to determine what other Members and offices were affected, and to provide that information immediately to the House Superintendent in order to notify all of the impacted Members quickly. In addition, graphics were updated to improve customer on-line tools that provide available suites, room floor plans, office views, carpet, drapes and other information to help Members make their selection. These innovations improved the efficiency of the room selection process.

Successful accomplishment of the House office moves depends on the planning, research, hard work, and coordination among Members of Congress, their staffs, various support organizations, and the AOC. This service is very important, especially for new Members of Congress, for which this is typically their first interaction with the AOC.



The AOC facilitates the House Member and Committee office moves associated with the biennial November elections. A room assignment process managed by the House Superintendent helps allocate the office space fairly and efficiently.



The Thomas Jefferson Building contains some of the richest public interiors in the United States. The completion of the repainting of the arches in the Main Reading Room restored them to their original appearance.

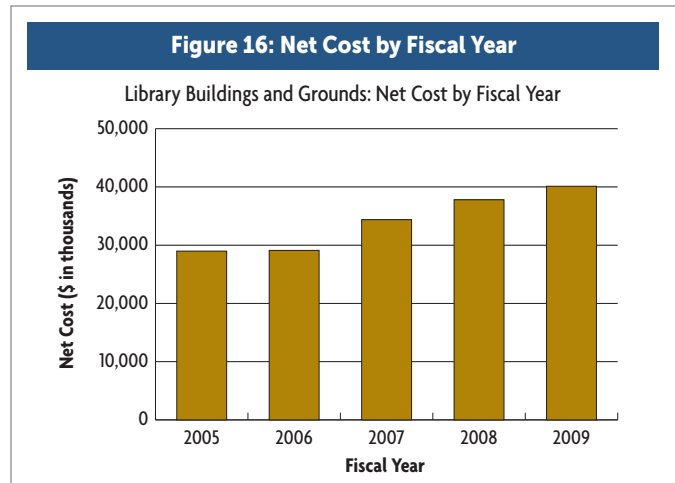
LIBRARY BUILDINGS AND GROUNDS

The Library of Congress (the Library) was established in 1800. It resided in the Capitol for close to a century until, in 1897, the Library of Congress Building (now the Thomas Jefferson Building) was erected. The Library has grown to be the largest library in the world—housing millions of books, recordings, photographs, maps, and manuscripts. Its facilities have expanded to include nearly 3.8 million square feet on the Capitol complex, the book storage modules for long-term preservation in Maryland, and the Packard Campus for Audio-Visual Conservation in Virginia for state-of-the-art preservation, storage, and presentation of its audio-visual collections. The Library Buildings and Grounds (LBG) jurisdiction includes the following facilities, listed with their construction completion or acquisition dates:

- Thomas Jefferson Building (1897);
- John Adams Building (1938);
- James Madison Memorial Building (1980);
- Special Service Facility Center, Washington, D.C. (purchased in 1991);
- Congressional campus, Fort Meade, Maryland (transferred from U.S. Army in 1993); and
- Packard Campus for Audio-Visual Conservation, Culpeper, Virginia (2008).

The LBG, led by its Superintendent, is responsible for the day-to-day structural, mechanical, and electrical care for the Library facilities and surrounding grounds. Services include maintaining

air conditioning, electrical, fire suppression, and elevator systems; grounds care; machine work, masonry, painting and refinishing, plumbing, sheet metal, and wood crafting. Figure 16 provides a five year summary of the LBG's net cost of operations.



Key Accomplishments in Fiscal Year 2009

Book Storage Modules 3 and 4 Completed

With over 130 million collection items, the Library has grown beyond the storage capabilities of its three buildings on Capitol Hill. To accommodate this growth, two new storage modules at Fort Meade, Maryland were completed during FY 2009 on schedule and within the original budget. This project won the 2009 Construction Management Association of America's Project Achievement Award in the category of "Building, New Construction, less than \$50 million dollars." See *Focus on...Fort Meade Book Storage Modules 3 and 4 Completed* for further detail.

Exhibit Space Expanded

To support the Abraham Lincoln Exhibit, the LBG renovated a 3,500 square foot space in the South West curtain of the Thomas Jefferson Building. This \$1 million design-build project relocated the European Reading Room to the South East Pavilion, and transformed the existing space into a modern, efficient, exhibit space. Construction work included interior space modifications requiring demolition activities and the improvement of architectural, structural, electrical, mechanical, fire protection, life-safety, communication, and security systems. The AOC partnered with the Library to provide that the space and exhibits were ready for the February 2009 opening in celebration of the bicentennial of Lincoln's birth.

Summary of Fiscal Year 2009 Priorities and Performance

In FY 2008, the jurisdiction identified key priorities and targets for FY 2009. These priorities and the jurisdiction's performance against them are shown below.

2009 Priorities and Targets	2009 Actual Performance
Continue progress toward Office of Compliance citation abatement by completing the potable water supply project; smoke sealing of book stacks in the Jefferson Building; Adams Building renovation for the correction of stairwell entry deficiencies and ground floor ventilation improvements; and Jefferson Building north side egress stair design.	Performed repair, installation and upgrades to make substantial progress on citations such as installation of a centralized filtration system, smoke sealing for the book decks, ADA, fire and safety and egress upgrades, drinking water program, and improved ventilation systems.
Oversee construction and complete Book Storage Modules 3 and 4.	Completed construction of Book Storage Modules 3 and 4 on schedule and within the original budget.
Continue fire and life safety construction, including installation of sprinkler system (phase two of three) in the Jefferson Building and smoke detection system in the Madison and Adams Buildings.	Initiated the installation of fire sprinkler and smoke detection systems across the LBG campus. This multi-year effort includes Phases 2 of 3 of sprinkler systems in the Jefferson and the expansion of smoke detection within the Madison and Adams Buildings—with completion expected in FY 2012.
Continue the elevator and escalator modernization within the Jefferson and Madison Buildings.	Initiated the installation of one new elevator and the upgrade of three others in the Madison Building. Initiated construction of elevators that serve the House Page School and the Great Hall of the Jefferson Building. Project completion is expected in FY 2010.

Heritage Assets Preserved

The LBG completed the inspection and treatment of 274 murals within the Thomas Jefferson Building during FY 2009. These one-of-a-kind murals must be inspected on a regular basis to ensure there is no damage or potential for damage from environmental, construction, and other factors. The LBG also completed the preservation of the Flanagan Clock²² in the Main Reading Room of the Jefferson Building. The delicate maintenance procedures included cleaning the mosaic background and the marble and stones of the clock and cleaning its gold leaf face while the bronze figures were dusted, waxed, and mild oxidation removed.

Young Readers Room Constructed

A Young Readers Room was designed by the AOC to provide a space devoted to the reading experience of children and teens. The LBG delivered this space quickly—renovating a 930 square foot space that previously served as a studio recording lab in the Jefferson Building within one month's time. Changes to the room included removing existing glass and wooden partitions, re-routing sprinkler lines, removing acoustical panels, and re-plastering walls.

What's Next? Fiscal Year 2010 Priorities

The jurisdiction has established priorities for the upcoming Fiscal Year that support the overall mission of the AOC. These initiatives are discussed below.

Compliance Citation Abatement

Clear abatement citations by renovating the restrooms to be ADA compliant in the John Adams Building, design three additional egress stairs in the Thomas Jefferson Building, and improve ground floor ventilation in the John Adams Building.

Fire and Life Safety Enhancement

Continue installation of sprinkler systems in the Thomas Jefferson Building; smoke detection systems in the John Adams and James Madison Buildings; elevator and escalator modernization program in the Madison Building; and egress improvements in the Adams Building. Complete Phase One of Two for the fire door upgrade project in the Jefferson and Adams Buildings.

Maintenance Procedures

Standardize and implement automated preventive maintenance procedures to help quantify the deferred maintenance backlog. This will facilitate more accurate future budget requests.

²² This Clock is a work of John Flanagan, a prominent sculptor from the late 1800's and the piece was last preserved in the mid-1960s.



FOCUS ON

Fort Meade Book Storage Modules 3 and 4 Completed

In July 2009, a ribbon-cutting ceremony was held to celebrate the completion of Modules 3 and 4 and four cold-storage rooms at the Library of Congress' Fort Meade high-density storage facility in Maryland. Acting Architect of the Capitol Stephen T. Ayers, AIA, LEED AP, and Librarian of Congress James H. Billington were on hand for the dedication ceremony.

The Library of Congress houses its prized library collections in support of the work of Congress and researchers. The collections include original performing-arts production materials, songbooks, music manuscripts; international collections of nautical charts, the first comprehensive maps of the ocean floor and twentieth-century globes to name a few. With over 130 million items in its collection, the Library of Congress has grown beyond the storage capabilities of its three buildings on Capitol Hill in Washington, DC. To alleviate the storage space shortage and extend the life of the Library's collections, the AOC and the Library initiated the multi-phased construction of multiple Book Storage Modules at Fort Meade.

The \$40 million dollar project for Book Storage Modules 3 and 4 involved the construction of a state-of-the-art, high bay storage facilities to house sensitive Library of Congress special collection artifacts. The new storage modules feature strict humidity, temperature, and airflow controls. The four cold storage rooms will house some of the Library's most precious special collections. Additional building features include office and administrative areas, processing areas, a library materials quarantine room, loading docks, a central corridor, and mechanical spaces.

The Book Storage Modules Project is a significant part of the master plan to upgrade Library of Congress' preservation capabilities. The Modules 3 and 4 project was completed on schedule and within budget. Similar to Modules 1 and 2, the new modules have been designed to maximize available storage capacity. Items from the collections will be shelved by size in boxes developed to accommodate them and bar coded for easy retrieval. There are over 20,000 high-bay shelves in Modules 3 and 4 and over 12,000 shelves in the four cold-storage rooms. The Office of Planning and Project Management worked closely with the Army Corps of Engineers in executing all aspects of construction.

Module 5 is the next in a series of storage modules planned to be built at the Fort Meade Congressional Campus. The Library's master plan for the Fort Meade facility calls for the construction of 13 modules by 2027, subject to available funding and the needs of the Library.



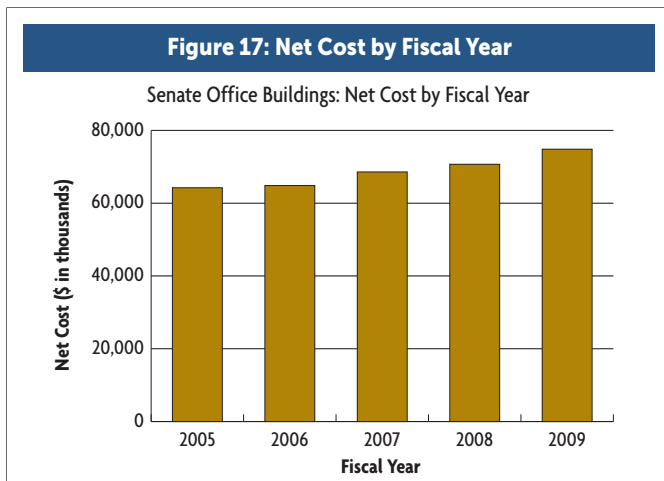
The AOC completed the construction of two state-of-the-art, high-density Book Storage Modules at the Ft. Meade complex in Maryland to support the Library of Congress' preservation capabilities for its special collections.

SENATE OFFICE BUILDINGS

The Senate Office Buildings jurisdiction (SOB) is comprised of over 2.5 million square feet of office and meeting space to facilitate the business of the U.S. Senate. The jurisdiction is responsible for the structural, mechanical, and domestic care of the following structures, which are listed with their construction completion dates or acquisition dates:

- Russell Senate Office Building (1909);
- Senate Underground Garage (1935);
- Monocle Building (purchased in 1935);
- Dirksen Senate Office Building (1958);
- Hart Senate Office Building (1982);
- Daniel Webster Page Dormitory (purchased in 1993);
- Childcare Center (1999); and
- Senate Long-Term Mail Facility (2008).

The SOB maintains the operation of the Senate subway transportation system within its office buildings and is responsible for an off-site storage building. It provides facilities management and construction services such as office renovations, cleaning, preventative maintenance of building infrastructure systems, and routine services in the Senate's facilities. The SOB also provides specialized services such as custom mill work, furniture construction, drapery design, furniture re-upholstery and repair, and custom furniture fabrication. Client services also include garage parking, historic preservation, and Congressional hearing and special events set-up. The Senate Superintendents Office is responsible for the lease of facilities to support offsite storage and office operations for the Senate Sergeant at Arms and the Secretary of the Senate. Figure 17 provides a five year summary of the jurisdiction's net cost of operations.



Work is underway on a multi-year project to modernize select Committee Rooms, such as this Russell Senate Office Building upgrade, during which the AOC also takes the opportunity to provide architectural and infrastructure upgrades.

Key Accomplishments in Fiscal Year 2009

Election Year Office Moves Completed

In FY 2009, the jurisdiction accomplished the Member and Committee office moves and space reassignments associated with the biennial November 2009 elections. This involved the setup of office space for 13 Senator-elects and the coordination of office changes for sitting Senators. The SOB achieved a 97.5 percent customer satisfaction rating for its work. See *Focus on... 111th Congress Election Year Moves-Senate Office Buildings* for further detail.

Hart Modular Furniture Replacement Program

This program provides for the replacement of furniture that is more than 20 years old and that may no longer be maintained. The SOB continues to work towards the total replacement of modular furniture in the Hart Senate Office Building to increase the efficiency of office space use and facilitate maintenance. Coordination of this \$3

Summary of Fiscal Year 2009 Priorities and Performance

In FY 2008, the jurisdiction identified key priorities and targets for FY 2009. These priorities and the jurisdiction's performance against them are shown below.

2009 Priorities and Targets	2009 Actual Performance
Complete timely renovation of U.S. Senate Restaurants within budget in support of the privatization of the Senate's catering and food service operations.	Completed the renovation of five restaurant and catering locations and transferred operations to a private food service company.
Effectively execute the FY 2009 U.S. Senate office moves and space reassignments associated with the November 2008 elections.	Completed the Senate office moves on time and within budget receiving a 97.5% customer satisfaction rating.
Continue to execute the multi-year Hart Modular Furniture Replacement program within schedule and funding.	Completed the renovation of 50,000 square feet of building space, with delivery as anticipated in FY 2009.
Award contracts for Dirksen Senate Office Building South core infrastructure improvements project to replace aged and deteriorated air handling units and for design work to abate Russell Senate Office Building open stairwell citation.	Awarded contracts and began construction on the Dirksen Building south core infrastructure. The design work for the Russell Building's open stairwell citation is awaiting a blue ribbon panel review and validation before proceeding.
Initiate installation of sprinkler protection systems in the Senate Underground Garage, subway tunnels, and Hart Senate Office Building attic.	Completed the sprinkler system in the Hart Building attic. Began construction to install sprinklers in the Senate Underground Garage and is approximately 30% complete. Funding is anticipated to support the sprinkler system construction in the subway tunnels and is planned to begin in FY 2010.

million program requires moving staff to swing space in order to renovate the space while causing the least disruption possible. During FY 2009, the jurisdiction renovated approximately 50,000 square feet of space that included painting and carpeting, furniture and wall installation, and new daylight harvesting, energy-efficient lighting.

Russell Senate Office Building Sprinkler System Installed

The SOB is working to ensure 100 percent sprinkler protection coverage throughout all Senate office buildings to ensure a safe work environment for Senate staff and the public. During FY 2009, the SOB completed the installation of the Russell Senate Office Building attic sprinkler system. This work supports the AOC's goal for 100 percent coverage.

High Customer Satisfaction Achieved

The Senate Superintendent's office uses customer satisfaction survey ratings to improve its services. Metrics include the efficiency of work order execution, subway system operability, time in closing out work orders and others. This information helps the Jurisdiction identify trends and forecast preventative maintenance efforts. Their success is demonstrated in the achievement of annual customer satisfaction ratings that exceed the AOC's target.

What's Next? Fiscal Year 2010 Priorities

The jurisdiction has established priorities for the upcoming Fiscal Year that support the overall mission of the AOC. These initiatives are discussed below.

Hart Modular Furniture Replacement

Continue to implement the multi-year Hart Modular Furniture Replacement program on schedule and within budget. This program replaces 20-year old furniture that can no longer be maintained in a cost effective manner.

Sprinkler System Installation

Complete the sprinkler installation of the Senate Underground Garage and initiate sprinkler construction for the subway tunnels.

Infrastructure Repairs

Initiate additional infrastructure improvement projects including the skylight replacement in the Russell Building and the truck tunnel ramp repair and air handling unit replacement in the Hart Building.

Energy Conservation

Award an Energy Savings Performance Contract for the Senate Office Buildings, and communicate energy awareness to Senate staff.

Taft Memorial Renewal

Restore the historic Taft Memorial, to repair, modernize, and make the structure Americans with Disabilities Act compliant.



FOCUS ON

111th Congress Election Year Office Moves—Senate Office Buildings

An important behind-the-scenes service the AOC performs for its Capitol Hill customers is the execution of the Member and Committee Congressional office moves and space reassignments associated with the biennial November elections. For the AOC, the election cycle is accompanied by increased requirements for temporary labor, materials, equipment, and supplies to accomplish these moves in a timely and efficient manner. In FY 2009, the Senate Office Buildings jurisdiction coordinated the 111th Congress office moves which saw the addition of 13 new Senators and the related Senate office moves and achieved a 97.5 percent customer satisfaction rating.

The office move process begins well before the November elections at the AOC. The AOC provides the required temporary labor, materials and supplies to efficiently accomplish these moves in a timely manner. Immediately following the biennial November elections, each seated and newly-elected Senator has the opportunity to select a suite of rooms in a process directed by the Committee on Rules and Administration. The process is intended to provide suitable office facilities for each Senator as quickly as possible and involves the cooperative efforts of the staff of the Senate Superintendent's Office, the Architect of the Capitol, the Senate Sergeant-at-Arms, and the U.S. Capitol Police.

Over the past eight years, the SOB has implemented move quality system procedures to ensure an on-time, on-budget process. Immediately following the elections, each Senator-elect is provided a temporary office from which to work and recruit staff. Meanwhile, all Senators and Senator-elects, in order of seniority, are provided an opportunity to select a permanent suite of rooms. Suite selection is typically completed by late-January and, once complete, a master schedule is designed to minimize any inconvenience. Following the official swearing-in during January, each incoming Senator is situated in a suite customarily referred to as a swing suite, which serves as a temporary office until a permanent office becomes available

for occupancy. The use of swing suites gives maintenance personnel access to the vacant permanent suites. Vacant suites are then cleaned, painted, and maintenance performed according to the master schedule for maximum efficiency and minimum disruption of service.

These procedures have resulted in a continually increasing client satisfaction rating in FY 2009—up from 96 percent in the FY 2007. This rating was particularly satisfying for a move cycle that was complicated by Senators departing to the Presidency, Vice Presidency and several Cabinet-level appointments.

Successful accomplishment of the Senate office moves depends on the planning, research, hard work, and coordination among Senators, their staffs and the AOC. This service is very important, especially for new Members of the Senate, for which this is typically their first interaction with the AOC.



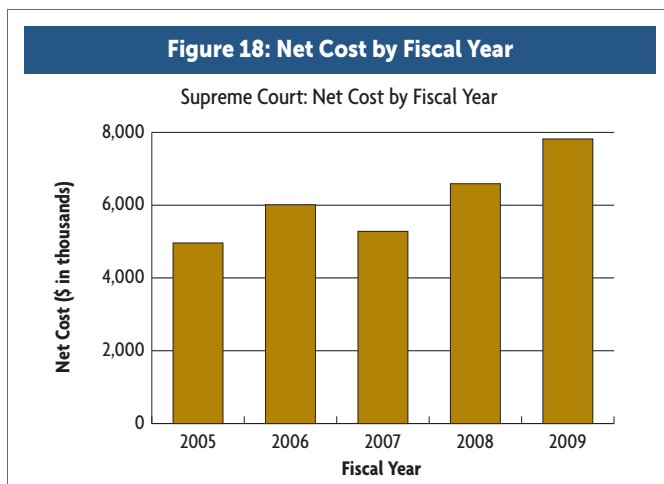
Immediately following the November 2008 election, the AOC coordinated the office moves and space reassignments for the U.S. Senate, including 13 Senator-elects. This process involved the planning and setup of new offices to minimize disruption of service.

SUPREME COURT

The U.S. Supreme Court first convened in New York City and Philadelphia before finally settling in Washington, DC, in 1801. For 134 years, the Supreme Court met in the U.S. Capitol and heard cases from six different locations, most notably in the “Old Senate Chamber,” now known as the “Old Supreme Court Chamber.” Of the many Capitol Hill architectural enhancements made in the 20th century, construction of a permanent Supreme Court building, located across the street from the Capitol’s East Front, was among the most noteworthy. To meet the growing office needs of the Federal Judicial Branch, the Thurgood Marshall Federal Judiciary Building (TMFJB)²³ was later constructed. The AOC’s Supreme Court jurisdiction (SC) is responsible for the facility operations and maintenance of the following two structures, listed below with their dates of construction:

- Supreme Court Building (1935); and
- Thurgood Marshall Federal Judiciary Building (1992).

The SC’s operations support duties include building and grounds maintenance, historic preservation, structural and mechanical care, alterations, design, and construction of new facilities. All duties and work required for the operation, domestic care, and custody of the Supreme Court Building are performed under the direction of the Marshal of the Supreme Court and the AOC Facility Manager’s Office. The Supreme Court differs from other AOC jurisdictions as the funding to care for the Supreme Court Building and the TMFJB is appropriated to the Judicial Branch, and not directly funded to the AOC. Figure 18 provides a five year summary of the SC’s net cost of operations.



²³ The TMFJB, approximately three blocks from the Capitol, provides office space for the Judicial Branch’s Administrative Office of the U.S. Courts.

Key Accomplishments in Fiscal Year 2009

Supreme Court Modernization Project

As part of the multi-year project to modernize the Supreme Court building, during FY 2009 the SC completed several upgrades of the infrastructure systems to increase operational efficiency. The project is projected to be completed in late-2010. See *Focus On... Modernization Project at the U.S. Supreme Court* for further detail.

Perimeter Security Plan for the Thurgood Marshall Federal Judiciary Building (TMFJB)

Following the events of September 11, 2001, the AOC submitted a perimeter security plan to the Capitol Police Board to enhance the safety of the TMFJB and its occupants. As part of that plan, the AOC began upgrading perimeter security of the building with the installation of security bollards and other related construction. This project has continued through FY 2009 with a forecasted completion date in FY 2010.

Exterior Property and Landscape Renovation Project

With the modernization of the Supreme Court Building underway, the jurisdiction also began design for the renovation of the Supreme Court’s exterior landscape. Renovation efforts include repairing the historic brick driveways and walkways; renovating sprinkler systems and walkway and landscape lighting; and replacing shrubs, trees, and plants. The exterior property and landscape renovation project is synchronized to begin at the completion of the Supreme Court Building Modernization Project.

Performance Goals and Accountability

The SC linked strategic goals to performance elements to provide a direct relationship between organizational goals and those for the employees. This was effective in promoting the AOC core values, including team work and service excellence. This strategy, coupled with the increased use of a preventative maintenance software tool, contributed to the accelerated rate at which work orders were closed during FY 2009.

Customer Service Highlights

In FY 2009, the Jurisdiction delivered excellent customer service by using PM software and customer satisfaction survey tools to aid efficiency. These tools help prioritize work flow and assist in identifying opportunities for process improvement. During FY 2009, despite a significant increase in the quantity of work orders processed, over 99 percent of their demand work orders were closed within 30 days.

Summary of Fiscal Year 2009 Priorities and Performance

In FY 2008, the jurisdiction identified key priorities and targets for FY 2009. These priorities and the jurisdiction's performance against them are shown below.

2009 Priorities and Targets	2009 Actual Performance
Participate and implement AOC's maintenance management software system standards and a full preventative maintenance program for the Supreme Court building.	Implemented the preventative maintenance software system that facilitated efficiency in work completion. During FY 2009, more than 99% of the demand work orders were closed within 30 days.
Implement a deferred maintenance and renewal program for the TMFJB based on recently conducted Facility Condition Assessments.	Completed the assessment for the TMFJB and began preparing recommendations for deferred maintenance and capital renewal projects.
Coordinate major repair projects with the ongoing Supreme Court modernization project, including roof fall protection, roof and pediment repairs, and elevator modernization.	Completed the infrastructure upgrades. Commissioned the building envelope and systems as each phase of the modernization was completed.



The AOC began a complete exterior landscape design that includes the renovation of historic brick driveways, walkways, lighting, sprinkler systems, and plantings to complement the upgraded U.S. Supreme Court building.

What's Next? Fiscal Year 2010 Priorities

The jurisdiction has established priorities for the upcoming Fiscal Year that support the overall mission of the AOC. These initiatives are discussed below.

Long-Term Renovation Project Execution

Actively coordinate and efficiently execute major repair projects including the ongoing Supreme Court modernization, roof fall protection and roof repairs, exterior property renovation, and Elevator #1 modernization. All these projects are expected to be in progress during FY 2010.

Deferred Maintenance and Renewal Program Implemented

Implement a deferred maintenance and renewal program based on a recently conducted Facility Condition Assessment. Perform a comprehensive evaluation of the full preventative maintenance program at the TMFJB.

Energy Conservation

As part of the Supreme Court modernization project, the Jurisdiction is renewing many essential building systems with more efficient energy-saving technology. The SC is currently installing energy efficient windows and replacing lighting with compact fluorescent lamps (CFLs) in public areas and retrofitting historic light fixtures with electronic ballasts with CFLs.²⁴

²⁴ In areas where CFLs are not practicable, dimmable lighting is being installed.



FOCUS ON

Modernization Project at the U.S. Supreme Court

The modernization of the U.S. Supreme Court building is steadily nearing completion in an example of the quality work performed by the Architect of the Capitol to preserve its heritage assets. This classically-inspired building is one of the Capitol complex's most majestic structures. The need for a modernization became critical at the close of the 20th century. Unlike many facilities on the Capitol complex, this 1935 building had never been upgraded and, due to its age, virtually all building systems required an intensive daily maintenance schedule just to continue operating.

To bring the building up to current standards, the AOC embarked on an ambitious multi-year modernization project in 2003. The project's main goals were to build an annex to the Supreme Court building²⁵ and to replace virtually all the building systems, including electrical, plumbing, and heating, ventilating, and air conditioning (HVAC). The building renovation is occurring in two phases.

Phase I, begun in 2003 and completed in 2005, included the construction of the two-story underground annex on the Maryland Avenue (northern) side of the building. The annex accommodates new mechanical equipment and provides necessary space for the building functions displaced by the new mechanical systems.

Phase II began in 2004 and is forecasted for completion in Fall 2010. This phase includes modernizing the building's five floors and upgrading, replacing, and moving the building systems. The work is being done in stages to allow regular Court operations to continue. There are four quadrants to the building, and the construction is being staged one quadrant at a time. Renovation work has been completed in the northwest, northeast, and southeast quadrants of the Supreme Court. In Summer 2009, work continued in a clockwise rotation to the southwest quadrant. Upon completion, building and systems commissioning will commence.

Due to the complexity of the modernization,²⁶ the original completion date of May 2008 was revised. The AOC meets regularly with Supreme Court personnel and construction contractors to identify ongoing project tasks and anticipate potential barriers to a timely completion. The effort of conducting such a large-scale renovation within an historic and public setting, while Court operations continue, cannot be overestimated. Despite these challenges, the cost estimate for the Supreme Court modernization project remains within its estimated budget of \$122 million.

With the modernization nearing completion, the AOC began the design for renovating the Supreme Court's exterior property and landscape to complement the upgraded building. While not part of the modernization project, the landscape renovation is scheduled to begin at the same time as the building modernization project is completed.



In addition to the Supreme Court Modernization, a separate roof repair project will restore the original, highly decorative roof to optimum condition. Phase I of the roof project includes installing lightning and fall protection.

²⁵ The annex will house building functions displaced by the increased space requirements of contemporary mechanical systems and provide more efficient use of space.

²⁶ As the modernization progressed, the building's roof was found to be in need of repair. In FY 2007, roof repairs began as a supplemental project to address deteriorated roof components and fully restore the original, highly decorative roof to optimum condition. The roof repair project will continue through FY 2011.



Left: The Architect of the Capitol is responsible for supporting Congress during official, national events held at the Capitol or on the Capitol Grounds.

Right: The AOC's first two Strategic Goals—Congressional and Supreme Court Operations Support and Heritage Asset Stewardship—are client-focused goals. The third Goal—Leadership and Administrative Support—provides the foundation for the AOC's service delivery capability.

PERFORMANCE HIGHLIGHTS

PERFORMANCE AGAINST STRATEGIC PLAN

In October 2006, the Architect of the Capitol (AOC) implemented its *Strategic and Performance Plan: Fiscal Year 2007–Fiscal Year 2011*, which emphasizes the organization's mission areas and enabling services and focuses on results. The performance reporting structure consists of three tiers: strategic goals, objectives, and outcome measures. The performance measures detailed in this report are based on the AOC's three strategic goals:

- **Strategic Goal 1: Congressional and Supreme Court Operations Support**—Congressional and Supreme Court operations are supported through the provision of effective facilities management, project delivery, and related services.
- **Strategic Goal 2: Heritage Asset Stewardship**—The national treasures entrusted to the care of the Office of the Architect of the Capitol are maintained and preserved for present and future generations, and visitors to the Capitol complex are provided an informative and inspiring experience.
- **Strategic Goal 3: Leadership and Administrative Support**—The responsibilities of the Office of the Architect of the Capitol are fulfilled efficiently and effectively, and accountability is enhanced, through the provision of high-quality leadership and administrative support activities.

In developing the Performance Plan, the AOC considered that various forces outside of its control could significantly impact its plans and anticipated results over the five year period. As such, the following assumptions were considered in the plan's development:

- Funding will increase to enable achievement of goals and implementation of strategies; and
- Facilities cannot shut down (i.e., continuity of operations).

In addition, it should be noted that:

- Baseline data for many of the performance measures was not available when initial targets were set. As data becomes available, the AOC's targeted levels of performance are adjusted accordingly;
- Cycle times are for the entire cycle of the activity across the organization, not limited to any one division or jurisdiction; and
- Measures and strategies apply across the organization, unless otherwise noted.

The *Strategic and Performance Plan: FY 2007–FY 2011*, contains 42 performance measures, created to support FY 2011 performance goals. The AOC developed interim annual performance targets for each measure, where possible. The breakdown of the performance measures follows:

TABLE 3: Performance Measures Breakdown

AOC Strategic Goal	Outcome Measures	Key Performance Indicators*
Goal 1—Congressional and Supreme Court Operations Support	16	40
Goal 2—Heritage Asset Stewardship	7	9
Goal 3—Leadership and Administrative Support	19	46
Total	42	95

* Many of the Outcome Measures are multi-part measures. The Key Performance Indicators column tallies the number of individually-stated parts for the measures associated with each Strategic Goal.

Of the 95 total key performance indicators, 54 had performance targets for 2009. The AOC met or exceeded its targets for 72 percent of its outcome measures (39 targets met out of 54 total performance targets). The table below provides a summary of the status of performance measures for each goal. For a full account of outcome measures and work performed to reach the organization's targets, please refer to *Section II: Performance Information* in this report.

TABLE 4: Performance Targets for Fiscal Year 2009

AOC Strategic Goal	Target Met	Target Not Met	Total
Goal 1—Congressional and Supreme Court Operations Support	18	2	20
Goal 2—Heritage Asset Stewardship	5	0	5
Goal 3—Leadership and Administrative Support	16	13	29
Total	39	15	54

Looking Toward the Future: Our Performance-Based Budget

The AOC's cost accounting system was introduced in Fiscal Year 2007 and continues to mature, enabling the organization to gather and track cost and performance data and link funding requests with strategic goals. In FY 2009, the AOC submitted a performance-informed budget to Congress for the FY 2010 budget, linking requested funding to the AOC's strategic goals and key performance results. To demonstrate the impact of the FY

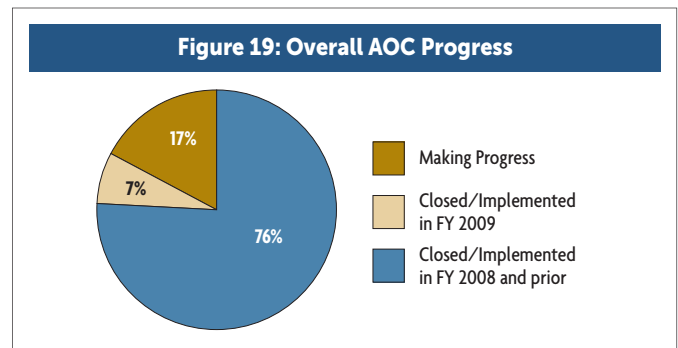
2010 budget request on the performance of the AOC, 11 key performance indicators (e.g., facility condition index, demand work order cycle time, and others) were selected. This is the AOC's second budget request to include supplementary performance-informed data. The performance-informed budget is considered an interim step towards full, performance-based budgeting.

AOC MAKES PROGRESS ON GOVERNMENT ACCOUNTABILITY OFFICE GENERAL MANAGEMENT REVIEW RECOMMENDATIONS

The general management review (GMR) recommendations listed below have been generated through a series of Government Accountability Office (GAO) reviews of the Architect of the Capitol's operations and have included a focus on overall management, facilities management, project management, Capitol Power Plant operations, human capital management, financial management, information technology management, worker safety, and recycling.²⁷ These recommendations are summarized by issue area and include a brief synopsis of GAO's assessment of the AOC's progress.

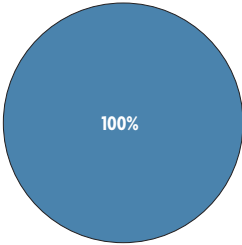
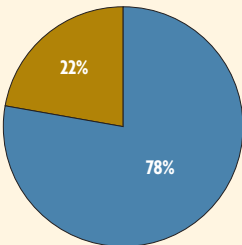
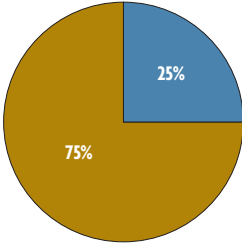
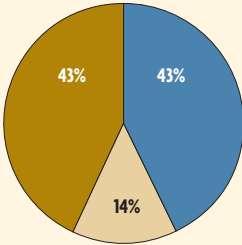
The AOC continued to make progress over the last year implementing GAO's recommendations. The AOC fully implemented an additional five recommendations bringing the total number of recommendations closed to 56 out of 67. The remaining open recommendations involve long-term efforts on which the AOC continues to make progress such as information technology enterprise architecture, internal controls, cost accounting, facilities management, and workforce planning.

The following table summarizes the progress made in FY 2009 and the actions remaining to fully implement the 11 open recommendations, six of which are currently pending closure.



²⁷ For complete information see GAO's February 2008 Briefing entitled "Architect of the Capitol: Implementation of Long-Term Initiatives Is Important to Sustaining Progress."

TABLE 5: AOC Progress by Issue Area—continued on pages 50–51

Issue Area	Progress through FY 2009	GAO's Assessment
<p>Strategic Management</p> <p>Improve strategic planning and organizational alignment; establish meaningful performance measures; improve the process to obtain feedback from employees and customers; and strengthen the relationship between AOC and Congressional stakeholders.</p>		<p><i>Remaining Actions:</i></p> <p>All recommendations have been implemented.</p>
<p>Human Capital Management</p> <p>Strengthen performance measurement and strategic human capital management by developing annual goals and measuring performance; link senior executive and employee performance management systems to mission-critical goals; establish AOC-wide core and technical competencies; develop capacity to collect and analyze workforce data; strengthen human capital policies, procedures, and processes; improve communications with employees.</p>		<p><i>Progress:</i></p> <ul style="list-style-type: none"> Developed method to link core and technical competencies to employees' Individual Development Plans (IDPs); and Established comprehensive workforce planning framework and completed several key elements. These included: <ul style="list-style-type: none"> Retirement/attrition analysis of workforce; comprehensive workforce assessment on key demographic variables; and A concise forecast on the AOC's future workforce supply. <p><i>Remaining Actions:</i></p> <ul style="list-style-type: none"> Develop the rollout plan for the Individual Development Plans (IDPs) to show full implementation; and Develop the demand forecast for our workforce.
<p>Financial Management</p> <p>Develop strategies to institutionalize financial management practices that will support budgeting, financial, and program management; provide strong and visible support for efforts to prepare auditable financial statements and implement an effective internal control framework; work with managers to assess usefulness of financial statement-level information; monitor the implementation and milestones of making AOC-wide system, procedural, and cultural changes to provide managers with timely financial, cost, and performance information.</p>		<p><i>Progress:</i></p> <ul style="list-style-type: none"> Continued senior leadership focus via recurring meetings, briefings, and reports; Implemented Time and Attendance (T&A) controls;* Implemented attestations of procure to pay controls; and Continued to enhance management operations reports. <p><i>Remaining Actions:</i></p> <p>Conduct an overall risk assessment.</p>
<p>Information Technology Management</p> <p>Establish a chief information officer (or comparable senior executive) with the authority, responsibility, and resources for managing IT AOC-wide; plan for and implement practices in GAO's investment management guide associated with corporate, portfolio-based investment decision making; develop, implement, and maintain an Enterprise Architecture (EA); leverage EA for AOC transformation; require rigorous processes for managing the development and acquisition of IT systems; and establish and implement an information security program.</p>		<p><i>Progress:</i></p> <ul style="list-style-type: none"> Prioritized all IT investments, developed an IT investment portfolio, and oversaw each investment using a portfolio approach; Fully implemented key architecture practices, such as defining "as is" and "to be" architecture descriptions in terms of performance; and Provided Chief Information Security Officer with resources to fully implement an AOC-wide security program. <p><i>Remaining Actions:</i></p> <p>Complete Certification and Accreditation (C&A) and update the EA Security View.</p>

* These controls cover data entry, reviews and approvals to ensure data is current, accurate, and complete.

** This report, titled "Report to Promote the Maximum Efficiency for the Operation of the U.S. Capitol Power Plant," outlines plant cost savings and increased efficiencies.

■ Issues Closed/Implemented in FY 2008 and Prior ■ Issues Closed/Implemented in FY 2009 ■ Making Progress

TABLE 5: AOC Progress by Issue Area—continued from page 49.

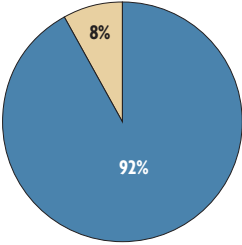
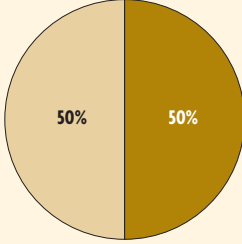
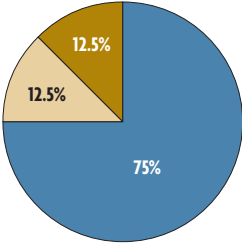
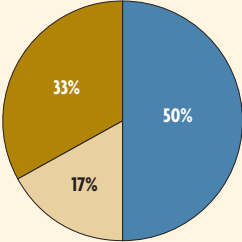
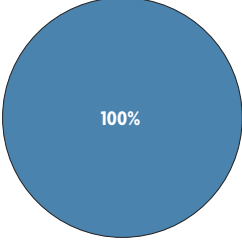
Issue Area	Progress through FY 2009	GAO's Assessment
<p>Project Management</p> <p>Develop a Capitol Complex Master Plan (CCMP) and complete condition assessments of all buildings and facilities; engage Congress and other stakeholders through CCMP development; develop a process for assigning project priorities; inform and obtain agreement from Congress and other stakeholders on how and why specific projects are submitted for funding; define performance measures; align project management staff and resources with mission-critical goals; develop method to establish and track more accurate budget targets; expedite the development of a construction services customer satisfaction survey; clarify staff roles and duties; revise project management manuals; develop or modify information systems to provide needed cost and schedule data and track reasons for changes.</p>		<p><i>Progress:</i></p> <ul style="list-style-type: none"> • Final draft of the CCMP published and sent to the committees for approval; and • Fully implemented methods to improve accuracy of cost estimates compared with bids; accuracy of budget compared with final project costs; amount of excess project funds and how funds are used; and cost data for the Construction Branch, including current working estimates. <p><i>Remaining Actions:</i></p> <p>All recommendations have been implemented.</p>
<p>Facilities Management</p> <p>Develop more specific timeliness measures that more accurately reflect the amount of time required to complete tasks; develop the capability to comprehensively and routinely track cost performance measures; benchmark performance measures against those of similar institutions; and use the new facilities management information system to track preventive maintenance (PM) and demand work orders (DWO) across all jurisdictions.</p>		<p><i>Progress:</i></p> <ul style="list-style-type: none"> • Institutionalized the use of the cost accounting/management operations reports; routinely tracked cost performance measures; and took early steps for benchmarking; • Established prioritization matrix for DWO; and • Standardized procedures used for each maintenance task across the AOC. <p><i>Remaining Actions:</i></p> <ul style="list-style-type: none"> • Complete standardization of PM work orders, load into facilities management systems for use by all jurisdictions; and • Complete the standardization of turnaround times for DWO, load into the facilities management IT system, and use across all jurisdictions.
<p>Worker Safety</p> <p>Identify performance measures for safety goals and objectives; establish clearly defined and documented policies and procedures for reporting hazards; establish a consistent, AOC-wide, system for investigations and follow-up; establish a safety training curriculum; assign clear responsibility for tracking and recording employee training; clarify and explore the possibility of expanding the role of the Office of the Attending Physician (OAP); establish a senior management work group to routinely discuss workers' compensation cases and costs; and expand safety perception survey.</p>		<p><i>Progress:</i></p> <p>Institutionalized the process for annual policy review, ongoing development, and implementation of safety policies</p> <p><i>Remaining Actions:</i></p> <p>Submit the rollout plan for Individual Development Plans (IDPs) that tracks required certifications and licenses.</p>
<p>* These controls cover data entry, reviews and approvals to ensure data is current, accurate, and complete. ** This report, titled "Report to Promote the Maximum Efficiency for the Operation of the U.S. Capitol Power Plant," outlines plant cost savings and increased efficiencies.</p> <p style="text-align: center;"> ■ Issues Closed/Implemented in FY 2008 and Prior ■ Issues Closed/Implemented in FY 2009 ■ Making Progress </p>		

TABLE 5: AOC Progress by Issue Area—continued from page 50.

Issue Area	Progress through FY 2009	GAO's Assessment								
<p>Capitol Power Plant Management</p> <p>Develop implementation plan for adopting recommendations to use the most economically priced fuel to operate the steam boilers and reduce CPP staff; not wait to implement prudent operational and incremental organizational changes in anticipation of a more permanent organization when the West Refrigeration Plant Expansion project is complete; evaluate the training provided to operators and use the results in the staffing plan; quantify cost savings and efficiencies for Congress; and establish procedures to guide future sourcing decisions.</p>	 <table border="1"> <caption>Capitol Power Plant Management Progress</caption> <thead> <tr> <th>Category</th> <th>Percentage</th> </tr> </thead> <tbody> <tr> <td>Issues Closed/Implemented in FY 2008 and Prior</td> <td>50%</td> </tr> <tr> <td>Issues Closed/Implemented in FY 2009</td> <td>17%</td> </tr> <tr> <td>Making Progress</td> <td>33%</td> </tr> </tbody> </table>	Category	Percentage	Issues Closed/Implemented in FY 2008 and Prior	50%	Issues Closed/Implemented in FY 2009	17%	Making Progress	33%	<p><i>Progress:</i></p> <ul style="list-style-type: none"> Submitted a report** to Congress as required by the Energy Independence and Security Act of 2007; and Initiated workload survey of required tasks, skills, and man hours for plant management; recommendations for organization structure and skills needed; and flowcharts of key processes. <p><i>Remaining Actions:</i></p> <p>Finalize workload survey report and evaluate recommendations for organization structure and competitive sourcing strategy.</p>
Category	Percentage									
Issues Closed/Implemented in FY 2008 and Prior	50%									
Issues Closed/Implemented in FY 2009	17%									
Making Progress	33%									
<p>Recycling</p> <p>Develop a clear mission and goals for AOC's recycling program with input from key Congressional stakeholders; obtain preliminary input from Congressional stakeholders on environmental program plan.</p>	 <table border="1"> <caption>Recycling Progress</caption> <thead> <tr> <th>Category</th> <th>Percentage</th> </tr> </thead> <tbody> <tr> <td>Issues Closed/Implemented in FY 2008 and Prior</td> <td>100%</td> </tr> </tbody> </table>	Category	Percentage	Issues Closed/Implemented in FY 2008 and Prior	100%	<p><i>Remaining Actions:</i></p> <p>All recommendations have been implemented.</p>				
Category	Percentage									
Issues Closed/Implemented in FY 2008 and Prior	100%									

* These controls cover data entry, reviews and approvals to ensure data is current, accurate, and complete.
 ** This report, titled "Report to Promote the Maximum Efficiency for the Operation of the U.S. Capitol Power Plant," outlines plant cost savings and increased efficiencies.

■ Issues Closed/Implemented in FY 2008 and Prior
 ■ Issues Closed/Implemented in FY 2009
 ■ Making Progress



Left: Renovations of aging AOC facilities, such as the 1908 Cannon House Office Building (shown during its initial construction phase), are needed to maintain their integrity. Right: The AOC opened an ethanol (E-85) fueling station that will be used by vehicles in the Legislative Branch’s official fleets. This alternate fuel source will help reduce the Capitol complex’s carbon footprint.

MANAGEMENT CHALLENGES AND LOOKING AHEAD

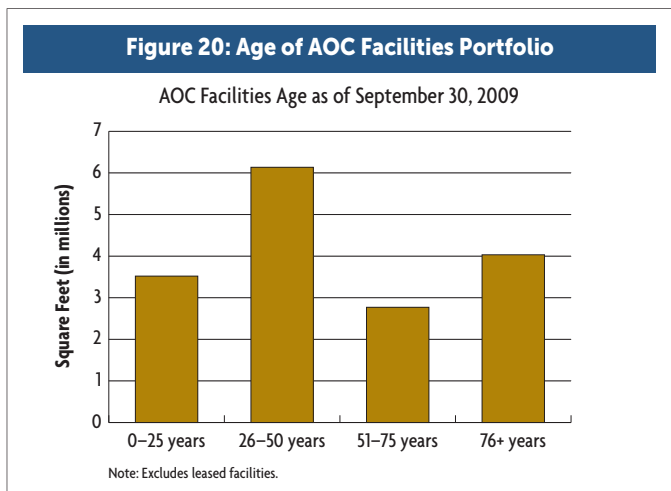
The Architect of the Capitol strives to meet its current and future challenges by improving efficiencies in operations and financial management. Focus is placed on stewardship activities, such as proactively managing its facilities to identify upcoming deferred maintenance, capital renewal, and energy reduction needs. Identifying performance improvement opportunities and applying the latest business efficiency tools is critical for meeting the long-term management challenges of the Capitol complex.

FACILITY REQUIREMENTS EXCEED AVAILABLE FUNDING RESOURCES

The AOC serves as the steward of the Capitol complex, providing facility maintenance and heritage asset preservation for the Capitol, Congressional office buildings, Library of Congress, Supreme Court, Botanic Garden—all of which are considered irreplaceable cultural and historic assets. The AOC’s most pressing challenge is to continue to meet its stewardship responsibilities in an era of competing demands for limited financial resources and a difficult economy.

Previous Performance and Accountability Reports have highlighted the organization’s sizable deferred maintenance and capital investment obligations. Despite past investments, many historic buildings require significant funding for maintenance, repair, and refurbishment over the next two decades to remain safe and viable. Many of its heritage real property assets exceed 50 years in age, as illustrated by Figure 20.

In recent years, these funding demands have increased as AOC has brought new facilities on-line and begun new mission areas. In addition, emerging priorities, including security and life-safety initiatives and energy reduction mandates, have reduced the available resources for sustaining existing facilities and have left the AOC with the dilemma of whether to invest in the deferred maintenance backlog or meet the other priorities. Though Congress has supported many key AOC initiatives (see Figure 21 for the investment in AOC facilities), resource levels have not been sufficient to address all known requirements.



During Fiscal Year 2008, the AOC met with Congressional leaders and staff and stressed that it had reached a critical crossroads in meeting deferred maintenance and capital investment needs. Long-term maintenance issues, if unaddressed, could require a costly re-design and place facilities at risk. The concept of a five-year remediation plan was discussed to address the backlog and new requirements. The AOC proposed continued reinvestment funding to sustain its portfolio, with building renewals and client requests consistent with the maturing Capitol Complex Master Plan (CCMP). The AOC demonstrated the predictable consequences, based on Facility Condition Assessments (FCAs), which may result from inadequate sustainment funding: an increased likelihood of building system failures, disruptions to operations, access restrictions, and even possible facility closures.

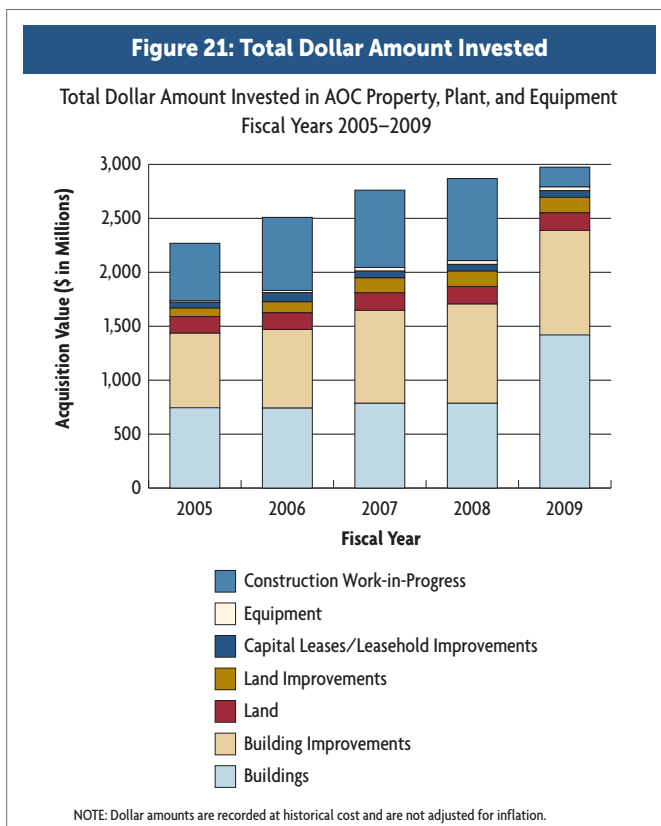
The AOC's budget request for FY 2010, noted the comprehensive analysis undertaken to balance constrained resources and competing needs. That analysis included an assessment of program execution and existing management and oversight necessary to successfully implement a larger program. The AOC noted that its request included those needs that had the highest priority, but that meeting future requirements would need Congress' assistance in terms of sustained support for increased funding.

The AOC is continuing to focus on developing a reasonable path forward using FCAs and the CCMP to carry out its proactive strategy for prioritizing projects; efficiently managing and meeting Congressional needs; and outlining requirements, timing, drivers, and impacts. The execution tool for this strategy is the five-year Capital Improvements Program, which addresses the necessary sequencing of planning, design, and construction. The AOC is also exploring alternate ways to execute projects, most notably with Energy Savings Performance Contracts for energy projects. Near the end of FY 2009, the AOC engaged the assistance of outside experts to analyze its entire facility portfolio and provide strategic investment recommendations. The outcome of this analysis is anticipated for inclusion in the AOC's FY 2011 budget.

The AOC believes it continues to make significant strides in becoming a more effective and efficient organization. Proactive leadership and adequate reinvestment will ensure the protection of its facilities, the security of its visitors and staff, and the preservation of its unique facilities and heritage asset collections for the long-term.

REDUCING ENERGY CONSUMPTION

The AOC recognizes the environmental significance and cost-saving benefits of making the Capitol complex more energy efficient. A number of initiatives and projects have been implemented throughout the campus in an effort to decrease energy consumption and carbon emissions. AOC continues to analyze the most cost-efficient and effective options to fulfill its energy reduction mandates.



Legislative Background

This decade, Congress enacted multiple laws regarding energy reduction and sustainability for Federal buildings. The Energy Policy Act of 2005 (EPAAct 2005) established the goal of reducing energy consumption by 2% per year from FY 2003 levels, with a 20% total reduction required by FY 2015. In 2007, Congress enacted the Energy Independence and Security Act (EISA 2007). EISA 2007's more aggressive targets require an energy reduction of 3% annually from FY 2003 levels, yielding a 30% total reduction by FY 2015. While EPAAct 2005 and EISA 2007 apply to all AOC facilities, the 2007 Green the Capitol Initiative (GTCL) focuses on carbon dioxide emissions and sustainable practices in the House Office Buildings and portions of the Capitol, Capitol Visitor Center, and the Capitol Power Plant. GTCL recommends reducing energy consumption by 5% per year (based on FY 2006 base levels) starting in FY 2008 with a total 50% reduction by FY 2017.

Going forward, Energy Savings Performance Contracts (ESPCs) will be a key component in the AOC's energy reduction strategy. An ESPC is a contracting method in which the contractor provides capital to facilitate energy savings projects and then is paid back by the energy savings generated. The House Office Buildings jurisdiction entered into an ESPC in FY 2009 and, looking ahead, additional contracts are being proposed for the rest of the AOC campus.

Under GTCI, carbon emissions reduction is an important part of the AOC's efforts. The AOC's Capitol Power Plant took the significant step of minimizing the use of coal and shifting to natural gas as the primary fuel source for its steam boilers.

Another effort that is being implemented at the AOC is daylight harvesting. These systems measure the amount of daylight coming into an office, and control and adjust the lighting in those spaces. Daylight harvesting systems have already been installed in 35 Senators' offices and are planned for several more. Similarly, a recent renovation of the House Science and Technology Committee Room resulted in the installation of new windows, electrical system, and LED lights to make the room more energy efficient.

The AOC embraces the principles of sustainable design²⁸ to support its stewardship role for the Capitol complex. The Capitol Complex Master Plan includes a Sustainability Framework Plan that includes recommended best practice strategies such as engaging off-grid sources of energy production. In FY 2009, a sustainability roundtable planning session was held with the American Institute of Architects and an expert panel was assembled with the National Academy of Sciences to provide Framework Plan recommendations. The AOC has established a guideline of silver level certification from the Leadership in Energy and Environmental Design (LEED) Green Building Rating System²⁹ for all new construction.

Looking ahead, retro-commissioning and direct digital control (DDC) systems will be key tools for meeting AOC energy targets. Retro-commissioning is a process of commissioning a facility or system to ensure optimum performance in accordance with current operating needs over its useful life. DDC systems have substantial advantages over pneumatic systems in accuracy and reliability and can result in operational energy savings of over 15 percent.

The AOC's immediate energy program priorities are to complete its energy audits in a timely manner; develop a prioritized project list to address the energy targets; articulate short- and long-range funding needs to Congress; and obtain the resources necessary to implement the program. To meet the EISA 2007 target of 30 percent reduction by 2015, the AOC estimates current and future funding requirements of more than \$320 million. To meet the GTCI goal of 50 percent reduction, the AOC estimates a current and future funding requirement of more than \$460 million. Looking at its entire mission, the AOC recognizes that it will be a challenge to balance the resource needs of the energy program with other new requirements and its deferred maintenance and capital renewal needs. Despite this challenge, the AOC is committed to meeting the energy goals set by Congress. For detail on the AOC's FY 2009 energy efforts, see *Focus on... Sustainability, Energy Efficiency, and Energy Conservation* in Section II of this report.

IMPROVING PERFORMANCE AND BUSINESS PROCESSES

As the AOC moves forward in continuing to evolve its business processes, a key challenge is developing the technology tools, adopting best business practices, and streamlining operations to achieve performance improvements. Efficient operations help minimize financial costs. The long-term tools that the AOC is developing to support its performance improvement goals include:

- Business Intelligence tools to centralize data and enhance performance monitoring;
- Building Information Modeling technology for better building design and monitoring;
- Cost management for a better understanding of the cost of operations;
- Performance-Based Budgeting for better accountability and forecasting; and
- Internal controls for better financial and operations control.

Business Intelligence Tools to Centralize Data and Enhance Performance Monitoring

A key business challenge facing the Federal government is reporting and integrating common business information to optimize decision-making. To face this challenge, the AOC is developing a robust information technology (IT) environment with a suite of business intelligence tools to support centralized data, real-time monitoring, and consistent reporting and performance analysis.

²⁸ Sustainable design is a holistic approach to design that considers how every stage of the building life cycle affects human health and well-being and the natural environment.

²⁹ The LEED rating system, created and administered by the U.S. Green Building Council, consists of a series of prerequisite building design and operation practices.

The core of this environment is a central data warehouse. The information stored in this warehouse will be extracted from multiple systems and databases. The data warehouse will maintain the historic record of AOC enterprise data. Business intelligence tools, building off the central warehouse, will support business functions across the organization by improving organization-level dashboards and reports.

Current AOC dashboards link performance to strategic goals and present objective evidence using metric-based performance indicators specific to each jurisdiction, division and cross-functional process. During FY 2009, the AOC refined its dashboard by adding a high-level executive summary to the monthly report. These dashboards, while providing insight into the organization's performance, are static and involve a time-intensive data validation and recording process. The first phase of the budget data mart was also implemented in FY 2009, providing the framework for generating reliable cost and performance reports. Going forward, this tool will allow the AOC to support its dashboards electronically using an efficient IT infrastructure. Improving the dashboards to include real-time data will provide a useful means for measuring and linking cost with performance.

Business intelligence, and the related technical infrastructure, will provide the AOC with dynamic reporting and presentation capabilities that will accommodate the development of standard and ad hoc reports. The Executive Information System created from these tools will enable enterprise data integration and provide AOC-wide dashboards and reports for enhanced performance monitoring, which may form the basis for efficient decision-making and long-term planning.

Building Information Modeling Technology for Better Building Design and Monitoring

Going forward, the AOC plans to implement Building Information Modeling (BIM) to assist in the design and operation of the Capitol complex. BIM is the next stage in the evolution of design software and may be used to influence the design, construction, and operation of the design-build environment. The software expands the user's ability to model and imitate aspects of actual and virtual building structures in two and three-dimensional electronic format. BIM may also help analyze a building's environmental management, simulate physical conditions, and conduct virtual reality performance evaluations.

The AOC has already evaluated the BIM hardware requirements, purchased updated software and several modules that support the professional design disciplines, and awarded a contract for training of its employees. Since BIM technology is new, and

the Capitol complex is unique, the AOC plans to develop a roadmap to ensure that BIM is implemented in a methodical way to align with its planned design and construction projects. In this way, the technology is embedded into design, construction, and maintenance work, and the AOC may optimize its investment. The AOC expects that BIM will enable AOC planning staff to be more efficient in its decision-making with respect to building usage, modification, operations, and maintenance. This design software will allow for the creation of an "intelligent building" which will aid managerial decisions about their buildings' comfort, safety, and energy savings.

Cost Management for a Better Understanding of the Cost of Operations

A significant AOC performance improvement initiative is to develop an organization-wide cost accounting system that provides information on the full cost of operations to AOC managers. The AOC's Management Operations Reporting (MOR) team made progress in this effort during FY 2009 by further refining and consolidating its cost activity code taxonomy to facilitate compliance and normalize the data being collected across the organization. The revised activity codes provide for a simple and consistent method for assigning costs to work activities. It is the framework for standardizing cost data, supporting internal and external reporting, and matching costs to the AOC's Strategic Plan.

The AOC improved its time and attendance (T&A) system in FY 2009, which will help provide greater accuracy in collecting direct labor costs. The use of a web-based, employee T&A system was expanded to cover the entire organization. This initiative, coupled with the simplified MOR activity codes, greatly improved the accuracy of timekeeping and cost information.

Looking ahead, the AOC is identifying indirect costs, such as general and administrative expenses, and its drivers to develop a methodology to allocate such costs. This effort will help the AOC achieve full cost data and better connect resources with results. During FY 2010, the AOC plans to pilot indirect cost allocations to aid its performance measurement capabilities. At the same time, the AOC will prepare to integrate non-financial data (e.g., facility square footage) into the environment's central data warehouse to add another valuable facet to its managerial reports. Such data provides managers with information to better understand the true resources needed to deliver a given level of outcome and benchmark performance.

Performance-Based Budgeting for Better Accountability and Forecasting

Performance-based budgeting includes a framework that links organization budgets to performance results. The use of performance information for Federal budgeting is intended to allow government decision-makers to more effectively target limited fiscal resources to the programmatic priorities. The AOC's efforts towards performance-based budgeting are coordinated with the implementation of the AOC's *Strategic and Performance Plan: FY 2007–FY 2011* and the development of its cost accounting system. Linking these initiatives and sources of information will help provide visibility into the cost of outputs and of performance.

During FY 2009, the AOC continued to improve its cost data to allow for better forecasting and preparation of budget submissions. As in previous years, the AOC submitted a performance-informed budget as a supplementary attachment to its standard budget submission. As utilized by the AOC, the performance-informed budget links its requested funding, strategic goals, and key performance results. It is considered an intermediary step between traditional budgeting and achieving a performance-based budget that allows the budget process to be informed by budget results. In moving ahead towards performance-based budgeting, the AOC will continue to submit a performance-informed budget and will work with Congress to develop a performance-based budget format that best responds to their needs.

Internal Controls for Better Financial and Operations Control

The AOC is committed to using the highest standard of internal controls to ensure prudent management of its resources. At the close of FY 2009, the AOC had not completed a formal and systematic assessment of the design and operation of all controls. This is reported as a repeat material weakness in the AOC's annual financial statements audit. To address this weakness, the AOC intends to complete and document internal control assessments that evaluate the effectiveness of the design and operation of its control structure, including identifying risks to material accounts, using *OMB Circular A-123, Appendix A, Internal Control over Financial Reporting* and the Government Accountability Office's publication "*Standards for Internal Controls*" as guidance for this multi-year effort.

Though the AOC cannot yet attest that it has a comprehensive control structure in place, progress was made to review and refine controls in an effort to increase the integrity of data used for

integrated planning, reporting, and decision-making. The AOC updated and re-issued organization-wide policy for the Internal Control Program. This document will act as an over-arching focal point for future procedures involving internal controls over both operations and financial reporting. With this policy in place, other AOC policies will be reviewed and updated, as appropriate, for internal control implications.

Going forward, the AOC will continue to develop, implement, and manage the Internal Control Program. The Program will include written policies and procedures, organizational design, and process flowcharts to monitor control performance. The Program is a sound business practice that provides assurance that measures are in place to safeguard assets, ensure operational activities are subject to internal control, and promote accurate recordkeeping. Further steps include completing a comprehensive risk assessment and review of controls to ensure that they are working as designed.

OTHER MANAGEMENT CHALLENGES

The long-term management challenges facing the AOC are not limited to those identified above. As with the rest of the Federal government, the AOC foresees an upcoming wave of retirements, especially among supervisors and managers, as a significant challenge. At the close of FY 2009, the average age of AOC employees was 45.5 (the median age was 47.2). As baby boomers retire, the organization anticipates a significant leadership gap and loss of institutional knowledge if this issue is not addressed. To prepare, the AOC has begun to institute leadership and succession planning programs. In addition, new and progressive workplace tools (e.g., Alternative Work Schedules) are intended to help the AOC compete for and retain highly-qualified employees.

Space management represents another challenge the AOC anticipates over the long-term. While the demand for office space on or near Capitol Hill continues to grow, the land available for such development and use is limited. To address this issue, the AOC has leased a portion of a building from the General Services Administration. Long-term solutions may require innovative strategies that take advantage of new technologies. One example may be the expansion of the AOC's flexible work policies to permit certain functions to be performed by employees from home. Other solutions may include the expansion of support operations to satellite locations off the Capitol complex—for example, the recently constructed Ft. Meade storage modules now safely store portions of the Library of Congress' collections off-site.



The Architect of the Capitol considers internal controls to be an integral part of all systems and processes that the organization utilizes in managing its daily operations and achieving its strategic goals and objectives. The AOC's Senior Leadership Team (above right) assumed the role of Senior Advisory Team, providing strategic direction and oversight over the Internal Control Program.

MANAGEMENT ASSURANCES

IMPLEMENTATION OF THE FEDERAL MANAGERS' FINANCIAL INTEGRITY ACT (FMFIA) AT THE AOC

The Architect of the Capitol considers internal controls to be an integral part of all systems and processes that the organization utilizes in managing its daily operations and achieving its strategic goals and objectives. The AOC holds its managers accountable for efficiently and effectively performing their duties in compliance with applicable laws and regulations and for maintaining the integrity of their activities through the use of internal controls.

The Chief Financial Officer (CFO) is responsible for the execution of the Internal Control Program. The CFO has assigned an Internal Control Manager to assist in the design, implementation, monitoring, and modification of an AOC-wide Program. Key processes in the Program include performing a preliminary risk assessment, addressing material weaknesses³⁰ and significant deficiencies,³¹ and implementing corrective actions. The Program will also set forth a comprehensive and customized internal control program for program managers to help them monitor and

assess controls within their specific areas of responsibility. It will provide instructions on how to perform testing, assess current controls, modify controls, update documentation and procedures, and train staff. This program will help managers alleviate current weaknesses and prevent new material weaknesses.

In FY 2009, the AOC revised its internal controls policy to address programmatic areas outside of financial reporting. The AOC's Senior Leadership Team assumed the role of the Senior Advisory Team, providing advice and oversight and ensuring that controls are implemented across the organization. The Senior Advisory Team will provide strategic direction and oversight over internal controls, will promote and facilitate compliance with applicable guidance, and communicate the results of reviews to the Architect.

For the close of FY 2009, without a formal program implemented, the AOC is unable to provide assurance that the current internal control design effectively mitigates existing risks and safeguards assets. The Senior Advisory Team recognizes that the AOC had not yet completed a comprehensive and systematic assessment and evaluation of the design and operations of internal controls and is making this multi-year effort a high priority for FY 2010 and beyond. The AOC will use Office of Management and Budget (OMB) Circular A-123, Appendix A, as a guide to develop, implement, evaluate, and monitor its internal

³⁰ A material weakness is a significant deficiency, or combination of deficiencies, that results in more than a remote likelihood that a material misstatement of the financial statements will not be prevented or detected by internal controls.

³¹ A significant deficiency is a control deficiency, or combination of deficiencies, that adversely affects the ability to initiate, authorize, record, process, or report financial data reliably in accordance with generally accepted accounting principles such that there is more than a remote likelihood that a misstatement of the financial statements that is more than inconsequential will not be prevented or detected by internal controls.

controls. The AOC did not complete a formal and systematic assessment and evaluation of the design and operation of its internal controls, as reported in the AOC's financial statement audit. The Acting Architect's assurance statement follows. A summary of the management assurances is provided in Section IV, *Other Accompanying Information*.

SUMMARY OF MATERIAL WEAKNESSES AND SIGNIFICANT DEFICIENCIES

The AOC financial statements audit reported the AOC had two material weaknesses at the close of FY 2009. In addition, the AOC had three significant deficiencies at the Fiscal Year-end. An AOC-prepared summary of the Independent Auditor's Report on Internal Control, including the auditor recommendations for improvement, may be found in *Section III: Financial Information* of this report.

Material Weaknesses Summary

1. Internal control assessments have been identified as a material weakness due to the AOC not completing a formal and systematic assessment and evaluation of the design and operation of internal controls. Corrective actions needed to address this weakness include consulting OMB Circular No. A-123, Appendix A, to complete and document the AOC internal control structure, including an identification of risks to material accounts and the existence of internal controls to mitigate those risks.
2. National Finance Center (NFC) SAS 70 payroll reconciliations have been identified as a second material weakness. Although a process for clearing this weakness has been identified, the corrective actions needed to reconcile payroll data transmitted to and received from the NFC had yet to be enacted on a regular basis during FY 2009.

Significant Deficiencies Summary

1. Information system general controls have been identified as a significant deficiency. This deficiency resulted from information system general control weaknesses in the areas of entity-wide security program, access control, and segregation of duties. Corrective actions needed to address this deficiency include: completing the formal risk assessments of the general support systems and major applications, defining and documenting user profiles in the information system security plans, formally documenting and implementing an overall segregation of duties policy and procedures, among others.
2. Information system application controls have also been identified as a significant deficiency. Corrective actions include: updating password requirements; complying with applicable policies and procedures for adding users and profile changes; performing an evaluation of user access information; implementing financial system controls to require proper approvals and matching documents prior to approval; and developing and reviewing financial system security reports to ensure that security policies have been implemented.
3. Budget object data validity has been identified as a third significant deficiency. AOC purchasing agents have received no financial training and have no written guidance to ensure consistent coding of purchase transactions. Corrective actions include reviewing and approving Budget Object Codes by individuals with an accounting background and appropriate training prior to the obligation of funds.



Washington, DC 20515
December 18, 2009

ACTING ARCHITECT'S FMFIA STATEMENT OF ASSURANCE

The management of the Architect of the Capitol (AOC) is responsible for establishing and maintaining effective internal controls over key processes and financial management systems. The Federal Managers' Financial Integrity Act of 1982 (FMFIA) requires certain federal government agencies to conduct an annual evaluation of their internal controls and financial management systems and report the results. Even though, as a Legislative Branch office, we are not required to conform to the Act, the AOC chooses to embrace its principles as a best financial management practice and provide its assurance on the effectiveness of its internal controls and financial management systems.

The requirements of Office of Management and Budget (OMB) Circular A-123, Appendix A, *Management's Responsibility for Internal Control*, includes an assessment of the effectiveness of the organization's internal controls to support effective and efficient programmatic operations, reliable financial reporting, compliance with applicable laws and regulations, and whether the financial management system conforms to applicable financial systems requirements.

OMB Circular A-123 and Appendix A emphasize management's responsibility for establishing and maintaining effective internal controls over financial reporting, which includes safeguarding of assets and complying with applicable laws and regulations. AOC management is committed to fully implementing a program to assess the effectiveness of the organization's internal controls and the internal controls over financial reporting to meet the FMFIA objectives. However, we are still in the early stages of standing-up a full program that fully meets the intent of OMB Circular A-123 and Appendix A and, thus, are unable at this time to provide assurance that our internal controls and financial management systems meet the objectives of FMFIA and that our internal controls over financial reporting are operating effectively.

Sincerely,

Stephen T. Ayers, AIA, LEED AP
Acting Architect of the Capitol

Doc. No. 100122-04-01A



Going forward, the Architect of the Capitol's FY 2010 budget builds off the transformational FY 2009 appropriation and provides the organization with resources to further address the Capitol complex's critical deferred maintenance and capital renewal backlog.

FINANCIAL HIGHLIGHTS

These financial highlights provide an analysis of the information that appears in the Fiscal Year 2009 financial statements of the Architect of the Capitol. The Balance Sheet for the FY ended September 30, 2009 was audited by an independent auditor, Kearney & Company, along with the accompanying Statements of Net Cost, Changes in Net Position, and Budgetary Resources. The financial statements received an unqualified (clean) audit opinion for the fifth consecutive year.³² The audit reports and financial statements of the Architect of the Capitol appear in *Section III: Financial Information* of this report.

The AOC considers its annual independent audit an integral part of its financial management controls. An unqualified opinion provides reasonable assurance that the financial statements are free of material misstatement. Reasonable assurance³³, while not absolute, is nonetheless a high level of assurance.

GUIDE TO THE FINANCIAL STATEMENTS

Government-wide efforts to improve federal transparency and accountability led to the enactment of mandatory uniform Executive Branch accounting and reporting standards, along

with the tools to better manage financial resources. Though a Legislative Branch organization, the AOC has implemented policies that voluntarily adopt many of these best business practices.

The financial statements and financial data presented in this report have been prepared from AOC's accounting records in conformity with generally accepted accounting principles (GAAP). GAAP, for Federal entities, are the standards prescribed by the Federal Accounting Standards Advisory Board (FASAB).

OVERVIEW OF FINANCIAL POSITION

The Balance Sheet provides a snapshot of the AOC's financial position and displays amounts of future economic benefits owned or available for use (Assets), amounts owed (Liabilities), and the residual amounts (Net Position) at the end of the FY.

Assets

At the end of FY 2009, the AOC's total assets amounted to \$2.41 billion, a 1.2 percent increase from the prior year \$2.38 billion total. Figure 22 presents the FY 2009 total assets by component.

Property, Plant, and Equipment (PP&E) represents AOC's largest asset (77 percent of total assets). PP&E, net of accumulated depreciation, equaled \$1.86 billion at year-end, up 0.3 percent from the FY 2008 total. During FY 2009, the AOC

³² This followed two straight years in which a clean opinion was received on its Balance Sheet-only audits.

³³ The term reasonable assurance includes the understanding that there is a remote likelihood that material misstatements, due to inherent limitations, may not be prevented or detected on a timely basis.

capitalized \$599 million in construction costs associated with the Capitol Visitor Center (CVC).

Fund Balance with Treasury is the next largest asset at \$502.45 million as of September 30, 2009, representing 21 percent of AOC's total assets, compared to FY 2008 of \$485.63, accounting for 20 percent of total assets. Fund Balance is the aggregate of funds available with the U.S. Department of Treasury to make authorized expenditures.

The remainder of the AOC's assets is composed of Investments, Accounts Receivable, and other assets such as inventory held for sale in gift shops. Investments equaled \$37.55 million, up 5.2 percent from last year. This increase is primarily due to the establishment of the CVC Revolving Fund to provide for the sale of gift shop items and the deposit of miscellaneous receipts at the CVC. Accounts Receivable, at \$4.0 million, is twice last year's amount. The increase is due to new receivables for space occupied by the Alternate Computer Facility and commissions from sub-contracted restaurant services at the U.S. Senate Restaurants.

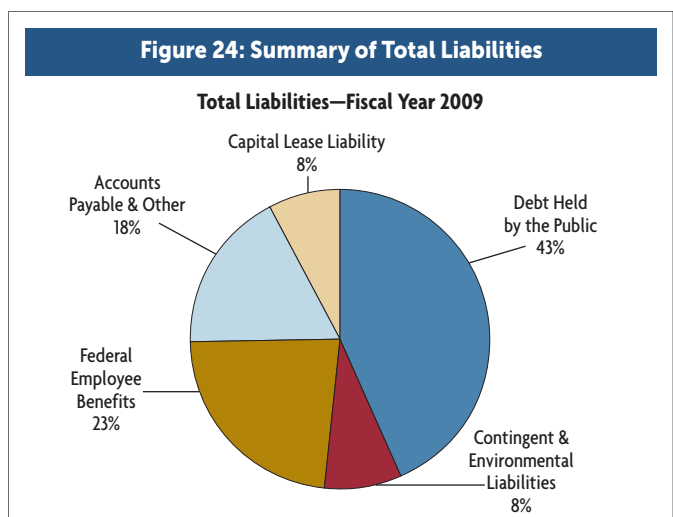
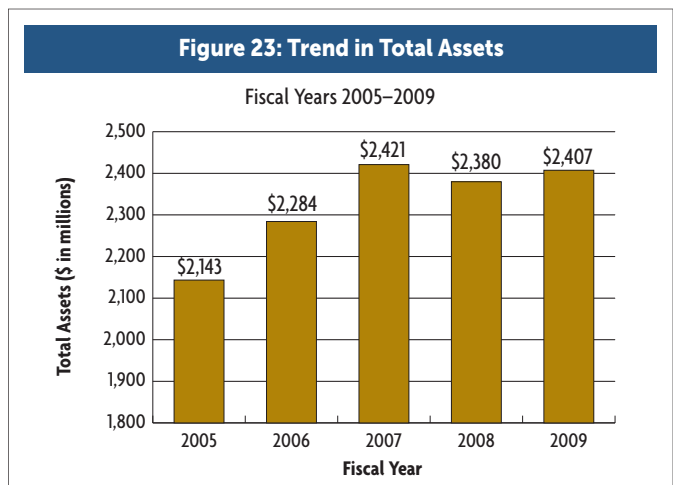
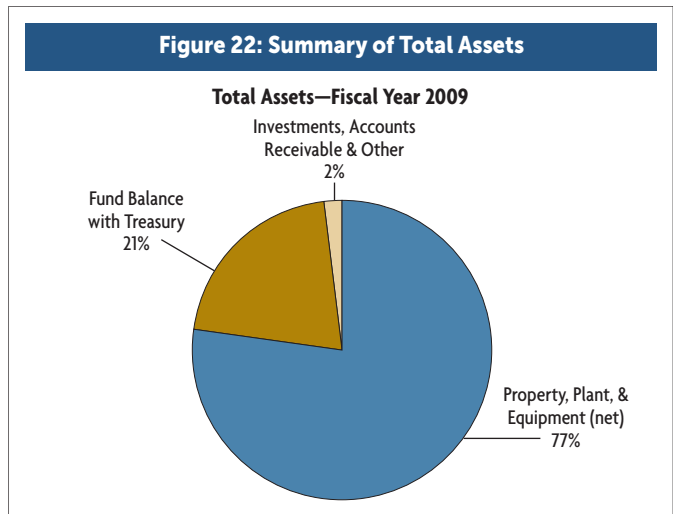
The annual trend in the AOC's total assets for FYs 2005 through FY 2009 is presented in Figure 23. The 12.3 percent increase in total assets since FY 2005 reflects the many significant new facilities that have been added to the AOC in recent years. These include the CVC, National Audio-Visual Conservation Center, book storage modules at Fort Meade, and the West Refrigeration Plant.

The Balance Sheet does not reflect heritage assets. In accordance with SFFAS No. 29, Heritage Assets and Stewardship Land, these assets are not included in the financial statements.³⁴ Such assets are expected to be preserved indefinitely and are required to be carried at a zero dollar amount. AOC's heritage assets include artwork, architectural features, reference and library materials, and historic records. In addition, the heritage assets include living assets such as its plant inventories at the Botanic Garden and memorial trees on the Capitol Grounds. See the *Required Supplementary Information* section for further details.

Liabilities

At the end of FY 2009, the AOC's total liabilities amounted to \$330.37 million, which represents a considerable 16.9 percent decline from the prior year total of \$397.17 million. Most of this decline may be attributed to a reduction in the AOC's contingent and environmental liabilities (discussed further below). Figure 24 presents the FY 2009 total liabilities by component.

³⁴ An exception is provided for multi-use heritage assets (e.g., the Capitol, the Library of Congress' Thomas Jefferson Building, and other historic facilities) whose predominant use is general government operations.

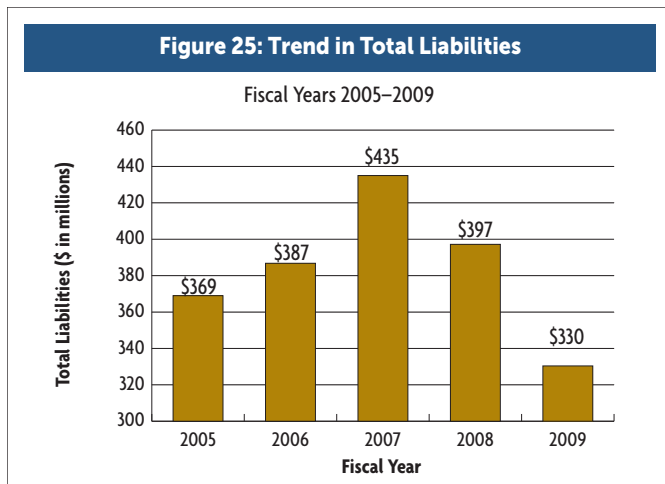


Debt Held by the Public, at 43.5 percent, is the largest single component of total liabilities as of September 30, 2009. This represents the value of bonds sold to finance the construction of the Thurgood Marshall Federal Judiciary Building and equaled \$143.63 million at the end of FY 2009, a slight 3.1 percent decrease from the FY 2008 liability of \$148.15 million.

The next largest liability, Liabilities for Federal Employee Benefits (\$76.23 million) includes the actuarial Federal Employees' Compensation Act (FECA) liability for future workers' compensation benefits (\$54.81 million) and the liability for Accrued Payroll and Annual Leave (\$21.42 million), which includes salaries and wages earned by employees, but not disbursed.

Contingent and Environmental Liabilities, equaled \$27.26 million at year-end, decreasing 68 percent from the FY 2008 total of \$85.25 million. This balance represents contingent legal and environmental cleanup claims the AOC believes it will owe and for which it can reasonably estimate the amount of an unfavorable outcome. The settlement of certain cases in FY 2009, the recognition of environmental remediation costs in the current year, and a reduction in the estimated liability from certain large cases accounts for the decline from last year.

The annual trend in the AOC's total liabilities for FYs 2005 through FY 2009 is presented in Figure 25. The payment on the bonds to finance the Thurgood Marshall Federal Judiciary Building, reduction in contingent and environmental liabilities, and the reduction in contract holdbacks owing to the completion of the construction of the CVC accounts for most of the decrease in total liabilities.



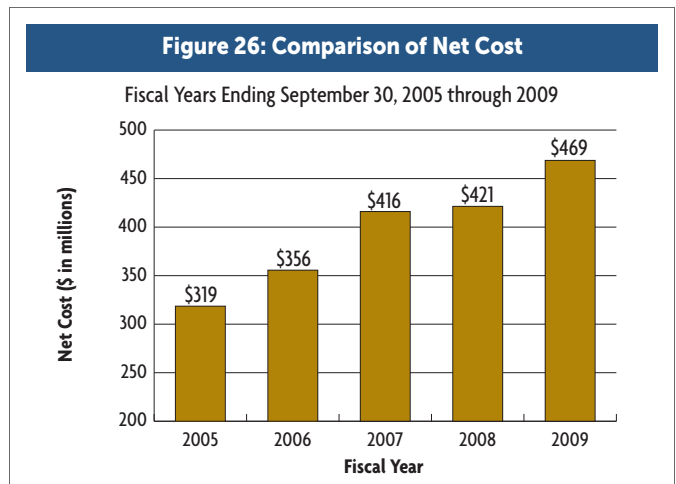
RESULTS OF OPERATIONS

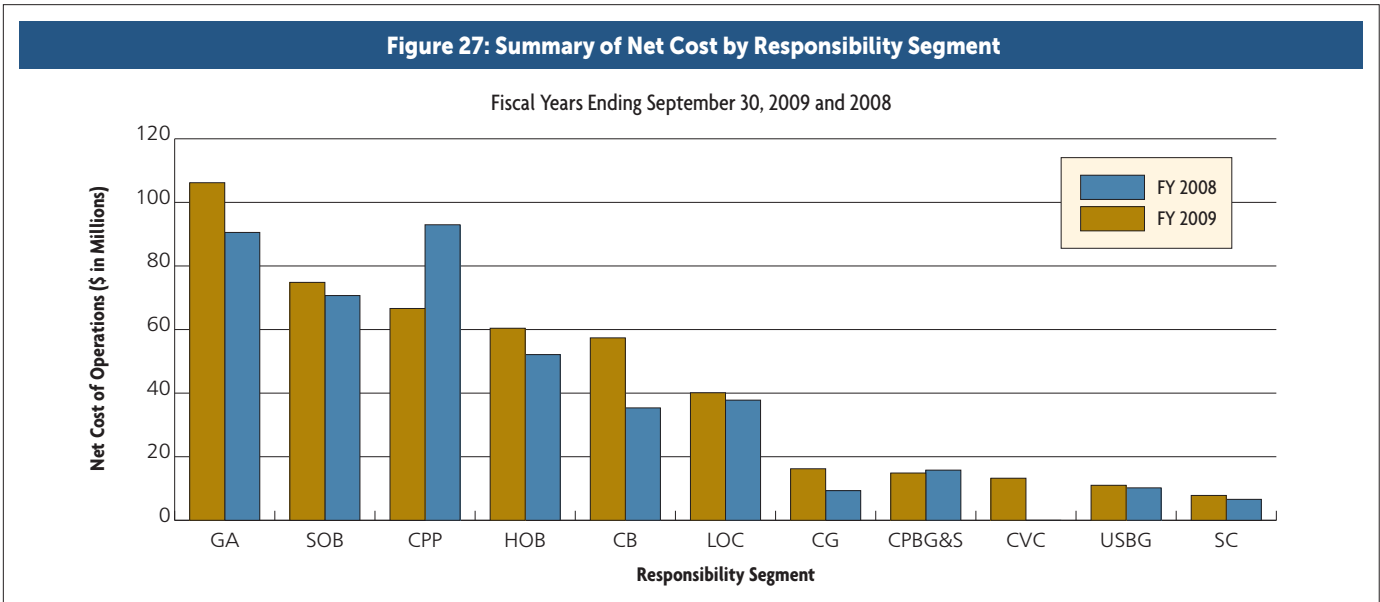
The Statements of Net Cost presents the AOC's net cost of operations, by jurisdiction, for FY 2009 and FY 2008. Net cost includes total costs less all revenues attributed to and permitted to be off set against those costs. The AOC's main revenue sources are from providing steam and chilled water to non-Legislative Branch entities within the Capitol complex and for rent received from the Administrative Office of the U.S. Courts in the Thurgood Marshall Federal Judiciary Building.

Net cost of operations, as reported in the *Statements of Net Cost*, amount to \$468.73 million for FY 2009, increasing 47.34 million or 11 percent from the prior FY net cost of operations of \$421.39. Net cost of operations consists of total costs less revenues attributed to and permitted to be offset against those costs. The increase is primarily due to the increased costs for several programs, including the cost of operating the newly-opened CVC, which showed a net cost of operations of \$13.23 million.

The year-to-year change in net costs of the AOC's operations for FYs 2005 through FY 2009 is presented in Figure 26. The 47 percent increase on net cost of operations since FY 2005 (not adjusted for inflation) reflects the addition of new mission areas such as CVC operations, mandatory pay increases, the rise in utility rates, the increased cost of leases, and other increases that add to the cost of day-to-day operations.

A comparison of the AOC's total net cost by responsibility segment (i.e., jurisdiction) for FY 2009 and FY 2008 is contained in Figure 27. The noteworthy variances are explained below.



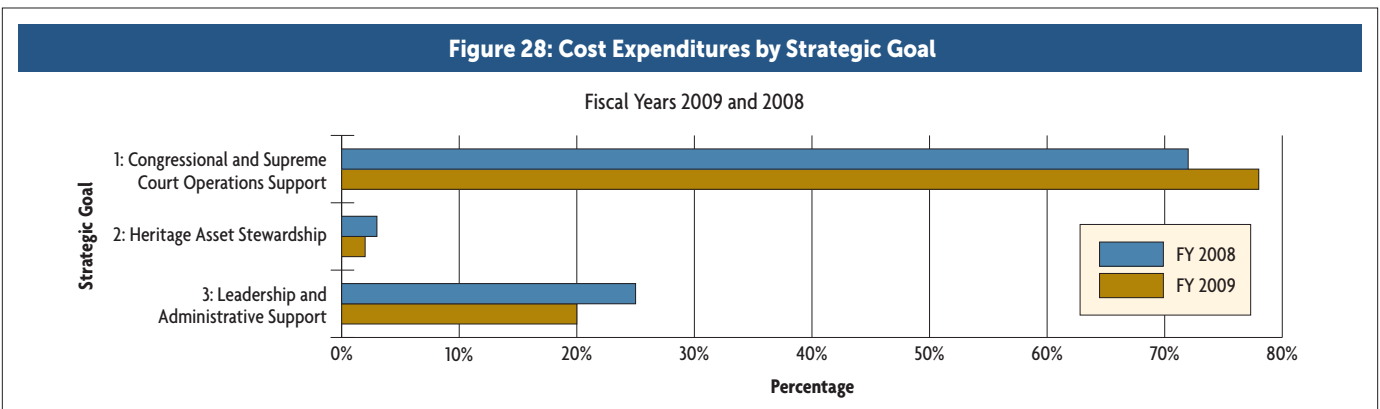


- Net costs not otherwise assigned to a responsibility segment are presented as General Administration (GA). GA net costs increased in FY 2009 as a result of the decline in contingent and environmental liability estimates and the settlement of environmental cases.
- Capitol Building net costs increased as a result of capitalizing the CVC facility on the AOC's books in FY 2009 and recording the related building depreciation expense and facility maintenance costs.
- The CVC jurisdiction represents a new AOC responsibility segment that began operations in FY 2009 and, as a result, had no comparable net cost of operations in FY 2008.
- Capitol Power Plant net costs declined in FY 2009 as a result of reducing the overall estimate for utility tunnel remediation costs.

RESOURCES TO ACHIEVE STRATEGIC GOALS

The AOC's Strategic and Performance Plan has three main goals that help the organization provide Congress and the Supreme Court with exceptional service. Figure 28 shows the breakdown of the organization's cost expenditures by Strategic Goal for both FY 2009 and FY 2008. In both years, approximately three-quarters of the organization's expenditures were devoted to Goal 1 activities (Congressional and Supreme Court Operations Support), with the balance devoted to Goals 2 and 3 (Heritage Asset Stewardship and Leadership and Administrative Support, respectively).

Though it might appear from the chart that just a small portion of the AOC's work is devoted to heritage asset stewardship, the AOC's management believes that this is likely understated. It should be noted that many of the AOC's work activities—such as preventative maintenance—have both an operations support component (Goal 1) and a heritage asset stewardship component



(Goal 2). At this moment, such work is being captured by its cost accounting system under Strategic Goal 1. As the AOC's data collection and information technology systems are developed and refined, the organization should be able to provide a more precise breakout of its Goal 1 and 2 activities.

OVERVIEW OF NET POSITION

The Statement of Changes in Net Position identifies all financing sources available to, or used by, the AOC to support its net cost of operations and also identifies the net effect or change in its financial position. Net position is the sum of two components: Cumulative Results of Operations and Unexpended Appropriations. Each component is displayed separately to enable a better understanding of the nature of changes to Net Position as a whole.

AOC's Net Position at the end of FY 2009 on the Balance Sheet and the Statement of Changes in Net Position was \$2.08 billion, an increase of \$94.40 million (5 percent) from the prior fiscal year. The increase primarily resulted from the increase in AOC PP&E and decrease in its Contingent and Environmental Liabilities.

OVERVIEW ON USE OF BUDGETARY RESOURCES

The Statement of Budgetary Resources provides data on how the AOC obtained its budgetary resources and the status of these resources at the end of the FY. This Statement displays the key budgetary equation (Total Budgetary Resources equals Total Status of Budgetary Resources) which provides information on the status of congressional spending authority.

The AOC's appropriations consist of an operating budget component and a capital projects budget component. Separate appropriations are enacted for each of the AOC's jurisdictions. Operating budgets fund the daily operations of all the AOC jurisdictions. Payroll is the largest single component of the AOC operating budget. Other operating expenses include equipment, utilities, supplies, and general support contracts. Capital projects budgets include maintenance, repairs, upgrades, improvements, construction, preservation, and stewardship of the facilities under the AOC's control. Figure 29 charts the trend in the total of the AOC's appropriations for FYs 2005 through FY 2009.

The variance between FY 2008 and FY 2009 is a result of the substantial 32 percent increase in the AOC's FY 2009 appropriation so that it may begin addressing the critical deferred maintenance and capital renewal backlog. Despite past facility investments, many historic buildings require significant funding

for maintenance, repair, and refurbishment. In recent years, budgetary demands have increased as the AOC has brought new buildings on-line and added new mission areas. Though Congress has supported numerous key AOC initiatives, resource levels have not been sufficient to address all known facility requirements. For more information on this maintenance backlog, please refer to *Looking Ahead: Facility Requirements Exceed Available Funding Resources* in this report.

The FY 2009 budget request broken down by category is illustrated in Figure 30. Salary and benefits were budgeted at \$198.2 million for FY 2009 (36 percent of the total amount budgeted) and includes the funds for the additional FTEs brought onboard to staff the visitor service operations at the CVC.

Going forward, the FY 2010 budget appropriation of \$602 million, broken down by AOC jurisdiction, is shown in Figure 31. This budget builds off the transformational FY 2009 Legislative Branch Appropriation and provides the AOC with a sizeable increase of 11.5 percent above its enacted FY 2009 appropriation. This budget provides the resources to further address its critical deferred maintenance and capital renewal backlog, sustainability and energy conservation, life-safety projects, and to invest in the AOC's workforce. Included in the FY 2010 budget is \$50 million to fund the Historic Buildings Revitalization Trust Fund to help provide the start-up investment necessary for large, long-term projects such as the renovation of the century-old Cannon House Office Building.

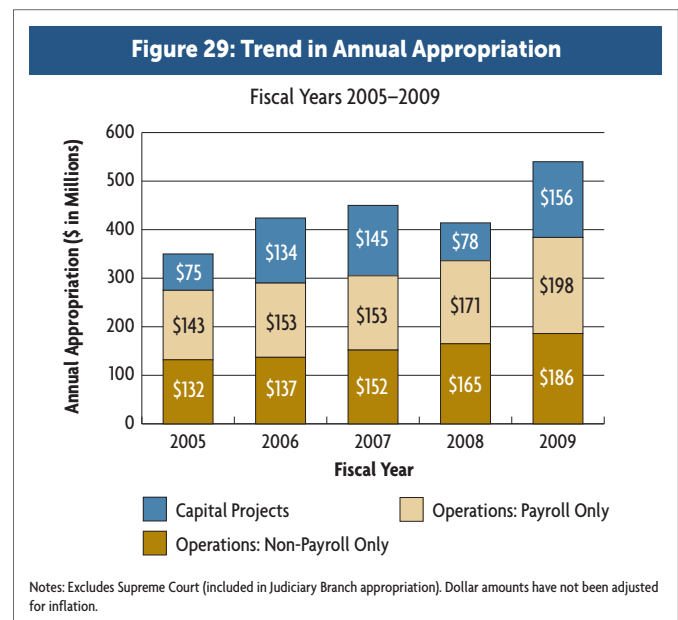
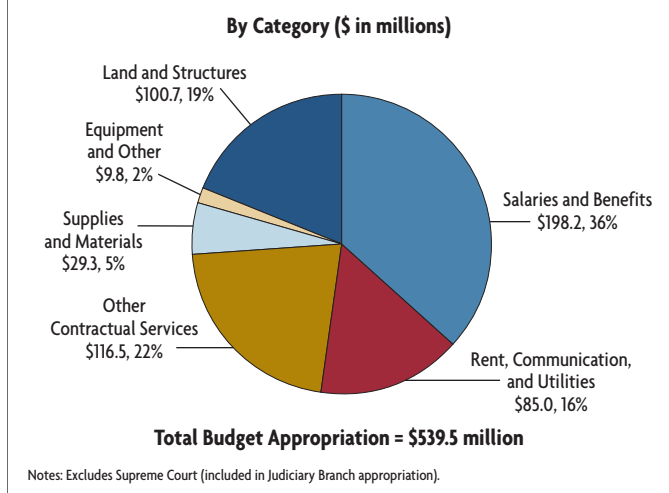
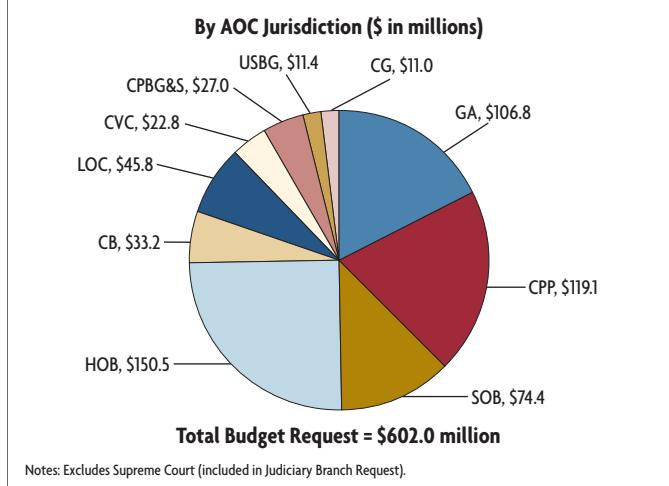


Figure 30: Summary of FY 2009 Budget Appropriation**Figure 31: Summary of FY 2010 Budget Request**

LIMITATION OF FINANCIAL STATEMENTS

Management prepares the accompanying financial statements to report the financial position and results of operations for the AOC pursuant to the requirements of Chapter 31 of the U.S. Code Section 3515(b). While these statements have been prepared from the books and records of the AOC in accordance with FASAB standards using OMB Circular A-136, *Financial Reporting Requirements* (as revised), and other applicable authority as a guide, these statements are in addition to the financial reports, prepared from the same books and records used to monitor and control the budgetary resources. These statements should be read with the understanding that they are for a component of the U.S. government, a sovereign entity. One implication is that unfunded liabilities cannot be liquidated without legislation that provides the resources to do so. AOC workers provide daily maintenance and care for the plant collections throughout the Capitol complex. Horticultural activities include grooming, fertilizing, and watering the AOC's living collections.



The AOC is responsible for the care, maintenance, and preservation of the heritage assets entrusted to the organization by Congress.

Heritage assets include property, plant, and equipment that are unique for their: historic or natural significance; cultural, educational, or artistic importance; or significant architectural characteristics.



SECTION 2

Performance Information

INTRODUCTION



Much of the AOC's maintenance and restoration work occurs behind-the-scenes, often after traditional work hours, to limit disruption to regular Congressional and Supreme Court activities.

The Performance Section presents the results of the AOC's progress toward achieving its strategic goals, followed by their outcome measures and targets. It includes a discussion of the strategies to achieve and measure performance and the actions that we take to overcome our challenges. This section also includes a summary of the methods used to verify and validate performance data and provides the AOC's performance results and trends. In summary, this section provides a detailed picture of how we measured up to our goals for Fiscal Year (FY) 2009.

The AOC supports the work performed on the Capitol complex. The AOC's goals are to provide services and facilities support for the U.S. Congress and the U.S. Supreme Court, protect the U.S. Capitol complex's heritage assets, and provide the associated leadership and administrative support to achieve its mission. The AOC strives for the highest performance, based on the *Strategic and Performance Plan: Fiscal Year 2007–Fiscal Year 2011*. The AOC provides an annual report, together with our budget request, that follows the spirit and intent of the Government Performance and Results Act (GPRA). This is the AOC's fifth year of providing performance information in the Performance and Accountability Report (PAR). The AOC *Strategic Plan* continues to evolve and annual updates have resulted in the shift of some activities into future years. This impacts the AOC's ability to collect data for some of its performance measures. As such, some measures have new baseline dates and/or new annual target levels of achievement leading up to the original FY 2011 targets. These impacts are discussed within this section.



The AOC immediately went to work repairing the landscaping and replanting the flower beds around the Capitol following the Inauguration ceremony to restore the Grounds to its normal state. Visitors to the Capitol increase every spring season. Between March and April 2009, guide staff welcomed an average of 15,500 visitors a day and, on one day in early April, greeted a record 19,473 visitors.

DATA VALIDATION

The creation of the AOC's *FY 2007–FY 2011 Strategic and Performance Plan* enhanced the process of providing clear and accurate performance measurement across the AOC. With this plan, outcomes were defined and five-year targets were set for each. The AOC then initiated the process of gathering baseline data and setting annual targets. Listed below is a summary of the key activities in the AOC's performance management approach:

- Establish initial five-year targets through the strategic planning process;
- Work with program managers to set annual targets and identify data sources;
- Review and discuss monthly results via operational dashboard meetings for those metrics that are measured on a monthly or quarterly basis;

- Review annual results through the PAR development process; and
- Institute checkpoints in our dashboard generation process to support data validation.

The AOC monitors and maintains automated systems and databases that collect, track and store performance data with support provided by the Information Technology Division (ITD). Controls are in place to ensure that only authorized staff can access key systems and data. The data source for each performance measure is identified in the pages that follow.



The AOC team is highly focused on client service and manages the delivery of high quality facilities management, operations, and grounds services daily on the Capitol complex. The AOC also manages a large portfolio of projects—adhering to industry best practices and a disciplined project management process.

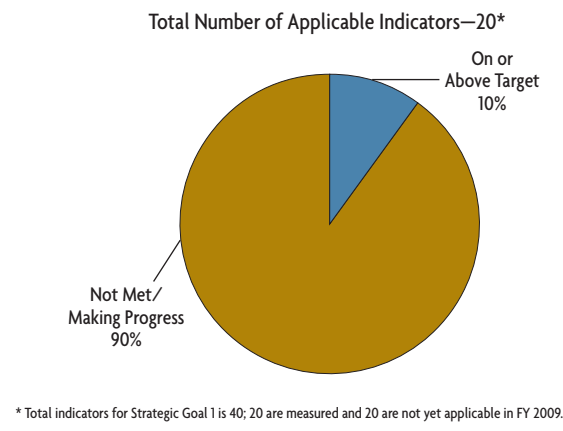
STRATEGIC GOAL 1: CONGRESSIONAL AND SUPREME COURT OPERATIONS SUPPORT

Congressional and Supreme Court operations are supported through the provision of effective facilities management, project delivery, and related services.

The AOC manages facilities and grounds services for the U.S. Congress and the U.S. Supreme Court. This includes providing timely and quality facilities management, project delivery, and related support services to maintain the national treasures entrusted to its care. The AOC team is highly focused on client service and proactively manages the delivery of services including assessing the current condition of buildings and identifying maintenance needs to provide high quality facilities and grounds services. The AOC manages a large portfolio of projects adhering to industry best practices and a disciplined project management process. Project progress and success is monitored regularly.

The AOC has taken several actions to ensure continuous performance improvement. These actions include benchmarking, monitoring and measuring performance. The AOC takes a proactive approach by performing routine facility condition assessments, preventive maintenance processes and revising project plans to ensure they are scalable and incorporate industry best practices. The AOC increased efficiencies by automating work order and cost data collection processes and has enhanced

Figure 32: FY 2009 Results Achieved for Strategic Goal 1



the project close-out procedures. In addition, the AOC surveys building occupants each year to verify it is meeting their needs and to identify opportunities for improvement.

Detailed performance results for each objective are provided in the following section. The data reflects trends over a five year period where available.

Objective 1.1: Facilities Maintenance—Effective facilities management services are provided to the Congress and Supreme Court to maintain the facilities and grounds under the care of the Architect of the Capitol.

The strategy to achieve this objective is to focus on recurring maintenance and repairs, preventive maintenance, equipment maintenance, and deferred maintenance.

Performance Measure 1.1.1									
By FY 2011, the Facility Conditions Index (FCI) is maintained at an assessment level of good to excellent for 90% of the square footage of the facilities that have been formally assessed.									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	70.0%	64.5%	75.0%	47.9%	80.0%	40.8%
<p>Data Source: The FCI is calculated by dividing deferred maintenance costs by replacement value. The data to calculate this metric resides in the AOC's facility condition assessment database that is updated as condition assessments are completed. This information is reviewed by staff in the Office of Planning and Project Management (PPM). When interpreting these results, please note the following:</p> <ul style="list-style-type: none"> a. The FY 2009 deferred maintenance figure excludes the Library of Congress' National Audio-Visual Conservation Center, Ft. Meade Book Storage Modules and Special Facilities Center; the Supreme Court Building and Annex; pedestrian tunnels; miscellaneous Capitol Police Buildings; Capitol Visitor Center, and major equipment related to the Capitol Power Plant. Calculations are based on AOC replacement values as of August 17, 2009. b. The Utility tunnels were not part of the calculation since there is a separate and discrete tunnel compliance program. c. The Bartholdi Park, Summer House, and Taft Memorial were not part of the calculation as they are considered heritage assets and will be part of a separate Outcome Measure (2.2.2). <p>Target Met/Not Met: Target not met. The primary reason the FCI target was not met is that the assessments for The Library of Congress' John Adams Building (JAB), Thomas Jefferson Building (TJB), and James Madison Memorial Building (JMMB) have been completed and added into the calculation. The FCI for both the JAB and JMMB is in the poor range (this equates to a combined total of 3,179,906 square feet of space added with a poor rating). Scheduled building renewal projects will begin to address deferred maintenance. However, significant renewal investments are necessary to notably increase the overall FCI.</p>									

Performance Measure 1.1.2									
By FY 2011: a) Expenditures for maintenance and repair are not less than 2%–4% of the Current Replacement Value (CRV);									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
<p>Data Source: The CRV is calculated beginning with the historical cost and updated to the present using present value analysis. For buildings built or acquired after 1908, the Engineering News Record (ENR) Construction Index is used to determine present value. For buildings built or acquired before 1908, the costs were converted to 1908 dollars using the Consumer Price Index and then converted to present value using the ENR Construction Index. Expenditures for maintenance and repair are recorded in the AOC's financial management system. This measure was reworded from previous years to clarify its intent.</p> <p>Target Met/Not Met: Not applicable. FY 2010 is targeted to set the baseline for this metric.</p>									

b) Cost per square foot for maintenance and repair does not exceed 110% of industry standards for like facilities; and									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
<p>Data Source: This metric is calculated by taking the AOC wide cost per square foot for maintenance and repair and dividing by the industry standard, weighted by industry segment (e.g., office space vs. historic/museum space). Unit costs are based on maintenance and repair expenditures as recorded in the AOC's financial management system. Square footage data comes from the Technical Services Division.</p> <p>Target Met/Not Met: Not applicable. AOC is targeting FY 2010 to obtain baseline data for this metric.</p>									

c) Customer satisfaction with maintenance and repair of buildings is at least 90%.									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
≥80.0%	93.3%	≥80.0%	92.4%	≥85.0%	92.4%	≥85.0%	92.3%	≥85.0%	91.8%
<p>Data Source: The AOC conducts an annual survey of building occupants. Survey questions related to maintenance and repair of the building are used to calculate this metric by totaling the number of satisfied plus very satisfied responses and dividing by the total number of significant responses. The FY 2009 survey combined or eliminated several questions from previous cycles and historic survey data was adjusted to enable comparison. Therefore, percentages differ slightly from previously published data.</p> <p>Target Met/Not Met: Target was met.</p>									

Performance Measure 1.1.3

By FY 2011: a) At least 90% of preventive maintenance work orders are completed as scheduled every month; and

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	9,271	N/A	14,789	N/A	47,226	N/A	76,062	N/A	96,027

Data Source: For FY 2005–FY 2009, data represents the number of preventive maintenance work orders completed. Beginning FY 2010, AOC will develop and report on timeliness using data from the facilities management information system.

Target Met/Not Met: Not applicable.

b) A sustainment rate of 1.0 is achieved.

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A

Data Source: AOC is investigating a method to gather this data.

Target Met/Not Met: Not applicable.

Objective 1.2: Facilities Operations—High-quality services are provided in direct support of Congressional and Supreme Court operations.

The overall strategy to achieve this objective is to focus on routine cleaning inspections, a comprehensive energy conservation and management plan, educating building occupants on the recycling program, and developing and implementing policies and procedures for applicable life-safety and fire protection requirements.

Performance Measure 1.2.1

By FY 2011, cleaning inspections confirm that: a) Cleaning standards are met at least 90% of the time;

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	97.2%	N/A	97.2%	≥85.0%	96.3%	≥85.0%	95.9%	≥90.0%	96.0%

Data Source: Cleaning inspection sheets provide the source data for this metric and are loaded into an automated reporting tool that is reviewed monthly by custodial services. This metric is calculated by taking the total items found to be satisfactorily cleaned and dividing by the total items inspected this FY.

Target Met/Not Met: Target was met.

b) Cost per square foot for cleaning services does not exceed 110% of industry standards for like facilities; and

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A

Data Source: This metric is calculated by taking the AOC wide cost per square foot for cleaning services and dividing by the industry standard, weighted by industry segment (e.g., office space vs. historic/museum space). Unit costs are based on cleaning service expenditures, as recorded in the AOC's financial management system. Square footage data is maintained by the Technical Services Division.

Target Met/Not Met: Not applicable. FY 2010 is targeted to set the baseline data for this metric.

c) Customer satisfaction with cleaning services is at least 90%.

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
≥80.0%	86.9%	≥80.0%	86.5%	≥85.0%	85.8%	≥85.0%	85.1%	≥85.0%	87.2%

Data Source: The AOC conducts an annual survey of building occupants. Data from this survey on questions related to cleaning is used to calculate this metric by totaling the number of satisfied plus very satisfied responses and dividing by the total number of significant responses. The FY 2009 survey combined or eliminated several questions from previous cycles and the historic survey data was adjusted to enable comparison. Therefore, percentages differ slightly from previously published data.

Target Met/Not Met: Target was met.

Performance Measure 1.2.2

By FY 2011, utilities are effectively utilized in order that: a) A decrease of 3% per year is achieved in total energy consumption;

FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	≤FY03—2% points	6.5%	≤FY03—4% points	6.7%	≤FY03—9% points	16.1%	≤FY03—12% points	15.3%

Data Source: This metric is calculated by comparing the total energy intensity Kilo British Thermal Units (KBTUs/square feet) in FY 2003 to the current FY. For FY 2009, the AOC reduced energy consumption (as compared to FY 2003) by approximately 8.7%. In accordance with the guidance issued by Department of Energy/Federal Energy Management Program (DOE/FEMP), the AOC is allowed to deduct the energy associated with the purchase of renewable energy credits (RECs). The additional 6.6% reduction was achieved through the purchase of RECs. This metric changed from a reduction of 2% per year to a reduction of 3% per year (with a FY 2003 baseline) as a result of the Energy Independence and Security Act of 2007.

Target Met/Not Met: Target was met.

b) Energy costs per square foot do not exceed 110% of industry standards for like facilities; and

FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	Baseline	≤110.0%	91.4%	≤110.0%	93.0%

Data Source: This metric is calculated by dividing the AOC energy cost per square foot by the industry average cost per square foot. The AOC compared its average cost per square foot for goal-subject facilities (as determined by DOE/FEMP guidelines) to facilities in the Washington, DC area (specifically museums with large public visitor programs, historic buildings, and some archive and storage buildings with strict HVAC conditions). The AOC average for FY 2009 was \$4.01 and the industry comparison average was \$4.31.

Target Met/Not Met: Target was met.

c) 90% of our goals, as outlined in the AOC Plan to comply with the Energy Independence and Security Act of 2007, are met.

FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	90.0%	100.0%	90.0%	100.0%	90.0%	90.9%

Data Source: This metric is calculated by dividing the goals met by the total number of goals for that fiscal year. Goals are outlined on page 13 of the AOC report titled "Report on the Requirements of the Energy Act of 2005 Related to Congressional Facilities," dated February 6, 2006.

Target Met/Not Met: Target was met.

Performance Measure 1.2.3

By FY 2013: a) Increase overall recycling rates of the AOC recycling program by diverting building occupant wastes from the solid waste stream by increasing recycling rates by 3 percentage points;

FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	35.0%	N/A	35.0%

Data Source: Recycling rates are calculated as the total amount recycled divided by the sum recycled and disposed of. Tonnages are provided from recycling vendors or by estimated weights of materials as determined by AOC personnel. The AOC has revised its recycling metrics from previous years and will report actual results versus targeted results in FY 2010–FY 2013. FY 2008 and FY 2009 data is reported as informational only and will serve as the baseline years to cover both election and non-election years. The baseline has been determined by aggregating data from FY 2008 and FY 2009. Therefore, data represents a composite of FY 2008 and FY 2009 actual data.

Target Met/Not Met: Not applicable.

b) Continue to maintain an off-specification (formerly "contamination") rate for paper of 0%;

FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	0%	0%	0%	0%	0%

Data Source: Specifications are contained in the current paper recycling contract administered by the General Services Administration and used by the AOC. These include high-grade paper (5%), mixed paper (10%), newspaper (5%), cardboard (5%), telephone directories (5%), and commercial office mix (10%). The contractor determines if the recycled paper meets the specification.

Target Met/Not Met: Target was met.

c) Customer satisfaction with the recycling program is at least 90%; and

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	87.0%	N/A	80.2%	N/A	78.8%	N/A	80.1%	N/A	88.4%

Data Source: The AOC conducts an annual survey of building occupants. Data from this survey on questions related to recycling is used to calculate this metric by totaling the number of satisfied plus very satisfied responses and dividing by the total number of significant responses. No targets are shown for this measure because different measures were tracked for FY 2005 through FY 2008. The recycling program has developed new goals and metrics for the period FY 2010—FY 2013. FY 2009 survey combined or eliminated several questions from previous cycles. Historic survey data were adjusted to enable comparison; therefore, percentages differ slightly from previously published data.

Target Met/Not Met: Not applicable.

d) Continue to recycle, or redistribute for reuse, 100% of computer equipment E-wastes.

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
100%	100%	100%	100%	100%	100%	100%	100%	100%	100%

Data Source: The term "computer equipment E-wastes" includes waste generated from equipment managed by the ITD. Once waste is authorized for release from inventory by the Procurement Division, they are provided to the House of Representatives' recycling program manager and sent off-site.

Target Met/Not Met: Target was met.

Performance Measure 1.2.4

By FY 2011: a) Customer satisfaction with grounds care, landscaping, and snow removal is at least 90%, and

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
85.0%	92.4%	85.0%	90.9%	85.0%	90.8%	85.0%	93.0%	85.0%	94.6%

Data Source: The AOC conducts an annual survey of building occupants. Survey data on grounds care, landscaping, and snow removal is used to calculate this metric by totaling the number of satisfied plus very satisfied responses and dividing by the total number of significant responses. FY 2009 survey combined or eliminated several questions from previous cycles. Historic survey data was adjusted to enable comparison; therefore, percentages differ slightly from previously published data.

Target Met/Not Met: Target was met.

b) Grounds care costs do not exceed 110% of industry standards for like facilities.

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A

Data Source: This metric is calculated by taking the AOC grounds care cost per acre and dividing by the industry standard. Unit costs are based on expenditures for grounds care as recorded in the AOC's financial management system and acreage data comes from the AOC's Technical Services Division.

Target Met/Not Met: Not applicable. FY 2010 is targeted to obtain baseline data for this metric.

Performance Measure 1.2.5

By Fiscal Year 2011 the condition of roads, sidewalks, pavers, parking lots and storm drains is maintained at an assessment level of good to excellent for 90% of the squares that have been formally assessed via a Facility Condition Assessment.

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	70.0%	82.2%	75.0%	86.7%	80.0%	94.1%

Data Source: Facility Condition Index (FCI). The FCI is calculated by dividing deferred maintenance costs by replacement value. The data to calculate this metric resides in the AOC facility condition assessment database and is updated and reviewed as assessments are completed. For FY 2009, roads were excluded from the calculation.

Target Met/Not Met: Target was met.

Performance Measure 1.2.6									
By FY 2011 fire suppression and detection device testing and inspection standards, as set by the National Fire Protection Association (NFPA), are met 100% of the time.									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Data Source: To be determined.									
Target Met/Not Met: Not applicable. This measure is being restructured for the next Strategic Plan and will no longer be reported in this format.									

Objective 1.3: Client Services—Effective facilities management services are provided in direct support of our customers.

The overall strategy to achieve this objective is to focus on being responsive to customer requests for routine services including: office moves, timely set up for events, improving furniture and space planning services, and tracking requests in the automated facilities management information system.

Performance Measure 1.3.1									
By FY 2011: a) Requests for routine client services are responded to and completed within established timeframes 90% of the time;									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Data Source: The AOC's facilities management information system tracks requests for routine client services. The process of defining standard request turnaround times is underway. This metric will be calculated by dividing the number of requests accomplished within the established timeframe by the total number of complete requests.									
Target Met/Not Met: Not applicable. FY 2010 is targeted to obtain baseline data for this metric.									

b) Customers are notified 100% of the time for any exception to established timeframes for routine client services; and									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Data Source: The AOC is investigating a method to gather this data.									
Target Met/Not Met: Not applicable. FY 2010 is targeted to obtain baseline data for this metric.									

c) Customer satisfaction with routine client services is at least 90%.									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
≥80.0%	92.6%	≥80.0%	92.2%	≥85.0%	92.1%	≥85.0%	93.1%	≥85.0%	95.2%
Data Source: The AOC conducts an annual survey of building occupants. Survey data on questions related to routine client services is used to calculate this metric by totaling the number of satisfied plus very satisfied responses and dividing by the total number of significant responses. The FY 2009 survey combined or eliminated several questions. Previous year survey data was adjusted to enable comparison; therefore percentages differ slightly from previously published data.									
Target Met/Not Met: Target was met.									

Performance Measure 1.3.2

By FY 2011: a) Requests for moving and relocation services, including election-year moves, are responded to and completed within established timeframes 90% of the time;

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A

Data Source: The AOC's facilities management information system tracks requests for moving and relocation services. Data from this system will be used to determine the number of requests completed within established timeframes divided by the total number of completed requests.

Target Met/Not Met: Not applicable. FY 2010 is targeted to obtain baseline data for this metric.

b) Customers are notified 100% of the time for any exception to established timeframes for moving and relocation services;

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A

Data Source: The AOC's facilities management information system tracks customer notifications. Data from this system will be used to determine the number of customers notified of exception divided by the total number of exceptions

Target Met/Not Met: Not applicable. FY 2010 is targeted to obtain baseline data for this metric.

c) A customer satisfaction rate of at least 90% is achieved for moving and relocation services for non-election year moves, and

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
≥80.0%	93.6%	≥80.0%	91.3%	≥85.0%	89.9%	≥85.0%	91.7%	≥85.0%	86.9%

Data Source: The AOC conducts an annual survey of building occupants. Survey data related to moving and relocation services for non-election year moves is used to calculate this metric by totaling the number of satisfied plus very satisfied responses and dividing by the total number of significant responses. The FY 2009 survey combined or eliminated several questions from previous cycles. Historic survey data was adjusted to enable comparison; thus, amounts may differ slightly from previously published data.

Target Met/Not Met: Target was met.

d) A customer satisfaction rate of at least 90% is achieved for moving and relocation services for election-year moves.

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
≥80.0%	S 93.3% H – Not Available	N/A	N/A	≥85.0%	S 95.8% H 90.0%	N/A	N/A	≥85.0%	S 97.9% H – Not Available

Data Source: The Senate Office Buildings jurisdiction conducts a survey after election year moves are completed to assess service satisfaction. The data used to calculate this metric by totaling the number of satisfied plus very satisfied responses and dividing by the total number of significant responses. The Chief Administrative Officer (CAO) of the House of Representatives conducts a similar survey for the moves affecting House Member offices. The House CAO provides data regarding satisfaction with AOC services upon request and is the source for the House metric (S = Senate, H = House).

Target Met/Not Met: Target was met.

Performance Measure 1.3.3

By FY 2011 customer satisfaction with transportation services is at least 90%.

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	≥85.0%	88.1%	≥85.0%	92.8%	≥85.0%	91.3%

Data Source: The AOC conducts an annual survey of building occupants. Survey data on questions related to moving and relocation services for transportation services is used to calculate this metric by totaling the number of satisfied plus very satisfied responses and dividing by the total number of significant responses.

Target Met/Not Met: Target was met.

Performance Measure 1.3.4									
By FY 2011: a) Set-up and clean-up times for non-USBG events are met 100% of the time;									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Data Source: The AOC's facilities management information system can track set-up and clean-up times for non-USBG events. Data from this system will be used to determine service timeliness.									
Target Met/Not Met: Not applicable. FY 2010 is targeted to obtain baseline data for this metric.									

b) Customer satisfaction with non-USBG event support services is at least 90%; and									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
≥80.0%	97.4%	≥80.0%	100.0%	≥85.0%	89.7%	≥85.0%	96.4%	≥85.0%	98.6%
Data Source: The AOC conducts an annual survey of building occupants. Data from this survey on questions related to non-USBG events is used to calculate this metric by totaling the number of satisfied plus very satisfied responses and dividing by the total number of significant responses.									
Target Met/Not Met: Target was met.									

c) 90% of USBG events are rated as “successful” under standards developed according to procedures detailed in AOC process manual BG-SP5.1 “Events At The U.S. Botanic Garden Conservatory.”									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	≥85.0%	88.9%	≥85.0%	93.8%	≥85.0%	100.0%
Data Source: Data on USBG events is tracked as each event is completed, and reported monthly in the executive dashboard. The metric is calculated by dividing the total number of events rated as successful by the total number of events held in the Fiscal Year.									
Target Met/Not Met: Target was met.									

Performance Measure 1.3.5									
By FY 2011, a) Customer satisfaction with furniture services is at least 90%; and									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
≥80.0%	96.4%	≥80.0%	91.0%	≥85.0%	97.4%	≥85.0%	94.3%	N/A	N/A
Data Source: The AOC conducts an annual survey of building occupants. Survey data related to furniture services is used to calculate this metric by totaling the number of satisfied plus very satisfied responses and dividing by the total number of significant responses.									
Target Met/Not Met: Not applicable. Furniture services survey questions were discontinued in FY2009.									

b) The backorder rate for furniture services is reduced to 0.									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	8.0%	1.9%	5.0%	0%	3.0%	4.2%
Data Source: This metric is calculated by dividing the number of furniture items on backorder by the total number of items issued. The Senate Office Buildings' metrics and measures program tracks this data.									
Target Met/Not Met: Target was not met. This goal was not met due to unexpected demand for Skye and Aeron chairs.									

Performance Measure 1.3.6

By FY 2011: a) Requests for space planning services are responded to and completed within established timeframes 90% of the time;

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A

Data Source: To be determined.

Target Met/Not Met: Not applicable. The space planning process is currently being defined and documented. Once defined, timeframes will be established, tracked, and reported on. FY 2010 is targeted to obtain baseline data for this metric.

b) Customers are notified 100% of the time for any exception to established timeframes for space planning services; and

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A

Data Source: To be determined.

Target Met/Not Met: Not applicable. The AOC is investigating a method to gather this data. FY 2010 is targeted to obtain baseline data for this metric.

c) Customer satisfaction with space planning services is at least 90%

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
≥80.0%	86.1%	≥80.0%	86.8%	≥85.0%	85.1%	≥85.0%	91.8%	≥85.0%	90.3%

Data Source: The AOC conducts an annual survey of building occupants. Survey data on questions related to space planning is used to calculate this metric by totaling the number of satisfied plus very satisfied responses and dividing by the total number of significant responses. The FY 2009 survey combined or eliminated several questions from previous cycles. Historic data was adjusted to enable comparison; thus, amounts may differ slightly from previously published data.

Target Met/Not Met: Target was met.

Objective 1.4: Project Delivery—Capital assets are provided and maintained through effective planning and project delivery.

The overall strategy to achieve this objective is to focus on utilizing best practice tools such as the Construction Industry Institute Project Definition Rating Index to guide planning and project delivery, the Project Delivery Contract Strategy tool to guide the acquisition process, implementing improved project management plans, developing contingency plans, and enhancing the commissioning and project close-out processes and procedures.

Performance Measure 1.4.1									
By FY 2011: a) 90% of all projects are on schedule;									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	88.5%	N/A	98.4%
<p>Data Source: This metric is calculated by dividing the total number of projects in construction on schedule on September 30, 2009 by the total number of projects in construction on September 30, 2009. Data comes from the Project Information Center (PIC) system. FY 2009 projects on schedule and within budget includes: all Capital Improvement Plan (CIP) and work funded through minor construction or other jurisdiction resources that equals \$250,000 or more, is managed by PPM, and active in FY 2009. There is no FY 2009 target. Results are reported for informational purposes.</p> <p>Target Met/Not Met: Not applicable.</p>									
b) 90% of all projects are within budget;									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	100%	N/A	100%
<p>Data Source: This metric is calculated by dividing the total projects in construction within budget by the total number of projects in construction on September 30, 2009. Data is from the PIC system.</p> <p>Target Met/Not Met: Not applicable.</p>									
c) Government estimate is within +/- 10% of the awarded contract amount 90% of the time; and									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	100%	N/A	100%
<p>Data Source: Average of all bids received for each project awarded divided by the government estimate (generated by the Cost Estimating Group) for that project (shown as "1 to nn": for every \$1 that AOC estimated, potential contractors bid \$nn). Data comes from a database maintained by the Cost Estimating Group, as well as from contract files in the Procurement Division.</p> <p>Target Met/Not Met: Not applicable. For FY 2009, results were based on 13 contracts awarded from CIP projects. The average was 1 to .9 and within the +/- 10% range, 100% of the time. There is no target for FY 2009. Since AOC collects the data, results are reported for informational purposes. In FY 2010 and beyond, AOC will work to expand the data to include work \$250,000 and above that is managed by the jurisdictions and awarded by contract.</p>									
d) Customer satisfaction for in-house design and construction services is increased to a level of 90%.									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
≥80.0%	C 100.0% D 78.3%	≥80.0%	C 93.6% D 86.2%	≥85.0%	C 92.0% D 91.7%	≥85.0%	C 97.3% D 92.1%	≥90.0%	Overall 93.1% (C 94.8%, D 84.2%)
<p>Data Source: An on-line survey is used to collect information from internal customers of completed projects. The metric is calculated by totaling the number satisfied plus very satisfied responses and dividing by the total responses. Prior year results have been adjusted to incorporate surveys received after year end. Design Services (D) is based on 2 projects and Construction Services (C) is based on 16 projects. The overall satisfaction level with projects was 93.1% for FY 2009, exceeding the 90.0% target.</p> <p>Target Met/Not Met: Target was met.</p>									



FOCUS ON

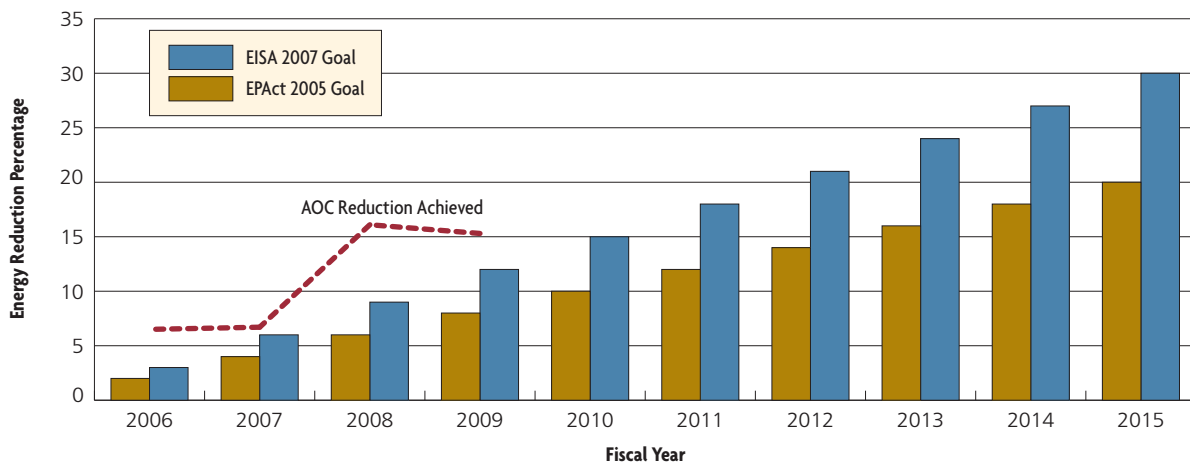
Sustainability, Energy Efficiency, and Energy Conservation

The AOC is committed to increasing energy efficiency and conservation across the Capitol complex. The AOC continues to pursue aggressive reductions in its energy use in order to save taxpayer dollars and reduce its environmental footprint. In FY 2009, the AOC achieved a 15.3 percent reduction³⁵ and surpassed the EISA 2007 requirement of 12 percent. Figure 33 illustrates the AOC's progress against the energy goals established by Congress.

The AOC implemented the following energy savings programs and initiatives in FY 2009:

- Metering Programs to Help Monitor Energy Consumption.** The AOC began the first phase of a Capitol complex-wide metering program. Utility metering is the cornerstone of effective energy management and is essential for diagnosing and troubleshooting under-performing buildings or systems, optimizing and verifying performance, and identifying retro-fit/replacement projects.
- Energy Savings Performance Contracts to Manage Energy Costs.** The AOC awarded its first Energy Savings Performance Contract (ESPC) to provide nearly \$34 million in infrastructure improvements in the Rayburn, Longworth, Cannon, and Ford House Office Buildings.
- Transition to Cleaner Fuels to Reduce Greenhouse Emissions.** The Capitol Power Plant is now using natural gas as its primary fuel source for heating.
- Recycling Programs for a Better Environment.** Congress established an AOC recycling program revolving fund to be the central depository for sale proceeds from recyclable materials collected from or on the Capitol buildings and grounds. Invested collections will be available to implement new recycling or energy savings programs.

Figure 33: AOC Energy Reduction vs. Legislative Goals



Note: AOC reduction includes an allowable credit for renewable energy credit contracts (5.4 percent for FY 2008 and 6.6 percent for FY 2009).

³⁵ Figure includes a 6.6 percent deduction permitted by EISA 2007 for the purchase of renewable energy credits.



FOCUS ON

AOC Customer Satisfaction Ratings Exceeds Targets

The AOC administers an annual Building Services Customer Satisfaction Survey (BSCSS) to understand their customer's view of the AOC's performance. This extensive survey measures customer satisfaction³⁶ for more than 40 different services that the AOC provides. It was distributed to the occupants of the Capitol Building; House Office Buildings; Senate Office Buildings; Library Buildings and Grounds; and Capitol Police Buildings, Grounds, and Security facilities, giving them an opportunity to rate performance and share opinions and suggestions for improvement.

The BSCSS collects data covering multiple service categories: interaction with the Superintendent's Office, building conditions, cleanliness, physical environment, other services, service request management and delivery, and greening efforts. The survey results, presented in Figure 34, show the AOC's average customer satisfaction ratings, compared to its target ratings, for FY 2009 and the past four years. Figure 35 displays the AOC's FY 2009 average customer satisfaction ratings results by category.

Overall customer satisfaction with AOC's services has been well above its target for each of the past five years. In FY 2007 the target was raised to an 85 percent customer satisfaction level, up from 80 percent. Over time, the BSCSS has consistently shown that the AOC meets its customer needs and exceeds its target ratings. The FY 2009 average of 89.4 percent satisfaction is 4.4 points above the AOC's target. Similarly, FY 2009 survey results for each category exceeded its 85 percent benchmark. The AOC achieved these successful results while experiencing an extraordinary year that included preparations for an historic inauguration event and the completion of the biennial House and Senate office moves. Despite an increased demand for services, the AOC managed more than 150,000 work orders—in which 95 percent of the work orders were closed in less than 30 days, with 53 percent closed in less than 24 hours.

Figure 34: Average Customer Satisfaction Ratings

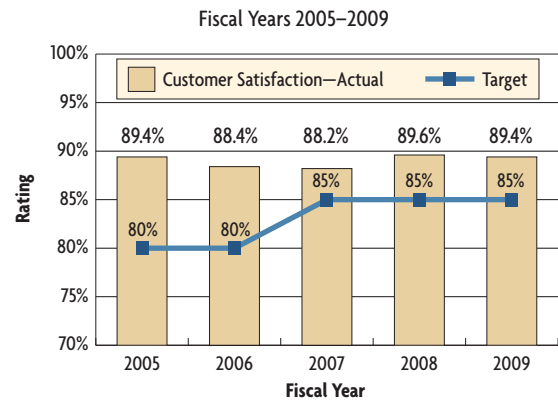
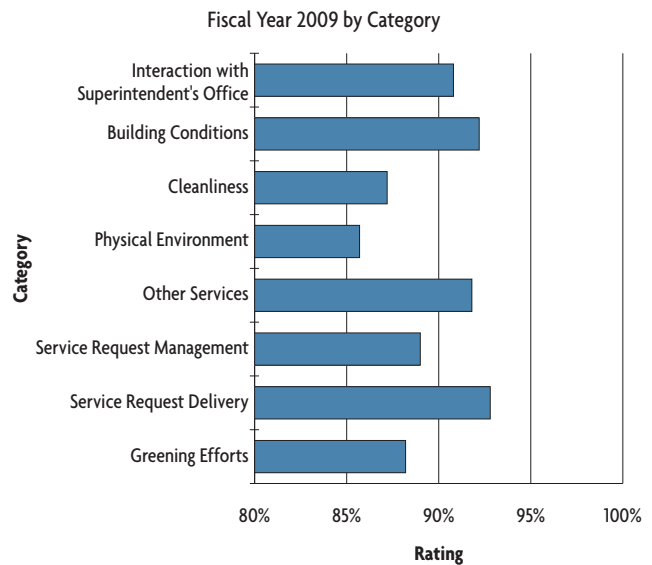


Figure 35: Average Customer Satisfaction Ratings



³⁶ Customer satisfaction is calculated as the proportion of respondents who selected the options of "Satisfied" or "Very Satisfied" to rate a service over the sum of all respondents who selected an option different from "No opinion/Not applicable."



The AOC relocated 24 statues from the Capitol's National Statuary Hall to the CVC, where they were cleaned and conserved.



This Fiscal Year, conservation treatment was performed on the marble bust of Abraham Lincoln, located in the Capitol's Crypt, where professional fine art conservators cleaned the statue's pedestal.

STRATEGIC GOAL 2: HERITAGE ASSET STEWARDSHIP

The national treasures entrusted to the care of the Office of the Architect of the Capitol are maintained and preserved for present and future generations and visitors to the Capitol complex are provided an informative and inspiring experience.

The AOC is responsible for the care, maintenance, and preservation of the heritage assets entrusted to the organization. Heritage assets include property, plant, and equipment that are:

- Unique for their historical or natural significance;
- Cultural, educational, or artistic importance; or
- Significant architectural characteristics.

Ranging from fine art such as paintings and sculpture, to living collections such as trees and plants, these heritage assets are expected to be preserved for future generations.

The AOC heritage assets draw millions of visitors to the Capitol complex each year. Therefore, this goal incorporates a focus on the people who visit the U.S. Capitol, the Capitol Grounds, and the U.S. Botanic Garden. Those visitors include tourists, businesspeople, teachers, students, and researchers. Because we believe that exhibits and interpretive programs about heritage assets are an important part of the visitor experience, the AOC has taken several actions according to the *Strategic and Performance Plan* in order to continually improve performance in Strategic Goal 2.

Figure 36: FY 2009 Results Achieved for Strategic Goal 2

Total Number of Applicable Indicators—5*



* Total indicators for Strategic Goal 2 is 9; 5 are measured and 4 are not yet applicable in FY 2009.

The AOC routinely conducts and updates inventories of heritage assets and prioritizes preservation needs based on condition assessment data. The automation of the tree management program and the heritage asset preventive maintenance work orders in the facilities management information system was completed in FY 2009. In addition, the AOC focuses heavily on educating its staff, stakeholders, and the public via a comprehensive preservation awareness program and holds numerous tours, training, and lectures each year.

Various Web sites are updated routinely and plans to enhance the availability of information on the AOC’s heritage plants, trees, and architectural features are in the works. Implementation of the AOC Preservation Policy has been a key factor in improving procedures and ultimately the care of the heritage assets entrusted to the organization.

Detailed performance results for each objective are provided in the following section. The data reflects trends over a five year period where available.

Objective 2.1 Preservation of Heritage Collections—Fine and decorative art, historic artifacts and records, living collections, and other heritage assets under the jurisdiction of the AOC are catalogued, documented, and preserved in good condition.

The overall strategy to achieve this objective is to establish, prioritize, and implement preservation plans in alignment with the Capitol Complex Master Plan (CCMP), automate information on the condition of the AOC’s assets, and constantly refine and document its polices and procedures.

Performance Measure 2.1.1									
By FY 2011: a) 80% of fine and decorative art, historic artifacts and records, living collections, and other heritage assets are documented and their current condition assessed for present and future restoration efforts and preservation priorities are identified; and									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	65%	80%	70%	80%
Data Source: This metric is calculated by dividing the number of documented assets for which condition has been assessed by the total number of assets, as reported in the section entitled <i>Required Supplementary Information</i> . Assets for this metric include fine and decorative art, historic artifacts and records, living collections, and other heritage assets.									
Target Met/Not Met: Target was met.									

b) Heritage asset documentation is updated according to its schedule 90% of the time.									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	75%	100%	80%	100%
Data Source: This metric is calculated by dividing the number of documented assets updated on schedule this year by the total number of documented assets scheduled for update this fiscal year as reported in the section <i>Required Supplementary Information</i> . Assets for this metric include fine and decorative art, historic artifacts and records, living collections, and other heritage assets.									
Target Met/Not Met: Target was met.									

Performance Measure 2.1.2									
By FY 2011, 80% of fine and decorative art, historic artifacts and records, living collections, and other heritage assets are maintained in good condition according to the criteria in our standards document, the AOC Performance and Accountability Report, Stewardship Report section.									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	55.0%	86.6%	60.0%	86.6%
Data Source: This metric is calculated by dividing the number of collections in good or excellent condition by the total number of collections, as reported in the <i>Required Supplementary Information</i> section. A sub-collection will adopt the condition of the majority of its individual elements. In the case of a split condition (e.g., 50% “Good” and 50% “Fair”), the lowest condition will be selected (“Fair” in this example).									
Target Met/Not Met: Target was met.									

Performance Measure 2.1.3

By FY 2011, and each year thereafter, conservation concerns of fine and decorative art, historic artifacts and records, living collections, and other heritage assets are addressed in 95% of all minor and major construction, public events, and ongoing facilities maintenance work where identified and as applicable.

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A

Data Source: Not applicable.

Target Met/Not Met: Not applicable. The AOC is developing a method to calculate this metric through the involvement of the AOC Curator and utilizing the Historic Preservation Policy.

Objective 2.2 Preservation of Historic Buildings, Landscape, and Architectural Features—Historic buildings, landscape, and architectural features in the Capitol complex are preserved in good condition.

The overall strategy to achieve this objective is to establish, prioritize, and implement preservation plans in alignment with the CCMP, automate information on the condition of AOC assets, and constantly refine and document policies and procedures. Further, the AOC is working on a landscape preservation strategy.

Performance Measure 2.2.1

By 2011: a) 80% of all historic buildings, landscape, and architectural features are documented and their current condition assessed for present and future restoration efforts and preservation priorities have been identified; and

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A

Data Source: This metric is calculated by dividing the number of documented assets for which condition has been assessed by the total number of assets.

Target Met/Not Met: Not applicable. The AOC is in the process of documenting and assessing the condition of the historic buildings, landscape, and architectural features under its care. The AOC is conducting these assessments according to the modernization project priority list.

b) Heritage asset documentation is updated according to its schedule 90% of the time.

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A

Data Source: This metric is calculated by dividing the number of documented assets updated on schedule this FY by the total number of documented assets scheduled for update.

Target Met/Not Met: Not applicable. Once condition assessments are complete (per outcome measure 2.2.1.a), a schedule will be set to update the documentation.

Performance Measure 2.2.2

By FY 2011, 80% of historic buildings, landscape, and architectural features are maintained in good condition according to the criteria in our standards document, the Facilities Condition Assessments.

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A

Data Source: The AOC is in the process of developing a method to calculate this metric. The data will come from the Historic Structures Report as each assessment is completed and will be reviewed by the Preservation Architect.

Target Met/Not Met: Not applicable.

Performance Measure 2.2.3									
By FY 2011, and each year thereafter, historic preservation concerns of historic buildings, landscape, and architectural features are addressed in 95% of all minor and major construction, public events, and ongoing facilities maintenance work where identified and as applicable.									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	80%	60%	85%	85%
Data Source: This metric is calculated by dividing the number of conservation concerns addressed by the total number of construction, public events, and facility maintenance work involving heritage assets with conservation concerns. The Historic Preservation Officer and Preservation Architect review all jurisdiction projects (including PPM-managed projects) to determine if their involvement on the project team is required.									
Target Met/Not Met: Target was met.									

Objective 2.3 Heritage Asset Presentation—Capitol complex visitors are provided with high-quality interpretive exhibits and programs.

The overall strategy to achieve this objective is to continually explore multi-media opportunities to present information on heritage assets. Examples include an enhanced Capitol Grounds website, new educational programs at the U.S. Botanic Garden, and the initiation of the development of an interpretive program for the Capitol Grounds.

Performance Measure 2.3.1									
By FY 2011 an average overall rating of at least 90% is achieved on the recurring visitor satisfaction survey for interpretive exhibits and interpretive programs.									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	≥80.0%	97.9%
Data Source: The data for this metric comes from the USBG Comment Card Survey that allows visitors to rate various USBG categories on a qualitative scale (3 = very enjoyable, 2 = overall pleasant, 1 = needs improvement, and NA = not applicable). Visitor satisfaction is determined by totaling the number of very enjoyable plus overall pleasant responses and dividing by the total responses. Capitol Grounds, Capitol Buildings and Capitol Visitor Center interpretive exhibits and programs are still in development and will be reported on in a future Strategic Plan.									
Target Met/Not Met: Target was met.									



FOCUS ON

Capitol Complex Master Plan

The Capitol Complex Master Plan (CCMP) is the comprehensive, long-range framework that guides the AOC in its mission to maintain, renovate and develop the Capitol complex. The 20 year CCMP's guiding principles address historic and environmental stewardship; urban design; and the facility needs of Congress, its workforce, and the visiting public. This Plan facilitates key decisions, maps short- and long-range planning goals, sequences projects, provides a basis for budget requests, and assists in managing stakeholder expectations.

The CCMP is composed of six Framework Plans, nine Jurisdiction Plans, and a synthesizing Composite Plan. The Framework Plans are broad in scope and individually address issues associated with

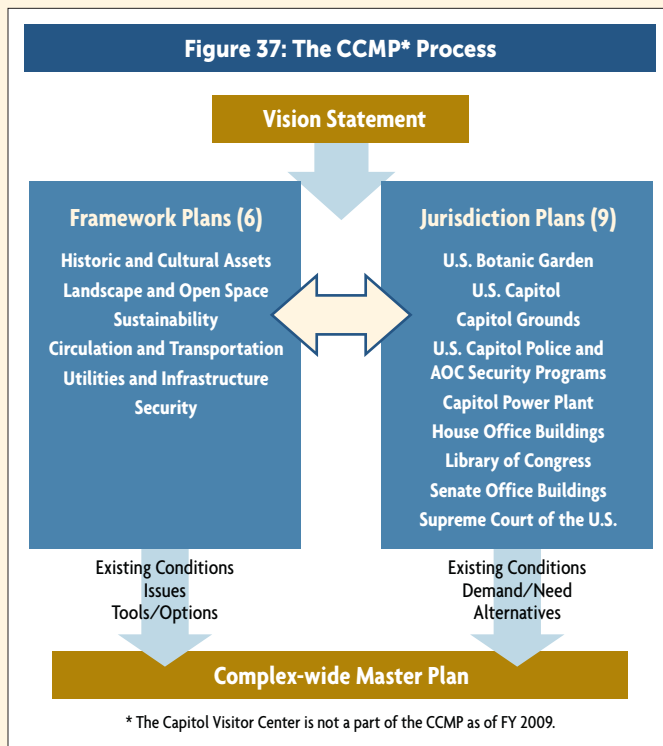
historic and cultural assets, landscape and open space, sustainability, circulation and transportation, utilities and infrastructure, and Complex-wide security.

The Jurisdiction Plans identify issues, quantify needs, and plan for the future of each jurisdiction within the Capitol complex. These plans provide reinvestment strategies and new construction recommendations. Each Jurisdiction Plan involves a thorough evaluation of that jurisdiction's short and long-term facility priorities and needs.

The CCMP is updated as needed using Facility Condition Assessments (FCAs)—a tool used to assess existing building condition and identify deferred maintenance, capital renewal, and capital improvement needs, along with other maintenance and repair requirements. The results are reflected in the AOC's Five-year Capital Improvement Plans (CIP). The CIP provides further evaluation of capital projects based on key criteria including, fire and life safety, regulatory compliance, preservation, economic considerations, security, and energy efficiency. It also serves to project funding requirements to achieve the recommended actions. The Five-year CIP is revised annually and the longer range CCMP is adjusted accordingly.

The AOC made significant progress during FY 2009 in the development of the CCMP. The AOC completed the revision of each of the nine Jurisdiction Plans; eight of the nine plans have either been approved or are near approval. The remaining plan for the Library Buildings and Grounds requires revisions based on a newly developed strategic plan. It is the AOC's goal that all Jurisdiction Plans be approved by the end of FY 2010.

As the CCMP is finalized, it will help the AOC strategically prioritize capital improvements, thereby ensuring its historic buildings and grounds are preserved while being prepared for the complex's future. These efforts will advance the AOC's mission to preserve, maintain and enhance the national treasures entrusted to its care, as well as provide a well-functioning, sustainable workplace and welcoming atmosphere for staff and visitors alike.





FOCUS ON

Curatorial and Preservation Projects

The AOC's Curator Division plays a vital role in preserving the heritage assets entrusted to its care for present and future generations. Early this year, the Division focused on the relocation of selected bronze and marble statues from the Capitol to the Capitol Visitor Center (CVC) before its December 2008 grand opening. Twenty-three statues³⁷ were moved into the CVC's Emancipation Hall and surrounding areas over several weeks where they were cleaned and conserved. Throughout the move process, preservation and safety were top project priorities, with much of the work conducted at night under the AOC's Construction Division. CVC visitors may now view and appreciate the scale, details and symbolism of each of these statues.

The sculpture collection also grew this year with the acceptance of a bust of Sojourner Truth, unveiled in Emancipation Hall, and the statue of Ronald Reagan, donated by California³⁸ and displayed in the Capitol Rotunda. Nine bronze maquettes were commissioned as part of the Rosa Parks statue competition managed by the National Endowment for the Arts.

Mural conservation also continued this Fiscal Year. During the August 2009 recess, decorative painters, working with fine art conservators, restored the overpainted 1901 decorative paint finishes and classical border designs by Elmer Garnsey, and three classical pompeian maidens by George Maynard on the walls of the second-floor West Central Front Corridors on the Capitol's Senate side. The murals were painted in oil on canvas applied to the wall and were later repainted with dark red latex paint. The two large panels with maidens were fully conserved, starting with the removal of overpaint and darkened varnish, while other walls were successfully replicated with the original colors, designs, and gilding. Now the Senate side of the corridor matches the House side, which was restored in 2007.

The eleventh phase of wall conservation in the Capitol's Brumidi Corridors was completed with the recovery of original murals hidden under layers of paint in the North Entry. The space is now enlivened with brightly colored birds and flowers, light-filled landscapes, animal medallions, and illusionistic relief portraits. The conservator recreated designs similar to those flanking the door on two panels that had been re-plastered. The molded cornices were repainted in the original color identified through exposures, photo spectrometer readings, and paint analysis.

In the Senate Reception Room, S-213, where frescoes and murals by Constantino Brumidi were conserved in the mid-1990s, attention is being paid to a restoration of the decorative borders and gilded moldings. An intensive study and analysis of paint samples led to new understanding of the complexity of the original design, colors, and materials. Restoration work will be conducted in phases during future Senate recesses.



The 1901 leaf border design on a panel in the Capitol's second-floor West Front corridor is recreated by stencil during the FY 2009 conservation and restoration project.

³⁷ A place in the CVC was also reserved for the new statue of Helen Keller, to be donated by the State of Alabama.

³⁸ This statue replaced the State of California's statue of Thomas Starr King.



The responsibilities of the Office of the Architect of the Capitol are fulfilled efficiently and effectively through the provision of high-quality leadership and administrative support services.

STRATEGIC GOAL 3: LEADERSHIP AND ADMINISTRATIVE SUPPORT

The responsibilities of the Office of the Architect of the Capitol are fulfilled efficiently and effectively, and accountability is enhanced, through the provision of high-quality leadership and administrative support services.

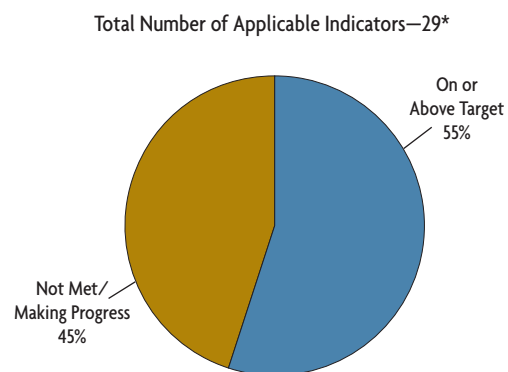
This strategic goal is designed to enable the accomplishment of the AOC's first two strategic goals: Goal 1—Congressional and Supreme Court Operations Support and Goal 2—Heritage Asset Stewardship. In addition, the enabling services outlined in Goal 3 are vital to ensure the successful completion of the support services themselves.

The strategies outlined in this section are necessary in order to maximize the AOC's mission performance. The strategies are designed to comply with external regulations, enhance accountability, and serve its internal customers, namely, the AOC staff who conduct the mission work.

The AOC has taken several actions towards continual performance improvement with the implementation of the Human Capital Plan and the focus on workforce planning initiatives. Most Internal Services Providers have established service level agreements. The AOC routinely seeks feedback from employees on a variety of topics so that improved services can be delivered. The AOC updates its policies and procedures for financial

management including cost accounting and internal controls, technology operations and security, procurement, human resources, and safety periodically to ensure that these areas meet the intent of Goal 3.

Figure 38: FY 2009 Results Achieved for Strategic Goal 3



* Total indicators for Strategic Goal 3 is 46; 29 are measured and 17 are not yet applicable in FY 2009.

Detailed performance results for each objective are provided in the following section. The data reflects trends over a five year period where available.

Objective 3.1 Leadership—The AOC’s executive leadership and administration establishes clearly defined goals and effective strategies, and the coordination of support systems, so as to maximize the AOC’s mission performance and accountability.

The overall strategy to achieve this objective is to routinely assess and discuss agency performance across the board and to implement prioritized process improvements.

Performance Measure 3.1.1									
By FY 2011 AOC efficiency and effectiveness results in the achievement of 90% of Strategic Plan outcome measures.									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	80%	76%	80%	72%	85%	69%
<p>Data Source: This metric is calculated by dividing the number of outcome measures with targets met or exceeded by the total number of outcome measures with targets for the Fiscal Year.</p> <p>Target Met/Not Met: Target not met. The FY 2009 Continuing Resolution required adjustments in obligation and procurement activities and contributed to some targets being missed. The initial AOC Internal Service Provider Survey results identified opportunities for improvement for which action plans are being developed. Efforts will be made to improve performance in areas where targets were not met.</p>									

Objective 3.2 People—The AOC staff is enabled to support the achievement of AOC goals by the promotion of a work environment that fosters equal employment opportunity, organizational and individual performance, and professional development.

The overall strategy to achieve this objective is to implement the Human Capital Plan, workforce planning framework, EEO/CP policies, and establishing and monitoring cycle times for key services.

Performance Measure 3.2.1									
By FY 2011 our workforce is aligned with future needs as defined in the Strategic Workforce Continuum so that the gap between current competencies and anticipated competencies is no greater than 10% within each budget cycle.									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
<p>Data Source: Not applicable.</p> <p>Target Met/Not Met: Not applicable. The AOC is investigating a method to gather this data and is also considering restructuring this metric in a future Strategic Plan.</p>									

Performance Measure 3.2.2									
By FY 2011 an average employee satisfaction rating with how the AOC is improving of at least 90% is achieved on the biennial employee feedback assessment.									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	≥85.0%	23.7%	N/A	N/A
<p>Data Source: The AOC conducts quadrennial research using employee focus groups. Data related to employee satisfaction is used to estimate this metric by totaling the number of employees who declared to be satisfied and dividing by the total number of sampled employees who expressed an opinion.</p> <p>Target Met/Not Met: Not applicable. This is a quadrennial survey.</p>									

Performance Measure 3.2.3

By FY 2011, a) 90% of claims are closed within 60 days, in accordance with the Conciliation Program policy;

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	85.0%	93.9%	90.0%	92.3%	90.0%	66.7%

Data Source: The data for this metric is provided by the Human Capital Office. The metric is calculated by dividing the number of claims closed within 60 days by the total number of claims closed in the FY.

Target Met/Not Met: Target not met. However, the average cycle time to close the 33 cases closed in FY 2009 was 45 days; well below the target of 60 days. A few cases this FY involved the Office of Compliance, which requires a longer process. The AOC is identifying areas for improvement.

b) Customers are notified 100% of the time for any exception to Conciliation Program claims closure timeframes; and

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	100%	100%	100%	100%	100%	100%

Data Source: This data is collected manually and reported by the Human Capital Office.

Target Met/Not Met: Target was met.

c) 100% of affirmative employment initiatives approved by executive management and AOC Superintendents are implemented AOC-wide.

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	100%	100%	100%	100%

Data Source: The Human Capital Office reports this data. The metric is calculated by dividing the number of approved initiatives implemented by the total number of approved initiatives scheduled.

Target Met/Not Met: Target was met.

Performance Measure 3.2.4

By FY 2011, a) Timely response to personnel needs is ensured by meeting 90% of the cycle time measures for various personnel-related services as defined in the AOC operational dashboard; and

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	85.0%	50.0%	≥85.0%	100.0%	≥90.0%	97.0%

Data Source: The metric data comes from the automated human resource management system and is reported monthly in an executive dashboard. The metric is calculated by dividing the number of instances where a position was filled within its targeted cycle time by the number of positions filled. In FY 2009, 403 positions were filled.

Target Met/Not Met: Target was met.

b) An average rating of at least 90% is achieved on the recurring survey for satisfaction with personnel-related services.

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	80.0%	74.8%

Data Source: In FY 2009, the AOC initiated an Internal Service Provider (ISP) Customer Satisfaction Survey. Survey data related to personnel-related services is used to calculate this metric by totaling the number of satisfied plus very satisfied responses and dividing by the total number of significant responses.

Target Met/Not Met: Target was not met. FY 2009 is the first year this survey was conducted. Satisfaction levels for the various components combined herein ranged from 62.0% to 88.2%. Detailed results from the ISP survey will be shared with each organization head and action plans developed.

Objective 3.3 Information—AOC staff leverages information technology and communications to improve the AOC’s mission performance.

The overall strategy to achieve this objective is to focus on three key areas of communication: technology, internal communications, and external communications. In the technology area the AOC developed and implemented service level agreements, a five-year technology business plan, a revised investment management process, and a number of platform consolidation initiatives. In terms of internal and external communications, the AOC updated the correspondence manual and style guide, launched a new congressional relations intranet website to educate employees, and conducted the first internal service provider survey.

Performance Measure 3.3.1									
By FY 2011: a) Requests for information technology services are responded to and completed within established timeframes 90% of the time;									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Data Source: The data for this metric is derived from the automated information technology Help Desk system. It will be calculated by dividing the number of instances where a request is filled within its targeted cycle time by the number of requests filled.									
Target Met/Not Met: Not applicable. FY 2010 is targeted to obtain baseline data for this metric.									
b) Customers are notified 100% of the time for any exception;									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Data Source: Not applicable.									
Target Met/Not Met: Not applicable. The AOC is investigating a method to gather this data. FY 2010 is targeted to obtain baseline data for this metric.									
c) An average rating of at least 90% is achieved on the recurring survey for satisfaction with IT services; and									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	≥80.0%	83.7%
Data Source: The AOC conducts an Internal Service Provider Customer Satisfaction Survey. Data from this survey related to technology services is used to calculate this metric by totaling the number of satisfied plus very satisfied responses and dividing by the total number of significant responses.									
Target Met/Not Met: Target was met.									
d) During core hours, mission-critical systems are available 98% of the time, mission-essential systems are available 95% of the time, and mission-support systems are available 90% of the time.									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	98% mc	99.6%mc	98% mc	99.8%mc	98% mc	99.6% mc
				95% me	99.7%me	95% me	99.6%me	95% me	100% me
				90% ms	99.3%ms	90% ms	99.4%ms	90% ms	100% ms
Data Source: The data for this metric is derived from the automated information technology Help Desk system. It is calculated by dividing the number of work hours during which systems were available by the total work hours. This measure is reported and reviewed monthly by Senior Level Management. Core hours are defined as Monday through Friday from 7am to 5pm. Systems hosted externally are excluded.									
Target Met/Not Met: Target was met.									

Performance Measure 3.3.2

By FY 2011, a) achieve level 5 of the GAO Information Technology Investment Management (ITIM) certification and maintain thereafter;

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	Level 2	Level 2	Level 2	Level 3	Level 3	Level 3

Data Source: According to the AOC's self assessment, it continues to achieve Level 3 of GAO's ITIM maturity model.

Target Met/Not Met: Target was met.

b) Achieve at least level 3 of the Capability Maturity Model Integration (CMMI) certification; and

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A

Data Source: Not applicable.

Target Met/Not Met: Not applicable. The ITD continues to review best practices, e.g.; Control objectives for Information and related Technology (CoBIT), Information Technology Infrastructure Library (ITIL) to determine the appropriate governance model. CMMI certification is not being pursued.

c) By FY 2007, achieve level 5 of the GAO Enterprise Architecture Maturity Framework (EAMMF) and maintain thereafter.

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	Level 5	Level 3	Level 5	Level 3	Level 5	Level 4

Data Source: In FY 2009, the EA program developed and deployed Performance Measurement and Security EA processes and activities. GAO closed their findings that addressed these processes.

Target Met/Not Met: Not met. ITD has determined the EAMMF Level 4 is an appropriate target for the EA program. AOC will continue refining, maintaining, and maturing the Level 4 artifacts and processes and will not pursue Level 5 as a target.

Performance Measure 3.3.3

By FY 2011 an average rating of at least 90% is achieved on the biennial AOC employee feedback assessment for satisfaction with internal communications.

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	≥85.0%	23.7%	N/A	N/A

Data Source: The AOC conducts biennial research among employees using focus groups. Internal communications data is used to compute this metric by totaling the number of sampled employees who declared to be satisfied and dividing by the total number of employees who expressed an opinion.

Target Met/Not Met: Not applicable. The assessment is biennial.

Performance Measure 3.3.4

By FY 2011 an average rating of at least 90% is achieved on the recurring survey for effective external communication.

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A

Data Source: In FY 2008, the AOC used the annual survey of building occupants to gather data but received inconclusive results.

Target Met/Not Met: Not applicable. FY 2010 is targeted to obtain new baseline data for this metric and investigating the best method to gather this data.

Objective 3.4 Fiscal—Financial services are provided in a customer-focused and value-creating manner and foster a culture of high integrity and accountability.

The overall strategy to achieve this objective is to establish and monitor key cycle time metrics for financial services, implement the management operations reporting structure and internal controls program, develop procedures for financial certifications, and work with the jurisdictions on obligation plans.

Performance Measure 3.4.1									
By FY 2011: a) Timely response to financial services is ensured by meeting 90% of the cycle time measures for various financial services as defined in the AOC operational dashboard;									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	80.0%	83.0%
<p>Data Source: Metric data comes from the financial management system and is reported monthly in an executive dashboard. The metric is calculated by dividing the number of documents paid on time by the total documents paid within the FY. In FY 2009, 9,272 documents were processed and paid.</p> <p>Target Met/Not Met: Target was met.</p>									

b) An average rating of at least 90% is achieved on the recurring survey for satisfaction with useful timely financial information provided to manage programs.									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	≥80.0%	78.2%
<p>Data Source: In FY 2009, the AOC initiated an Internal Service Provider (ISP) Customer Satisfaction Survey. Survey data is used to calculate this metric by totaling the number of satisfied plus very satisfied responses and dividing by the total number of significant responses.</p> <p>Target Met/Not Met: Target was not met. FY 2009 is the first year this survey was conducted. Satisfaction levels for the components combined in this metric ranged from 57.1% to 89.6%. Detailed survey results will be shared with each organization head and action plans developed accordingly.</p>									

Performance Measure 3.4.2									
By FY 2011: a) Our obligation rate target for annual funds is met;									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
100.0%	97.0%	100.0%	98.0%	100.0%	98.8%	100.0%	99.2%	100.0%	99.2%
<p>Data Source: This metric is derived from the financial management system. It is calculated by dividing the total funds obligated by the total budget authority.</p> <p>Target Met/Not Met: Target not met. Between 0.5% and 1.0% of annual funding is reserved to ensure funds are available after the FY close for unforeseen expenses such as personnel compensation adjustments, additional freight charges, or contract modifications deemed within scope.</p>									

b) FY 2003–2007 multi-year funds are met;									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
90.0%	83.6%	95.0%	87.9%	100.0%	99.9%	N/A	N/A	N/A	N/A
<p>Data Source: This metric is derived from the financial management system. It is calculated by dividing the total funds obligated by the total budget authority. AOC adjusted the calculation of this metric to look at the total funding for the AOC versus the number of jurisdictions meeting targets and, therefore, prior PARs reflect a different computation method. Prior data has been adjusted for comparison.</p> <p>Target Met/Not Met: Not applicable. Expired funds.</p>									

c) FY 2004–FY 2008 multi-year fund targets are met;

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
75.0%	72.2%	90.0%	86.1%	95.0%	91.6%	100.0%	99.9%	N/A	N/A

Data Source: This metric is derived from the financial management system. It is calculated by dividing the total funds obligated by the total budget authority. AOC adjusted the calculation of this metric as discussed in 3.4.2 (b).

Target Met/Not Met: Not applicable. Expired funds.

d) FY 2005–2009 multi-year fund targets are met;

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
55.0%	19.2%	75.0%	46.3%	90.0%	70.0%	95.0%	86.2%	100.0%	100.0%

Data Source: This metric is derived from the financial management system. It is calculated by dividing the total funds obligated by the total budget authority. AOC adjusted the calculation of this metric as discussed in 3.4.2 (b).

Target Met/Not Met: Target was met.

e) FY 2006–FY 2010 multi-year fund targets are met;

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	55.0%	59.9%	75.0%	72.0%	90.0%	84.3%	95.0%	88.8%

Data Source: This metric is derived from the financial management system. It is calculated by dividing the total funds obligated by the total budget authority. AOC adjusted the calculation of this metric as discussed in 3.4.2 (b).

Target Met/Not Met: Target not met. The FY 2009 Continuing Resolution (CR) placed AOC's priority on obligating its expiring funds.

f) FY 2006–FY 2011 multi-year fund targets are met;

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	10.1%	N/A	98.5%	87.0%	97.2%	92.0%	98.1%

Data Source: This metric is derived from the financial management system. It is calculated by dividing the total funds obligated by the total budget authority. AOC adjusted the calculation of this metric as discussed in 3.4.2 (b). In FY 2008, as projects were completed, the excess available funds were deobligated and realigned to closed projects for future obligation.

Target Met/Not Met: Target was met.

g) FY 2007–FY 2011 multi-year fund targets are met;

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	55.0%	11.8%	75.0%	66.1%	90.0%	79.2%

Data Source: This metric is derived from the financial management system. It is calculated by dividing the total funds obligated by the total budget authority. AOC adjusted the calculation of this metric as discussed in 3.4.2 (b).

Target Met/Not Met: Target not met. The FY 2009 CR placed AOC's priority on obligating its expiring funds.

h) FY 2008–FY 2012 multi year fund targets are met; and

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	55.0%	49.5%	75.0%	72.8%

Data Source: This metric is derived from the financial management system. It is calculated by dividing the total funds obligated by the total budget authority. AOC adjusted the calculation of this metric as discussed in 3.4.2 (b).

Target Met/Not Met: Target not met. The FY 2009 CR placed AOC's priority on obligating its expiring funds.

i) FY 2009–FY 2013 multi year fund targets are met.									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	55.0%	26.8%
<p>Data Source: This metric is derived from the financial management system. It is calculated by dividing the total funds obligated by the total budget authority. AOC adjusted the calculation of this metric as discussed in 3.4.2 (b).</p> <p>Target Met/Not Met: Target not met. The FY 2009 CR placed AOC's priority on obligating its expiring funds.</p>									

Performance Measure 3.4.3									
By FY 2007, and each year thereafter: a) A clean audit opinion is received; and									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
Clean	Clean	Clean	Clean	Clean	Clean	Clean	Clean	Clean	Clean
<p>Data Source: Each year, the AOC uses an independent contractor to conduct an audit of its financial statements. The data reported for this metric comes directly from that audit report.</p> <p>Target Met/Not Met: Target was met.</p>									

b) 80% of internal control and audit weaknesses are resolved within one year.									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	80%	60%	80%	40%	80%	50%
<p>Data Source: This metric is calculated by dividing the number of internal control and audit weaknesses identified in the previous fiscal years and resolved within one year by the total number of internal control and audit weaknesses identified in the previous FY audit report.</p> <p>Target Met/Not Met: Target not met. Although AOC did not fully complete any outstanding items from FY 2008, it did make progress in resolving the weaknesses, as described below. Progress in the purchase to disbursement process led to this item being cleared as a material weakness in FY 2009.</p> <ol style="list-style-type: none"> Internal Control Assessments—The AOC has documented cycle memos, but still lacks a complete self-assessment. Self-assessments for cycle-memo processes are in development. Reconciliation of Payroll— <ol style="list-style-type: none"> The ITD developed a program for payroll reconciliation.—Complete. The Chief Human Capital Office will begin a regular reconciliation process (by pay period) in FY 2010. Purchase to Disbursement Process— <ol style="list-style-type: none"> Budget Object Code Training for Requisitioners—AOC is in process of developing training, target audience, and best means to deliver training. Target is to provide training in summer 2010. Regular review of Construction in Process projects with managers—Complete. Limiting access to the vendor database in the financial management system—Complete. 									

Objective 3.5 Material—Responsive, quality, cost-effective, and accountable procurement and inventory management is provided to meet the Office’s service and supply needs.

The overall strategy to achieve this objective is to establish and monitor key cycle time metrics, routinely review the operational needs of the AOC jurisdictions to consolidate contract vehicles (when appropriate), and identify additional methods of value. The AOC has also implemented a program to certify its contract specialists and provide training for AOC staff who serve as a contracting officer’s technical representative (COTR).

Performance Measure 3.5.1

By FY 2011, a) a timely response to procurement needs is ensured by meeting 90% of the cycle time measures for various procurement services as defined in the AOC operational dashboard;

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	85.0%	84.9%	85.0%	84.0%	90.0%	83.7%

Data Source: The data for this metric comes from the Procurement Overview Portal and is reported monthly in an executive dashboard. The metric is calculated by dividing the number of documents awarded within its targeted cycle time by the total documents awarded. In FY 2009, the AOC awarded 2,241 documents.

Target Met/Not Met: Target Not Met. Average cycle time for each of the processes this year was well within process goals. The large number of small purchases awarded in FY 2009 impacted this overall metric. The AOC expects to meet the goal in FY 2010 by proactively meeting with customers to initiate procurement actions earlier.

b) An average rating of at least 90% is achieved on the recurring survey for satisfaction with procurement services;

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	≥80.0%	79.4%

Data Source: In FY 2009, the AOC initiated an Internal Service Provider Customer Satisfaction Survey. Data from this survey related to procurement services is used to calculate this metric by totaling the number of satisfied plus very satisfied responses and dividing by the total number of significant responses.

Target Met/Not Met: Target Not Met. FY 2009 is the first year this survey was conducted. Detailed results from the survey will be shared with each organization head and action plans developed.

c) Final contract cost does not exceed original cost by more than 15% for 85% of contracts;

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A

Data Source: Information will be generated using a combination of manual methods, the Procurement Overview Portal, and the financial management system. This metric will be calculated by dividing the number of contracts with final cost less than or equal to 115% of the original contract cost by the total number of contracts finalized.

Target Met/Not Met: Not applicable. FY 2010 is targeted to obtain baseline data for construction projects and FY 2011 for service contracts.

d) Final contract schedule does not exceed original schedule by more than 10% for 85% of contracts.

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A

Data Source: Information will be generated using a combination of manual methods and the Procurement Overview Portal. This metric will be calculated by dividing the number of contracts completed within 110% of the scheduled completion date by the total number of contracts completed.

Target Met/Not Met: Not applicable. FY 2010 is targeted to obtain baseline data for construction projects and FY 2011 for service contracts.

Performance Measure 3.5.2

By FY 2011 the inventory usage ratio is maintained at a level of 1.0.

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	1.6	N/A	1.4	1.5	1.2	1.3	1.0	1.2	1.1

Data Source: This metric is derived from the inventory management system and is calculated by dividing the total amount of supplies and materials used by the ending balance of supplies and materials on hand, based on the dollar value.

Target Met/Not Met: Target was met.

Objective 3.6 Safety, Fire, Emergency Preparedness, and Environmental Services—AOC resources are protected through effective safety, fire, emergency preparedness, and environmental services.

The overall strategy to achieve this objective is to routinely update, implement, and monitor the Occupational Safety and Health (OSH) Program Plan, Environmental Program Plan, and emergency preparedness plans. In addition, the AOC has begun working on its Fire Program Plan and is working to establish requirements for an environmental management system and cooperative agreements with other governmental entities in areas for which it may need assistance.

Performance Measure 3.6.1									
By FY 2007, and each year thereafter: a) The injury and illness rate is reduced by 3% over the previous year,									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
5.29%	5.65% (DOL) 5.49% (AOC)	5.09%	4.88% (DOL) 4.85% (AOC)	4.73%	4.41% (DOL) 4.36% (AOC)	4.28%	4.06% (DOL) 3.94% (AOC)	3.86%	3.74% (DOL) 4.01% (AOC)
<p>Data Source: The Department of Labor (DOL) metric is published on http://www.osha.gov/dep/fap/fap-inj-ill-stats.html. The AOC's metric is calculated by determining the number of injury and illness cases that have been sent to the DOL or have a claim number in the Workers Compensation Log in the Fiscal Year divided by the average number of employees in the Fiscal Year.</p> <p>Target Met/Not Met: Target was met.</p>									

b) The lost time case rate by 3%, and									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	2.92%(DOL) N/A (AOC)	N/A	3.16% (DOL) 2.27% (AOC)	2.19%	2.63% (DOL) 2.36% (AOC)	2.55%	2.38% (DOL) 2.77% (AOC)	2.27%	2.22% (DOL) 2.48% (AOC)
<p>Data Source: Same as 3.6.1(a).</p> <p>Target Met/Not Met: Target was met.</p>									

c) The number of lost productions days due to work-related injuries and illnesses by 1% over the previous year.									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	201.1	199.1	242.9	240.5	324.2	320.9	219.7
<p>Data Source: The data for this metric is based on hours of Continuation of Pay (COP) paid through payroll and is gathered from the payroll system. The metric is structured in terms of hours of COP per 100 employees to enable benchmarks and is obtained by dividing the total COP hours recorded in the payroll system by the average number of employees and then multiplied by 100. The annual target is established by dividing the total hours of COP paid the previous Fiscal Year by the average number of employees at the FY end, multiplied by 0.99 (i.e., a one percent reduction).</p> <p>Target Met/Not Met: Target was met.</p>									

Performance Measure 3.6.2									
By FY 2011 the overall risk assessment code rating is improved by one rating level from the baseline for environmental findings.									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
<p>Data Source: Environmental assessments are conducted for AOC operations and the findings are placed into the Facility Management Assistant database and tracked by the Safety and Environmental Division and a respective jurisdiction. Each finding is given a risk assessment code (RAC), ranging from 1-5, for enforcement/congressional action impacts, environmental impacts, and mission impacts. Higher codes indicate lower degrees of risk. Each RAC is based on the cumulative scores of the three impacts. An overall RAC is determined by the average cumulative scores of all open findings. This metric will be determined by subtracting the FY 2008 baseline rating (3) from the current year rating.</p> <p>Target Met/Not Met: Not applicable. FY 2011 will be the first time this metric is reported.</p>									

Performance Measure 3.6.3

By FY 2011, 100% of jurisdictional emergency preparedness plans are revised to follow the central framework.

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	100%	100%

Data Source: This metric is calculated by dividing the number of jurisdiction plans revised to follow the central framework by the number of jurisdiction plans scheduled to be revised and is gathered manually by a review of the contract deliverables received and approved by the AOC.

Target Met/Not Met: Target was met.

b) 100% of employees with designated roles in emergency preparedness are trained; and

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A

Data Source: This metric will be calculated by dividing the number of employees with designated roles trained by the total number of employees with designated roles in the Fiscal Year.

Target Met/Not Met: Not applicable. The AOC has jurisdiction plans in place that align with the central framework and will work with jurisdiction managers to develop a schedule for training staff and a method to calculate this metric.

c) Drills exercising jurisdiction plans (following the central framework) that include all employees (all shifts; all buildings) are conducted at least once per year.

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A

Data Source: This metric will be calculated by dividing the number of drills conducted by the total number of drills required to accommodate all shifts this Fiscal Year.

Target Met/Not Met: Not applicable for same reason as 3.6.3 (b).

Performance Measure 3.6.4

By FY 2011 timely response to safety, fire, emergency preparedness, and environmental services needs is ensured by a) Meeting 90% of safety, 90% of fire, 90% of emergency preparedness, and 90% of environmental service cycle times as defined in the AOC SFEP dashboard; and

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	Baseline	S 96.6% E 94.5% F 91.2%

Data Source: This data is provided by the Safety, Fire, and Environmental Programs (SFEP) Division and calculated by dividing the number of cycle times met for each area by the total number of cycle times on the SFEP dashboard. (S = Safety Preparedness, E = Environmental, F = Fire Marshal)

Target Met/Not Met: Not applicable. FY 2009 was the baseline year for this metric and out year targets will be established.

b) An average rating of at least 90% is achieved on the recurring survey for satisfaction with safety, fire, security, emergency preparedness, and environmental services.

FIVE YEAR TREND

FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	≥80.0%	81.7%

Data Source: The AOC conducts an Internal Service Provider Customer Satisfaction Survey. Survey data related to safety, fire, emergency preparedness, and environmental services is used to calculate this metric by totaling the number of satisfied plus very satisfied responses and dividing by the total number of significant responses.

Target Met/Not Met: Target was met.

Objective 3.7: Security Services—AOC resources are protected through effective security services.

The overall strategy to achieve this objective is to develop and implement a five-year business plan for the Office of Security Programs, a security policy and plans, service level agreements, and communication tools.

Performance Measure 3.7.1									
By FY 2011 timely response to security services needs is ensured by: a) Meeting 90% of security cycle times; and an average rating of at least 90% is achieved on the recurring survey for satisfaction with security services.									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Data Source: Not applicable.									
Target Met/Not Met: Not applicable. Objective 3.7 and the related outcome measure for security services were added in FY 2009. Targets set in FY 2009 and results will be reported for information-only purposes in FY 2010.									
b) An average rating of at least 90% is achieved on the recurring survey for satisfaction with security services.									
FIVE YEAR TREND									
FY05 Target	FY05 Actual	FY06 Target	FY06 Actual	FY07 Target	FY07 Actual	FY08 Target	FY08 Actual	FY09 Target	FY09 Actual
N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Data Source: The AOC conducts an Internal Service Provider Customer Satisfaction Survey. Survey data related to security services will be used to calculate this metric by totaling the number of satisfied plus very satisfied responses and dividing by the total number of significant responses.									
Target Met/Not Met: Not applicable. Security services excluded from the FY 2009 survey/to be included in FY 2010 survey.									



FOCUS ON

Safety and Emergency Preparedness

Worker safety remains a top priority for the AOC. All AOC jurisdictions work in unison to improve safety measures and provide a safe work environment for employees and contractors. The Office of Safety, Fire, and Environmental Program's (SFEP's) Safety and Occupational Health Branch (SOHB) has a particularly important role within the AOC to plan, promote, and manage safety initiatives and concerns. This Branch facilitates strong communication, program coordination, and education in support of the AOC's safety goals.

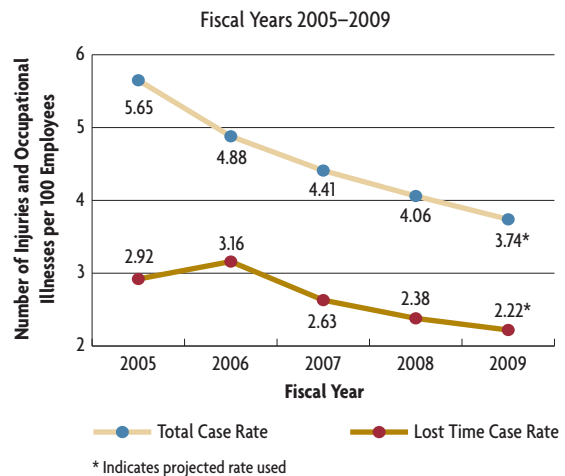
The AOC is proactive in the improvement of safety awareness and visibility through improved education programs, meetings, and the distribution of awareness materials. To promote the message about safety, the SOHB disseminates messages through staff meetings, monthly Architect's Safety Messages, and Think Safety newsletters. Continuing communications fosters a culture of proactive safety, health, and environmental practices, thereby establishing a base upon which other programmatic policies and operational procedures may be pursued.

During FY 2009, the AOC focused on several enhancement initiatives. The emergency preparedness program was expanded by completing Jurisdiction-specific emergency action and response plans. In response to the H1N1 flu threat, steps were taken to implement portions of the AOC's Pandemic Flu Plan. With an AOC Pandemic Flu Plan in place, when H1N1 looked to be severe, the AOC was able to quickly implement a number of protective measures such as hand sanitizer stations placed throughout facilities, safety updates for AOC employees, and the review and update of the AOC Pandemic Plan.

A significant challenge the AOC faces is balancing safety and compliance within available resources. This issue is being addressed in a variety of ways including: collaboration with the Office of Compliance and Jurisdictions to develop priorities for abatement of fire safety citations; SFEP involvement in all aspects of project planning and execution; and, focused, employee-oriented communications.

FY 2009 saw a continued decline in the AOC injury and illness (I&I) rate. Figure 39 displays the AOC's annual I&I rate five year trend. The FY 2008 rate of 4.06 decreased to 3.74 injuries and occupational illnesses per 100 employees for FY 2009. To place this in context, it should be noted that since FY 2000 the AOC has reduced its I&I rate by 79 percent. Nonetheless, further reductions will become more challenging and will require further proactive processes and practices. Enhanced communication strategies, implementation of proactive processes and data management tools, targeted injury reduction programs, and identification and use of leading safety performance indicators will continue to be pursued. Creating a safer workplace for employees has not been the result of any single person, but rather a common commitment by all to make safe job performance an organization-wide priority.

Figure 39: Annual Injury and Illness Rate





FOCUS ON

Workplace Improvements at the AOC

The Office of the Architect of the Capitol has made tremendous strides to transform itself into a highly professional, service-oriented organization. These provisions aim to make the AOC more efficient and accountable, as well as to make it competitive with the private sector in its ability to recruit, develop, and retain employees. These efforts derive from the Acting Architect's vision of creating a strong and talented workforce to help the AOC accomplish its mission.

The AOC reorganized and created the new Chief Human Capital Management Division (HCMD) to increase focus on its workforce. This office combines the objectives of diversity, employee assistance, labor relations, workforce planning and human resource management to form a specialized area to carry out the initiatives outlined in the *Human Capital Plan*. The following workplace improvements at the AOC were achieved during FY 2009:

Automation of Employee Personnel Information to Improve Employee Self Service

During FY 2009, the HCMD began implementing the Electronic Official Personnel Folder (e-OPF). When fully implemented, the e-OPF will be a self service tool that provides the employee with quick and easy access to their personal information such as Notification of Personnel Action and Standard Form-50 that includes date of hire, salary, position title, and retirement plan. The HCMD successfully completed the first phase of implementation by replacing hard copy forms with electronic versions. The next step is to scan complete records for each employee so the tool may be made available to all employees for easy access to their individual e-OPF.

Improved Training Opportunities for Better Employee Performance

The *AOC Human Capital Plan* aligns with the AOC's Strategic and Performance Plan to guide the organization in its development of human capital to help the workforce continue to perform at the highest level. This plan includes increasing training opportunities to enhance the AOC employees' skills and leadership development.

Work Life Programs and Services for Improved Employee Satisfaction

Successful implementation of several initiatives has created the foundation for a substantial work-life program for the AOC. For FY 2009 these initiatives included the most successful Combined Federal Campaign in the history of the AOC; student loan repayment for use in recruitment and retention of highly qualified personnel; financial planning seminars for employees; discounted fitness club memberships; wellness classes; a wellness fair; and revision of the telework program. The AOC also continued its flexible work schedule pilot during FY 2009 for full- and part-time AOC employees. At the conclusion of the pilot, the AOC managers and employees evaluated the program as a success and received authority to continue the pilot through September 30, 2010.



The Office of the Architect of the Capitol has made tremendous strides to transform itself into a highly professional, service-oriented organization.





The AOC provides a wide range of professional expertise and services to preserve and enhance the historic Capitol complex, its heritage assets, and the artistic elements within.



SECTION 3

Financial Information

A MESSAGE FROM THE CHIEF FINANCIAL OFFICER



Paula G. Lettice
Chief Financial Officer

I am pleased to present the audited financial statements for the Office of the Architect of the Capitol (AOC) for Fiscal Year (FY) 2009. These financial statements are an essential component of our annual Performance and Accountability Report (PAR). This report is a cornerstone of the AOC's efforts to provide our significant accomplishments and challenges, program results, financial performance,

and audit findings in a timely and transparent manner to our Congressional stakeholders and the American public.

We are proud that, for the fifth consecutive year, the AOC has received an unqualified audit opinion from our independent auditors on our FY 2009 financial statements. An unqualified opinion attests to the fact that our financial statements present fairly, in all material respects, our financial position, cost of our programs, changes in net position, and the status and use of budgetary resources. Having our financial statements audited by an independent third party helps fulfill our fiscal stewardship responsibilities and also helps produce reliable financial information to support decision-making, ensure the transparency of our financial information, and provide accountability to our stakeholders. These continued clean audits are a significant achievement and highlight the quality work of our talented financial professionals.

During the past Fiscal Year, we continued to refine and re-engineer our financial management business processes to provide increased efficiencies in support of the AOC's mission. These controllership improvements also help make the AOC a more flexible organization that is quickly adaptable to the needs of our customers.

As described in the AOC-prepared summary of *The Independent Auditor's Report on Internal Control*, the AOC cleared one material weakness during FY 2009. The AOC is committed to fiscal accountability and will continue to work diligently to clear the remaining repeat audit conditions by implementing the internal policies, procedures, and systems upgrades to keep accurate financial records, and protect the U.S. taxpayer resources for which we are responsible.

Key achievements by the Office of the Chief Financial Officer (OCFO) during FY 2009 include:

- **AOC Budget Development.** We successfully managed our operations under a constrained budget for the better part of the first half year and improved our budget coordination with our Congressional oversight committees. In the FY 2009 Budget Omnibus, the AOC successfully tied funding requests to its strategic goals and received a 30 percent increase over FY 2008 funding to begin addressing our long-term deferred maintenance backlog and expanding mission requirements.
- **Internal Control Implementation Progress.** This year saw continued internal control progress at the AOC. Although more remains, the inclusion of internal control indicators in monthly dashboard discussions and the creation of a Senior Advisory Team were among the control initiatives that will help ensure the AOC has effective and efficient operations and reliable financial reporting.
- **Financial Accounting System Migration.** After a major upgrade to our financial accounting system in FY 2008, we migrated this system's hosting services in May 2009, thus reducing the contractor support needed and the cost of hosting.

- **Business Process Re-Engineering.** We continue to identify financial and system process issues and potential efficiencies. We have an action plan in place that prioritizes the needed improvements to address findings identified in the FY 2008 and 2009 financial statement audits.
- **Development of Cost Accounting System.** The AOC further developed its cost accounting system. This year concentrated on the normalization of cost data to ensure consistency across the organization and to better measure organizational performance.
- **CVC and Senate Restaurant Financial Management Support.** Financial management strategy and support was provided to the opening of the Capitol Visitor Center (CVC) and outsourcing of Senate Restaurant operations. For the CVC opening, our organization established the policies and procedures to begin gift shop retail operations.
- **Credit Card Balance Support.** We worked with purchase card holders via monthly spotlight report meetings to confirm balances and reduce unreconciled amounts by 75 percent at the end of FY 2009.

Moving forward, our goal is to continue our progress toward more effective financial management and internal controls. A well-managed organization must have the ability to provide accurate, reliable, and timely financial data to its decision-makers. The AOC intends to provide assurance that it has taken systematic and proactive measures to develop and implement appropriate, cost-effective controls for results-oriented management. We recognize the value of accurate and timely financial information for decision-making and our office will ensure that the organization stays on track in achieving this goal.

In FY 2010, we plan to continue to build on our past accomplishments by instituting a formal financial certification processes for our Jurisdictions. We shall continue to refine our cost management approach in support of a culture of effective and efficient operations and enhanced links between our budget requests and our strategic goals.

Although we've made significant progress, much remains to be done. Despite our numerous successes, we face challenges in resolving the remaining audit weaknesses. Though we cannot

attest to having comprehensive internal controls in place, progress was made in FY 2009. The establishment of a SAT for providing advice and oversight to the internal controls program recognizes that controls are both a financial and an operations issue. The SAT will help ensure that controls are implemented across the entire organization and that a detailed, multi-year action plan of corrective measures is implemented.

The receipt of additional funds to begin addressing the AOC's deferred maintenance and major renewal project backlog was a critical step in FY 2009. We must continue to prioritize, schedule, and execute the maintenance and renewal work. It is important to recognize, however, that the additional funding is just the beginning. Despite the significant increase in our budget, funding for the deferred maintenance and repair backlog continues to be insufficient and new mission areas (such as energy conservation and sustainability) will continue to strain our resources. Continued efficiency will help us fulfill our mission but it will not, by itself, close the projected resources gap.

The AOC has a rich and proud history as steward of the Capitol complex. The OCFO is committed to providing transparency and accountability for the resources entrusted to us and meeting our fiscal stewardship responsibilities for the American public, to members of Congress and their staffs, and to our external customers. We believe that up-to-date business management tools, technologies, and professional work culture can aid our financial management. We look forward to further developing and implementing financial initiatives that support the AOC's strategic decision-making, remediating our material weaknesses, and transforming the AOC into a more effective and efficient organization.

Sincerely,



Paula G. Lettice
 Chief Financial Officer
 December 18, 2009

A MESSAGE FROM THE AUDIT COMMITTEE

The Audit Committee was established by the Architect of the Capitol (AOC) on April 4, 2003. The five-member³⁹ Committee assists the AOC in fulfilling its fiduciary responsibilities by providing an independent review of the financial statement audit process and facilitating open disclosure and transparency. The Committee was not mandated by statute, but instead created by the AOC as a best business practice to increase the credibility of the audit process. Additionally, the Committee members provide valuable expertise on the AOC's financial management.

The Committee meets regularly with AOC's management and auditors to review the AOC's financial audit coverage, the effectiveness of the AOC's internal controls over its financial operations, and its compliance with certain laws and regulations that could materially impact their financial statements. The independent auditors are responsible for expressing an opinion on the conformity of the AOC's audited financial statements with generally accepted accounting principles. The Committee reviews the findings of the internal and external auditors, and the AOC's responses to those findings, to ensure its plan for corrective action includes appropriate and timely follow-up measures. In addition, the Committee reviews the annual Performance and Accountability Report and provides feedback to AOC's management, which has primary responsibility for the report.

The Committee met four times during the year. At the conclusion of each meeting, it convened an executive session and met independently with the Acting Architect of the Capitol, Inspector General, Chief Financial Officer, Accounting Director, and the independent auditors. The Committee continued to stress the need to implement fully the AOC's plans for improving its internal control program and completing the certification and accreditation (C&A) of its automated information systems. We are pleased to find that the AOC has made substantial progress in completing the C&A process, but the AOC has much work ahead in completing a comprehensive assessment of risks, an evaluation of those risks to determine if adequate controls are in place to mitigate the risks, and a review of controls to ensure that they are working as designed. A new AOC Internal Control Program order was issued on November 2, 2009, including the creation of a Senior Advisory Team (SAT) chaired by the Architect of the Capitol. The Audit Committee supports the SAT in its efforts to implement fully this new order. The committee members noted the progress of the AOC in reducing the number of material weaknesses and significant deficiencies reported as part of the audit. The members were encouraged by management's plans to continue addressing these issues.

Management proposed, and the Committee agreed, that the Fiscal Year (FY) 2009 audit would be a full audit of all four principal financial statements with comparative presentations. We concurred with management's decision to defer a request for the auditor to provide an opinion on AOC internal controls. At the start of the FY 2009 audit, we reviewed and discussed the overall scope of work and the audit plans of the external auditors and AOC Inspector General. Management proposed and the committee agreed to an accelerated schedule that would allow completion of audit work by mid-December 2009.

Based on the procedures performed as outlined above, we recommend that AOC's audited statements and footnotes be included in the 2009 Performance and Accountability Report.

Sincerely,

Dr. Michael J. Riley
Chair and Voting Member

Michael F. Lampley
Voting Member

John D. Webster
Voting Member

January 13, 2010

³⁹ The Committee consists of three voting members and two non-voting members (the AOC's Inspector General and Chief Financial Officer). All voting members are independent of the AOC.

OFFICE OF INSPECTOR GENERAL TRANSMITTAL


UNITED STATES GOVERNMENT
MEMORANDUM

ARCHITECT OF THE CAPITOL
 WASHINGTON, DC 20515

OFFICE OF INSPECTOR GENERAL
 FAIRCHILD BUILDING, SUITE 518

DATE: January 22, 2010

TO: Stephen T. Ayers, AIA, LEED AP
 Acting Architect of the Capitol

FROM: Carol Bates, Inspector General 

SUBJECT: Fiscal Year 2009 Financial Statements Reports

We contracted with the independent certified public accounting firm of Kearney & Company (Kearney) to audit the financial statements of the Architect of the Capitol (AOC) as of and for the years ending September 30, 2009 and 2008. The contract required that the audit be conducted in accordance with generally accepted government auditing standards and the joint Government Accountability Office/Council on Inspectors General for Integrity and Efficiency *Financial Audit Manual*.

Kearney's opinion on the financial statement is unqualified. I commend the AOC for continuing to maintain this significant accomplishment.

The report on internal control identified material weakness in the areas of Internal Control Assessments and Risk Assessment Updates. The report includes significant deficiencies in the areas of Information System General and Application Controls, and Lack of Training for Purchasing Agents to assign Budget Object Codes.

Kearney's report on compliance with laws and regulations includes two instances of noncompliance resulting from Office of Compliance citations resulting from fire safety and tunnel investigations.

In connection with the audit, we reviewed Kearney's reports and related documentation and met with its representatives. The review was not intended to enable us to express, and we do not express, an opinion on the conclusions expressed therein. Kearney is responsible for the opinion in the attached reports and the conclusions in the related reports on internal control and compliance with laws and regulations. Our review disclosed no instances where Kearney did not comply, in all material respects, with generally accepted government auditing standards.

Attachments

Copy to: Michael Riley, Chair, AOC Audit Committee
 Michael Lampley, AOC Audit Committee
 John Webster, AOC Audit Committee
 Susan Ragland, Government Accountability Office
 William Kubistal, Kearney & Company

INDEPENDENT AUDITOR'S REPORT



Certified Public Accountants
and Consultants

4501 Ford Avenue, Suite 1400, Alexandria, VA 22302
PH: 703.931.5600, FX: 703.931.3655, www.kearneyco.com

Independent Auditor's Report

To the Architect of the Capitol

We have audited the accompanying balance sheets of the Architect of the Capitol (AOC) as of September 30, 2009 and 2008, and the related statements of net cost, statements of changes in net position, and statements of budgetary resources for the years then ended. These financial statements are the responsibility of AOC management. Our responsibility is to express an opinion on these financial statements based on our audit.

We conducted our audit in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and Office of Management and Budget (OMB) Bulletin No. 07-04, *Audit Requirements for Federal Financial Statements*. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audit provides a reasonable basis for our opinion.

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of AOC at September 30, 2009 and 2008, and its net cost of operations, changes in net position, and budgetary resources for the years then ended in conformity with accounting principles generally accepted in the United States of America.

In accordance with *Government Auditing Standards*, we have also issued reports dated December 18, 2009 on our consideration of AOC's internal control over financial reporting, and compliance and other matters for the year ended September 30, 2009. The purpose of these reports is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing and not to provide an opinion on the internal control over financial reporting or on compliance and other matters. These reports are an integral part of an audit performed in accordance with *Government Auditing Standards* and OMB Bulletin No. 07-04, as amended, and should be considered in assessing the results of our audit.

December 18, 2009
Alexandria, Virginia

AOC SUMMARIES OF INDEPENDENT AUDITOR'S REPORT ON INTERNAL CONTROL AND INDEPENDENT AUDITOR'S REPORT ON COMPLIANCE AND OTHER MATTERS

UNITED STATES GOVERNMENT
MEMORANDUM



OFFICE OF THE CHIEF FINANCIAL OFFICER
SUITE SB-18 228-1819

ARCHITECT OF THE CAPITOL
WASHINGTON, DC 20515

DATE: April 14, 2010

TO: Stephen T. Ayers, AIA, LEED AP
Acting Architect of the Capitol

FROM: Paula G. Lettice
Chief Financial Officer

SUBJECT: AOC Summary of Independent Auditor's Reports

A Performance and Accountability Report (PAR) should contain a complete set of independent auditor's reports. The complete set of reports includes the *Independent Auditor's Report*, *Independent Auditor's Report on Internal Control*, and *Independent Auditor's Report on Compliance and Other Matters*. During the Architect of the Capitol's (AOC's) internal review of the Fiscal Year (FY) 2009 PAR, the AOC Chief Information Officer (CIO) and Chief Information Security Officer (CISO) expressed concern that the language within certain auditor's reports might be considered security sensitive. They determined that the technical detail described in the *Independent Auditor's Report on Internal Control*, specifically, disclosed vulnerabilities within the AOC's information systems (e.g., password protocols). As a result, the CIO and CISO requested that the two audit reports intended primarily for AOC management (*Independent Auditor's Report on Internal Control* and *Independent Auditor's Report on Compliance and Other Matters*) be excluded from the AOC's PAR, as this is a public document which is posted to the AOC Web site¹.

AOC management recognizes that it is important to disclose our audit findings for accountability and transparency. As a result, AOC management has prepared this summary of the *Independent Auditor's Report on Internal Control* and *Independent Auditor's Report on Compliance and Other Matters*. The summary is intended to disclose our audit findings to our stakeholders, while excluding any detail that might compromise security. This memorandum was prepared by AOC with the knowledge of our independent auditors, Kearney & Company (Kearney). Kearney has reviewed this summary and agreed that this memorandum fairly summarizes their audit findings.

* * * * *

¹ The *Independent Auditor's Report* on the AOC's financial statements is not considered security sensitive and is included in the Performance and Accountability Report for FY 2009.

AOC Summary of Independent Auditor's Report on Internal Control and Independent Auditor's Report on Compliance and Other Matters
April 14, 2010
Page 2 of 4

AOC Summary: Independent Auditor's Report on Internal Control

Kearney audited the AOC's financial statements as of and for the year ended September 30, 2009, and issued their audit report dated December 18, 2009. In planning and performing their audit, Kearney considered AOC's internal control over financial reporting and compliance for the purpose of expressing an opinion on the financial statements, not to provide an opinion on the effectiveness of internal controls. AOC management is responsible for maintaining effective internal control over financial reporting. Kearney's consideration of internal control over financial reporting was not designed to identify all internal control deficiencies that might be significant deficiencies or material weaknesses.

The results of the audit disclosed two material weaknesses and three significant deficiencies, described below. As part of their report, Kearney provided AOC management with recommendations to remediate these weaknesses and deficiencies.

Material Weaknesses

A deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to timely prevent or detect misstatements. A material weakness is a deficiency in internal control, or combination thereof, such that there is a reasonable possibility that a material misstatement of an entity's financial statements will not be timely prevented or detected and corrected. The following two AOC internal control deficiencies were identified as material weaknesses.

1. Internal Control Assessments (Repeat Condition)

AOC does not have a recognized, documented process to monitor the internal and external control environment and has not completed a formal and systematic assessment and evaluation of the design and operation of internal controls. In the absence of a complete assessment, AOC cannot determine if its current internal control design mitigates existing risks and effectively safeguards assets.

2. National Finance Center (NFC) SAS 70 Payroll Reconciliation (Repeat Condition)

AOC has not implemented additional control procedures to reconcile the payroll data transmitted to and received from the NFC. While NFC received an unqualified SAS 70 opinion, this opinion only covers data processed by NFC. NFC's internal controls do not encompass data transmission to and from AOC, for which the AOC is ultimately responsible. Although AOC has made progress in developing and documenting a reconciliation report, AOC has not implemented best practice controls as cited by the Government Accountability Office (GAO).

AOC Summary of Independent Auditor's Report on Internal Control and Independent Auditor's Report on Compliance and Other Matters

April 14, 2010

Page 3 of 4

Significant Deficiencies

A significant deficiency is a deficiency, or combination of deficiencies, in internal control that is less severe than a material weakness. The following three internal control deficiencies were identified as significant deficiencies.

1. Information System General Controls (Repeat Condition)

Kearney evaluated AOC's information system general controls following National Institute of Standards and Technology (NIST) and GAO's Federal Information System Controls Audit Manual (FISCAM) guidance. Kearney identified weaknesses in the following areas: entity-wide security program, access control, and segregation of duties.

2. Information System Application Controls (Repeat Condition)

Kearney evaluated AOC's information system application controls following NIST and FISCAM guidance and found the following information system application controls weaknesses:

- ∞ Time and Attendance Password Parameters: Time and Attendance (T&A) system administration does not ensure that password parameters are set in accordance with industry standards.
- ∞ Time and Attendance User Account Administration: A sample of completed and approved T&A application authorizations for standard users, a supervisor, and a timekeeper were requested. AOC documentation did not evidence authorization for access to the T&A application.
- ∞ Monitoring of Changes to Financial System Security Profiles: AOC has not activated the financial system application audit logging feature to capture user activity.
- ∞ Financial System Journal Entries: The financial system application security features for each document type are not being employed to ensure that requisitions, purchase orders, and payment orders are approved by someone other than the originator, and to ensure document matching.
- ∞ Financial System Security Reporting and Monitoring: Financial system application security reports are inadequate and do not provide information for management to monitor compliance with its security policy.

3. Budget Object Data Validity (Repeat Condition)

AOC purchasing agents enter Budget Object Codes into purchase requisitions. However, the purchasing agents have received no financial training and have no written guidance to ensure consistent coding of transactions.

AOC Summary of Independent Auditor's Report on Internal Control and Independent Auditor's Report on Compliance and Other Matters
April 14, 2010
Page 4 of 4

AOC Summary: Independent Auditor's Report on Compliance and Other Matters

Kearney audited the AOC's financial statements as of and for the year ended September 30, 2009, and issued their audit report dated December 18, 2009. To obtain reasonable assurance about whether AOC's financial statements are free of material misstatement, Kearney performed tests of AOC's compliance with certain provisions of laws and regulations, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. AOC management is responsible for compliance with laws and regulations. Kearney did not test compliance with all laws and regulations applicable to AOC and did not test all internal controls relevant to operating objectives as broadly defined by the Federal Managers' Financial Integrity Act of 1982.

The results of the audit tests disclosed two instances of noncompliance with laws and regulations or other matters, are described below.

- ∞ AOC was not compliant with the Congressional Accountability Act (CAA) of 1995. In the CAA, Congress made its facilities and employees subject to the same safety laws that apply outside of the Legislative Branch. In 1997, additional CAA provisions applied fire safety standards to Congressional buildings. The Office of Compliance has conducted ongoing safety investigations which have identified numerous safety hazards in several AOC buildings.
- ∞ AOC is responsible for maintenance of the utility tunnels that run from the Capitol Power Plant to the House and Senate Office Buildings, United States Capitol, and other surrounding buildings. In January 2006, the Office of Compliance issued citations resulting from its July 2005 investigation, which disclosed violations of the Occupational Safety and Health Act.

AOC is working with the Office of Compliance to remediate these two instances of noncompliance.

FINANCIAL STATEMENTS

Architect of the Capitol

CONSOLIDATED BALANCE SHEETS

As of September 30, 2009 and 2008 (\$ in thousands)

	Fiscal Year 2009	Fiscal Year 2008
ASSETS		
Intragovernmental Assets:		
Fund Balance with Treasury (Note 2)	\$ 502,451	\$ 485,626
Investments (Note 4)	1,847	70
Accounts Receivable (Note 5)	3,824	2,303
Total Intragovernmental	508,122	487,999
Cash and Other Monetary Assets (Note 3)	21	—
Investments (Note 4)	35,705	35,611
Accounts Receivable (Note 5)	156	94
Inventory & Other Related Property (Note 6)	1,006	2
General Property Plant and Equipment, net (Note 7)	1,862,398	1,856,106
Other (Note 8)	9	7
TOTAL ASSETS	\$ 2,407,417	\$ 2,379,819
LIABILITIES		
Intragovernmental:		
Accounts Payable (Note 9)	\$ 291	\$ 224
Unfunded FECA (Notes 9 and 10)	9,151	8,835
Other (Note 9)	3,856	1,030
Total Intragovernmental	13,298	10,089
Accounts Payable (Note 9)	4,075	5,909
Debt Held by the Public (Note 11)	143,633	148,154
Actuarial FECA (Note 10)	45,668	45,909
Contingent and Environmental Liabilities (Note 12)	27,259	85,254
Accrued Annual Leave and Other (Note 10)	21,420	17,875
Capital Lease Liability (Note 14)	25,241	28,615
Contract Holdbacks (Note 15)	12,966	14,826
Other Accrued Liabilities (Note 15)	33,486	28,138
Advances from Others (Note 15)	3,319	12,398
TOTAL LIABILITIES	\$ 330,365	\$ 397,167
NET POSITION		
Unexpended Appropriations	\$ 439,408	\$ 396,932
Cumulative Results of Operations	1,637,644	1,585,720
Total Net Position	\$ 2,077,052	\$ 1,982,652
TOTAL LIABILITIES & NET POSITION	\$ 2,407,417	\$ 2,379,819

The accompanying footnotes are an integral part of these financial statements.

Architect of the Capitol

CONSOLIDATED STATEMENTS OF NET COST

For the Fiscal Years Ending September 30, 2009 and 2008 (\$ in thousands)

Program Costs	Fiscal Year 2009	Fiscal Year 2008
Botanic Garden		
Gross Costs	\$ 11,012	\$ 10,210
Less Earned Revenue	—	—
Net Program Costs	11,012	10,210
Capitol Building		
Gross Costs	58,327	36,356
Less Earned Revenue	(938)	(995)
Net Program Costs	57,389	35,361
Capitol Grounds		
Gross Costs	16,216	9,331
Less Earned Revenue	—	—
Net Program Costs	16,216	9,331
Capitol Police Buildings, Grounds, and Security		
Gross Costs	14,873	15,782
Less Earned Revenue	—	—
Net Program Costs	14,873	15,782
Capitol Power Plant		
Gross Costs	76,829	102,439
Less Earned Revenue	(10,204)	(9,474)
Net Program Costs	66,625	92,965
Capitol Visitor Center		
Gross Costs	16,277	—
Less Earned Revenue	(3,039)	—
Net Program Costs	13,238	—
General Administrative		
Gross Costs	106,495	91,159
Less Earned Revenue	(303)	(614)
Net Program Costs	106,192	90,545
House Office Buildings		
Gross Costs	60,489	52,189
Less Earned Revenue	(79)	(72)
Net Program Costs	60,410	52,117
Library Buildings and Grounds		
Gross Costs	40,123	37,799
Less Earned Revenue	—	—
Net Program Costs	40,123	37,799
Senate Office Buildings		
Gross Costs	77,533	71,237
Less Earned Revenue	(2,696)	(545)
Net Program Costs	74,837	70,692
Supreme Court and Judiciary Buildings and Grounds		
Gross Costs	43,303	38,248
Less Earned Revenue	(35,484)	(31,658)
Net Program Costs	7,819	6,590
Net Cost	\$ 468,734	\$ 421,392

The accompanying footnotes are an integral part of these financial statements.

Architect of the Capitol

CONSOLIDATED STATEMENTS OF CHANGES IN NET POSITION

For the Fiscal Years Ending September 30, 2009 and 2008 (*\$ in thousands*)

	Fiscal Year 2009	Fiscal Year 2008
CUMULATIVE RESULTS OF OPERATIONS		
Beginning Balances	\$ 1,585,720	\$ 1,530,439
Budgetary Financing Sources:		
Appropriations Used	504,685	478,826
Non-Exchange Revenue	1	4
Transfers—In/Out without Reimbursement	—	585
Other Financing Sources:		
Transfers—In/Out without Reimbursement	(2,507)	(18,496)
Imputed Financing from Costs Absorbed by Others	18,479	15,754
Total Financing Sources	520,658	476,673
Net Cost of Operations	(468,734)	(421,392)
Net Change	51,924	55,281
Cumulative Results of Operations	\$ 1,637,644	\$ 1,585,720
UNEXPENDED APPROPRIATIONS		
Beginning Balances	\$ 396,932	\$ 455,635
Budgetary Financing Sources:		
Appropriations Received	548,033	416,436
Appropriations Transferred—In/Out	8,557	10,778
Other Adjustments (Rescissions, etc.)	(9,429)	(7,091)
Appropriations Used	(504,685)	(478,826)
Total Budgetary Financing Sources	42,476	(58,703)
Total Unexpended Appropriations	\$ 439,408	\$ 396,932
NET POSITION	\$ 2,077,052	\$ 1,982,652

The accompanying footnotes are an integral part of these financial statements.

Architect of the Capitol

COMBINED STATEMENTS OF BUDGETARY RESOURCES

For the Fiscal Years Ending September 30, 2009 and 2008 (\$ in thousands)

	Fiscal Year 2009	Fiscal Year 2008
Budgetary Resources		
Unobligated Balance, Brought Forward, October 1	\$ 228,714	\$ 302,518
Adjustment to unobligated balance brought forward, October 1	58	—
Beginning Balances, as adjusted	\$ 228,772	\$ 302,518
Recoveries of Prior Year Unpaid Obligations	9,442	10,896
Budget Authority:		
Appropriation	548,033	416,436
Borrowing Authority	12,709	13,079
Spending Authority from Offsetting Collections:		
Earned:		
Collected	52,643	41,574
Change in Receivable from Federal Sources	(1,252)	1,282
Change in Unfilled Orders: Advance Received	(9,079)	(800)
Transfers from Trust Funds	—	585
Subtotal Budget Authority	\$ 603,054	\$ 472,156
Nonexpenditure Transfers, net, anticipated and actual	8,557	10,778
Permanently not Available	(26,658)	(24,321)
Total Budgetary Resources	\$ 823,167	\$ 772,027
Status of Budgetary Resources		
Obligations Incurred:		
Exempt from Apportionment	\$ 514,050	\$ 499,736
Reimbursable	39,000	43,577
Subtotal	553,050	543,313
Unobligated Balances: Exempt from Apportionment	245,463	202,802
Unobligated Balances—Not Available	24,654	25,912
Total Status of Budgetary Resources	\$ 823,167	\$ 772,027
For Informational Purposes Only:		
Change in Obligated Balances		
Obligated Balances, net:		
Unpaid Obligations, Brought Forward, October 1	\$ 258,263	\$ 269,565
Adjustment to Unpaid Obligations, Brought Forward, October 1	(58)	—
Beginning Balance, as Adjusted	\$ 258,205	\$ 269,565
Uncollected Customer Payments from Federal Sources, Brought Forward	(1,282)	—
Total Unpaid Obligated Balance, Brought Forward, net	256,923	269,565
Obligations Incurred	553,050	543,313
Gross Outlays	(567,564)	(543,719)
Recoveries of Prior-Year Unpaid Obligations, Actual	(9,442)	(10,896)
Change in Uncollected Customer Payments from Federal Sources	1,252	(1,282)
Total, Obligated Balances, Net	\$ 234,219	\$ 256,981
Obligated Balance, Net, End of Period		
Unpaid Obligations	234,249	\$258,263
Uncollected Customer Payments from Federal Sources	(30)	(1,282)
Total, Unpaid Obligated Balance, Net, End of Period	\$ 234,219	\$ 256,981
Net Outlays		
Gross Outlays	567,565	\$ 543,719
Offsetting Receipts	(43,564)	(41,359)
Total Net Outlays	\$ 524,001	\$ 502,360

The accompanying footnotes are an integral part of these financial statements.

NOTES TO FINANCIAL STATEMENTS

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NOTE 1: Summary of Significant Accounting Policies

A. Reporting Entity

The Architect of the Capitol (AOC) is an office within the Legislative Branch of the federal government. Initially authorized by Congress to provide “suitable buildings and accommodations for the Congress of the United States,” its role has evolved to include responsibility for the maintenance, operation, development, and preservation of the Capitol Building; Capitol Grounds; Capitol Police Buildings, Grounds, and Security; Capitol Power Plant (CPP); Capitol Visitor Center (CVC); House Office Buildings; Library of Congress Buildings and Grounds; Senate Office Buildings; Supreme Court Building and Grounds; and U.S. Botanic Garden (USBG).

The AOC is also responsible for:

- supporting Congress during official, national events (e.g., Presidential Inaugurations) held at the Capitol or on the Capitol Grounds,
- providing steam and chilled water to the Supreme Court, Thurgood Marshall Federal Judiciary Building (TMFJB), Union Station, and the Folger Shakespeare Library, and steam only to the Government Printing Office (GPO) and the Postal Square building,
- providing visitor guide service operations at the CVC, and
- providing oversight for the contract food services in the U.S. Senate Restaurants.

Non-entity assets are those held by the AOC but unavailable for use in its operations. Activities that give rise to non-entity assets include:

- a portion of steam and chilled water collections,
- rent collections from the Alternate Computer Facility and the Monocle Restaurant,
- flag-flying fees, and
- provision of palm trees for rent.

Upon receipt, funds for these activities are not available for AOC use. The AOC’s only non-entity asset is in Accounts Receivable.

B. Basis of Accounting and Presentation

The AOC’s Balance Sheet has been prepared in conformity with U.S. generally accepted accounting principles (GAAP) as promulgated by the Federal Accounting Standards Advisory Board (FASAB). The American Institute of Certified Public Accountants (AICPA) recognizes FASAB standards as GAAP for

federal reporting entities. These principles differ from budgetary reporting principles. The differences relate primarily to the capitalization and depreciation of property and equipment as well as the recognition of other long-term assets and liabilities. For financial reporting purposes, the AOC has issued AOC Order 32-02 which adopts GAAP for financial reporting and internal controls in a manner consistent for a federal office.

As a Legislative Branch office of the federal government, the organization is not required to follow the accounting principles established by the Comptroller General under 31 U.S.C. 3511 or the standards promulgated by FASAB. The AOC has not adopted the Government Management and Reform Act of 1994, the Federal Managers Financial Integrity Act, the Federal Financial Management Improvement Act of 1996, or the Government Performance and Results Act, as these standards apply only to Executive Branch agencies. Nonetheless, the AOC is committed to using these Acts as best practices and incorporates them into its financial management practices, as appropriate.

C. Fund Balance with Treasury

The AOC maintains all cash accounts, with the exception of those described in *Notes 3 and 4*, with the U.S. Department of Treasury (Treasury). The Fund Balance with Treasury account represents the unexpended balances of appropriation accounts, trust accounts, and revolving funds. Cash receipts and disbursements are processed by Treasury, and AOC records are reconciled with those accounts on a regular basis.

D. Accounts Receivable

Accounts Receivable includes reimbursement for supplying certain AOC and non-AOC entities on Capitol Hill with steam and chilled water to heat and cool their facilities (*see Note 5*). Per annual appropriation, the AOC provides steam and chilled water to the Folger Library, Union Station, the Supreme Court and TMFJB, as well as steam only to the GPO and the Postal Square building. The AOC is legislatively provided the ability to collect a pre-determined amount to recover the cost of supplying these services and record these amounts as offsetting collections. Any amount collected over the pre-determined amount is credited to Treasury’s Miscellaneous Receipt Fund and is a non-entity asset. Starting in fiscal year 2009, Accounts Receivable may also arise from the food service commissions at the U.S. Senate Restaurants.

E. Investments

The AOC has a Capitol Visitor Center Revolving Fund that has the authority to invest cash resources. This investment is held

with Treasury. For this account, the cash resources not required to meet current expenditures are invested in interest-bearing obligations of the U.S. Government. When securities are purchased, the investment is recorded at face value (the value at maturity). The AOC's intent is to hold investments to maturity, unless securities are needed to sustain operations. No provision is made for unrealized gains or losses on these securities because, in the majority of cases, they are held to maturity. The market value of the investments is the current market value at the end of the reporting period.

In addition, as a result of financing the construction of the TMFJB, the AOC has funds invested by a trustee outside of Treasury. These investments are recorded at current market value.

See *Notes 1.F. and 4* for additional detail on investments.

F. Trust and Revolving Funds

Trust Funds

The AOC administered the National Garden Trust Fund (*see Note 4*) in 2009, subject to the direction of the Joint Committee on the Library (of Congress). The AOC is authorized to accept gifts or bequests of money, plant material, and other property on behalf of the USBG. Gifts of money are deposited into the National Garden Trust Fund. The AOC may also dispose of, utilize, obligate, expend, disburse, and administer such gifts for the benefit of the USBG, including, among other things, the carrying out of any programs, duties, or functions of the Botanic Garden, and for constructing, equipping, and maintaining the National Garden. During fiscal year 2009, the National Garden Trust Fund balance was returned to its donors and the trust fund is dormant at year end.

Revolving Funds

As of September 30, 2009, the AOC had stewardship responsibility for five revolving funds that are included in the Balance Sheet (*see Note 4*). The revolving funds with fiscal year 2009 activity consist of: the House of Representatives Wellness Center Fund, the Senate Health and Fitness Facility Fund, the Judiciary Office Building Development and Operations Fund, the Capitol Visitor Center Revolving Fund, and the Recycling Revolving Fund.

Preservation and maintenance of the House of Representatives Wellness Center are paid by members' dues. Proceeds from the Senate recycling program are used to pay for the preservation and maintenance of the Senate Health and Fitness Facility. The Judiciary Office Building Development and Operations Fund is used to record transactions related to the TMFJB.

The CVC Revolving Fund is used to administer funds from the sale of gift shop items, the deposit of miscellaneous receipts such as gifts, net profits or commissions paid to the CVC for food service operations, and any fees collected from other functions within the CVC facility. The Recycling Revolving Fund was established by Congress on March 11, 2009 to record proceeds from the sale of recyclable materials and may be used to carry out recycling programs or other programs that promote energy savings at the AOC.

G. Recognition of Financing Sources

The AOC receives funding to support its programs through appropriations authorized by Congress. Funding for operating and capital expenditures is received as annual, multi-year, and no-year appropriations. The appropriations the AOC receives are:

- Botanic Garden,
- Capitol Building,
- Capitol Grounds,
- Capitol Police Buildings, Grounds, and Security,
- Capitol Power Plant,
- Capitol Visitor Center,
- General Administrative,
- House Office Buildings,
- Library Buildings and Grounds,
- Senate Office Buildings, and
- Supreme Court and Judiciary Buildings and Grounds.

H. Operating Materials and Supplies

AOC materials and supplies consist of tangible personal property consumed during normal operations. Per Statement of Federal Financial Accounting Standards (SFFAS) No. 3, *Inventory and Related Property*, operating materials and supplies are recorded using the purchases method. This method provides that operating materials and supplies be expensed when purchased.

Operating materials and supplies are purchased using funds specifically appropriated to AOC's jurisdictions; therefore, the related usage of those materials and supplies is restricted to those specific appropriations making the purchases.

I. Inventory

AOC inventory is composed of an on-hand balance of retail inventory to be available for sale in its gift shops as required by the mission of the Capitol Visitor Center. This inventory is valued at historical cost using the First-in, First-out (FIFO) method, less

an allowance which is based on slow-moving, excess or obsolete inventory. This allowance is currently estimated to be zero. There are no restrictions on this inventory (see Note 6).

J. Property and Equipment

The AOC records property and equipment at cost. Buildings and equipment are depreciated over their estimated useful lives, which range from 2 to 40 years, using the straight-line method. All property and equipment is in the AOC's possession. None is held by others (see Note 7).

The following table presents the AOC capitalization thresholds and related useful lives.

Property Type	Useful Life (Years)	Capitalization Threshold
Real Property	40	\$200,000
Improvements	20	\$200,000
Equipment and Vehicles	2-15	\$25,000
Assets Under Capital Lease	Shorter of Lease Term or Useful Life of Property Type	See Related Property Type
Intellectual Property	3	\$1,000,000

K. AOC Heritage Collections

Stewardship Property, Plant & Equipment (PP&E) consist of assets whose physical properties resemble those of General PP&E that are traditionally capitalized in the financial statements. Due to the nature of these assets, however, determining a monetary value would be difficult, and matching costs with specific periods may not be possible or meaningful. Heritage assets are Stewardship PP&E that are unique and are generally expected to be preserved indefinitely. Heritage assets have historical or natural significance; are of cultural, educational, or artistic importance; or have significant architectural characteristics. These assets are reported in terms of physical units rather than cost or other monetary values per SFFAS No. 29. There are two types of heritage assets: collection, which are objects gathered and maintained for exhibition, such as museum and art collections; and non-collection, which are parks, memorials, monuments, and buildings. The AOC holds both types of heritage assets (see Note 18).

L. Liabilities

Liabilities represent the amounts owed to others for goods or services received, and amounts owed for progress in contract performance. Because no liability may be paid without an enacted appropriation, some liabilities are funded while others are

unfunded. For accrued unfunded annual leave and workers' compensation, appropriations may be enacted to fund these activities. The Balance Sheet presents the following types of liabilities:

- Unfunded Actual and Actuarial Workers' Compensation,
- Accounts Payable,
- Debt Held by the Public,
- Contingent and Environmental Liabilities,
- Accrued Annual Leave, and
- Capital Lease Liability.

M. Personnel Compensation and Benefits

Federal Employee Benefits—The Federal Employees' Compensation Act (FECA) provides income and medical cost protection to covered federal civilian employees injured on the job, employees who have incurred a work-related occupational disease, and beneficiaries of employees whose death is attributable to a job-related injury or occupational disease. The FECA program is administered by the U.S. Department of Labor (DOL), which initially pays valid claims and subsequently seeks reimbursement from the federal agencies employing the claimants. The DOL determines the actuarial liability for claims outstanding at the end of each fiscal year. This liability includes the estimated future costs of death benefits, workers' compensation, and medical and miscellaneous costs for approved compensation cases (see Note 10).

The AOC recognizes its share of the cost of providing future pension benefits to eligible employees over the period that they render the related services. This amount is considered imputed financing (see Note 13).

The AOC also recognizes a current-period expense for the future cost of post-retirement health benefits and life insurance for its employees while they are actively employed. This amount is also considered imputed financing (see Note 13).

Annual and Other Leave—Annual leave is recognized as an expense and a liability as it is earned. The liability is reduced as leave is taken. The accrued leave liability is principally long-term in nature. Other types of leave are expensed when taken and no future liability is recognized for these amounts (see Note 10).

N. Contingencies

The AOC accounts for contingencies in accordance with SFFAS No. 5, *Accounting for Liabilities of the Federal Government*. This standard defines a contingency as an existing condition, situation, or set of circumstances involving uncertainty as to the possible gain or loss to an entity that will ultimately be resolved when

one or more future events occur or fail to occur. Management recognizes a contingent liability for liabilities equal to or greater than \$100,000 when a past transaction or event has occurred, a future outflow or other sacrifice of resources is probable, and the related future outflow is measurable. The AOC has recorded provisions for losses in relation to the definition of contingent liabilities documented above (*see Note 12*).

O. Statement of Net Cost

The Statement of Net Cost (SNC) is presented, in accordance with SFFAS No. 4, by responsibility segment or jurisdiction. Costs not otherwise assigned to a jurisdiction are presented as General Administrative. The AOC has a number of initiatives (e.g., cost accounting, performance-based budgeting, etc.) in process to assist with gathering data in a manner to provide even more information to its stakeholders. While these initiatives are in various stages of progress, the AOC believes the responsibility segment approach provides information to its stakeholders in a direct, informative, and succinct manner. As financial reporting initiatives mature, the AOC plans to enhance the SNC by linking it to the AOC's Strategic Plan, following best practices seen at other federal agencies.

The 11 responsibility segments reported on the SNC are aggregates of the following funds:

1. Botanic Garden
 - Botanic Garden
 - National Garden
2. Capitol Building
3. Capitol Grounds
 - Capitol Grounds
 - West Central Front
4. Capitol Police Buildings, Grounds, and Security
5. Capitol Power Plant
6. Capitol Visitor Center
7. General Administrative
 - General Administrative
 - American Disabilities Act
 - Congressional Cemetery
8. House Office Buildings
 - House Office Buildings
 - House Wellness Center

9. Library Buildings and Grounds

10. Senate Office Buildings

- Senate Office Buildings
- Senate Health and Fitness

11. Supreme Court and Judiciary Buildings and Grounds

- Supreme Court
- Thurgood Marshall Federal Judiciary Building

Revenues are calculated on a direct cost recovery basis.

P. Use of Estimates

The preparation of financial statements in conformity with GAAP requires management to make certain estimates and assumptions. These estimates and assumptions affect the reported amounts of assets, liabilities (including contingent liabilities), and the reported amounts of revenues, financing sources, expenses, and obligations incurred during the reporting period. These estimates are based on management's best knowledge of current events, historical experience, and other assumptions that are believed to be reasonable under the circumstances. Estimates are subject to a wide range of variables, including assumptions on future economic and financial events. Accordingly, actual results may differ from those estimates.

NOTE 2: Fund Balance with Treasury

Funds with Treasury primarily consist of appropriated funds. As of September 30, 2009, the AOC also had stewardship responsibility for five revolving funds and administrative responsibility for one trust fund. During fiscal year 2009, the National Garden trust fund balance was returned to its donors and had a zero balance as of September 30, 2009.

The balance of these funds as of September 30, 2009 and 2008 is as follows:

A. Fund Balances

Dollars in Thousands

Fund Type	2009	2008
Appropriated Funds	\$ 496,024	\$ 473,135
Trust and Revolving Funds	6,427	12,491
Total	\$ 502,451	\$ 485,626

B. Status of Fund Balance with Treasury

Fund Balances with Treasury are classified as obligated, unobligated available, or unobligated unavailable. Unobligated available balances represent unexpired appropriations available for incurring new obligations. Unobligated unavailable balances are expired appropriations that are no longer available to incur new obligations. Obligated balances not yet disbursed include undelivered orders or orders received but not yet paid.

Status of Fund Balance with Treasury as of September 30, 2009 and 2008 consists of the following:

Dollars in Thousands

Balance Type	2009	2008
Unobligated Balance		
Available	\$ 243,595	\$ 199,937
Unavailable	24,654	27,426
Obligated Balance not yet Disbursed	234,202	258,263
Total	\$ 502,451	\$ 485,626

NOTE 3: Cash and Other Monetary Assets

Cash and Other Monetary Assets includes cash balances held with a commercial bank and change-making funds maintained for operations in the CVC gifts shops. There are no restrictions on cash.

The balances as of September 30, 2009 and 2008 are summarized below:

Dollars in Thousands

Cash and Other Monetary Assets	2009	2008
Undeposited Collections	\$ 7	\$ —
Cash Imprest Funds	14	—
Total	\$ 21	\$ —

NOTE 4: Investments

A. Investments Held With Treasury

The USBG National Garden was funded privately via The National Fund for the U.S. Botanic Garden, a not-for-profit corporation assisting the AOC in raising private funds pursuant to P.L. 102-229. This was the first AOC construction project authorized by Congress which was financed with privately donated funds. Funds were raised by private citizens, corporations, and garden clubs. The donations were invested in government securities through the Bureau of Public Debt using their

Web-based application, FedInvest. By law, interest was credited to the National Garden Fund. During fiscal year 2009, National Garden funds were returned to the donors and a zero balance remained at year end.

The CVC Revolving Fund was established under the *Capitol Visitor Center Act of 2008* (2 USC 31, 2201 et. seq.) to provide for the sale of gift shop items and the deposit of miscellaneous receipts. Donated funds are invested in government securities through the Bureau of Public Debt using their Web-based application, FedInvest. By law, interest is credited to the fund.

The investment balances as of September 30, 2009 and 2008 are as follows:

Dollars in Thousands

Investments Held with Treasury	2009	2008
Invested	\$ 2,826	\$ 150
Add: Interest	1	4
Less: Disbursed	(980)	(84)
Total	\$ 1,847	\$ 70

B. Investments Held Outside Treasury

In 1989, the AOC entered into an agreement with Boston Properties for the construction of the TMFJB. To finance the construction of the building, Shearson Lehman Hutton, Inc., and Kidder, Peabody, & Co., Inc., issued 30-year Serial Zero Coupon Certificates of Participation.

The proceeds were received by a trustee, The U.S. Trust Company of New York (now The Bank of New York), and deposited into two funds, the Project Fund and the Operating Reserve Fund. The funds are held outside the Treasury by the trustee and, at the AOC's direction, are invested or disbursed.

After construction, the remaining amounts were left in trust in the Project Fund. During 2007, the Project Fund balance was transferred to the Operating Reserve Fund. The Operating Reserve Fund is held in reserve for future needs (e.g., roof replacement, major renovation). The market values of these funds are listed below:

Dollars in Thousands

Investments Held Outside Treasury	2009	2008
Operating Reserve	\$ 35,705	\$ 35,611
Total	\$ 35,705	\$ 35,611

NOTE 5: Accounts Receivable

The breakdown of the consolidated accounts receivable (both Entity and Non-Entity) as of September 30, 2009 and 2008 are as follows:

Dollars in Thousands

Accounts Receivable	2009	2008
Entity:		
Intragovernmental	\$ 31	\$ 1,743
With the Public	152	83
Total Entity	183	1,826
Non-Entity:		
Intragovernmental	3,793	560
With the Public	4	11
Total	\$ 3,980	\$ 2,397

Based upon a management review, all year-end accounts receivable are deemed collectible.

NOTE 6: Inventory

Retail inventory, net of the allowance for slow-moving, excess, or obsolete inventory, as of September 30, 2009 and 2008 consists of the following:

Dollars in Thousands

Inventory Held for Current Sale	2009	2008
Gross Cost	\$ 1,006	\$ 2
Less: Allowance	(—)	(—)
Total	\$ 1,006	\$ 2

NOTE 7: Property and Equipment

AOC differentiates its property and equipment by distinct categories. The following represents these categories and their balances as of September 30, 2009 and 2008.

Dollars in Thousands

Property and Equipment—2009			
Class of Property and Equipment	Acquisition Value	Accumulated Depreciation	Net Book Value
Buildings	\$ 1,419,067	\$ 483,874	\$ 935,193
Building Improvements	968,792	511,570	457,222
Land	162,947	—	162,947
Land Improvements	143,646	36,729	106,917
Capital Leases			
Real Property	39,450	17,795	21,655
Leasehold Improvements	22,934	8,952	13,982
Equipment Computers, Hardware and Other	34,100	23,403	10,697
Construction			
Work-in-Progress	153,785	—	153,785
Total	\$ 2,944,721	\$ 1,082,323	\$ 1,862,398

Dollars in Thousands

Property and Equipment—2008			
Class of Property and Equipment	Acquisition Value	Accumulated Depreciation	Net Book Value
Buildings	\$ 785,512	\$ 460,723	\$ 324,789
Building Improvements	919,917	475,561	444,356
Land	162,947	—	162,947
Land Improvements	142,264	29,823	112,441
Capital Leases			
Real Property	39,450	15,362	24,088
Leasehold Improvements	22,934	6,952	15,982
Equipment Computers, Hardware and Other	34,788	24,201	10,587
Construction			
Work-in-Progress	760,916	—	760,916
Total	\$ 2,868,728	\$ 1,012,622	\$ 1,856,106

The educational, artistic, architectural, and historical significance of the U.S. Capitol, Senate, House, Supreme Court, and Jefferson buildings meets the FASAB criteria for heritage assets. Since these buildings are currently used for day-to-day business, they are further classified as multi-use heritage assets. As a result, they are depreciated in the same manner as if they were general purpose assets.

In 2009, the AOC capitalized \$569 million in construction costs associated with the Capitol Visitor Center facility.

The AOC is responsible for reviewing and authorizing all changes to the buildings and grounds prior to any change occurring.

NOTE 8: Other Assets

Dollars in Thousands

Other Assets	2009	2008
Advances to Others	\$ 9	\$ 7

On September 30, 2009 and 2008, Advances to Others consisted of travel advances to AOC employees.

NOTE 9: Liabilities Not Covered by Budgetary Resources

The Balance Sheet as of September 30, 2009 and 2008 includes liabilities not covered by current budgetary resources. Such liabilities require Congressional action prior to budgetary resources being provided. Although future appropriations to fund these liabilities are likely and anticipated, it is not certain that appropriations will be enacted to fund them. Liabilities not covered by budgetary resources generally include accrued annual and compensatory leave, workers' compensation, debt held by the public, and the capital lease liability.

Liabilities not covered by budgetary resources for September 30, 2009 and 2008 are as follows:

Dollars in Thousands

Liabilities	2009	2008
Intragovernmental:		
Liabilities covered by budgetary resources	\$ 291	\$ 224
Liabilities not covered by budgetary resources	13,007	9,865
Total Intragovernmental	\$ 13,298	\$ 10,089
Liabilities covered by budgetary resources	\$ 53,846	\$ 90,822
Liabilities not covered by budgetary resources	263,221	306,345
Total Non-Intragovernmental	\$ 317,067	\$ 397,167
Total	\$ 330,365	\$ 407,256

NOTE 10: Payroll and Liabilities

The liability for Accrued Annual Leave and Other is comprised of three accounts: Funded Accrued Payroll (payrolls that have been earned but not paid), Unfunded Accrued Annual Leave (employee leave that has been earned but not taken) and Unemployment Compensation.

Dollars in Thousands

Accrued Annual Leave and Other		
Accrual Type	2009	2008
Funded Accrued Payroll	\$ 10,917	\$ 8,761
Unfunded Accrued Annual Leave	10,503	9,114
Total	\$ 21,420	\$ 17,875

Workers' Compensation is reported as required by the Federal Employees' Compensation Act (FECA). The liability is presented in two parts: an annual accrued liability for billed costs (current portion) and a long-term, actuarial-based unfunded liability (see Note 1.L).

The actuarial workers' compensation liability was calculated using a formula provided by the DOL.

Dollars in Thousands

Workers' Compensation		
Type	2009	2008
Unfunded Annual (Current)	\$ 9,151	\$ 8,835
Actuarial Unfunded (Long-Term)	\$ 45,668	\$ 45,909

Estimated future costs have been actuarially determined, and they are regarded as a liability to the public because neither the costs nor reimbursement have been recognized by DOL. Workers' Compensation is included in Liabilities not covered by Budgetary Resources, as described in Note 9.

NOTE 11: Debt Held by the Public

As of September 30, 2009, Debt Held by the Public consists of the financing obtained for the construction of the TMFJB. The debt consists of 30-year Serial Zero Coupon Certificates of Participation issued in 1988 worth \$125,391,621 with a maturity value of \$525,515,000. The certificates are amortized using the effective interest rate of 8.72%. The balance of Debt Held by the Public is as follows:

Dollars in Thousands

Debt Held by the Public		
Type	2009	2008
Securities	\$ 258,450	\$ 275,680
Interest Payable	1,019	1,051
Subtotal	259,469	276,731
Discount on Securities	(400,123)	(400,123)
Less: Amortization of Discount	284,287	271,546
Subtotal	(115,836)	(128,577)
Total	\$ 143,633	\$ 148,154

Various judiciary offices and personnel occupy the TMFJB under an Interagency Agreement between the AOC and the Administrative Office of the U.S. Courts. Base rent will not change over the initial 30 years, and is set at the amount necessary to retire the debt at \$17,230,000 annually. Payment of the certificates will end in August 2024.

This certificate is not subject to prepayment or acceleration under any circumstance, pursuant to the language in the certificate agreement.

NOTE 12: Contingent and Environmental Liabilities

The AOC recorded contingent and environmental liabilities in the amount of \$27.3 million and \$85.3 million as of September 30, 2009 and 2008, respectively. This amount is for estimated environmental clean up costs as well as for claims against the AOC for which the amount of an unfavorable outcome may be reasonably estimated. For the purpose of estimating contingent liabilities for the year-end financial statements, the AOC conducted a review of existing claims that we think are probable the AOC will lose. Management's review covered claims arising from contracts, environmental issues, labor and equal employment opportunity issues, and personal and property damage.

Additionally, management and AOC's General Counsel evaluated the materiality of cases determined to have a reasonably possible chance of an adverse outcome. Liabilities for the cases reviewed and for contingencies were recognized for those cases determined to meet management's materiality threshold, as discussed in *Note 1.N*.

Environmental Cleanup Cost Liability and Contingent Liability

The Capitol Power Plant has been operating since the early 1900s and, today, plays a central role in generating steam for heating and chilled water for air conditioning several facilities on the Capitol complex.

In February 2006, the Office of Compliance (OOC) issued a complaint alleging that certain unsafe work practices and conditions exist in the CPP utility distribution tunnels for delivering these utilities. The alleged unsafe work practices and conditions cited in the complaint pertain to the structural integrity of concrete in the utility tunnels and issues involving tunnel egress and communication systems.

In addition, in January 2006, the OOC issued Citations 59 and 60. These citations are not part of the complaint and formal enforcement action, but address other alleged unsafe work practices and conditions in the utility tunnels. The unsafe work

practices and conditions alleged by the OOC in Citation 59 are that employees working in the utility tunnels are exposed to heat stress conditions.

The AOC is actively seeking solutions to the issues identified by the OOC and intends to pursue settlement discussions with the goal of coming to a resolution of the issues in the complaint conditioned upon AOC budget authority, and logistical, technical, and other limitations outside of the office's control. Management and General Counsel believe the AOC has made adequate provision for the amounts that may become due under the suits, claims, and proceedings discussed herein.

In Citation 60, the OOC addressed certain alleged unsafe work practices and conditions in the CPP utility tunnels. Specifically, this Citation alleges that the AOC had not adequately monitored CPP employees for asbestos exposure, provided required information to employees regarding the presence and location of asbestos in the tunnels, provided the required notification to employees regarding asbestos-containing materials, or adequately maintained the utility tunnels so that they were as free as practicable from asbestos, and asbestos-related waste, debris, and dust. Funding was requested and funds were appropriated by Congress to address the utility tunnel issues which is an amount adequate in management's opinion to comply with the Environmental Protection Agency's guidelines.

During fiscal year 2009, the environmental cleanup cost liability was re-determined and adjusted down by approximately \$30 million to better reflect funded amounts.

Similarly, the contingent liability was reduced by approximately \$30 million due to settled cases during fiscal year 2009, as well as a reduction in the potential liability for certain large cases.

Fort George G. Meade, Maryland

Management's review concluded that the AOC is not responsible for the clean-up and remediation of previous environmental contamination on the approximately 100 acres of land at Fort George G. Meade, Maryland (FGGM), which the U.S. Army transferred to us. The Army is responsible for the environmental clean-up of any previous contamination under the Comprehensive and Environmental Response Compensation and Liability Act (CERCLA). The AOC understands that the Army is actively monitoring existing contamination on the entire FGGM site, including the 100 acres transferred to us, and is pursuing appropriate remediation of this contamination.

NOTE 13: Imputed Financing

To measure the full cost of activities, SFFAS No. 4, *Managerial Cost Accounting*, requires that total costs of programs include imputed financing. Such costs result when an entity receives unreimbursed services from other U.S. government entities.

Imputed financing consists of future pension benefits for AOC employees that are paid on its behalf by the Office of Personnel Management (OPM), printing services provided by the GPO, design elements paid for by the Army Corps of Engineers to improve building infrastructure campus-wide, and including Treasury judgment fund payments, as applicable. AOC conducted a review of its imputed financing for its financial statements as of September 30, 2009 and 2008.

With some exceptions, employees participate in one of three defined benefit retirement programs based on their employment start date: employee and employer contributions are made to the Civil Service Retirement and Disability Fund (CSRDF), the Civil Service Retirement Offset, or the Federal Employees Retirement System—all administered by OPM. Employees may also participate in the Thrift Savings Plan (TSP), a defined contribution retirement savings and investment plan, as authorized by the Federal Employees Retirement System Act of 1986. The Federal Retirement Thrift Investment Board administers this Plan.

Civil Service Retirement System (CSRS)

According to PL 99-335, all employees hired prior to January 1, 1987, could elect CSRS or CSRS Offset. The CSRS provides a basic annuity and Medicare coverage. The CSRS fund covers most employees hired prior to January 1, 1984. The AOC and the employee contribute to Medicare at the rate prescribed by law. The AOC does not match contributions to the TSP for employees who participate in the CSRS.

Civil Service Retirement System Offset

CSRS Offset generally covers those employees who have had a break in their CSRS service of more than one and less than five years by the end of 1986. The AOC and the employee contribute to Social Security and Medicare at the rates prescribed by law. The AOC does not match contributions to TSP for participating employees in the CSRS Offset.

Federal Employee Retirement System (FERS)

According to PL 99-335, employees with less than five years of creditable civilian service as of December 31, 1986 were automatically converted to FERS. In addition, during certain periods in 1987, 1988, and 1998, employees hired before January 1, 1984, could choose to participate in FERS. This system consists of Social Security, a basic annuity plan, and the TSP.

The AOC and the employee contribute to Social Security and Medicare at rates prescribed by law. In addition, the AOC is required to contribute to the TSP a minimum of 1% per year of the basic pay of employees covered by this system. The AOC also matches a voluntary employee contribution up to 3% dollar-for-dollar, and another 2% is matched 50 cents on the dollar.

Imputed Financing as of September 30, 2009 and 2008 consists of the following:

Dollars in Thousands

Imputed Financing Type	2009	2008
CSRS	\$ 7,215	\$ 7,733
CSRS Offset	725	714
FERS	22,679	17,976
Less: Contributions	(24,328)	(20,724)
Subtotal: Pensions	6,291	5,699
Health	11,315	9,230
Life Insurance	32	28
Total Employee Benefits	\$ 17,638	\$ 14,957
GPO	448	470
Army Corps of Engineers	393	327
Total	\$ 18,479	\$ 15,754

NOTE 14: Leases

As of September 30, 2009, the AOC was committed to various non-cancelable leases primarily covering administrative office space and storage facilities, motor vehicles, and office equipment. Many of these leases contain escalation clauses tied to inflationary and tax increases, and renewal options. At year end, the AOC had two real property capital leases.

The following is a schedule of the present value of the future minimum lease payments required by those leases identified as capital leases, which have initial or remaining noncancelable lease terms in excess of one year.

Capital Leases

Dollars in Thousands

Capital Leases—2009			
Fiscal Year	Real Property	Personal Property	Total
2010	\$ 4,571	—	\$ 4,571
2011	4,599	—	4,599
2012	4,627	—	4,627
2013	4,655	—	4,655
2014	3,080	—	3,080
Thereafter	9,296	—	9,296
Total Future Lease Payments			<u>30,828</u>
Less: Imputed Interest			<u>(5,587)</u>
Total Capital Lease Liability			<u>\$ 25,241</u>

As of September 30, 2008, the present value of the future minimum lease payments required by capital leases follows:

Dollars in Thousands

Capital Leases—2008			
Fiscal Year	Real Property	Personal Property	Total
2009	\$ 4,536	—	\$ 4,536
2010	4,571	—	4,571
2011	4,599	—	4,599
2012	4,627	—	4,627
2013	4,655	—	4,655
Thereafter	12,376	—	12,376
Total Future Lease Payments			<u>35,364</u>
Less: Imputed Interest			<u>(6,749)</u>
Total Capital Lease Liability			<u>\$ 28,615</u>

Operating Leases

The AOC currently has leases with the General Services Administration (GSA) and commercial vendors for office and storage space, plus rentals of equipment and vehicles.

As of September 30, 2009, the aggregate of future payments due under noncancelable operating leases and estimated real property payments to GSA for fiscal years 2010 through 2014 follows:

Dollars in Thousands

Operating Leases—2009			
Fiscal Year	Real Property	Personal Property	Total
2010	\$ 5,937	\$ 73	\$ 6,010
2011	4,740	43	4,783
2012	4,283	—	4,283
2013	4,283	—	4,283
2014	4,283	—	4,283
Thereafter	34,332	—	34,332
Total Future Lease Payments			<u>\$ 57,974</u>

As of September 30, 2008, the aggregate of future payments due under operating leases for fiscal years 2009 through 2013 follows:

Dollars in Thousands

Operating Leases—2008			
Fiscal Year	Real Property	Personal Property	Total
2009	\$ 6,614	\$ 12	\$ 6,626
2010	5,029	12	5,041
2011	4,741	1	4,742
2012	4,283	—	4,283
2013	4,283	—	4,283
Thereafter	38,616	—	38,616
Total Future Lease Payments			<u>\$ 63,591</u>

NOTE 15: Other Liabilities

As of September 30, 2009, other liabilities consists of accrued accounts payable and miscellaneous receipts that are to be forwarded to Treasury (custodial liabilities). These receipts included, but were not limited to, flag-flying fees, rent for the Monocle restaurant, and steam and chilled water. These liabilities are classified as current.

NOTE 16: Net Cost of Operations

Expenses for salaries and related benefits for the periods ending September 30, 2009 and 2008 amounted to \$239 million and \$179 million, which was about 46% and 39% of the annual cost of operations, respectively. Included in the net cost of operations for 2009 and 2008 are imputed federal employee benefit costs of \$18 million and \$14 million paid by OPM, respectively.

Exchange revenue with the public consists of revenues received for services provided, such as access to the Senate Health and Fitness Facility, House Wellness Center, steam and chilled water to governmental and private entities, work performed on reimbursable projects, and rent, interest, and project reimbursement for the TMFJB.

NOTE 17: Reconciliation of Net Cost of Operations (Proprietary) to Budget

FASAB requires a reconciliation of proprietary and budgetary information (the former Statement of Financing) in a way that helps users relate the two. The objective is to provide an explanation for the differences between budgetary and financial (proprietary) accounting and is accomplished by means of a reconciliation of budgetary obligations and non-budgetary resources available to the reporting entity with its net cost of operations.

Most entity transactions are recorded in both budgetary and proprietary accounts. However, because different accounting bases are used for budgetary and proprietary accounting, some transactions may appear in only one set of accounts (e.g., accrual of workers' compensation liabilities is only recorded in proprietary records). Further, not all obligations or offsetting collections may result in expenses or exchange revenue (e.g., a building purchase is capitalized on the Balance Sheet in proprietary accounts, but obligated and outlaid in budgetary accounts).

Resources Used to Finance Activities reflects the budgetary resources obligated and other resources used to finance AOC activities. The obligations of budgetary resources are net of offsetting collections, recoveries and receipts. Other resources are financing sources that increase net position but are not budgetary resources (e.g., donated property or imputed costs).

Resources Used to Finance Items Not Part of the Net Cost of Operations includes resources used to finance the activities of the entity to account for items that were included in net obligations and other resources but were not part of the SNC. This item includes undelivered orders reflected in net obligations but not part of current period SNC. It also includes budgetary resources and obligations recognized in the current period that do not affect the net cost of operations (e.g., an acquisition of assets reflected in net obligations but not in SNC).

Components Requiring or Generating Resources in Future Periods identifies items that are recognized as a component of the SNC for the current period but the budgetary resources (and related obligation) will not be provided (or incurred) until a subsequent period. Costs such as contingent liabilities and workers'

compensation are not always funded in the period the costs are incurred and are included in this item.

Components Not Requiring or Generating Resources includes items that are recognized as part of the net cost of operations for the period but will not generate or require the use of resources, such as depreciation and amortization.

The reconciliation for the fiscal years ending September 30, 2009 and 2008 are as follows:

Dollars in Thousands

Reconciliation of Net Cost of Operations to Budget	2009	2008
Resources Used to Finance Activities:		
Budgetary resources obligated	\$ 501,295	\$ 489,780
Other resources	15,972	(2,742)
Total resources used to finance activities	517,267	487,038
Less: resources used to finance items not part of the net cost of operations	(64,687)	(119,153)
Total Resources Used to Finance the Net Cost of Operations	\$ 452,580	\$ 367,885
Components of the net cost of operations requiring or generating resources in future periods	(56,530)	(10,597)
Components of net cost of operations not requiring or generating resources in future periods	72,684	64,104
Net Cost of Operations	\$ 468,734	\$ 421,392

NOTE 18: Stewardship Assets

Stewardship assets, per SFFAS No. 29, *Heritage Assets and Stewardship Land*, are property, plant, and equipment that are unique for one or more of the following reasons: historic or natural significance; cultural, educational, or artistic importance; or significant architectural characteristics. Heritage assets are expected to be preserved indefinitely. Federal agencies are not required to show dollar amounts on the Balance Sheet for heritage assets, except for multi-use heritage assets, which are defined as heritage assets whose predominant use is in general government operations. The Capitol, House Office Buildings, Senate Office Buildings, Supreme Court, and Thomas Jefferson Building of the Library of Congress are all multi-use heritage assets at the AOC.

The AOC's heritage assets and stewardship land are directly related to its mission to preserve and enhance the Capitol complex. Authority for the care and maintenance of the Capitol was established by legislation in 1876. The Architect's core duties include the conservation and care of works of art in the buildings

under the Architect's jurisdiction and the upkeep and improvement of the living assets on the Capitol Grounds and in the Botanic Garden.

The AOC's stewardship responsibility for the heritage assets of the Capitol complex include those that are jointly under the Senate and House (such as works of architectural fine art) and those attached to the complex's buildings and on its grounds. AOC heritage asset categories include:

Artwork

The AOC cares for some collectible or movable art and all of the architectural fine and decorative art that is part of the buildings and grounds, which includes: fine art, decorative art, architectural fine art, and architectural decorative art.



The statue of President Ronald Reagan, donated by the State of California to the National Statuary Hall Collection, was unveiled in the U.S. Capitol Rotunda on June 3, 2009.

Architectural Features

The AOC's buildings and grounds are graced with many unique architectural features. These include: outdoor sculptures and monuments and landscape features and fixtures.

Reference and Library Materials

AOC Reference and Library Materials include: art and reference files, art and reference library, and conservation reports.

Records

AOC historic records and reference materials include: architectural and engineering drawings, manuscripts and other textual records, small architectural models, and photographs.

Living Heritage Assets

As Acting Director of the USBG and steward of the Capitol Grounds, the AOC has living heritage assets in its collection. These include memorial trees and individual currently living plants.

The AOC's heritage assets as of September 30, 2009 and 2008 are summarized below:

Stewardship Assets	2008	Incr	Decr	2009
Artwork	1,947 items	45		1,992 items
Architectural Features	237 features		40	197 features
Reference and Library Materials:				
Art and Reference Files	108 drawers	—	—	108 drawers
Art and Reference Materials	1,210 items	—	76	1,134 items
Records				
(units in thousands)	359 records	16	—	375 records
Living Heritage Assets				
(units in thousands)	92 items	—	1	91 items



Left: During the August 2009 Congressional recess period, the AOC conserved 13 statues and the bust of Abraham Lincoln. For bronze statues, a chemical process is used to restore the original color, after which they are given multiple coats of wax. Right: National Statuary Hall, the meeting place of the U.S. House of Representatives for nearly 50 years, is now the main exhibition space for the National Statuary Hall collection.

REQUIRED SUPPLEMENTARY INFORMATION

STEWARDSHIP OF HERITAGE ASSETS

The Architect of the Capitol (AOC) is responsible for the stewardship of heritage assets throughout the Capitol complex, including joint works in or attached to the U.S. Capitol and on the Capitol Grounds. Also included is other architectural fine art cared for by the AOC in the jurisdictions throughout the Capitol complex, primarily in the Library of Congress' Thomas Jefferson Building. Heritage assets for which the AOC is responsible are both collectible and non-collectible (i.e., architectural). In a sense, the non-collectible assets include the structures themselves. Many assets listed herein are considered national treasures, and caring for them is part of the AOC's stewardship mission.

Fine art is defined as work that is usually figurative, created by a known artist, and unique—and therefore, not repeated as part of a decorative scheme. Its care is managed or advised on by the Curator for the Architect and Curator Division staff, and any needed repair or treatment is done by a professional fine art conservator. The Curator works with the AOC's superintendents and facility managers in the various jurisdictions to advise on projects and contracts that involve heritage assets and to assist with historical research and preservation issues. As part of the AOC's *Strategic and Performance Plan*, heritage asset inventories of fine and decorative art have been updated and refined, and asset conditions have been assessed. Parallel to these strategic efforts, the

AOC Historic Preservation Officer and preservation architect plan for systematic inventories of architectural features throughout the Capitol complex. They work closely with the Curator's office in documenting, researching, and providing information about buildings; reviewing projects; and developing and implementing the AOC Preservation Policy and procedures.

The AOC's curatorial and archival functions are managed by the Curator for the Architect and carried out by her immediate staff and by the Records Management and Archives and Photography Branches. Until the last decades of the 20th century, the AOC advised the Joint Committee on the Library on the acceptance and placement of works of art and cared for all artwork in the U.S. Capitol. Since the creation of the positions of Senate Curator in 1968 and House Curator in 2002, responsibilities for caring for collectible fine and decorative art have been shared or may overlap with the Curator for the Architect, who communicates regularly with the Senate and House Curators to exchange information and coordinate projects.

The Curator for the AOC maintains records for works of art, with a file on each work of art and each artist, and develops and manages computerized inventories of heritage assets. The entire Congressional collection was catalogued and published in *Art in the United States Capitol* (1978). The current plan is to make information available by increasing the number of works of art

available on the AOC website and by creating links to the House and Senate websites.

Beginning in the late 1970s, the AOC has devoted staff and managed resources provided by the Congress for the conservation of art and the preservation of other heritage assets, such as architectural and engineering drawings and photographs, by using professional standards established by the American Institute for Conservation and the National Archives and Records Administration. Modern conservation standards require that work be fully documented; the Curator maintains a library of conservation reports.

Historic architectural and engineering drawings and textual records are stored and preserved in the AOC Archives by the Records Management and Archives Branch. The branch inventories and preserves documents, including textual construction and administrative records and architectural and engineering drawings, and makes them available to support projects and respond to research requests. The Photography Branch documents facilities and projects, including heritage assets and conservation projects, as well as AOC and Congressional events. This branch cares for the photographic records—in themselves a heritage asset. Progress continued this Fiscal Year (FY) in increasing the accessibility of the drawing and photograph databases to AOC staff and contractors to support current projects and assist with historical research. Some vital records, including microfilm and photographic negatives, are stored off-site in stable and secure conditions. Condition surveys are periodically carried out and conditions documented to ensure that heritage assets remain in good condition for future generations.

GENERAL CONDITION STANDARDS

The condition standards applied here are those revised in FY 2007 to make them compatible with the current AOC *Strategic and Performance Plan* and accepted professional standards, such as those of the American Institute for Conservation and of Heritage Preservation. It is important to note that because the art in the Capitol complex is not in a museum setting, it may be regularly subjected to damage from touching, impact, and surface deposits, and the condition of newly conserved art is continuously subject to change. Outdoor sculpture and fixtures are deteriorated by weathering and pollutants. Once conserved, their protective coatings must be regularly renewed. Therefore, follow-up inspections and periodic conservation maintenance treatment are essential to keeping heritage assets well preserved.

The tables that follow show a rating scale for the AOC's heritage assets' general condition that ranges from "poor" to

"excellent" and indicates the aggregate condition of the collection as of September 2009. Conditions for individual assets are included in the inventories. An asset in "poor" condition exhibits, or is in danger of, structural damage or loss and requires major conservation or repair to maintain it intact and keep it stable. It is a high priority for conservation or preservation measures. An asset in "fair" condition is structurally sound, but major conservation is needed to improve its aesthetic integrity. It would be considered medium priority for conservation. "Good" is used to describe an object that is in sound structural condition, retains aesthetic integrity, and does not require immediate conservation attention beyond routine conservation maintenance, such as dusting or minor surface cleaning. It would be low priority for conservation. "Excellent" describes works of art that are new or have been professionally conserved to as close to their original condition and appearance as possible and are not currently in need of any conservation treatment.

In applying the condition ratings to historic paper records, "poor" refers to records not yet brought into the AOC Archives or whose preservation is endangered; "fair" indicates those that are preserved in secure and stable conditions in the AOC Archives; "good" indicates records that are also accessioned and placed in acid-free containers; and "excellent" refers to records that are fully processed and stored in archival folders, with any major preservation problems attended to.

For photographic records, "poor" refers to film photographs not in secure storage or digital files not identified, not readable, or not backed up; "fair" indicates that the photographic record is in secure storage, the subject is identified, and the image is backed up; "good" refers to negatives properly housed and inventoried or digital files batch captioned and backed up in multiple locations; and "excellent" describes photographic records with negatives stored off-site in archival conditions or digital files fully captioned, with images backed up in multiple locations and routine data migration.

In the following tables, footnotes explain reasons for condition changes or for significant changes in inventory numbers since FY 2008.

1. United States Capitol

The U.S. Capitol in Washington, D.C., the meeting place of the U.S. Congress for over two centuries, is also an important example of 19th century neoclassical architecture, recently expanded with the Capitol Visitor Center. The Capitol is also a museum of American art and history visited by millions of people each year.

1.1 Fine Art

This group includes works of art by a known artist, usually unique, that are not permanently attached to or designed for the structure (i.e., collectible). They are divided between (a) works that are under the jurisdiction of the Joint Committee on the Library and currently cared for by the AOC and (b) those that were originally accepted by the Joint Committee on the Library and are also joint in subject matter or acquisition, counted as “possibly joint.” These are located in the Senate and House wings of the Capitol and, in many cases, are considered part of the Senate or House collections and are cared for by other curators, with responsibility sorted out case by case when needed. Treatment of fine art is performed by professional fine arts conservators working under contract.

1.1.1 Interior Sculpture

Most of the bronze and marble statues are part of the National Statuary Hall Collection, which consists of two statues donated by each state. The collection, established in 1864, was completed with the donation of the 100th statue in 2005. At the end of FY 2009, two statues had been replaced and several states were in the process of replacing one of their statues as now allowed by Congress. Each statue and bust is displayed on a pedestal.

Sculpture	As of 10/01/08	As of 9/30/09	Change	General Condition
1.1.1.1 National Statuary Hall Statues	100	100 ¹	—	Good ²
1.1.1.2 Other Statues in Rotunda	6	6	—	Good
1.1.1.3 Possibly Joint Statues	5	5	—	Good
1.1.1.4 Busts	15	16	+1 ³	Good
1.1.1.5 Possibly Joint Busts	21	21	—	Good
1.1.1.6 Other (Maquettes, etc.)	9	18	+9 ⁴	Excellent

1 The statue of Thomas Starr King was returned to the State of California on May 26, 2009 and replaced by the statue of Ronald Reagan unveiled on June 3, 2009.

2 Conservation was carried out on 36 statues and 2 busts this year.

3 Bust of Sojourner Truth unveiled on April 28, 2009.

4 Bronze maquettes commissioned for the competition for statue of Rosa Parks were delivered in January.

1.1.2. Framed Oil Paintings

The largest collection of oil paintings consists of the portraits of House of Representatives’ committee chairmen and Speakers. They were catalogued and conserved by the AOC until the creation of a House Curator under the Clerk of the House in 2002, and are not included here. Framed oil paintings cared for by the AOC include portraits of Architects of the Capitol and other

paintings within the office of the Architect. Each painting has a frame, many of which are heritage assets themselves.

Paintings	As of 10/01/08	As of 9/30/09	Change	General Condition
1.1.2.1 Portraits	17	17	—	Good
1.1.2.2 Possibly Joint Portraits	26	26	—	Good
1.1.2.3 Paintings Other Than Portraits	11	11	—	Good to Excellent
1.1.2.4 Possibly Joint Paintings	23	23	—	Good

1.1.3. Works of Art on Paper

The major collection of prints featuring the U.S. Capitol, the Conable Collection, and other prints accepted by the House Fine Arts Board, are now being cared for by the House Curator. The AOC cares for works on paper primarily related to the Capitol which are studies or used for research and reference purposes preserved in the AOC archives and are generally not on display.

Works of Art on Paper	As of 10/01/08	As of 9/30/09	Change	General Condition
1.1.3.1 Watercolors	6	6	—	Good
1.1.3.2 Prints and Drawings	45	63	+18 ⁵	Fair to Excellent
1.1.3.3 Sketches for Murals	approx. 232	approx. 232	—	Good

5 The additional prints and drawings were submissions for the competition for the statue of Rosa Parks.

1.2. Decorative Art

Decorative art ranges from objects of great craftsmanship and historical importance to mass-produced objects. Often the name of the designer or maker is not known. Conservation treatment may be appropriate for the highest level of decorative art. As the Senate Curator has taken over inventory and conservation of Senate mirror frames, those counted here are on the House side of the Capitol.

Decorative Art	As of 10/01/08	As of 9/30/09	Change	General Condition
1.2.1 Gilded Mirror Frames	93	93	—	Fair to Good
1.2.2 Historic Furniture	42	42	—	Good
1.2.3 Antique Clocks	10	10	—	Good
1.2.4 Textiles	2	2	—	Good

1.3. Architectural Fine Art

This is art that is part of the fabric of a structure, permanently attached to the structure or building systems, or designed as part of an architectural space.

Architectural Fine Art	As of 10/01/08	As of 9/30/09	Change	General Condition
1.3.1 Pediments (exterior)	3	3	—	Poor to Fair ⁶
1.3.2 Statues (interior and exterior)	6	6	—	Good
1.3.3 Plaster Model for Sculpture	1	1	—	Excellent
1.3.4 Sculptured Stair Railings	4	4	—	Good
1.3.5 Architectural Models on Display	1	0	(1) ⁷	Good
1.3.6 Reliefs	39	39	—	Good
1.3.7 Bronze Doors (sets) (interior and exterior)	4	4	—	Good to Excellent
1.3.8 Plaques	28	27	(1) ⁸	Fair to Good
1.3.9 Stained Glass	15	16	+1 ⁹	Poor to Good ¹⁰
1.3.10 Rotunda Paintings	8	8	—	Good to Excellent
1.3.11 Rooms or Spaces with Fine Art Murals	79	79 ¹¹	—	Fair to Excellent
<p>6 Conservation of the pediment sculpture still in planning stage, to be coordinated with stone preservation.</p> <p>7 Model of the Capitol Visitor Center by RTKL was removed from display in the Crypt in November 2008 and transferred for training purposes to the Capitol Police.</p> <p>8 Two duplicate entries were identified and the Flight 93 plaque was added.</p> <p>9 One stained glass area was missed during the initial count.</p> <p>10 The stained glass skylights in the grand stairwells have been removed for future conservation.</p> <p>11 Each room or space may contain multiple sections of murals in vaults and lunettes with individual mural scenes or figures, so the total number of images painted on the Capitol's walls are in the hundreds. Mural conservation has been ongoing since 1981 and most are in at least "good" condition.</p>				

1.4. Architectural Decorative Arts

These heritage assets are part of the fabric of a structure, permanently attached to the structure or building systems, or designed as part of an architectural space.

Architectural Decorative Art	As of 10/01/08	As of 9/30/09	Change	General Condition
1.4.1. Mantels	167	167	—	Good
1.4.2. Chandeliers	250	250 ¹²	—	Good to Excellent
1.4.3. Pendant Lights	270	270 ¹³	—	Good
1.4.4. Sconces	approx. 100	approx. 100 ¹⁴	—	Good
1.4.5. Rooms or Spaces with Decorative Murals	47	47	—	Good
<p>¹² Counts are taken from the lighting fixtures included on the Capitol Superintendent's TMA inventory. About one third of the fixtures would be considered historic.</p> <p>¹³ Ibid.</p> <p>¹⁴ Ibid.</p>				

1.5. Architectural Features

Historic architectural features include woodwork, shutters, columns, capitals, brackets, historic floors (such as the Minton tile floors in the Capitol), and special architectural surfaces (such as marble and scagliola). They are maintained by the Capitol Superintendent (or the Senate Sergeant at Arms). There is no accurate count of these features, though some may be included in condition surveys and historic structure reports. The numbers are large—for example, there are at least 450 interior columns and pilasters with carved capitals. In recent years, special attention has been paid to the restoration of historic scagliola—an imitation marble installed on some walls in the 1850s. The Historic Preservation Officer and Preservation Architect work with the Capitol Superintendent and the Curator to ensure the preservation of these features.

2. Capitol Grounds

The Capitol Grounds are comprised of approximately 274 acres on which the Capitol, Senate and House Office Buildings, and Capitol Power Plant reside. The Grounds on Capitol Square were designed by noted landscape architect Frederick Law Olmsted, between 1874 and 1892. The Grounds include outdoor sculpture and monuments and living assets such as trees and plantings. Heritage assets include ornamental fountains, drinking fountains, outdoor seating, stone retaining walls, and light fixtures.

2.1 Outdoor Sculpture

Outdoor Sculpture	As of 10/01/08	As of 9/30/09	Change	General Condition
2.1.1 Monuments/Statues	3	3	—	Good
2.1.2 Fountains with Sculpture	2	2	—	Poor to Good
2.1.3 Plaques	2	3	+1 ¹⁵	Excellent

15 One small bronze plaque to the Sullivan Brothers was buried and only discovered following the construction of the Capitol Visitor Center.

2.2 Landscape Features and Fixtures

Landscape Features and Fixtures (Capitol Square)	As of 10/01/08	As of 9/30/09	Change	General Condition
2.2.1 Urns	20	20	—	Excellent
2.2.2 Lighting Fixtures	approx. 166	approx. 166	—	Fair to Excellent
2.2.3 Reliefs (in stone wall)	N/A	N/A	—	Poor to Fair

2.3 Memorial Trees

The Capitol Grounds' memorial trees are living heritage assets that have been planted over the years to honor distinguished citizens, groups, and national events. About one-half are located on the Capitol's East Front.

Memorial Trees	As of 10/01/08	As of 9/30/09	Change	General Condition
Memorial Trees on Capitol Grounds	140	139	(1)	Good

3. House Office Buildings

The Capitol complex includes three major office buildings and one annex building for the House of Representatives. These buildings consist of the Cannon, Longworth, Rayburn, and Ford House Office Buildings, respectively.

Architectural Fine Art	As of 10/01/08	As of 9/30/09	Change	General Condition
3.1 Pediments (exterior)	1	1	—	Good
3.2 Sculpture (exterior)	8	8	—	Fair to Good
3.3 Plaster Models of Sculpture	27	27	—	Good
3.4 Architectural Models on Display	1	1	—	Good
3.5 Reliefs	1	1	—	Good
3.6 Murals	1	1	—	Good
3.7 Plaques	1	1	—	Good

4. Senate Office Buildings

The Capitol complex includes three major office buildings for the United States Senate. These buildings consist of the Russell, Dirksen, and Hart Senate Office Buildings

Architectural Fine Art	As of 10/01/08	As of 9/30/09	Change	General Condition
4.1 Pediments (exterior)	1	1	—	Fair
4.2 Sculpture	1	1	—	Poor
4.3 Plaster Models of Sculpture	6 ¹⁶	6	—	Good
4.4 Architectural Models on Display	4	4	—	Excellent
4.5 Maquettes, etc.	1	1	—	Good
4.6 Reliefs (exterior)	51	51	—	Good
4.7 Murals (rooms with)	1	1	—	Excellent

16 The plaster model for the Statue of Freedom was moved from the Russell Senate Office Building basement rotunda to Emancipation Hall in the Capitol Visitor Center in FY 2008.

5. Library Buildings and Grounds

The Library of Congress' 1897 Thomas Jefferson Building is covered with decoration inside and out, including large areas of decorative painting, relief plaster, woodwork, stone work, and mosaic ceilings. The John Adams Building is embellished with much fine, Art Deco-style decorative metal and stone work, which is not counted here.

Architectural Fine Art	As of 10/01/08	As of 9/30/09	Change	General Condition
5.1. Statues	27	27	—	Good to Excellent
5.2. Sculptured Stair Railings	2	2	—	Good
5.3. Reliefs (interior and exterior)	74	74	—	Good
5.4 Bronze Doors (sets) (exterior)	11	11	—	Fair to Good
5.5. Stained Glass/Mosaics	17	17	—	Fair to Good
5.6. Rooms or Spaces with Fine Art Murals	32	32	—	Fair to Excellent
5.7. Fountains with Sculpture (exterior)	2	2	—	Fair to Good
5.8 Sculptural Clock	1	1	—	Good ¹⁷

17 Cleaning and conservation was under contract on the Main Reading Room's Flanagan clock.

6. Supreme Court Building

The Supreme Court Building is richly adorned with decorative carvings in marble and wood, decorative metal and plaster work, and decorative painting. The collectible fine art is cared for by the Curator of the Supreme Court.

Architectural Fine Art	As of 10/01/08	As of 9/30/09	Change	General Condition
6.1 Pediments (exterior)	2	2	—	Poor to Fair ¹⁸
6.2 Sculpture (exterior)	2	2	—	Fair
6.3 Reliefs	4	4	—	Good
6.4 Light Posts with Reliefs (exterior)	2	2	—	Poor to Fair
6.5 Bronze Door (set) (exterior)	1	1	—	Good

18 Condition surveys have been conducted and conservation planned for the pediment sculpture.

7. Architectural and Engineering Artifacts

Small architectural and engineering artifacts and models are inventoried and stored for possible research or exhibition. Large artifacts, such as pieces of stone removed from buildings or plaster models, have been inventoried and stored in two locations at Fort Meade, Maryland. Some stone has been saved for possible reuse for repairs. One hundred fifty tons of sculpture and stone removed from the East Front of the Capitol during its 1958 extension were moved this FY to a more secure and protected warehouse location at Fort Meade, allowing a full inventory to be made.

The Curator's Office tracks these artifacts and maintains lists of the objects in storage. It is not possible to provide a meaningful count as some crates hold multiple pieces and some items are stored in pieces in multiple crates. The AOC plans to work with the Historic Preservation Officer and Preservation Architect to appraise the artifacts and evaluate them for permanent retention.

8. Historical Records and Reference Materials

The Records Management and Archives Branch preserves and makes accessible architectural and engineering drawings and textual records deposited according to approved records schedules developed by the branch, based on archival appraisal and records surveys. The branch arranges drawings and textual records in accordance with archival principles to facilitate control, access, reference, research, and retrieval. Architectural and engineering drawings and manuscripts require special archival storage and handling because of their diverse physical attributes. The Records Management and Archives Branch stores drawings flat in

acid-free folders in horizontal drawing cases. Stable temperature and humidity conditions and high security are maintained for the records. Microfilm of many drawings is stored off-site for backup purposes. Digital scans of many drawings are also important backups for the original drawings.

8.1. Architectural and Engineering Drawings

Beginning with plans for the construction of the Capitol in the early 1800s, and with primary holdings from the 1850s on, the architectural and engineering drawings contain a wide range of subjects and formats—pencil renderings, finely detailed ink and watercolor working drawings, polished presentation pieces, blueprints, and modern computer-aided design drawings. The architectural and engineering drawings are vital for current construction and maintenance projects, as well as for historic research. The specifications and files on previous projects aid in the planning and development of new projects.

Approximately 174,000 architectural and engineering drawings are stored in the AOC archives. Drawings are constantly being added. Approximately 50 percent of these drawings have been arranged, indexed, and assigned control numbers. Most of the remaining are properly stored in drawing cabinets (arranged by building), and await indexing and verification that they are not duplicates. Some drawings have been received in rolls and still require preservation work. Therefore, no exact total number of drawings may be provided. Drawings are scanned, described, and computer indexed and backed up (using a web-based database maintained by the Records Management and Archives Branch) to facilitate retrieval. Microfilm is produced from the scanned images. To further enhance retrieval, scanned images are linked to the descriptive information in the electronic text database. Basic preservation and conservation of drawings are performed by archival staff in the Records Management and Archives Branch. Specialized work on fragile and historic drawings may be performed under contract.

8.2 Construction and Administrative Textual Records

The Records Center and Archives maintains administrative and project records that document the history of the AOC as well as the construction history of the U.S. Capitol complex. These holdings date from the Capitol Extension project in the 1850s and continue through the present. Of special value are the manuscript collection and the Architects' letter books dating to the 1850s. The records are organized by numbered record groups. Textual records are described in accession records, finding aides, and guides. Boxes and folders are labeled and stored according to record groups.

8.3. Photographs

The Photography Branch produces photographs relating to architectural design, construction, renovation, and restoration of the historic buildings and grounds under the AOC's care. The largest project this year was documenting the completed Capitol Visitor Center and opening events. Major ceremonial events are covered, along with documentation of works of art and conservation projects. This branch produces graphic slides, displays, and video for Agency and Congressional use. A major function of the branch is the preservation of a photographic archive of nearly 200,000 images dating back to the 1850s. For example, the collection includes approximately 4,000 glass plates, in addition to hundreds of thousands of images in negative, print, and digital format. The number of images is growing rapidly since the conversion to digital format. Each unique image is given a control number (one image may exist in multiple formats). The majority of the glass and film negatives are stored off-site for their long-term preservation. Digital files are systematically backed-up and copied. Additional work was accomplished this year on a program to make the web-based database (maintained by the Photography Branch) accessible to a wider number of the AOC staff.

8.4. Small Architectural Models

A small number of working models are preserved as part of the architectural record for study and possibly future exhibit purposes.

8.5, 8.6, and 8.7. Reference Files, Library Materials, and Conservation Reports

The curatorial and archival functions of the AOC are managed by the Curator for the Architect. A major curatorial function is maintaining the inventory of, and files for, art and historical objects, which was established by Curator Charles Fairman in 1911. The Curator's Office has a file on each work of art, artist, and room in the Capitol, in addition to files on the buildings and architectural subjects, and a file list is maintained. Records are kept on major ceremonies, such as joint sessions of Congress and Inaugurations. Conservation reports and studies are growing in number and importance. These files are used to answer questions from Members of Congress and the public and to provide information for written fact sheets and publications. The U.S. Capitol Historical Society Fellowship, managed by the Curator, continually adds to the knowledge of the art and architecture of the Capitol complex.

Records and Reference	As of 10/01/08	As of 9/30/09	Change	General Condition
8.1 Architectural and Engineering Drawings	Approx. 170,000	Approx. 174,000	Approx. +4000	Good to Excellent
8.2 Manuscripts and Other Textual Records	Approx. 5,320 Boxes	Approx. 5,504 Boxes	+184	Fair to Good
8.3 Small Architectural Models	10 ¹⁹	18	+3 ²⁰	Fair
8.4 Photographs	183,100	195,290	+12,190	Fair to Excellent
8.5 Art and Reference Files	108 Drawers	108 Drawers	—	Good
8.6 Art and Reference Library (published volumes)	1,210 Vols.	1,134 Vols.	-76	Fair to Good
8.7 Conservation Reports (in notebooks)	223	224	+1 ²¹	Good
<p>¹⁹ Last year's number should have been 15 because one entry listed five models and in another case there were two models in one box.</p> <p>²⁰ Three new models were added to the collection this year.</p> <p>²¹ Two duplicate reports were removed from the count and three new reports were added.</p>				

9.0 Botanic Garden

The U.S. Botanic Garden (USBG) maintains an orderly, documented, labeled collection of living plants. The USBG plant collection includes all the plants that are used to fulfill the mission of the institution. These plants are categorized as follows:

- Plants of historical significance or current institutional significance for the USBG (individuals or descendants from the Wilkes and Perry expedition, commemorative gifts from foreign governments, descendants of plants of American historical significance);
- Plants appearing on approved permanent landscape planting plans for the Conservatory, National Garden, Bartholdi Park, and the Production facility;
- Plants listed for rotation into permanent exhibits in the Conservatory, National Garden, or Bartholdi Park;
- Plants used in ongoing education programs;
- Plants needed to support future exhibits or programs and whose quality or relative unavailability in the commercial trade justifies inclusion in the permanent collection;
- Orchid species and selected orchid cultivars;
- Listed rare and endangered species received under the Convention on International Trade in Endangered Species (CITES) of Flora and Fauna repository agreement, through interagency transfer, or by other means;

- Medicinal plants whose quality or relative unavailability in the commercial trade justifies inclusion in the permanent collection; and
- Plants used for accent and horticultural propagation stock, including those obtained for trail for performance under local conditions.

Plants are used for exhibition, study, and exchange with other institutions. The Garden’s noteworthy collections include economically significant plants, medicinal plants, orchids, cacti and succulents, bromeliads, and cycads.

In addition to providing a tranquil and beautiful environment for visitors, the Botanic Garden makes its gardens and living collections important resources for the study of threatened plants and their conservation. The USBG staff maintains extensive computerized records of the plants in the Garden’s collections. The records track the location, condition, and provenance of each addition. Collections are continually reviewed for accuracy in identification as relevant to the Botanic Garden’s mission.

The U.S. Botanic Garden received approximately 1,200 new accessions of plants during the Fiscal Year. By the end of 2008, the Botanic Garden had more than 38,000 individual plants in

cultivation at the conservatory and the Blue Plains Production Facility. There were over 10,000 total orchids in the collections, by far the largest single collection of plants maintained. The USBG maintains approximately 7,700 unique taxa in its collections.

Botanic Garden (non-living Heritage Assets)

Outdoor Sculpture	As of 10/01/08	As of 9/30/09	Change	General Condition
Fountains with Sculpture	1	1	—	Good ²²

22 Restoration in progress for the Bartholdi Fountain.

Botanic Garden (living Heritage Assets)

The table below identifies the Botanic Garden’s inventory for its collection of living heritage assets. Plant inventories for FY 2009 and the prior four years are provided to facilitate comparison.

Orchid Collection

The Botanic Garden’s orchid collection is the single largest component of its plant inventory (accounting for over 25 percent of its total), which the AOC displays separately.

All Plants (Including Orchids)							
Fiscal Year	Names ²³	Accessions ²⁴	Plants ²⁵	Deaccessions— YTD ²⁶	Taxa (Alive) ²⁷	Plants (Alive) ²⁸	Number of Individuals ²⁹
2005	26,117	22,388	32,486	962	6,842	15,530	36,955
2006	26,757	23,959	34,443	707	7,374	16,712	45,552
2007	27,433	24,835	36,262	1,092	7,432	16,695	55,316
2008	28,086	25,860	37,639	891	7,802	16,957	67,397
2009	28,351	26,439	38,319	1,242	7,670	16,333	66,872

Orchid Collection							
Fiscal Year	Names ²³	Accessions ²⁴	Plants ²⁵	Deaccessions— YTD ²⁶	Taxa (Alive) ²⁷	Plants (Alive) ²⁸	Number of Individuals ²⁹
2005	3,887	7,339	9,735	403	1,858	5,045	n/a
2006	3,918	7,395	9,867	209	1,796	5,020	n/a
2007	3,973	7,496	10,146	219	1,744	4,942	n/a
2008	3,994	7,530	10,330	349	1,694	4,774	n/a
2009	4,035	7,564	10,479	590	1,567	4,334	n/a

23 Number of taxonomic entries in BG-base regardless of whether they are associated with current holdings (cumulative).
 24 Current number of accession, presumed to be genets (cumulative).
 25 Total number of individuals in *Plants* table—living and dead (cumulative).
 26 Deaccessions for the current year.
 27 Number of unique taxa currently alive in holdings.
 28 Number of individuals in *Plants* table currently living.
 29 Number of individuals living including multiple ramets associated with a single accession number (note: this number has a high degree of inaccuracy).

Summary of Heritage Assets

The consolidating schedule below reports the detailed heritage assets by jurisdiction. AOC records include those related to all AOC Jurisdictions and to General Administration. For simplicity, AOC records are shown under the responsibility of the Capitol Building (CB) jurisdiction.

Category	FY 2009								FY 2008								
	AOC Jurisdiction							TOTAL	AOC Jurisdiction							TOTAL	
	CB	CG	HOB	LOC	SC	SOB	USBG		CB	CG	HOB	LOC	SC	SOB	USBG		
Artwork																	
Fine Art																	
Interior Sculpture																	
National Statuary Hall Statues	100	—	—	—	—	—	—	100	100	—	—	—	—	—	—	—	100
Other Statues in Rotunda	6	—	—	—	—	—	—	6	6	—	—	—	—	—	—	—	6
Possibly Joint Statues	5	—	—	—	—	—	—	5	5	—	—	—	—	—	—	—	5
Busts	16	—	—	—	—	—	—	16	15	—	—	—	—	—	—	—	15
Possibly Joint Busts	21	—	—	—	—	—	—	21	21	—	—	—	—	—	—	—	21
Other	18	—	—	—	—	—	—	18	9	—	—	—	—	—	—	—	9
Sub-Total: Interior Sculpture	166	—	—	—	—	—	—	166	156	—	—	—	—	—	—	—	156
Paintings																	
Portraits	17	—	—	—	—	—	—	17	17	—	—	—	—	—	—	—	17
Possibly Joint Portraits	26	—	—	—	—	—	—	26	26	—	—	—	—	—	—	—	26
Paintings other than Portraits	11	—	—	—	—	—	—	11	11	—	—	—	—	—	—	—	11
Possibly Joint Paintings	23	—	—	—	—	—	—	23	23	—	—	—	—	—	—	—	23
Sub-Total: Paintings	77	—	—	—	—	—	—	77	77	—	—	—	—	—	—	—	77
Works of Art on Paper																	
Watercolors	6	—	—	—	—	—	—	6	6	—	—	—	—	—	—	—	6
Prints	63	—	—	—	—	—	—	63	45	—	—	—	—	—	—	—	45
Sketches for Murals	232	—	—	—	—	—	—	232	232	—	—	—	—	—	—	—	232
Sub-Total: Works of Art on Paper	301	—	—	—	—	—	—	301	283	—	—	—	—	—	—	—	283
Sub-Total: Fine Art	544	—	—	—	—	—	—	544	516	—	—	—	—	—	—	—	516
Decorative Art																	
Gilded Overmantel Mirror Frames	93	—	—	—	—	—	—	93	93	—	—	—	—	—	—	—	93
Historic Furniture	42	—	—	—	—	—	—	42	42	—	—	—	—	—	—	—	42
Antique Clocks	10	—	—	—	—	—	—	10	10	—	—	—	—	—	—	—	10
Textiles	2	—	—	—	—	—	—	2	2	—	—	—	—	—	—	—	2
Sub-Total: Decorative Art	147	—	—	—	—	—	—	147	147	—	—	—	—	—	—	—	147
Architectural Fine Art																	
Pediments	3	—	1	—	2	1	—	7	3	—	1	—	2	1	—	—	7
Statues/Sculpture	6	—	8	27	2	1	—	44	6	—	8	27	2	1	—	—	44
Plaster Models of Sculpture	1	—	27	—	—	6	—	34	1	—	27	—	—	6	—	—	34
Sculptured Stair Railings	4	—	—	2	—	—	—	6	4	—	—	2	—	—	—	—	6
Architectural Models on Display	—	—	1	—	—	4	—	5	1	—	1	—	—	4	—	—	6
Reliefs	39	—	1	74	4	51	—	169	39	—	1	74	4	51	—	—	169
Light Posts with Reliefs (exterior)	—	—	—	—	2	—	—	2	—	—	—	—	2	—	—	—	2
Bronze Doors (sets)	4	—	—	11	1	—	—	16	4	—	—	11	1	—	—	—	16
Plaques	27	—	1	—	—	—	—	28	28	—	1	—	—	—	—	—	29
Stained Glass/Mosaics	16	—	—	17	—	—	—	33	15	—	—	17	—	—	—	—	32
Rotunda Paintings	8	—	—	—	—	—	—	8	8	—	—	—	—	—	—	—	8
Rooms or Spaces with Fine Art Murals	79	—	1	32	—	1	—	113	79	—	1	32	—	1	—	—	113
Maquettes	—	—	—	—	—	1	—	1	—	—	—	—	—	1	—	—	1
Sub-Total: Architectural Fine Art	187	—	40	163	11	65	—	466	188	—	40	163	11	65	—	—	467

SECTION 3 REQUIRED SUPPLEMENTARY INFORMATION (UNAUDITED)

Category	FY 2009								FY 2008							
	AOC Jurisdiction							TOTAL	AOC Jurisdiction							TOTAL
	CB	CG	HOB	LOC	SC	SOB	USBG		CB	CG	HOB	LOC	SC	SOB	USBG	
Architectural Decorative Art																
Mantels	167	—	—	—	—	—	—	167	167	—	—	—	—	—	—	167
Chandeliers	250	—	—	—	—	—	—	250	250	—	—	—	—	—	—	250
Pendant Lights	270	—	—	—	—	—	—	270	270	—	—	—	—	—	—	270
Sconces	100	—	—	—	—	—	—	100	100	—	—	—	—	—	—	100
Rooms/Spaces with Decorative Murals	47	—	—	—	—	—	—	47	47	—	—	—	—	—	—	47
Sculptural Clock	—	—	—	1	—	—	—	1	—	—	—	1	—	—	—	1
Sub-Total: Architectural Decorative Art	834	—	—	1	—	—	—	835	834	—	—	1	—	—	—	835
TOTAL	1,712	—	40	164	11	65	—	1,992	1,685	—	40	164	11	65	—	1,965
Architectural Features																
Outdoor Sculptures																
Monuments/Statues	—	3	—	—	—	—	1	4	—	3	2	—	—	—	1	6
Fountains with Sculpture	—	2	—	2	—	—	—	4	—	2	—	2	—	—	—	4
Plaques	—	3	—	—	—	—	—	3	—	2	—	—	—	—	—	2
Sub-Total: Outdoor Sculptures	—	8	—	2	—	—	1	11	—	7	2	2	—	—	1	12
Landscape Features and Fixtures																
Lighting Fixtures (Approx.)	—	166	—	—	—	—	—	166	—	166	—	—	—	—	—	166
Urns	—	20	—	—	—	—	—	20	—	20	—	—	—	—	—	20
Reliefs	—	n/a	—	—	—	—	—	—	—	n/a	—	—	—	—	—	—
Sub-Total: Landscape Features and Fixtures	—	186	—	—	—	—	—	186	—	186	—	—	—	—	—	186
TOTAL	—	194	—	2	—	—	1	197	—	193	2	2	—	—	1	198
Reference and Library Materials																
Art and Reference Files (Drawers)	108	—	—	—	—	—	—	108	108	—	—	—	—	—	—	108
Art and Reference Library	1,134	—	—	—	—	—	—	1,134	1,210	—	—	—	—	—	—	1,210
TOTAL	1,242	—	—	—	—	—	—	1,242	1,318	—	—	—	—	—	—	1,318
Records																
Architectural and Engineering Drawings	174,000	—	—	—	—	—	—	174,000	170,000	—	—	—	—	—	—	170,000
Manuscripts and Other Textual Records	5,504	—	—	—	—	—	—	5,504	5,320	—	—	—	—	—	—	5,320
Small Architectural Models	18	—	—	—	—	—	—	18	10	—	—	—	—	—	—	10
Conservation Reports	224	—	—	—	—	—	—	224	223	—	—	—	—	—	—	223
Photographs	195,290	—	—	—	—	—	—	195,290	183,100	—	—	—	—	—	—	183,100
TOTAL	375,036	—	—	—	—	—	—	375,036	358,653	—	—	—	—	—	—	358,653
Living Heritage Assets																
Taxa	—	—	—	—	—	—	7,670	7,670	—	—	—	—	—	—	7,802	7,802
Plants	—	—	—	—	—	—	16,333	16,333	—	—	—	—	—	—	16,957	16,957
Individual	—	—	—	—	—	—	66,872	66,872	—	—	—	—	—	—	67,397	67,397
Memorial Trees	—	139	—	—	—	—	—	139	—	140	—	—	—	—	—	140
TOTAL	—	139	—	—	—	—	90,875	91,014	—	140	—	—	—	—	92,156	92,296

9.0 Deferred Maintenance

The Architect of the Capitol (AOC) is responsible for the maintenance, operation, development, and preservation of the buildings, grounds and other national treasures of the Capitol complex. The AOC's mission is to preserve and enhance these assets to sustain Congressional operations now and into the future. The Federal Accounting Standards Advisory Board (FASAB) Statement of Federal Financial Accounting Standard (SFFAS) No. 6 defines deferred maintenance as maintenance that was not performed when it should have been or was scheduled to be and which, therefore, is put off or delayed for a future period.

SFFAS No. 6, "Accounting for Property, Plant, and Equipment," as amended by SFFAS No. 14, "Amendments to Deferred Maintenance Reporting," requires annual disclosure of the estimated cost to remedy accumulated deferred maintenance on AOC property, plant, and equipment (PP&E). In its Strategic and Performance Plan, the AOC has defined its acceptable level of condition of PP&E to be "good" to "excellent" based on the Facility Condition Index. PP&E of less than "good" condition are determined to require significantly more maintenance than facilities in better condition. The three major classes of assets for which maintenance was deferred in 2009 are: buildings and other structures, grounds, and heritage assets.

To evaluate the condition of buildings, other structures, and grounds, the AOC uses a combination of Facility Condition Assessments (FCAs) and the Capitol Complex Master Plan to identify deferred maintenance, capital renewal projects, capital improvements, and capital construction projects. The focus of this required supplementary information disclosure is solely deferred maintenance, as identified through the FCAs, and does not include capital renewal projects, capital improvements, and capital construction projects.

The AOC has completed initial FCAs on all the buildings and grounds under our purview except for the Library of Congress' Packard Campus for Audio-Visual Conservation, Ft. Meade Book Storage Modules, and Special Service Facilities Center; the Supreme Court building areas under renovation; pedestrian tunnels; miscellaneous Capitol Police buildings; Capitol Visitor Center; and major equipment related to the Capitol Power Plant. As a result, estimates for these facilities have not been included in the FY 2009 figures below. Deferred maintenance calculations based on projected 2009 Replacement Values. The AOC continues to complete and update FCAs across the Capitol complex. As a result, FCAs for some of these facilities are underway or in the planning stage and are anticipated to be included in subsequent Performance and Accountability Reports.

The AOC's estimate of the amount of accumulated deferred maintenance that is required to improve its PP&E to an acceptable general condition level⁴⁰ is over \$285 million. The table below depicts the breakdown of deferred maintenance costs by category at the beginning and ending of the Fiscal Year.

Deferred Maintenance (\$ in Thousands)			
Category	As of 10/01/08	As of 9/30/09	Change
Buildings and Other Structures	\$ 302,678	\$ 282,210	\$ (20,468)
Grounds	144	172	28
Heritage Assets	3,962	3,066	(896)
Total	\$ 306,784	\$ 285,448³⁰	\$ (21,336)

³⁰ The deferred maintenance figure for September 30, 2009 excludes the Library of Congress' Packard Campus for Audio-Visual Conservation, Ft. Meade Book Storage Modules, and Special Service Facilities Center; the Supreme Court Building areas under renovation; pedestrian tunnels; miscellaneous Capitol Police buildings; Capitol Visitor Center; and major equipment related to the Capitol Power Plant. Deferred maintenance calculations are based on projected Replacement Values, completed in April 2009.

For further information on deferred maintenance and capital renewal costs, please see the *Management Challenges and Looking Ahead* section of this report.

⁴⁰ The AOC aims to maintain its assets in at least "good" condition. Condition is defined by the Facility Condition Index, which is calculated as the cost of deferred maintenance divided by the current replacement value. A ratio of less than 0.02 is considered "excellent;" a ratio of 0.02 to 0.05 is judged "good;" a ratio of 0.05 to 0.10 is deemed "fair;" and a ratio more than 0.10 is considered "poor." The AOC's goal is to attain a ratio of less than .05 (or "good" condition) for its assets. Although an asset may be rated as being in acceptable condition, individual systems within that asset may require deferred maintenance to return the system to an acceptable operating condition.



The U.S. Capitol sculpture collection grew this Fiscal Year with the acceptance of the bust of Sojourner Truth (shown top left), located in Emancipation Hall at the Capitol Visitor Center.

The most recognized symbol of democratic government in the world, the U.S. Capitol has housed Congress since 1800.

The art and architecture of the Capitol combines function with aesthetics and includes such richly decorated spaces as the *Board of Education Room* (right).



SECTION 4

Other Accompanying Information

SUMMARY OF FINANCIAL STATEMENT AUDIT AND MANAGEMENT ASSURANCES

TABLE 1: Summary of Financial Statement Audit

Audit Opinion Type	Unqualified				
Restatement (Yes/No)	No				
Material Weaknesses	Beginning Balance	New	Resolved	Consolidated/ Reassessed	Ending Balance
Internal Control Assessments	1	0	0	0	1
National Finance Center SAS 70 Payroll Reconciliation (formerly titled Risk Assessment Updates)	1	0	0	0	1
Financial Information System and Financial Reporting Internal Control Design and Operation	1	0	1	0	0
Total Material Weaknesses	3	0	1	0	2

TABLE 2: Summary of Management Assurances

Effectiveness of Internal Control Over Financial Reporting (FMFIA, para. 2)					
Statement of Assurance	No Assurance				
Material Weaknesses	Beginning Balance	New	Resolved	Consolidated/ Reassessed	Ending Balance
Total Material Weaknesses					

Effectiveness of Internal Control Over Operations (FMFIA, para. 2)					
Statement of Assurance	No Assurance				
Material Weaknesses	Beginning Balance	New	Resolved	Consolidated/ Reassessed	Ending Balance
Total Material Weaknesses					

TABLE 2: Summary of Management Assurances—continued from page 141

Conformance with Financial Management System Requirements (FMFIA, para. 4)					
Statement of Assurance	No Assurance				
Nonconformances	Beginning Balance	New	Resolved	Consolidated/ Reassessed	Ending Balance
Total Nonconformances					

IMPROPER PAYMENTS INFORMATION ACT

The Improper Payments Information Act of 2002 (P.L. 107-300) defines requirements to reduce improper and erroneous payments made by the federal government. In addition, the OMB also has established specific reporting requirements for Executive Branch agencies with programs that have a significant risk of erroneous payments and for reporting on the results of recovery auditing activities. A significant erroneous payment, as defined by OMB guidance, is an annual erroneous program payment that exceeds both 2.5 percent of the program payments and \$10 million.

The AOC is a Legislative Branch office and, as such, is not subject to this Act or the related OMB guidance. Nonetheless, as part of its multi-year effort for implementing its internal controls program and conducting reviews of its internal controls and financial systems (using FMFIA as a general reference tool), a formal annual assessment will also be developed to identify any programs where significant erroneous payments have occurred within the AOC. As part of this multi-year effort, the AOC will refer to the Improper Payments Information Act for guidance.

OFFICE OF INSPECTOR GENERAL TRANSMITTALUNITED STATES GOVERNMENT
MEMORANDUMARCHITECT OF THE CAPITOL
WASHINGTON, DC 20515OFFICE OF INSPECTOR GENERAL
FAIRCHILD BUILDING SUITE 518

DATE: January 22, 2010

TO: Stephen T. Ayers, AIA, LEED AP
Acting Architect of the Capitol

FROM: Carol Bates, Inspector General *Carol Bates*

SUBJECT: October 21, 1998 through September 30, 2009 Capitol Visitor Center (CVC)
Obligations and Expenditures Schedules Audit

We contracted with the independent certified public accounting firm of Kearny & Company, (Kearney) to audit the CVC Base Building, Senate Shell Space, and House of Representatives Shell Space obligations and expenditures schedules for the period October 21, 1998 through September 30, 2009.

Kearney issued an unqualified opinion on the schedules. Kearney did not issue a management letter. There is no audit follow-up required for this report.

Kearney is responsible for the attached auditor's report dated December 24, 2009 and the conclusions expressed in the report. We do not express opinions on the CVC Obligations and Expenditure Schedules.

Attachment

Copy to: Michael Riley, Chair, AOC Audit Committee
Michael Lampley, AOC Audit Committee
John Webster, AOC Audit Committee
Susan Ragland, Government Accountability Office
William Kubistal, Kearney & Company

CAPITOL VISITOR CENTER—INDEPENDENT AUDITOR’S REPORT



*Certified Public Accountants
and Consultants*

4501 Ford Avenue, Suite 1400, Alexandria, VA 22302
PH: 703.931.5600, FX: 703.931.3655, www.keameyco.com

Independent Auditor’s Report

To the Architect of the Capitol

We have audited the accompanying base building, Senate shell space, and House of Representatives shell space financial schedules of the Capitol Visitor Center (CVC) for the period October 21, 1998 through September 30, 2009. These financial schedules are the responsibility of the Architect of the Capitol’s (AOC) management. Our responsibility is to express an opinion on these financial schedules based on our audit.

We conducted our audit in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and Office of Management and Budget (OMB) Bulletin No. 07-04, *Audit Requirements for Federal Financial Statements*. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audit provides a reasonable basis for our opinion.

As described in Notes 1 and 2, the schedules were prepared pursuant to AOC’s accounting policies as they relate to the CVC Project, which are substantially equivalent to budgetary accounting and represent a comprehensive basis of accounting other than accounting principles generally accepted in the United States of America.

In our opinion, the financial schedules referred to above, present fairly, in all material respects, amounts approved for obligation and related reallocation, obligations incurred, and expenditures paid for the period beginning October 21, 1998 and ending September 30, 2009, of AOC for the CVC base building, Senate shell space, and House of Representatives shell space on the basis of accounting described in Notes 1 and 2.

A handwritten signature in blue ink that reads "Kearney & Company". The signature is written in a cursive, flowing style.

December 24, 2009
Alexandria, Virginia

CAPITOL VISITOR CENTER BASE PROJECT OBLIGATION/EXPENDITURE REPORT

For the Period Beginning October 21, 1998 and Ending September 30, 2009

(\$ in thousands)

Project Components	BUDGET				Commitments/ Obligations to Date	Expenditures to Date	Available Balance
	Total	Re-allocations and Transfers	Current 9/30/2009	Approved Obligation Authority			
AOC Administration	\$ 7,662	\$ 4,280	\$ 11,942	\$ 11,942	\$ 11,232	\$ 10,999	\$ 710
Design and Construction Administration	20,838	2,690	23,528	23,528	22,845	22,704	683
Other Costs	—	1,304	1,304	1,304	983	907	321
Sub-total	20,838	3,994	24,832	24,832	23,828	23,611	1,004
Construction Management Fees (Note a)	11,550	15,494	27,044	27,044	27,044	26,674	—
Ongoing Pre-construction Work							
Temporary Visitor Screening Facility	1,700	150	1,850	1,850	1,667	1,662	183
Tree Protection	2,900	(682)	2,218	2,218	1,937	1,937	281
Utility Work	13,000	(1,850)	11,150	11,150	11,148	11,148	2
Historic Preservation	2,500	190	2,690	2,690	2,627	2,579	63
General Conditions and Site Preparation	5,000	2,171	7,171	7,171	6,487	6,073	684
Telecommunications	—	1,850	1,850	1,850	1,797	1,797	53
Testing, Monitoring, Inspecting	—	2,365	2,365	2,365	2,336	2,309	29
Sub-total	25,100	4,194	29,294	29,294	27,999	27,505	1,295
Sequence I Construction							
Excavation, Foundation, and Structure	93,000	15,490	108,490	108,490	108,490	108,490	—
Library of Congress Tunnel	6,000	(2,450)	3,550	3,550	3,550	3,550	—
Improved House Connection	4,000	(888)	3,112	3,112	3,111	3,111	1
Award Fee Budget	—	978	978	978	978	978	—
Sub-total	103,000	13,130	116,130	116,130	116,129	116,129	1
Sequence II Construction							
Building Systems and Architectural Fit-out	90,000	104,484	194,484	194,484	169,366	166,714	25,118
Library of Congress Tunnel	4,000	(2,260)	1,740	1,740	1,606	1,431	134
Enhanced Perimeter Security	2,000	—	2,000	2,000	1,967	1,967	33
Award Fee Budget	—	1,200	1,200	1,200	1,200	751	—
Sub-total	96,000	103,424	199,424	199,424	174,139	170,863	25,285
Jefferson Building (LOC)	—	4,710	4,710	4,710	4,597	4,566	113
East Front Interface							
Structural, MEP, and Related Construction	—	10,800	10,800	10,800	10,800	10,800	—
Extend Existing East Front Elevators	4,000	—	4,000	4,000	4,000	3,999	—
Sub-total	4,000	10,800	14,800	14,800	14,800	14,799	—
Equipment Purchases (AV, Kitchen)	—	5,914	5,914	5,914	5,435	5,387	479
Exhibit and Film Elements	18,000	5,309	23,309	23,309	22,143	21,857	1,166
Security (Note 3)							
Construction Site Security	3,000	(3,000)	—	—	—	—	—
Technical Security Design and Construction	14,350	(13,088)	1,262	1,262	1,262	1,262	—
Additional Items	—	1,250	1,250	1,250	680	680	570
Additional Funding (Note b)	185,874	(174,952)	10,922	—	—	—	—
TOTALS (Note c)	\$ 489,374	\$ (18,541)	\$ 470,833	\$ 459,911	\$ 429,288	\$ 424,332	\$ 30,623

The accompanying footnotes are an integral part of this schedule.

Note a: Memorandum approved by the Budget Office on August 27, 2009 approved \$219,722 for Construction Management Fees. \$109,861 was reprogrammed equally from the House and Senate Shell Spaces in accordance with the reprogramming threshold established.

Note b: CVC Obligation Plans approved by the Senate on September 19, 2008 and the House on October 2, 2008 approved \$187,500 for the House Remaining Shell Space Fit-out costs. Additional Obligation plans were approved by the Senate on February 2, 2009 and the House on March 3, 2009 for \$1,077,514 for the House Remaining Shell Space Fit-out costs and \$908,453 for the Senate Remaining Shell Space Fit-out costs. The House and Senate Remaining Shell Space costs are not part of this report, but the \$2,173,467 has been included in the total for the Re-allocations and Transfers additional funding as the funds are from the CVC base budget leaving a balance of \$10,922,000.

Note c: Breakout of the \$18,541 million (this cost does not include the \$219,722 which is included in the base budget refer to Note a)—\$16,088 million was transferred to USCP, \$1,765 million was transferred to the House Remaining Shell Space, and \$908 thousand was transferred to the Senate Remaining Shell Space.

NOTES TO THE CAPITOL VISITOR CENTER BASE PROJECT OBLIGATION/EXPENDITURE REPORT

For the Period Beginning October 21, 1998 and Ending September 30, 2009

NOTE 1: Summary of Significant Accounting Policies

Reporting Entity

On October 21, 1998, Congress appropriated \$100 million (CVC appropriation) without fiscal year (FY) limitation to the Architect of the Capitol (AOC) as part of the Omnibus Consolidated and Emergency Supplemental Appropriations Act (P.L. 105-277) (the Act) to provide funding for expenses necessary for the planning, design, engineering, and construction of the Capitol Visitor Center (CVC). As such, the AOC has primary responsibility for managing the CVC construction project, including hiring staff and engaging various contractors to assist in the planning, engineering, design, and construction of the CVC. In the Act, Congress expressed its desire that the CVC “provide both greater security for all persons working in or visiting the United States Capitol and a more convenient place in which to learn of the work of Congress.”

On September 18, 2001, an additional \$138.5 million from the Emergency Response Fund (P.L. 107-38) was assigned to the AOC to fund the shortfall in the original CVC project budget and provide funding for additional scope items as directed by the Capitol Preservation Commission (CPC). The Capitol Preservation Fund (CPF) would provide the remaining \$65 million. At that time, the AOC had estimated that total project costs would be \$303.5 million.

On October 1, 2003, Congress appropriated an additional \$35.8 million to the AOC for the CVC project as part of the FY 2004 Legislative Branch Appropriations Act (P.L. 108-83). In addition, \$12 million was transferred to the CVC from the amounts made available to the Capitol Police Buildings and Grounds in chapter 8 of title I of the Emergency Wartime Supplemental Appropriations Act, 2003 (P.L. 108-11; 117 Stat. 586). On January 23, 2004, as part of P.L. 108-199, a rescission of .59 percent of the FY 2004 appropriation resulted in a decrease of \$211,220. At the time, the AOC had estimated that total project costs would be about \$351.3 million.

During FY 2005, the Committee on Appropriations of the House of Representatives and Senate approved a transfer of \$26.3 million from the Emergency Response Fund (P.L. 107-38) unobligated balances to incrementally fund the CVC, of which \$16 million was provided for the CVC base project.

On August 2, 2005, Congress appropriated an additional \$41.9 million to the AOC for the CVC project as part of the FY 2006 Legislative Branch Appropriations Act (P.L. 109-55); of which \$5 million is allocated to the House and Senate shell space. In addition, \$2.3 million was appropriated for the CVC operation costs. On December 30, 2005, as part of P.L. 109-148, a government-wide rescission of 1 percent of the FY 2006 appropriation act resulted in a decrease of \$419,000 of budget authority for the CVC project, of which \$50,000 is allocated to the House and Senate shell space, and \$23,000 of budget authority for CVC operation costs. At the time, the AOC had estimated that total project costs would be about \$399 million.

On February 15, 2007, Congress appropriated an additional \$43.758 million to the AOC for the CVC as part of the FY 2007 Revised Continuing Appropriations Resolution, 2007 (P.L. 110-5). P.L. 110-5 provided funding for the CVC at levels established in the FY 2006 Appropriations Act. The \$43.758 million includes the \$41.9 million for the CVC project and the \$2.3 million for CVC operation costs, less the government-wide rescission of 1 percent. P.L. 110-5 stated “notwithstanding section 101, amounts made available under such section for projects and activities described under the heading ‘Architect of the Capitol, Capitol Visitor Center’ in the Legislative Branch Appropriations Act, 2006 may be transferred among the accounts and purposes specified in such heading, upon the approval of the Committees on Appropriations of the House of Representatives and Senate.” AOC allocated \$31.193 million to the CVC project. The remaining amount was allocated for CVC operation costs. The current estimate to complete the CVC base project is \$496 million.

In addition, on November 12, 2001, Congress appropriated \$70 million to the AOC as part of the FY 2002 Legislative Branch Appropriations (P.L. 107-68) to be used for the development of the unassigned space within the CVC project for the House and Senate.

On December 26, 2007, Congress appropriated an additional \$28.753 million as provided in the Consolidated Appropriations Act, 2008 (P.L. 110-161). The \$28.753 million includes the \$20.253 million for the CVC project and \$8.5 million for CVC operations costs, less a rescission of .25 percent. In addition, the CVC project received \$3.235 million as provided in the AOC Reprogramming Letter dated January 31, 2008 (House approved March 5, 2008 and Senate approved February 13, 2008).

On March 11, 2009, Congress appropriated an additional \$31.124 million as provided in the Omnibus Appropriations Act, 2009 (P.L. 111-8). The current estimate to complete the CVC Construction project is \$621 million.

An obligation plan was submitted to the Senate Committees on Appropriations on November 26, 2007 and the House of Representatives Committee on Appropriations on November 30, 2007, requesting obligation authority of \$6 million from the FY 2007 undistributed balance, and obligation authority of \$4 million from the FY 2008 Continuing Resolution. The Chairman of the House of Representatives Committee on Appropriations approved the obligation plan as requested on December 2, 2007, and the Chairman of the Senate Committee on Appropriations approved the obligation plan as requested on December 4, 2007.

AOC Reprogramming letter was submitted to the Senate and House Appropriations Committees on January 31, 2008 requesting a reprogramming of \$3,235,197 to partially fund additional CVC Fire Alarm Acceptance Testing and Potential Claims Costs. The Chairman and Ranking Member, Senate Subcommittee on the Legislative Branch approved the reprogramming as requested on February 13, 2008, and February 19, 2008, respectively. The Chair, House Subcommittee on the Legislative Branch approved the reprogramming as requested on March 5, 2008.

An obligation plan was submitted to the Senate Committee on Appropriations on May 2, 2008 and the House of Representatives Committee on Appropriations on May 12, 2008, requesting obligation authority of \$13,776,000 million from the FY 2008 undistributed balance, and to reprogram and obligate \$90,000 in previously approved FY 2007 construction funds. The Chairman of the Senate Committee on Appropriations approved the obligation plan as requested on May 21, 2008, and the House of Representatives Committee on Appropriations approved the obligation plan as requested on June 9, 2008.

An obligation plan was submitted to the Senate Committee on Appropriations and the House of Representatives Committee on Appropriations on September 3, 2008. The plan requested obligation authority of \$5,661,197 million from the FY 2008 undistributed balance, and authority to change the use of \$3,000,000 of FY 2008 construction funds previously approved for obligation for Sequence II Contractor support to reprogram and obligate these funds to Sequence II Delay-related costs. The Chairman of the Senate Committee on Appropriations approved the obligation plan as requested on September 19, 2008, and the House of Representatives Committee on Appropriations approved the obligation plan as requested on October 2, 2008.

An obligation plan was submitted to the Senate Committee on Appropriations and the House of Representatives Committee on Appropriations on January 22, 2009. The plan requested obligation authority of \$20,202,573 million from the FY 2009 undistributed balance, and authority to change the use of

\$700,000 of FY 2008 construction funds previously approved for obligation for AOC Fire Marshal contractor support to reprogram and obligate these funds to Sequence II contractor's support for the Fire Marshal's testing of the installation of additional fire alarm system devices. The Chairman of the Senate Committee on Appropriations approved the obligation plan as requested on February 6, 2009 and the House of Representatives Committee on Appropriations approved the obligation plan as requested on March 3, 2009.

The CVC Base Project Obligation/Expenditure Report (the Schedule) reflects the activities and related transactions and balances determined to be directly related to the planning, design, engineering, and construction of the CVC pursuant to the policies of the AOC as summarized in this note and funded by the CVC appropriation and the \$65 million provided by the CPF. The Schedule does not include any amounts expended for the CVC prior to October 21, 1998, nor does it include subsequent activities and transactions related to the CVC not funded through the CVC appropriation, except as noted above. The CVC appropriation for the House and Senate unassigned space is included in separate schedules specifically for those spaces. Note 2 describes the principal categories of activities and transactions related to the CVC but not included in the Schedule.

Basis of Presentation

The Schedule has been prepared to report on the total budget, outstanding commitments, obligations incurred-to-date, expenditures approved-to-date, and the status of funds approved for obligation in accordance with obligation plans for the period beginning October 21, 1998 and ending September 30, 2007. These obligation plans represent the mechanism by which the AOC seeks the House and Senate Committees on Appropriations' approval to obligate funds for each major project milestone, in accordance with the Emergency Supplemental Appropriations Act for Defense, the Global War on Terror, and Tsunami Relief, 2005 (P.L. 109-13). P.L. 109-13 amended Legislative Branch Appropriations Act of 2000 (P.L. 107-68) by striking "chair and ranking minority member". P.L. 107-68 had amended Legislative Branch Appropriations Act of 2000 (P.L. 106-57) by substituting the chair and ranking minority member of the Committee on Appropriations of the House of Representatives and the Senate for the CPC as having the authority to approve obligation plans.

On September 29, 2000, the AOC agreed to inform the Chairmen of the Senate and House Subcommittees on Legislative Branch Appropriations in the event that the AOC plans to either spend funds for an expense category not delineated in an

obligation plan or to exceed an expense category by the greater of 10% or \$100,000. On April 14, 2003, the Chairmen of the House of Representatives Committee on Appropriations directed the AOC to submit to the Committee a reprogramming request for any deviation from the existing obligation plans in the excess of the lesser of 10% or \$500,000. On April 22, 2003, the Chairmen of the Senate Committee on Appropriations directed the AOC to seek Committee approval for any reprogramming between approved funding categories in excess of 10% or \$250,000. Such amounts are presented in the Schedule under the column titled “Re-allocations and Transfers.”

Basis of Accounting

The Schedule was prepared pursuant to AOC’s accounting policies as they relate to the CVC project which are substantially equivalent to budgetary accounting and represent another comprehensive basis of accounting (OCBOA) than generally accepted accounting principles for federal entities (GAAP). Specifically, (1) commitments represent an informal reservation of funds in the anticipation of a future obligation, (2) obligations to date represent the cumulative amount of orders placed, contracts awarded, services received, and similar transactions that have required or will require payments in future periods, (3) expenditures include disbursements in transit and outlays, that is, the issuance of checks, disbursement of cash, or electronic transfer of funds to liquidate an obligation and amounts retained on contracts as described below, and (4) available balance is the amount of current obligation authority that is not a commitment or obligation. At September 30, 2009, approximately \$1.06 million of commitments are included in the column “Commitments/Obligations To Date.”

At September 30, 2009, the 10% of invoiced amounts the AOC retains pursuant to the terms of certain contracts, which is usually paid only after the AOC is satisfied with the contractor’s performance in fulfilling the terms of the contract, known as “retainage”, is included in expenditures. On the Schedule, the value of goods and services received but not yet authorized for payment are not included in expenditures with the exception of retainage.

Budgetary accounting comprises a definite set of criteria and is used by many federal agencies as it facilitates compliance with legal constraints and controls over the use of federal funds.

Recognition of Obligations and Expenditures

Decisions as to which activities to charge to the CVC appropriation and on the timing of these charges are made in accordance with AOC policies for the CVC project. The following represent the principal categories of obligations and expenditures relating to the CVC base project that are funded through the CVC appropriation and, therefore, are included in the Schedule:

- Those activities and transactions considered necessary to meet the scope of the CVC project as defined by the Revalidation Study as approved by the CPC, or as subsequently modified by the CPC either through directive or through approval of modifications to the project scope as described in obligation plans submitted by the AOC.
- All AOC contracts with a value of \$100,000 or more that directly benefit the CVC and would not have been entered into if the CVC were not being designed and constructed.
- All transfers of CVC project funds to other agencies to provide needed support for the CVC project.
- Salaries and benefits of AOC employees specifically hired to manage the CVC project, unless otherwise mandated by Congress or the CPC.
- Travel expenses incurred by the CVC project staff and other AOC staff in support of this project, regardless of value.

NOTE 2: Activities relating to the CVC but not included in the Schedule

The following represent the principal categories of obligations and expenditures relating to the CVC that are not funded through the CVC appropriation and, therefore, are not included in the Schedule:

- Any amounts expended prior to October 21, 1998.
- Indirect costs, overhead allocations, and the salary and benefit costs of AOC personnel who, as part of their normal duties, perform work in support of the CVC Project.
- Direct expenses borne by other agencies in support of the design and construction of the CVC.
- Amounts expended by the Capitol Preservation Fund (CPF) for the CVC ceremonial groundbreaking activities or design studies on a tunnel linking the CVC to the Library of Congress.
- Office supplies and other incidental items that are typically kept in the AOC’s stores or otherwise supplied by the AOC’s Office Services Division.

- Furniture, moving, phone and data equipment and connections or other items that would otherwise be considered “tenant” costs for newly constructed space.
- Cost of relocating offices or facilities that are temporarily or permanently displaced by CVC construction.
- Amounts approved and expended for the CVC operational costs.

NOTE 3: Transfer of funds from CVC appropriation

Chapter 9 in Division B of the Fiscal Year 2002 Defense Appropriations Act (P.L. 107-117), states, “...any Legislative Branch entity receiving funds pursuant to the Emergency Response Fund...may transfer any funds provided to the entity to any other Legislative Branch account in an amount equal to that required to provide support for security enhancements, subject to the approval of the Committees on Appropriations of the House of Representatives and Senate.” Per P.L. 107-38, the CVC received \$138.5 million from the Emergency Response Fund. On March

22, 2002, with prior approval of the Committees on Appropriations of the House of Representatives and Senate, the CVC transferred \$3 million to the United States Capitol Police Board. The Capitol Police will use these funds to support the construction site security and temporary visitors screening operations related to the CVC. These funds were included in the Construction Phase Obligation Plan approved on March 7, 2002.

On August 7, 2003, with prior approval of the Committees on Appropriations of the House of Representatives and Senate, the CVC transferred an additional \$9 million to the United States Capitol Police Board. The Capitol Police will use these funds for the design, installation, and procurement of security systems for the CVC.

On May 9, 2005, with prior approval of the Committees on Appropriations of the House of Representatives and Senate, the CVC transferred an additional \$4.088 million to the United States Capitol Police Board. The Capitol Police will use these funds for the procurement of security systems for the CVC. These transfers effectively reduced the obligation authority to \$412.725 million.

CAPITOL VISITOR CENTER—SENATE SHELL SPACE OBLIGATION/EXPENDITURE REPORT

For the Period Beginning November 12, 2001 and Ending September 30, 2009

(\$ in thousands)

Project Components	BUDGET				Commitments/ Obligations to Date	Expenditures to Date	Available Balance
	Total	Re-allocations and Transfers	Current 9/30/2009	Approved Obligation Authority			
Design, Planning and Administrative Costs	\$ 7,500	\$ (7,500)	\$ —	\$ —	\$ —	\$ —	\$ —
AOC Administration and Miscellaneous Soft Costs	—	1,205	1,205	1,205	1,164	1,164	41
Design and Construction Administration	—	3,050	3,050	3,050	2,946	2,880	104
Construction Management Fees	—	2,000	2,000	2,000	2,000	2,000	—
Sub-total	7,500	(1,245)	6,255	6,255	6,110	6,044	145
Construction Costs	27,500	(27,500)	—	—	—	—	—
Sequence 1: Foundation and Structure	—	1,750	1,750	1,750	1,750	1,750	—
Sequence 2: Building Fit-out	—	11,000	11,000	11,000	10,833	10,832	167
Remaining Shell Space Fit-out Costs (Note a)	—	23,868	23,868	23,868	22,735	21,655	1,133
Total Construction Costs	27,500	9,118	36,618	36,618	35,318	34,237	1,300
Additional Funding (Note b)	2,475	(2,475) (908)	—	—	—	—	—
TOTALS	\$ 37,475	\$ 4,490	\$ 42,873	\$ 42,873	\$ 41,428	\$ 40,281	\$ 1,445

The accompanying footnotes are an integral part of this schedule.

Note a: Memorandum approved by the Budget Office on August 27, 2009 approved reprogramming \$109,861 for Construction Management fees.

Note b: CVC Obligation plans approved by the Senate on February 2, 2009 and the House on March 3, 2009 for \$908,453 for the Senate Remaining Shell Space Fit-out costs.

NOTES TO THE CAPITOL VISITOR CENTER— SENATE SHELL SPACE OBLIGATION/ EXPENDITURE REPORT

*For the Period Beginning November 12, 2001 and
Ending September 30, 2009*

NOTE 1: Summary of Significant Accounting Policies

Reporting Entity

On October 21, 1998, Congress appropriated \$100 million (CVC appropriation) without fiscal year (FY) limitation to the Architect of the Capitol (AOC) as part of the Omnibus Consolidated and Emergency Supplemental Appropriations Act (P.L. 105-277) (the Act) to provide funding for expenses necessary for the planning, design, engineering, and construction of the Capitol Visitor Center (CVC). As such, the AOC has primary responsibility for managing the CVC construction project, including hiring staff and engaging various contractors to assist in the planning, engineering, design, and construction of the CVC. In the Act, Congress expressed its desire that the CVC “provide both greater security for all persons working in or visiting the United States Capitol and a more convenient place in which to learn of the work of Congress.”

On November 12, 2001, Congress appropriated \$70 million in the FY 2002 Legislative Branch Appropriations (P.L. 107-68) to the AOC to be used for the development of the unassigned space within the CVC project for the House and Senate.

During FY 2005, the Committee on Appropriations of the House of Representatives and Senate approved a transfer of \$26.3 million from the Emergency Response Fund (P.L. 107-38) unobligated balances to incrementally fund the CVC, of which \$4.6 million was provided for the Senate shell space.

On August 2, 2005, Congress appropriated an additional \$41.9 million in the FY 2006 Legislative Branch Appropriations Act (P.L. 109-55) for the CVC; of which \$2.5 million is allocated to the Senate shell space. On December 30, 2005, as part of P.L. 109-148, a government-wide rescission of 1 percent of the FY 2006 appropriation act resulted in a total decrease of \$419,000 of budget authority, of which \$25,000 is allocated to the Senate shell space. At the time, the AOC had estimated that total project costs would be about \$42.1 million for the Senate shell space.

There was no additional approved obligation authority for the Senate Shell Space during FY 2008.

An obligation plan was submitted to the Senate Committee on Appropriations and the House of Representatives Committee on Appropriations on January 22, 2009. The plan requested obligation authority of \$20,202,573 million (See A/D F.2.1) from the FY 2009 undistributed balance, and authority to change the use of \$700,000 (See A/D F.2.1) of FY 2008 construction funds previously approved for obligation for AOC Fire Marshal contractor support to reprogram and obligate these funds to Sequence II contractor’s support for the Fire Marshal’s testing of the installation of additional fire alarm system devices. Of the \$20,202,573, \$908,453 (See A/D F.2.1) was requested for the Senate Shell Space. The Chairman of the Senate Committee on Appropriations approved the obligation plan as requested on February 6, 2009 and the House of Representatives Committee on Appropriations approved the obligation plan as requested on March 3, 2009.

The CVC Senate Shell Space Obligation/Expenditure Report (the Schedule) reflects the activities and related transactions and balances determined to be directly related to the planning, design, engineering, and construction of the Senate shell space build-out pursuant to the policies of the AOC as summarized in this note and funded by the CVC appropriation for the Senate shell space. The Schedule does not include any amounts that were included in the CVC Base Project for the construction of the shell space structure. The \$42.1 million provided is for subsequent changes to the structure and for the build-out of the space. The current estimate to complete the Senate shell space is \$42.8 million. Note 2 describes the principal categories of activities and transactions related to the CVC Senate Shell Space but not included in the Schedule.

Basis of Presentation

The Schedule has been prepared to report on the total budget, outstanding commitments, obligations incurred-to-date, expenditures approved-to-date, and the status of funds approved for obligation in accordance with obligation plans for the period beginning November 12, 2001 and ending September 30, 2007. These obligation plans represent the mechanism by which the AOC seeks the Senate Committee on Appropriations’ approval to obligate funds for the project, in accordance with the Emergency Supplemental Appropriations Act for Defense, the Global War on Terror, and Tsunami Relief, 2005 (P.L. 109-13). P.L. 109-13

amended Legislative Branch Appropriations Act of 2000 (P.L. 107-68) by striking “chair and ranking minority member.”

On April 22, 2003, the Chairmen of the Senate Committee on Appropriations directed the AOC to seek Committee approval for any reprogramming between approved funding categories in excess of 10% or \$250,000. Such amounts are presented in the Schedule under the column titled “Re-allocations and Transfers.”

Basis of Accounting

The Schedule was prepared pursuant to AOC’s accounting policies as they relate to the CVC project which are substantially equivalent to budgetary accounting and represent another comprehensive basis of accounting (OCBOA) than generally accepted accounting principles for federal entities (GAAP). Specifically, (1) commitments represent an informal reservation of funds in the anticipation of a future obligation, (2) obligations to date represent the cumulative amount of orders placed, contracts awarded, services received, and similar transactions that have required or will require payments in future periods, (3) expenditures include disbursements in transit and outlays, that is, the issuance of checks, disbursement of cash, or electronic transfer of funds to liquidate an obligation and amounts retained on construction contracts as described below, and (4) available balance is the amount of current obligation authority that is not a commitment or obligation. At September 30, 2009, approximately \$24 thousand (See A/D A.6.3) of commitments is included in the column “Commitments/Obligations To Date.”

At September 30, 2009, the 10% of invoiced amounts the AOC retains pursuant to the terms of certain contracts, which is usually paid only after the AOC is satisfied with the contractor’s performance in fulfilling the terms of the contract, known as “retainage”, is included in expenditures. On the Schedule, the value of goods and services received but not yet paid for are not included in expenditures with the exception of retainage.

Budgetary accounting comprises a definite set of criteria and is used by many federal agencies as it facilitates compliance with legal constraints and controls over the use of federal funds.

Recognition of Obligations and Expenditures

Decisions as to which activities to charge to the CVC Senate Shell Space appropriation and on the timing of these charges are made in accordance with AOC policies for the CVC project. The following

represent the principal categories of obligations and expenditures relating to the CVC project that are funded through the CVC appropriation and, therefore, are included in the Schedule:

- Those activities and transactions considered necessary to meet the scope of the CVC Senate shell space project as defined and approved by the Senate, or as subsequently modified by the Senate either through directive or through approval of modifications to the project scope as described in obligation plans submitted by the AOC.
- Salaries and benefits of AOC employees specifically hired to manage the CVC project, unless otherwise mandated by Congress or the Capitol Preservation Commission (CPC). Expenditures of salaries and benefits are allocated from the CVC base project to the shell space based on percentage of project funding.
- Travel expenses incurred by the CVC project staff and other AOC staff in support of this project, regardless of value.

NOTE 2: Activities relating to the CVC but not included in the Schedule

The following represent the principal categories of obligations and expenditures relating to the CVC that are not funded through the CVC Senate Shell Space appropriation and, therefore, are not included in the Schedule:

- Indirect costs, overhead allocations, and the salary and benefit costs of AOC personnel who, as part of their normal duties, perform work in support of the CVC Project.
- Direct expenses borne by other agencies in support of the design and construction of the CVC.
- Office supplies and other incidental items that are typically kept in the AOC’s stores or otherwise supplied by the AOC’s Office Services Division.
- Furniture, moving, phone, and data equipment and connections, or other items that would otherwise be considered “tenant” costs for newly constructed space.
- Cost of relocating offices or facilities that are temporarily or permanently displaced by CVC construction.
- Amounts approved and expended for the CVC operational costs.

CAPITOL VISITOR CENTER—HOUSE SHELL SPACE OBLIGATION/EXPENDITURE REPORT

For the Period Beginning November 12, 2001 and Ending September 30, 2009

(\$ in thousands)

Project Components	BUDGET				Commitments/ Obligations to Date	Expenditures to Date	Available Balance
	Total	Re-allocations and Transfers	Current 9/30/2009	Approved Obligation Authority			
Design, Planning and Administrative Costs							
AOC Administration and Miscellaneous Soft Costs	\$ 1,750	\$ (525)	\$ 1,225	\$ 1,225	\$ 1,189	\$ 1,189	\$ 36
Design and Construction Administration							
Design and Construction Documents	2,250	250	2,500	2,500	2,407	2,389	93
Construction Administration	1,000	(500)	500	500	492	478	8
Construction Management Fees							
Design/Procurement Phase	1,500	—	1,500	1,500	1,500	1,500	—
Construction Phase	1,000	(500)	500	500	500	500	—
Sub-total	\$ 7,500	\$ (1,275)	\$ 6,225	\$ 6,225	\$ 6,088	\$ 6,056	\$ 137
Construction Costs	27,500	(27,500)	—	—	—	—	—
Sequence 1: Foundation and Structure	—	3,453	3,453	3,453	3,453	3,453	—
Sequence 2: Building Fit-out	—	11,000	11,000	11,000	10,868	10,868	132
Remaining Shell Space Fit-out Costs (Note a)	—	24,152	24,152	24,152	22,736	21,949	1,416
Total Construction Costs	\$ 27,500	\$ 11,105	\$ 38,605	\$ 38,605	\$ 37,057	\$ 36,270	\$ 1,548
Additional Funding (Note b)	2,475	(2,475) (1,765)	—				
TOTALS	\$ 37,475	\$ 5,590	\$ 44,830	\$ 44,830	\$ 43,145	\$ 42,326	\$ 1,685

The accompanying footnotes are an integral part of this schedule.

Note a: Memorandum approved by the Budget Office on August 27, 2009 approved reprogramming \$109,861 for Construction Management fees.

Note b: CVC Obligation plans approved by the Senate on September 19, 2008 and the House on October 2, 2008 approved \$187,500 for the House Remaining Shell Space Fit-out costs. Additional Obligations plans were approved by the Senate on February 2, 2009 and the House on March 3, 2009 for \$1,077,514 for the House Remaining Shell Space Fit-out costs.

NOTES TO THE CAPITOL VISITOR CENTER— HOUSE SHELL SPACE OBLIGATION/ EXPENDITURE REPORT

*For the Period Beginning November 12, 2001 and
Ending September 30, 2009*

NOTE 1: Summary of Significant Accounting Policies

Reporting Entity

On October 21, 1998, Congress appropriated \$100 million (CVC appropriation) without fiscal year (FY) limitation to the Architect of the Capitol (AOC) as part of the Omnibus Consolidated and Emergency Supplemental Appropriations Act (P.L. 105-277) (the Act) to provide funding for expenses necessary for the planning, design, engineering, and construction of the Capitol Visitor Center (CVC). As such, the AOC has primary responsibility for managing the CVC construction project, including hiring staff and engaging various contractors to assist in the planning, engineering, design, and construction of the CVC. In the Act, Congress expressed its desire that the CVC “provide both greater security for all persons working in or visiting the United States Capitol and a more convenient place in which to learn of the work of Congress.”

On November 12, 2001, Congress appropriated \$70 million in the FY 2002 Legislative Branch Appropriations Act (P.L. 107-68) to the AOC to be used for the development of the unassigned space within the CVC project for the House and Senate.

During FY 2005, the Committee on Appropriations of the House of Representatives and Senate approved a transfer of \$26.3 million from the Emergency Response Fund (P.L. 107-38) unobligated balances to incrementally fund the CVC, of which \$5.7 million was provided for the CVC House shell space.

On August 2, 2005, Congress appropriated an additional \$41.9 million in the FY 2006 Legislative Branch Appropriations Act (P.L. 109-55) for the CVC; of which \$2.5 million is allocated to the House shell space. On December 30, 2005, as part of P.L. 109-148, a government-wide rescission of 1 percent of the FY 2006 appropriation act resulted in a total decrease of \$419,000 of budget authority, of which \$25,000 is allocated to the House shell space. At the time, the AOC had estimated that total project costs would be about \$43.2 million for the House shell space.

An obligation plan was submitted to the Senate Committee on Appropriations on May 2, 2008 and the House of Representatives Committee on Appropriations on May 12, 2008, requesting obligation authority of \$13,776,000 million from the FY 2008

undistributed balance, and to reprogram and obligate \$90,000 in previously approved FY 2007 construction funds. Of the \$13,776,000, \$500,000 was requested for the House Shell Space. The Chairman of the Senate Committee on Appropriations approved the obligation plan as requested on May 21, 2008, and the House of Representatives Committee on Appropriations approved the obligation plan as requested on June 9, 2008.

An obligation plan was submitted to the Senate Committee on Appropriations and the House of Representatives Committee on Appropriations on September 3, 2008. The plan requested obligation authority of \$5,661,197 million (See A/D F.2.4) from the FY 2008 undistributed balance, and authority to change the use of \$3,000,000 (See A/D F.2.4) of FY 2008 construction funds previously approved for obligation for Sequence II Contractor support to reprogram and obligate these funds to Sequence II Delay-related costs. Of the \$5,661,197, \$187,500 (See A/D F.2.4) was requested for the House Shell Space. The Chairman of the Senate Committee on Appropriations approved the obligation plan as requested on September 19, 2008, and the House of Representatives Committee on Appropriations approved the obligation plan as requested on October 2, 2008.

An obligation plan was submitted to the Senate Committee on Appropriations and the House of Representatives Committee on Appropriations on January 22, 2009. The plan requested obligation authority of \$20,202,573 million (See A/D F.2.1) from the FY 2009 undistributed balance, and authority to change the use of \$700,000 (See A/D F.2.1) of FY 2008 construction funds previously approved for obligation for AOC Fire Marshal contractor support to reprogram and obligate these funds to Sequence II contractor’s support for the Fire Marshal’s testing of the installation of additional fire alarm system devices. Of the \$20,202,573, \$1,077,514 (See A/D F.2.1) was requested for the House Shell Space. The Chairman of the Senate Committee on Appropriations approved the obligation plan as requested on February 6, 2009 and the House of Representatives Committee on Appropriations approved the obligation plan as requested on March 3, 2009.

The CVC House Shell Space Obligation/Expenditure Report (the Schedule) reflects the activities and related transactions and balances determined to be directly related to the planning, design, engineering, and construction of the CVC House shell space build-out pursuant to the policies of the AOC as summarized in this note and funded by the CVC appropriation for the House shell space. The Schedule does not include any amounts that were included in the CVC Base Project for the construction

of the shell space structure. The \$43.6 million provided is for subsequent changes to the structure and for the build-out of the space. The current estimate to complete the House shell space is \$44.8 million. Note 2 describes the principal categories of activities and transactions related to the CVC House shell space but not included in the Schedule.

Basis of Presentation

The Schedule has been prepared to report on the total budget, outstanding commitments, obligations incurred-to-date, expenditures approved-to-date, and the status of funds approved for obligation in accordance with obligation plans for the period beginning November 12, 2001 and ending September 30, 2007. These obligation plans represent the mechanism by which the AOC seeks the House Committee on Appropriations' approval to obligate funds for the project, in accordance with the Emergency Supplemental Appropriations Act for Defense, the Global War on Terror, and Tsunami Relief, 2005 (P.L. 109-13). P.L. 109-13 amended Legislative Branch Appropriations Act of 2000 (P.L. 107-68) by striking "chair and ranking minority member."

On April 14, 2003, the Chairmen of the House of Representatives Committee on Appropriations directed the AOC to submit to the Committee a reprogramming request for any deviation from the existing obligation plans in the excess of the lesser of 10% or \$500,000. Such amounts are presented in the Schedule under the column titled "Re-allocations and Transfers."

Basis of Accounting

The Schedule was prepared pursuant to AOC's accounting policies as they relate to the CVC project which are substantially equivalent to budgetary accounting and represent another comprehensive basis of accounting (OCBOA) than generally accepted accounting principles for federal entities (GAAP). Specifically, (1) commitments represent an informal reservation of funds in the anticipation of a future obligation, (2) obligations to date represent the cumulative amount of orders placed, contracts awarded, services received, and similar transactions that have required or will require payments in future periods, (3) expenditures include disbursements in transit and outlays, that is, the issuance of checks, disbursement of cash, or electronic transfer of funds to liquidate an obligation and amounts retained

on contracts as described below, and (4) available balance is the amount of current obligation authority that is not a commitment or obligation. At September 30, 2009, approximately \$7 thousand (See A/D A.6.2) of commitments is included in the column "Commitments/Obligations To Date."

At September 30, 2009, the 10% of invoiced amounts the AOC retains pursuant to the terms of certain contracts, which is usually paid only after the AOC is satisfied with the contractor's performance in fulfilling the terms of the contract, known as "retainage", is included in expenditures. On the Schedule, the value of goods and services received but not yet authorized for payment are not included in expenditures with the exception of retainage.

Budgetary accounting comprises a definite set of criteria and is used by many federal agencies as it facilitates compliance with legal constraints and controls over the use of federal funds.

Recognition of Obligations and Expenditures

Decisions as to which activities to charge to the CVC House Shell Space appropriation and on the timing of these charges are made in accordance with AOC policies for the CVC project. The following represent the principal categories of obligations and expenditures relating to the CVC project that are funded through the CVC appropriation and, therefore, are included in the Schedule:

- Those activities and transactions considered necessary to meet the scope of the CVC House shell space project as defined and approved by the House of Representatives leadership staff, or as subsequently modified by the House either through directive or through approval of modifications to the project scope as described in obligation plans submitted by the AOC.
- Salaries and benefits of AOC employees specifically hired to manage the CVC project, unless otherwise mandated by Congress or the Capitol Preservation Commission (CPC). Expenditures of salaries and benefits are allocated from the CVC base project to the shell space based on percentage of project funding.
- Travel expenses incurred by the CVC project staff and other AOC staff in support of this project, regardless of value.

NOTE 2: Activities relating to the CVC House Shell Space but not included in the Schedule

The following represent the principal categories of obligations and expenditures relating to the CVC House Shell Space that are not funded through the CVC House Shell Space appropriation and, therefore, are not included in the Schedule:

- Indirect costs, overhead allocations, and the salary and benefit costs of AOC personnel who, as part of their normal duties, perform work in support of the CVC Project.
- Direct expenses borne by other agencies in support of the design and construction of the CVC.
- Office supplies and other incidental items that are typically kept in the AOC's stores or otherwise supplied by the AOC's Office Services Division.
- Furniture, moving, phone, and data equipment and connections, or other items that would otherwise be considered "tenant" costs for newly constructed space.
- Cost of relocating offices or facilities that are temporarily or permanently displaced by CVC construction.
- Amounts approved and expended for the CVC operational costs.

Appendices

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This Performance and Accountability Report was produced with the energies and talents of the staff of The Architect of the Capitol. To these dedicated individuals we offer our sincerest thanks and acknowledgement. In particular, we would like to recognize the following individuals for their contributions:

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LIST OF ABBREVIATIONS AND ACRONYMS

ACF	Alternate Computer Facility	CSRDF	Civil Service Retirement and Disability Fund
ADA	Americans with Disabilities Act	CSRS	Civil Service Retirement System
AIA	American Institute of Architects	CVC	Capitol Visitor Center
AICPA	American Institute of Certified Public Accountants		
AOC	The Architect of the Capitol	DDC	Direct Digital Controls
		DOE	Department of Energy
BIM	Building Information Modeling	DOL	Department of Labor
BOC	Budget Object Codes	DWO	Demand Work Order
BPR	Business Process Re-Engineering		
BSCSS	Building Services Customer Satisfaction Survey	E-85	Ethanol-85
BTD	Business Transformation Division	EA	Enterprise Architecture
		EAMMF	Enterprise Architecture Management Maturity Framework
C&A	Certification and Accreditation	EEO/DP	Equal Employment Opportunity and Diversity Programs Division
CAA	Congressional Accountability Act	EISA 2007	Energy Independence and Security Act of 2007
CAD	Computer-Aided Design	EPA	Environmental Protection Agency
CAO	Chief Administrative Officer	EPAct 2005	Energy Policy Act of 2005
CB	Capitol Building Jurisdiction	ESCO	Energy Savings Contractor
CCMP	Capitol Complex Master Plan	ESPC	Energy Savings Performance Contract
CD	Construction Division		
CEOVs	Chief Executive Officer for Visitor Services	FASAB	Federal Accounting Standards Advisory Board
CERCLA	Comprehensive and Environmental Response Compensation and Liability Act	FCA	Facility Condition Assessment
CFL	Compact Fluorescent Lamp	FCI	Facility Conditions Index
CFO	Chief Financial Officer	FECA	Federal Employees' Compensation Act
CG	Capitol Grounds Jurisdiction	FEMP	Federal Energy Management Program
CHCO	Chief Human Capital Officer	FERS	Federal Employees' Retirement System
CHIP	Congressional Historical Interpretive Program	FFMIA	Federal Financial Management Improvement Act
CIP	Capitol Improvements Plan	FGGM	Fort George G. Meade
CISO	Chief Information Security Officer	FIFO	First-In, First-Out
CITES	Convention on International Trade in Endangered Species of Flora and Fauna	FISCAM	Federal Information Systems Controls Audit Manual
CMMI	Capability Maturity Model Integration	FMFIA	Federal Managers' Financial Integrity Act
CoBIT	Control Objectives for Information and Related Technology	FTE	Full-Time Equivalent
COTR	Contracting Officer's Technical Representative	FY	Fiscal Year
CPA	Certified Public Accountant		
CPBG&S	United States Capitol Police Buildings, Grounds, and Security Jurisdiction	GAAP	Generally Accepted Accounting Principles
CPP	Capitol Power Plant Jurisdiction	GAO	Government Accountability Office
CRV	Current Replacement Value	GMR	General Management Review
		GPO	Government Printing Office
		GPRA	Government Performance and Results Act

APPENDICES

GSA	General Services Administration	OGC	Office of the General Counsel
GSS	General Support System	OIG	Office of Inspector General
GTCI	Green the Capitol Initiative	OMB	Office of Management and Budget
		OOC	Office of Compliance
H1N1	Swine Flu Virus	OPM	Office of Personnel Management
HCMD	Human Capital Management Division	OSH	Occupational Safety and Health Program Plan
HOB	House Office Buildings Jurisdiction	OSHA	Occupational Safety and Health Administration
HVAC	Heating, Ventilation, and Air Conditioning	OSP	Office of Security Programs
I&I	Injury and Illness	PAR	Performance and Accountability Report
IDP	Individual Development Plan	PIC	Project Information Center
IG	Inspector General	PL	Public Law
IT	Information Technology	PMD	Project Management Division
ITD	Information Technology Division	PP&E	Property, Plant, and Equipment
ITIL	Information Technology Infrastructure Library	PPM	Office of Planning and Project Management
ITIM	Information Technology Investment Management		
		SBA	Small Business Administration
JAB	John Adams Building	SC	Supreme Court Jurisdiction
JMMB	James Madison Memorial Building	SFEP	Office of Safety, Fire, and Environmental Programs
		SFFAS	Statement of Federal Financial Accounting Standard
KBTU	Kilo British Thermal Unit	SNC	Statement of Net Cost
kWh	Kilowatt-Hour	SOB	Senate Office Buildings Jurisdiction
		SOHB	Safety and Occupational Health Branch
LBG	Library Buildings and Grounds Jurisdiction	SSP	System Security Plans
LEED	Leadership in Energy and Environmental Design		
		T&A	Time and Attendance
MD&A	Management's Discussion and Analysis	TJB	Thomas Jefferson Building
MOR	Management Operations Reporting	TMFJB	Thurgood Marshall Federal Judiciary Building
MOU	Memorandum of Understanding	Treasury	Department of Treasury
MY	Multi-Year	TSD	Technical Support Division
NAOP	National Association of Olmsted Parks	USBG	United States Botanic Garden Jurisdiction
NAVCC	National Audio-Visual Conservation Center	USC	United States Code
NFPA	National Fire Protection Association	USCP	United States Capitol Police
NIST	National Institute of Standards and Technology		
		WFPM	Workforce Planning and Management Division
OAP	Office of the Attending Physician		
OCAO	Office of Chief Administrative Officer	YTD	Year-to-Date
OCER	Office of Congressional and External Relations		
OCFO	Office of the Chief Financial Officer		





LEGEND

1	U.S. Capitol
2	Capitol Visitor Center (underground)
3	Russell Senate Office Building
4	Dirksen Senate Office Building
5	Hart Senate Office Building
6	Webster Hall
7	Cannon House Office Building
8	Longworth House Office Building
9	Rayburn House Office Building
10	Ford House Office Building
11	House Page Dorm
12	Botanic Garden Conservatory
13	Botanic Garden Administration Building
14	National Garden
15	Thomas Jefferson Building
16	John Adams Building
17	James Madison Memorial Building
18	Special Facilities Center
19	Supreme Court Building
20	Thurgood Marshall Federal Judiciary Building
21	Capitol Power Plant Complex
22	Eney, Chesnut, Gibson Memorial Building
	FACILITIES NOT SHOWN:
	Childcare Center (Senate)
	Alternate Computer Facility
	Botanic Garden Production Facility and Various Support Facilities Postal Square (leased)
	GPO Building (leased)
	Library of Congress Buildings
	Ft. Meade Building
	National Audio-Visual Conservation Center
	U.S. Capitol Police Buildings
	Training Facility
	Dog Kennel and Training Facility
	Maintenance Facility (leased)
	Fairchild Building (leased)
	Delivery Center (leased)
	Storage/Logistics Warehouse (leased)

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