

STATEMENT OF ALAN M. HANTMAN, AIA  
ARCHITECT OF THE CAPITOL  
Fiscal Year 2001 Oversight Hearing  
United States Senate  
Committee on Rules and Administration

### **Opening Statement**

Mr. Chairman: As we step into a new millennium, we also celebrate 200 years of Congressional occupancy of our Capitol, this magnificent structure that is the physical representation of democracy not only for our nation, but for the world. There have been many changes inside these walls over those two centuries, but it is undoubtedly true that at no time in history has the office of the Architect of the Capitol experienced more fundamental change, or had so many essential projects to accomplish, than in the brief time since I have been privileged to be Architect of the Capitol.

I am pleased to appear before this Committee to discuss our operations and propose the Fiscal Year 2001 budget for the Architect of the Capitol. I look forward to working with you as we continue, together, to build the social and physical infrastructure that will better serve and support the United States Congress as it meets the constant and changing needs of the American people and nation this coming year and far into the future.

I am often asked how I like the position of Architect of the Capitol. And I usually respond: It is a magnificent challenge. It is magnificent because of the unique structures and grounds and environment I work with here. It is magnificent because of the opportunity to support the greatest legislative body in the history of the world.

Magnificent, yet, it is equally challenging. It is a challenge to move forward on many fronts, to simultaneously protect the past, support Congress in the present, and plan and build for its future. It is a challenge to work in an atmosphere that must be, at the same time, open and accessible yet safe and secure; where offices never fully empty and efforts never cease; and where the work of the AOC must minimize inconvenience while creating the structure to augment the essential tasks of Congress.

We often refer to our complex here as the Capitol Campus. But it is actually a community. And it is a city that in some respects is emerging from a time capsule.

Our city of more than two dozen buildings, more than 270 acres, more than two centuries of rich experience – and as many as 30,000 daily inhabitants and visitors – developed in its own special manner. Until provisions of the Congressional Accountability Act went into effect only three years ago, we in AOC were not affected by provisions such as the Fair Labor Standards Act of 1938 and the Occupational Safety and Health Act of 1970. We had our own structures. We had our own ways. Now we are attempting to make a giant stride, more than six decades long, into the 21<sup>st</sup> century.

Our challenge is to meet today's needs – without destroying yesterday's heritage for those who will occupy this special place in the future.

While there is clearly much work left to be done, we have made significant progress and are proud of what has been accomplished so far in rebuilding the foundation of this agency. Because of the great scope of work we face, and the challenges we must successfully meet with a reduced workforce, it is necessary for us to specifically focus our efforts this year in four areas that are essential to our ongoing core mission of supporting and serving the Congress.

These areas are:

- \$ Creating an even safer physical environment for Members, staff and visitors in line with the requirements of the Congressional Accountability Act;
- \$ Improving the delivery of customer services;
- \$ Enhancing the preservation, utility and security of our buildings, with the Capitol Visitor Center being a notable illustration;
- \$ Continuing to build a stronger, better trained staff – which is the very foundation necessary to address the first three priorities.

As I have testified in the past, the level of employees in this agency has decreased from 2,407 in Fiscal Year 1993 to a current ceiling level of 2,012 – a 16 percent decrease in staffing. Current actual employment is lower because we are in the process of backfilling re-engineered positions as a result of the first phase of our recent buyout, which is detailed in Appendix C of this testimony. At the same time, our workload has increased due to the need for physical improvements to modernize and enhance safety in these aging structures. It is important to recognize that we have reached the saturation point where the amount of work to be done in several areas has taxed our staff capacities to the fullest extent. We are therefore requesting funding for critical staffing needs for life safety, service delivery, and project support, as well as for the tools needed by our staff to do our jobs more effectively.

Because of the necessity of moving forward in these critical areas, with their attendant fiscal implications, I am delaying the request for appropriations to initiate the next phase of the Capitol Dome Renovation Project until next year in order to focus resources on these essential areas.

Work on the Dome can be delayed in the short run because we are finishing our first-phase emergency examination of the structure, and happily have found that the basic structure is fundamentally sound. The next stage of repairing and restoring the cast iron skin and interior

Rotunda finishes of the Dome is clearly important and needs to be addressed in the short term, but in our judgment there are higher priorities on which to focus finite resources this year.

### **Life Safety**

In this context, planning for and implementation of life safety programs throughout the campus remains my number one priority and this priority has been supported by Congress through the Congressional Accountability Act. Implementing such a program across the campus and bringing the Capitol and our other structures into conformance with the most modern codes and practices is a process that is complicated by virtual full-time occupancy and the extremely limited “turn around” space for the “musical chairs” sequencing inherent in the renovation process. It also is complicated by the need to change the AOC work culture. We need to work out appropriate methods with the committees of jurisdiction to accelerate these processes. Appendix A discusses many of our initiatives in this area, and projects and planning. Substantial appropriations will continue to be required to accomplish this work in the coming years.

The physical, technological and human challenges in both preserving the historic integrity of our architectural treasures and bringing them into conformance with modern safety standards are difficult and will create inconveniences in these buildings, but they are achievable. Once again, these fixes will be neither cheap nor quick, and support of this effort by the Congress will continue to be needed to accomplish this vital work in a timely manner.

### **Customer Services**

We also must continue to improve the quality of our maintenance services to occupants of Capitol Hill. One major example of improved services is the need for daytime cleaning of public areas in the Senate and House Office Buildings. In order to accomplish this, increases in our budgets and staffing levels for these functions are required. This request includes additional staff to improve operations, meet life safety needs, and improve project management; as well as funding to continue to build improved operational tools and services such as computer-assisted facilities management, financial management systems, and improvements in information resource management.

### **Budget Summary**

Our total request is \$252,121,000, which is a \$41,832,000 increase over the Fiscal Year 2000 level, broken down as follows: Our operating budget requested increase is \$18,577,000 over last year’s amount of \$164,805,000. This increase is mostly due to mandatory COLAs, increased operations and maintenance costs, and the request for additional staff described above. Our capital budget increase is \$23,255,000 over last year’s funding level. This includes \$7.45 million for projects requested by the Capitol Police and \$6 million for projects requested by the Library of Congress. It also includes \$9 million for major repairs, life safety and security upgrades to the Cannon House Office Building Garage.

It is important to note that all of the capital projects in this request meet our 100 percent design requirement.

As described in the attached appendices, we have successfully completed an extraordinary amount of work and instituted essential and fundamental changes in the three years I have been Architect of the Capitol. We have gone a long way toward implementing Congressional directives by instituting a 100 percent design policy, continuing to overhaul and improve our personnel systems (Appendix C), continuing to build a vital staff to move forward on the challenging life safety front, and have created a financial management system cross servicing agreement and are beginning to implement the basic general ledger needs it encompasses (Appendix H). However, these important steps are only the beginning of the marathon we must run to build an agency that meets the challenges of this new millennium. Our budget reflects our essential priorities and needs in order to continue on our course and increase the speed and effectiveness of improvements necessary to meet our changing times.

Mr. Chairman, I request that my full statement and supporting materials be placed into the record. Several detailed reports on accomplishments and initiatives, such as life safety, project management, and the budget, are also appended for your information and the record.

I thank you and the other Members of the Committee for your leadership and concern in supporting our efforts to better serve Congress and the American people.

Reports detailing the results of many AOC activities are appended to this statement. They include:

- Appendix A: Initiatives in Life Safety
- Appendix B: Security Update
- Appendix C: AOC Human Resources Act of 1995 Achievements
- Appendix D: Initiatives Regarding the Congressional Accountability Act
- Appendix E: Initiatives in Labor-Management Relations
- Appendix F: Status of Selected Capital Improvement Projects
- Appendix G: Report on Architect of the Capitol Year 2000 Readiness
- Appendix H: Financial Management System Improvements
- Appendix I: Computer Aided Facilities Management
- Appendix J: Project Management Initiatives
- Appendix K: Fiscal Year 2001 Budget Request Summary

## **APPENDIX A**

### **Architect of the Capitol Initiatives in Life Safety Fiscal Year 2001**

#### **EXECUTIVE SUMMARY**

##### **I. SAFETY INITIATIVE**

The Life Safety Program Division has begun a Safety Initiative to review, develop, and implement program elements to bring the AOC Safety Program to an exemplary level within the Occupational Safety and Health Administration's Voluntary Protection Programs (VPP) model. VPP requirements and AOC activities are detailed within Section I.

##### **II. ENVIRONMENTAL PROGRAM INITIATIVE**

The AOC is required to comply with Environmental Protection Agency Laws and Statutes as enforced by the District of Columbia. An explanation of what is required and what this means to the AOC is detailed in Section II.

##### **III. CONSULTANT SUPPORT FOR LIFE SAFETY PROGRAMS**

A list of current contractors and memorandums of understanding with other Agencies with some of the activities being supported is detailed in Section III.

##### **IV. MAINTENANCE**

A brief description of the AOC Maintenance Program is provided in Section IV.

##### **V. PROJECTS**

A list of current projects being supported by the AOC Life Safety Program Division is provided in Section V.

##### **VI. SUMMARY**

A brief summary statement is provided in Section VI.

## APPENDIX A

### Architect of the Capitol Initiatives in Life Safety Fiscal Year 2001

#### INTRODUCTION

The agency has undertaken significant steps to revitalize the life safety program. Since last year the AOC has enhanced the newly formed Life Safety Program Division with the addition of a new Director and Deputy Director. Augmentation of this program with additional personnel for the existing Safety and Occupational Health and Fire System and Life Safety Branches, as well as the proposed Environmental Branch, of the Life Safety Program Division is either underway or under development pending funding.

- § The Safety and Occupational Health Branch conducts safety inspections of buildings and work sites, drawing and project review, provides consultation to the Jurisdictions on safety programs and issues, and develops and implements Agency programs.
- The Fire System and Life Safety Branch conducts fire prevention inspections, drawing and project reviews, fire alarm system programming, and provides oversight to the fire prevention program.
- § The proposed Environmental Branch will develop and implement program and policy, review projects for environmental impacts, provide consultation to the Jurisdictions, and conduct periodic oversight inspections.

Systematic approaches to reviewing and developing programs and standard operating procedures throughout the Capitol Complex has begun, including baseline surveys and continuous coordination with the Office of Compliance survey teams on the detailed process of identifying and prioritizing program requirements. Significant steps have been taken to identify, correct, and prevent physical and program deficiencies in a proactive rather than reactive manner. This is a formidable task that requires considerable staff and consultant resources to accomplish at a progressive pace. Descriptions of the steps taken and those needed are expanded upon below.

The Life Safety Program Division has submitted an aggressive plan and is implementing a Safety Initiative that will bring the Agency along the road to further conformance with requirements defined by the Congressional Accountability Act. It is important to note that full conformance with the Act will be difficult to achieve due to

the necessity of preserving the historic nature and infrastructure of the facilities. The AOC is evaluating the alternative code provisions that have been developed to allow for performance based protection, such as the NFPA's new Life Safety Code, which was adopted at their Fall 1999 meeting, and building codes such as those in the states of Wisconsin, Pennsylvania and Texas to specifically address the life safety issues in historic structures with significant public spaces, monumental ceiling heights, open grand stairways, etc. Technology under development such as OSHA's Fire Safety Advisor (currently in BETA format) will also help with regard to assessment, means, and methodology development. Work has also begun on the development of an Environmental Branch that will address requirements of the Environmental Protection Agency as enforced by the District of Columbia.

## I. SAFETY INITIATIVE

A full review and analysis by the Life Safety Program Division will be completed this year of the Congressional Accountability Act, the referenced Occupational Safety and Health Administration (OSHA) standards, and review of code requirements for both private industry and other Federal Agency programs. This review will determine where the current AOC program is with regard to the rest of the country, where it needs to be, and a validation of the multi-year plan prepared by the Life Safety Program Division on how to get it there. The initial analysis determined that the OSHA Voluntary Protection Program (VPP) Model should serve as the framework for the new program and that bench marking established safety programs would be done to provide the information necessary for the AOC Safety Program. The VPP program was established by OSHA to provide private industry and Federal Agencies a means of measuring their programs and provide OSHA proof that their program is exemplary. Qualifying programs in the VPP program can earn certification from OSHA as Star Programs worthy of recognition and duplication. The AOC's goal is to develop and implement a program that OSHA will consider exemplary. New resources are necessary to accomplish this goal to bring the safety program to a compliant level as described by the Congressional Accountability Act and are essential to sustain the program and keep the AOC on track with any future changes to requirements. Resources identified in the Fiscal Year 2001 budget include increases in permanent and contractor staffing, survey and analysis costs, and general operating funds. Work has begun in the following areas:

- A. Administration and Management - this area focuses on how a Safety Program is developed and implemented. Several specific elements are described to achieve an acceptable level in the VPP framework. These include: Development of a Safety Policy Statement and Safety Manual, the establishing of Safety Committees with written Charters and Policies, and establishment of a Mishap Reporting Policy, a Hazard/Close Call Reporting Policy, and a Disciplinary Policy for Safety Violations. There must also be a means of measuring job performance with regards to safety.

The existing AOC Safety Manual and program elements are being reviewed by the Life Safety Program Division against these requirements. Available resources are also being reviewed and the AOC safety program plan is being refined. The Human Resource Management Division (HRMD) is revising the current Performance Evaluation System (PES) to include requirements for evaluating safety in job performance. Safety Committees have been formed in several of the Jurisdictions and the Life Safety Division is working with these committees to refine their charters and objectives. The existing committees are also being used as resources in the formation of committees in the other Jurisdictions.

- B. Assessments - this area focuses on the identification of hazards associated with the workplace or job performance. The model requires surveys and analysis to be done to fully identify and quantify hazards so all information is available to make risk management decisions. Actions necessary to meet these requirements include performance of a Baseline Hazard Analysis, an Industrial Hygiene Survey, Job Safety Analysis, Annual Compliance Audits, and the establishment of comprehensive Preventative Maintenance Programs, Contingency Safety Plans, Emergency Preparedness Exercises, and Corrective Action Plans.

The AOC through the use of Life Safety Services, Incorporated, has recently conducted the first comprehensive Annual Compliance Audit. This audit not only satisfies OSHA requirements by identifying systemic deficiencies and areas needing correction, but it also provides information necessary for the Life Safety Program Division to focus AOC resources. Corrective action plans have been initiated on items not requiring funding and a risk assessment analysis is being conducted to prioritize corrective actions requiring additional funds. The AOC is working with the Public Health Service (PHS) on the completion of comprehensive job safety analysis for job assignments at the Capitol Power Plant and industrial hygiene surveys for on-going construction projects, such as the Dirksen Senate Office Building renovation project. PHS is also providing assistance with the identification and program development for addressing confined spaces. Work with the Army Corp of Engineers is providing information on the location of asbestos and lead in Capitol Hill buildings. These surveys must be expanded to include all of the complex. The AOC Preventive maintenance Program will utilize the CAFM program once fully implemented to schedule, track and record maintenance. As previously noted, the AOC has established a Task Force on Contingency Safety plans and used that work as part of the Y2K initiative.

- C. Training - this area focuses on how employees have been prepared to perform their assigned tasks in a safe manner. The model requires the preparation of a Master Training Plan and emphasizes specific training of Safety Committee

Members. It also calls out for specific training in Mishap Investigation, Emergency Preparedness, OSHA Training for Employees and Management, and training in how to conduct a Job Safety Analysis.

The Life Safety Program Division has identified safety training required by OSHA for all AOC employees and this training list is being coordinated with HRMD to integrate the AOC Safety Master Training Plan with the AOC Master Training Plan. The safety training has been prioritized, made mandatory, and is underway. Courses can be broken down into a one-time requirement, an annual requirement, or a periodic requirement based upon working conditions. Eleven of thirty-four one-time classes, three of the seven periodic courses and eleven of the eleven annual courses have thus far been conducted. Each of these courses requires course curriculum development based upon an assessment of the requirements of the standard and how the it is applied here. Vendor selection is underway for the remaining courses, HRMD is preparing for an additional fifteen courses this year.

- D. Record Keeping - this area focuses on what information is necessary to document the status of the program elements. Actions include the development of several databases such as an Inspection Database, a Mishap Reporting/Close Call Database, a Hazard Analysis Database, a Personal Protective Equipment Database, an Employee Compensation Database, and a Corrective Action Tracking Database.

The Life Safety Program Division is actively reviewing other Federal Agency programs to determine if existing databases can be used by the AOC or if internal development from scratch is necessary. The AOC has already developed and implemented an Occupational Worker's Compensation Program database in the past fiscal year. This system is being used to identify trends and areas needing focused attention. Further database development will be dependent upon program and policy development. Each Jurisdiction will be required to develop standard operating procedures to ensure appropriate input, use, and integration of these databases. The Life Safety Program Division will provide guidelines and assistance to the Jurisdictions on this development. Corrective action tracking is currently being done by each Jurisdiction using various methods such as Microsoft Excel spreadsheets. These are now being reviewed by the Life Safety Program Division. Efforts are underway to integrate these into a uniform format so the creation of a central database can be expedited.

- E. Document Review - this area focuses on how the program adjusts to changes in requirements, technology, and hazards. The AOC model requires a complete document review, document updates for existing areas as appropriate, and

preparation of documents for areas where none exist. It also requires an annual review and revision of documents as appropriate.

An extensive review of current program documentation is underway. It is anticipated most of the current documentation will require an update to comply with current requirements. Preliminary reviews also indicate a significant effort will be required to address areas not currently having documentation. Much of this effort will be in the development of standard operating procedures at the Jurisdictional level defining program implementation.

## II. ENVIRONMENTAL PROGRAM INITIATIVE

The Environmental Protection Agency (EPA) notified the AOC in June of 1999 that a Preliminary Assessment in conformance with the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA or Superfund) was required from the AOC for the Capitol Hill Complex. This assessment provides the EPA with information on the potential for pollution of the environment from Capitol Hill facilities. Preliminary Assessments are reviewed by the EPA for determination of sites needing closer examination or remediation. The Life Safety Program Division has begun a review of the program requirements associated with Environmental Protection Agency laws and regulations. LSSI during their baseline safety survey was tasked to provide an assessment of environmental conformance. This survey identified numerous program areas requiring review and development. Issues such as waste water discharge permitting, Spill Prevention, Control, and Countermeasures Plans, inventory of chemicals and storage areas, and secondary containment issues were identified. Additional personnel and contractor support has been requested to begin the detailed program review and development associated with all aspects of the Environmental Program.

The Life Safety Program Division currently has one Hazardous Waste Specialist on staff addressing hazardous waste collection and removal. This Specialist is also responsible for coordination of the AOC Recycling Program. Program information on recycle collected for FY99 is provided in the table below.

### Recycle Program Summary Tables

| Bldg.      | FY 99 Tons         |                      |                |                          |                            |                    | FY 99 \$         |
|------------|--------------------|----------------------|----------------|--------------------------|----------------------------|--------------------|------------------|
|            | 1<br>High<br>grade | 2<br>Mixed<br>grade* | 3<br>Newspaper | 4<br>Corrugated<br>board | Contaminated<br>(No value) | Total/<br>building | Amount<br>earned |
| RHOB       | 89.438             | 135.985              | 139.530        | -0-                      | 919.188                    | 1,284.141          | 17,340           |
| CHOB       | 19.240             | 103.858              | 52.055         | 3.240                    | 603.813                    | 782.206            | 5,635            |
| HSOB<br>** | 1.593              | 222.395              | .755           | -0-                      | 379.180                    | 603.923            | 4,238            |
|            |                    |                      |                |                          |                            |                    |                  |
| Total      | 110.271            | 462.238              | 192.340        | 3.240                    | 1,902.181                  | 2,670.270          | 27,213           |

\* Includes both mixed paper and paper graded as commercial office mix.

\*\* Includes high grade paper collected from the Capitol, Senate side.

The General Services Administration (GSA), which administers the recycling contract, credits the AOC with the amount earned from recycling. Funds received from GSA are deposited in the U.S. Treasury. In addition to the funds earned and the positive environmental impact that recycling has, cost avoidance is achieved because waste sent for recycling is eliminated from AOC landfill costs. Based on avoided tipping fees and transportation costs, a saving of approximately \$77 per ton of waste sent for recycling is achieved. For FY99, based on more than 2,670 tons of waste sent for recycling, the approximate saving is \$205,600.

Jurisdictional personnel are responsible for the daily coordination and pick-up of recycle associated with their buildings. The recycle program implemented in FY99 installed desk cans and relabelled centralized containers. The Life Safety Program Division coordinates the overall program, administers the contract for collection, and provides oversight and consultation services.

### III. CONSULTANT SUPPORT FOR LIFE SAFETY PROGRAMS

In the preparation and presentation of fiscal 2000 and 2001 budget requests, life safety capital projects were placed in their own project category, and were given the highest priority. As each project was put forth for consideration, the agency used design/build criteria to meet current life safety standards while carefully integrating these systems into the Capitol complex's historic surroundings. Starting back in March 1997 the agency has used the services of several firms to provide the technical expertise and the much needed resource support required within the Life Safety Program Division to address program requirements.

- A. In August 1997, the consulting firm of KCCT was hired to study exit doors throughout the complex and prescribe a plan of correction to permit proper egress in an emergency and facilitate the integrated installation of security devices as required by the U. S. Capitol Police. This work has included redefining the direction doors swing open, replacement of revolving doors, frame modifications to house security hardware and redesigning vestibules to accommodate egress requirements, all while maintaining a design that is compatible with the architectural surroundings.

At the present time, more than 72 doors in the Capitol, House and Senate Office Buildings have been reconfigured to fully meet life safety requirements. Sixty-five more remain uncorrected and have engineering and architectural design requirements which necessitate funding requirements. These will be addressed as funding permits.

- B. In October 1997, James Posey Associates was placed under contract to provide professional services, material and equipment necessary to provide construction documents for sprinkler protection (and other services) within the Dirksen Senate Office Building. This project began on April 12, 1999. James Posey and Associates have also been utilized in the upgrade of the Rayburn House Office Building. This project is currently at the contractor bid stage of procurement.
- C. The fire protection consulting firm of Gage-Babcock was placed under contract in September, 1998, to respond to task orders. These included:
  - 1. General Fire Protection Description of all facilities and complex wide fire and emergency management systems
    - a. Omega Sprinkler recall identification - this provided quantities and locations of recalled sprinkler heads throughout the Capitol Complex. Sprinkler heads have been received and replacements are currently underway.
    - b. Building Fire Protection System Survey and Descriptions - this project provides a baseline on each building and provides the background necessary to standardize and centralize fire alarm

systems and their monitoring. The task is expected to be completed in mid-February.

- c. Design inter-connectivity of various life safety systems and emergency master control centers - this is the immediate follow-on work to item b to provide a central monitoring center for all Capitol Hill life safety systems.
2. Design the replacement for existing fire pumps in the U. S. Capitol, Russell Senate Office Building, and Cannon and Longworth House Office Buildings - designs have been completed. Installation is underway.
3. Upgrade fire pump electrical feeds - Ford House Office Building - design was completed in May 1999. The upgrade is underway.
4. Emergency signs and lighting and egress study to establish way finding and directional/exit signage needs for each building's fire protection and life safety and occupancy loads throughout the complex. The exit sign study has been completed. Egress analysis has been completed for the Hart Senate Office Building and Capitol Police Headquarters Building and is approximately 90% completed for the rest of the Capitol complex.
5. Prepare requirements for a fire alarm system upgrade for ADA compliance and identify areas of refuge for each building and the requirements to meet National Fire Protection Association standards in these areas. Design estimated to be completed 6/00.
6. The design for the extension of sprinklers in Russell Rotunda, Committee and Caucus rooms, Basement and Sub-basement, and machine and control rooms, and attic spaces of Hart, the O'Neill Building, and the Ford House Office Building are scheduled for completion in 2001. Design of sprinkler systems for Capitol Power Plant administration building, Longworth, JMMB, Canine Facility at DC Village have been completed,
7. Upgrade fire protection systems.
8. Design of firefighter telephones in Hart Building. Completed 8/99.
9. Design of fire alarm system upgrade to Longworth. Completed 9/99.
10. Senate Employee Child Care Center - Design of smoke detectors and review of new facility fire systems. Completed 10/99.

11. Rayburn alarm manual pull station upgrade for travel distance and ADA-design in progress, estimate completion end of March 00.
- D. In August of 1999, Life Safety Support Services, Incorporated was contracted to investigate the conditions associated with the fire in the James Madison Building and the citations issued by the Office of Compliance. They were also tasked to survey the other buildings on Capitol Hill to determine whether similar conditions existed elsewhere. Their report was used as part of the response to the citations issued by the Office of Compliance. LSSI was also tasked to perform the baseline OSHA and EPA surveys mentioned previously. Their findings were consolidated and have been analyzed for prioritization using a risk assessment scheme. Corrective action plans are being developed for each finding. Those capable of being corrected in-house with existing resources have already been initiated. Those requiring funding will be submitted using the priorities previously discussed.
- E. Aerosol Monitoring and Analysis was contracted to perform a confined space survey at the Capitol Power Plant. They are currently tasked to provide a lead assessment at the Day Care Center at the Ford House Office Building and air sampling at the Rayburn House Office Building.
- F. Mantech, Incorporated has been tasked to provide asbestos and lead surveys in the Capitol and Longworth House Office Building. They have also been tasked to provide environmental services at 501 1<sup>st</sup> street and laboratory services for the Safety and Occupational Health Branch.
- G. ERM, Incorporated has been tasked to provide monitoring, evaluation, demolition, and removal of underground storage tanks.
- H. The agency has a Memorandum of Understanding with the U.S. Army Corps of Engineers to provide architectural, engineering and construction support services as required. The agency will primarily use their services for survey and analysis support. Activities have included the removal and replacement of underground storage tanks (USTs) and surveys of the Supreme Court Building for asbestos.
- I. The Agency has a Memorandum of Understanding with the Public Health Service to provide safety, occupational health and industrial hygiene support services as required. The agency will use their services to supplement existing resources and to serve as a third party consultant on safety, occupational health or industrial hygiene related issues. Activities have included a comprehensive job hazard analysis for the Capitol Power Plant employees,

confined space evaluation and training at the Power Plant, industrial hygiene services for issues at the Power Plant and projects at the Capitol, and Dirksen Senate Office Building.

- J. The AOC has an agreement with the Office of the Attending Physician (OAP) to provide medical support. The OAP currently coordinates physicals associated with the Medical Surveillance Plan and provides consultation services as requested.

While these are positive steps to remedy some of our concerns, there is much more to be done. Projects need to be completed and/or current conditions within existing systems need to be corrected. Many time lines to complete projects currently remain extended due to lack of accessibility to occupied spaces where work would inconvenience Members, but the agency will actively work with the oversight committees, the Capitol Police Board, and other involved parties to develop methods of accelerating their completion. The agency is engaging systems once each zone is fully programmed, commissioned and ready to go on-line without affecting the integrity of the rest of the system.

#### IV. MAINTENANCE

The agency's program utilizes National Fire Protection Association maintenance standards and manufacturer's guidance as tools for the superintendents to schedule the necessary maintenance and documentation. In addition, the Life Safety Program Division will conduct inspections of maintenance work being performed as well as relevant records. The AOC intends to comply with record keeping requirements by utilizing the Computer Assisted Facility Management (CAFM) system once it is fully implemented. Preventive maintenance is the key to longevity of the operating systems throughout the complex as well as the life safety systems currently in place and those being planned or installed at the present time.

The agency is also working with other support offices to coordinate work areas, storage, and occupancy to maintain egress paths clear and safe as part of an overall safety maintenance program.

#### V. PROJECTS

- D. Upgrades to the fire suppression systems for the food service areas that address today's cooking oils was requested and approved for fiscal year 2000. Contract award is expected third quarter.
- E. Smoke detectors are being placed in rooms within the Capitol as they are being renovated. Due to access problems (requiring displacement of Members while

work is occurring) the fire alarm system upgrades in the Capitol are progressing at a much slower rate than anticipated or desired. A re-design of the new components will be conducted to zone the common public spaces separately to expedite fire alarm system coverage. Coordination with the Capitol master plan will also be conducted. Emergency Lighting in the Capitol has also been completed.

- F. A project impact analysis report procedure has been developed pertaining to the life safety system impacts on renovation/improvement projects such as the Capitol Dome and Dirksen Senate Office Building renovation. This is a newly implemented process, part of the project planning portion of our program, and indicates typical areas of consideration that will be reviewed with each project involving life safety elements. This tool will also be used when systems that support life safety are being modified such as water main replacements, room partitions installation, and electrical system work.
- G. Fixed fall protection systems for Capitol Building roofs have been designed and installation is scheduled for 2001.
- H. Fire alarm system upgrades associated with Y2K compliance and their certification per National Fire Protection Association standards has been estimated and will be conducted upon receipt of requested funding.
- I. A focused confined space program has been implemented in the Capitol Power Plant and its associated tunnels. This program will be expanded to include the remainder of Capitol Hill once a full confined space survey has been conducted. In addition, the AOC is working with the US Capitol Police to ensure all entrants are appropriately trained.

## VI. SUMMARY

To meet the Life Safety Program Division goals set for the AOC, resources will be required to develop and implement programs and policies at the Agency and Jurisdictional levels. Several major elements have been identified, these include:

- A. Space must be identified to facilitate temporarily moving a group of Members and/or Committees to provide access to their suites and meeting rooms to allow renovation and modification including fire protection systems.
- B. Design and installation funding must be provided to correct issues identified in surveys conducted by the Life Safety Program Division, the Office of Compliance, and the Office of the Inspector General.
- C. Manpower resources are not available in-house to develop and implement programs and install, commission and maintain systems in an acceptable manner while continuing to meet our day-to-day operational requirements. External resources and the funds to provide continued support needs to be provided as requested in the fiscal year 2001 budget.
- D. The development of the Environmental program and the analysis and survey requirements of the Environmental Protection Agency laws and regulations will require additional personnel and resources. Focus by the Life Safety Program Division has been on Safety related planning due to staffing limitations. Attention must be given to environmental matters because non-compliance with Environmental laws and regulations, can subject the Agency to citations and monetary fines. Enforcement by the EPA and the District of Columbia thus far has been limited. Announcement in June of 1999 of a response deadline for submittal of a CERCLA Preliminary Assessment indicates EPA's intention to begin a closer look at Capitol Hill Programs.

## **APPENDIX B**

Architect of the Capitol  
Security Update  
Fiscal Year 2001  
Senate Committee on Rules and Administration

The past year was a seminal year for security in the Capitol Complex. From the terrorist attacks both domestic and abroad, to the tragic deaths of Officer Chestnut and Detective Gibson, to the ever increasing threats to our facilities and the Leadership, a heightened awareness and emphasis on planning and implementing appropriate security measures dominates the focus of the Capitol Police Board, the U.S. Capitol Police and the AOC. The AOC concentrated on supporting the efforts of the Capitol Police and the other law enforcement entities to improve the security within the Capitol Complex.

The Omnibus Consolidated and Emergency Supplemental Appropriations Act, 1999, (P.L. 105-277), provided additional funding in the amount of \$106 million for the implementation of the proposed security improvements. Plans for the utilization of these funds were developed and submitted to the appropriate committees for approval. A complete obligation plan was submitted to the House and Senate Committees on Appropriations for review and approval. These approvals have been received. In moving forward with these plans in an expeditious manner, we are continuing to work closely with U.S. Capitol Police, Library of Congress Police, and the U.S. Supreme Court Police, to coordinate these significant efforts that are unprecedented in the history of the Capitol Complex.

Other proposed short and long term projects include the Capitol Visitor Center. It is a key component of the systematic modernization and strengthening of the integrated security infrastructure program which has been presented to the Committee. In that regard, we received a substantial portion of the funding to construct the Capitol Visitor Center and received approval for the review and validation of the existing design and programmatic needs. The design development and construction document phases will follow after approval of outstanding issues raised in the validation phase.

In early 1997, a Memorandum of Understanding (MOU) was executed with the Capitol Police that established the division of responsibilities, and the processes and procedures to be followed when developing and implementing security projects. This memorandum defined the processes and procedures important to the close working relationship between the two organizations.

Briefly, the MOU assigns the responsibility for design, procurement, installation and maintenance of physical security barriers and other structures to the Architect of the Capitol while the Capitol Police's Physical Security Division is in charge of design,

procurement, installation of security systems, including intrusion and duress alarms, x-ray, scanning and other security systems for facilities. My office continues to provide infrastructure support for the implementation of these systems. This has resulted in a strong working relationship between the two organizations.

The Omnibus Consolidated and Emergency Supplemental Appropriations Act, 1999 transferred the responsibility for design, installation, and maintenance of security systems to protect the physical security of the buildings and grounds of the Library of Congress from the Architect of the Capitol to the Capitol Police Board to be carried out under the direction of the Committee on House Oversight of the House of Representatives and Committee on Rules and Administration of the Senate. In response to this change, a separate MOU outlining the process, procedures and responsibilities for the improved security programs of the Library of Congress was entered into by this Office, the Capitol Police and the Library of Congress.

In addition to the planning for the programmatic, personnel and physical security needs provided for in the Omnibus Consolidated and Emergency Supplemental Appropriations Act, 1999, funding was provided in fiscal year 1999 to conduct a comprehensive Master Plan that will present the options for providing the current and future facility needs of the Capitol Police and the participating law enforcement entities operating within the Capitol Complex. These include a new shared offsite delivery center where all deliveries to the Capitol Complex can be properly screened, a shared training facility that would support the collective training requirements of the police, a modern command and communications center that is capable of monitoring and administering the existing and proposed security systems in a centralized and coordinated manner, as well as other support facilities not currently or adequately provided. The Master Plan has been submitted to the appropriate committees for review and approval as part of the planning approval process to support the development of the proposed new security and police facilities.

The 1998 Supplemental Appropriations and Rescissions Act, (P.L. 105-174) provided \$20 million to improved perimeter security for Capitol Square, as well as the streets surrounding the Senate Office Buildings. The Capitol Police Board was directed to develop a specific plan for this project. The challenge is to sensitively integrate a sophisticated security program into the historic landscape of the Capitol Grounds and the fabric of the incomparable complex of buildings that grace Capitol Hill. The solution has been strongly influenced by the fact that the Capitol is the “Peoples’ Building” and visitors must perceive it as such with reasonable access being provided. Perimeter fencing and other overly intrusive security measures have, therefore, been avoided.

The primary elements of the plan include improved security at all entrances to Capitol Square through the use of a combination of high impact vehicle barriers that are police activated at the most critical locations, or card activated egress from parking related areas. These are to be used in conjunction with a continuous string of security bollards similar to those designed for and installed at the White House. These bollards would replace the concrete planters and sewer pipes that had been temporarily put in place in the 1980s. In addition, by integrating electronic and other security systems at each vehicular entrance, a continuously secure perimeter would be created largely internal to the original Frederick Law Olmsted walls.

The end result of the proposed changes will be significant improvements to both the security needs and appearance of Capitol Square. Approval for this plan was received from the Senate Committee on Rules and Administration and the Committee on House Administration. The Senate Committee on Rules and Administration also specifically approved the Board's plan to improve the physical security elements protecting the Senate grounds and office buildings. Although this matter relates solely to the Senate, funding is included under our "Perimeter Security" project in the "Capitol Grounds" appropriation for this purpose. To resolve the security concerns, the Board recommended that landscape elements and bollards similar to those recommended for Capitol Square be used to replace the existing "Jersey" barriers, concrete planters and pipe sections. This solution maintains the necessary levels of security while softening the visual impact of these measures. The detailed construction plans and specifications have been completed and bid. As of March 9, 2000 proposals were delivered and opened. The proposals are being evaluated and after negotiations are complete it is expected that an award will occur during mid April of this year. Construction is anticipated to begin in May 2000 and continue through the four phases.

The Capitol Police Board approved five security related projects that are included in the Architect of the Capitol's fiscal year 2001 appropriation. These five security related projects as listed in our budget are as follows:

- § Infrastructure for Security Installations (\$500,000), which provides the infrastructure accommodations to support the continued installation by the Capitol Police of door controls, alarms, cameras and other security devices throughout the Capitol Complex.
- § Security Project Support (\$200,000) will provide this Office with technical staffing resources to coordinate and oversee the design and construction of capital improvements to be implemented by this Office that were funded in the Omnibus Consolidated and Emergency Supplemental and Appropriations Act, 1999.

- \$ Off Site Delivery and Screening Center (\$4,500,000) for the acquisition of land to build a new off site delivery and screening center, based on the findings in the Master Plan.
- \$ Design, Training Facility (\$700,000) will provide for design of new training facilities based on the findings in the Master Plan.
- \$ Vehicle Maintenance Facility (\$2,250,000) will provide for land acquisition and design of a new vehicle maintenance facility based on findings in the Master Plan.

## APPENDIX C

Architect of the Capitol  
AOC Human Resources Act of 1995 Achievements  
Fiscal Year 2001  
Senate Committee on Rules and Administration

### I. Introduction

The Congress passed the AOC Human Resources Act of 1995 in the fiscal year 1995 Legislative Branch Appropriations Act, Public Law 103-283, approved July 22, 1994. The law required that the AOC develop a human resources management program consistent with modern practices common to Federal and private sector programs.

### II. Human Resources Program Focus

Since April of 1997, the Human Resources Management Division (HRMD), under a new Director, has made the following areas a priority:

- customer service delivery,
- program/policy development,
- service delivery systems re-engineering,
- personnel action and operational processing simplification

In order to accomplish these priorities as well as the daily human resource operational requirements, HRMD has, as a team, formed relationships across branches and functions to address these new challenges. The following information outlines HRMD's progress so far and identifies new directions for the coming year.

### III. Program Guidance Completed

*The following program guidance was developed and distributed, with briefings provided to all Agency Supervisors:*

*Training Program* -- The training program was significantly revitalized and expanded to meet management and employee training needs. Specifically, we have:

- Administered a wide range of training courses for AOC employees at all organizational levels and of varied disciplines.
- Published a new training guidance handbook which has been provided to managers, supervisors and foremen during scheduled informational meetings. The handbook addresses the overall process for handling training requests and provides the following information: a detailed listing of training videos that are available for check-out or for viewing in the HRMD learning resources center by AOC staff; guidance on staff cross-training and job and non-job related training; instructions for completing on-site as well as off-site training requests; sample curricula and on-the-job training suggestions for a wide variety of trade occupations; and a copy of the General Services Administration's Facilities Management Training Center Catalogue.
- Implemented an automated training system to capture all training activity and funds allocation.

*Architect's Mobility Program (AMP)* -- With the assistance of a cross jurisdictional workgroup, we have revamped the program guidelines. The program is designed to provide career growth opportunities for employees in lower-graded, career-limiting positions. The program is being implemented with 8 to 12 vacancies initially. This is to ensure that we are able to provide the necessary one-on-one assistance to the selecting official and the selected employee to develop a tailored training development plan. We provided informational sessions for employees and supervisors with detailed information about the Program, and operating procedures. Specific assistance has been given to employees on the application process, on completing the necessary forms, etc.

*Hazard Pay/Environmental Differential* -- Guidance has been developed and provided for supervisors to use in requesting hazardous duty pay for appropriate work situations. The guidance provides for a number of steps to be taken by the supervisor prior to instructing employees to work in conditions that may be considered as hazardous duty. The guidelines provide for a health and safety review of the proposed working conditions, the applicable safety equipment, and other health/safety considerations. Once this review is completed, the supervisor will follow the procedures outlined to request from HRMD the authority to grant hazardous duty pay to employees involved in that specific work assignment.

*Temporary Limited Duty Assignments* -- Guidance was developed and provided for use by supervisors when considering requests from employees for limited

duty assignments, on a short-term basis, while recovering from a non-work related injury or illness. This information identifies the initial steps employees must follow and the documentation necessary to clearly substantiate a medical limitation. With specific medical documentation, the supervisor can make a determination whether or not a limited duty assignment is possible based on the employee's medical limitations and mission needs.

*Reissuance of Policy on the Administrative Work Week* -- Based on numerous questions about what constitutes the work week and inconsistent application of policies in different segments of the agency, we reissued the AOC policy and standardized procedures to all employees.

#### IV. Programs and Policies That Are Completed And Ready For Union Negotiations

*HRMD has completed the following program and policy guidance, which is awaiting negotiations with the Union. AFSCME Local 626 was elected by AOC employees representing laborers, custodial workers, various administrative support employees, and many employees of the U.S. Botanic Garden. As negotiations are completed for each policy, we will implement each of these initiatives. Our work on Program and Policy development is carried out in coordination and collaboration with Chief Employment Counsel and Chief Labor Relations Counsel. This ensures compliance with applicable laws and regulations including provisions of the Human Resources Act and the Congressional Accountability Act.*

*Temporary Promotion Policy* -- Completed the policy and procedures for supervisors to follow in proposing temporary promotions for employees. The policy provides for a uniform way of proposing, documenting, competing when necessary, and approving temporary promotions for AOC staff. Through this policy, Agency supervisors will be able to make a time-limited change of an employee's assignment, with a corresponding time-limited increase in pay.

*Work Detail Policy* -- Completed the policy and procedures for supervisors to follow in proposing details (temporary work assignments) for their employees. The policy provides for a uniform way of proposing, documenting and approving details for AOC staff. Through this policy Agency supervisors will be able to temporarily assign an employee to a different position or set of duties, without a change in pay. The employee that is temporarily assigned to a different position or duties continues to officially occupy his/her position of record.

*Classification Appeals Policy* -- Completed development of a classification appeal process for employees to use when the classification of their position (job title, series and/or grade) is in question. The process ensures that a thorough review and analysis of the position is completed; a specific report of findings is provided; and that HR staff meet to discuss the findings with the employee and the supervisor. The policy also provides for a third party (a neutral reviewer) to conduct the review in cases where this may be more appropriate.

V. Additional Human Resources Accomplishments

*Delegations of Authority* -- In June 1997, the Human Resources office was granted full delegated authority to carry out the wide range of personnel actions necessary to support and carry out the mission of the Agency.

*Informational Briefings* -- The Human Resource staff has been conducting informational briefings for groups of supervisors and managers in each jurisdiction. The briefings cover temporary limited duty assignments, hazardous duty pay/environmental differential, updates to the disciplinary process, the Architect's Mobility Program, the Training Handbook and other Human Resource program areas. The briefings are one method HRMD is using to develop an ongoing, cyclical dialogue with Agency supervisors to assure they understand the policies of the Agency and our intent to create standardized policies and procedures across all of our jurisdictions.

*Earlyout and Buyout Program for the Senate Restaurants* -- Based on Congressional authorization, developed program guidance, operating procedures, informational materials and facilitated counseling sessions to help employees decide if they were interested in applying for a buyout and/or earlyout during November/December 1997. The overall process, which required about three months of staff effort, resulted in 23 employees accepting the separation incentive. Through a second buyout program, in FY 1998, an additional 17 employees accepted a buyout. These efforts have resulted in an estimated saving of \$1 million dollars per year for the Senate Restaurants. In developing the guidance and procedures to administer this authority, we benchmarked similar activities at other agencies and completed a successful programmatic review conducted by General Accounting Office (GAO) staff. Our experience with this authority is that it is an effective tool that holds much promise as a component for re-engineering other areas of the Agency.

*Enhancing Supervisory Skills Workshop* -- With the assistance of a training consultant, we developed and administered this workshop for all AOC supervisors. The mandatory three-day training session addressed numerous topics with a focus on refreshing and enhancing supervisory skills. This workshop was the first of what will be a series of training opportunities aimed at improving the management and supervisory skills of AOC executives, managers, supervisors, foremen and assistant foremen. Major components of this workshop included segments to: enhance communications with employees; provide basic skills and the tools to effectively and promptly address conduct and discipline issues; address methods for providing positive reinforcement to staff; and, allowed an open discussion and review of pressing problems/issues.

*Streamlining the Discipline Process* -- In an effort to improve the timely and fair handling of disciplinary cases, we examined AOC's current process and procedure to identify areas where processing time for these actions could be reduced, without changing the existing policy. A number of areas were identified where supervisors, HRMD, and the Hearing Officers could be more time efficient. To help reduce the time it takes to resolve a disciplinary case, we developed processing time standards. A decision was also made to obtain the services of independent contractors, skilled in handling hearings, to assume the duties that have been carried out by AOC managers. In doing this, we have added an additional degree of independent objectivity and consistency to the review of cases in addition to improving overall timeliness of handling a disciplinary action.

*Reengineered the Employment Suitability Process* -- In order to ensure that new employees are suitable, from a security perspective, for employment with the agency, we reengineered the appointment and suitability review process. In conjunction with the U.S. Capitol Police, we now conduct a criminal history review prior to appointing all applicants within the agency. This changed process will also minimize the disruption to mission related work and will improve our overall business practices.

*Contract Administration Training Initiative* -- In collaboration with the Procurement Division, HRMD led an initiative to promote the training of contract project officers. A comprehensive program plan and schedule was developed to facilitate a contract project officer and a contract administration course. The first phase of this training program has been completed. This

initiative will enable the agency to more efficiently and professionally handle the administration of contracts for services that will be performed for AOC. The next training initiative (to be completed during FY-2000) will address the open market and small purchase procurement process.

*Position Management Review* -- In coordination with the Budget Office, HRMD implemented an Agency-wide process that ensures completion of a budget analysis and a position management review prior to a position being approved for recruitment. The position management review, completed by this office, focuses on: the need for the position; duplication of effort or overlapping of functions; the appropriate supervisory span of control; and staffing alternatives to ensure the position is filled at the lowest possible grade (salary) level.

*Position Classification Studies* -- Efforts in this area have resulted in:

- Completion of a number of position classification review studies including:
  - ▶ raising the career ladder to the GS-13 level for Architect positions in the Architectural Division;
  - ▶ developing GS-13 program manager positions in Engineering;
  - ▶ developing GS-13 level positions in the Information Resources Management Division.
  
- Completion of a preliminary review of a random sample of Laborer positions in the House, Capitol and Senate Office Buildings. The review was completed in response to employee complaints that their positions should be paid at a higher level. We found that the majority of the positions were either properly graded or were over graded. A broader study to review the proper classification (title, job series and grade) of all Laborer and Custodial Workers will be necessary.
  
- Completion of a review of all the positions in the Botanic Garden to determine the proper titles, series and grades of these positions.

*Organizational Studies* -- An organizational management review was completed for the Superintendent of the Capitol, resulting in a reorganization with consolidation of a number of shops. An organizational realignment, to consolidate the grounds staffs at the Supreme Court and the Library of Congress under the AOC Landscape Architect, was also completed. Currently, we are working with the Superintendent of the Senate Office Buildings, the Director of Engineering, and the Immediate Office of the Architect on a number of organizational issues. In addition, provided management and organizational analysis to establish the organization structure for the Financial Management System Program, the Capitol Visitor's Center Project Office, and the Life Safety Program Initiative.

These efforts are part of our Strategic Planning and Organization Management efforts to develop sound, efficient, cost-effective staffing patterns for the Agency. This work will result in streamlined organizations with appropriate supervisor- to- employee staffing ratios. We also assess options that will facilitate the identification and development of centralized operations, and opportunities for multi-tasked job assignments and upward mobility positions.

*CSRS to FERS Conversion* -- AOC had over 900 employees who were eligible to convert from CSRS to the FERS Retirement System during the open season that concluded on December 31, 1998. We had a comprehensive strategy in place to inform eligible employees of the process, considerations, financial implications, etc. HRMD provided one-on-one counseling and retirement comparisons to any interested employee who considered making the change. In addition, 79 employees participated in either FERS Transfer briefings and/or individual retirement transfer counseling sessions provided by HRMD.

*AOC Electronic Job Announcements* -- A procedure to "post" all AOC job vacancies on the Office of Personnel Management Job Information Home Page ([www.usajobs.opm.gov](http://www.usajobs.opm.gov)) was developed and implemented. AOC vacancies can now be found by any interested applicant "surfing" the net. In addition, to foster increased opportunities for all AOC staff, we implemented a policy of advertising jobs Agency-wide. This replaced the existing practice of advertising jobs primarily at the jurisdiction level. This will not only provide more opportunities for current AOC staff, but ensures consideration of a broader pool of candidates. Should we anticipate that there would not be a broad cross section of available internal candidates, the vacancies would be advertised to all sources (both within the AOC and to outside sources). Our goal is to ensure that vacancies are filled using a fair and open competitive procedure.

*Human Resources Newsletter* -- Developed and have been publishing a Human Resources Newsletter, Employee Matters, as part of the AOC Shoptalk. The newsletter provides AOC employees with current Human Resource information, program initiatives, upcoming events, training information, etc.

*Human Resources Web HomePage* – A new resource for AOC employees who have access to the AOC intranet has been developed. Employees can now find out about Human Resources-related information and policies on-line. Since this is just the beginning of our venture into the website design, we will continue to modify and enhance the HomePage based on feedback. Currently, the HomePage contains:

- Employee-wide notices issued by HRMD.
- A complete HR staff roster with contact numbers and service areas.
- The Uniform Policy and related documents.
- Issues of Employee Matters.
- Links to other sites such as TSP, Social Security and Federal Job Opportunities including AOC jobs.
- A feedback link to E-Mail a message to HRMD-Link.

In the near future, the site will be expanded to include:

- Every current AOC human resources policy.
- Mission-related information about HRMD and its branches, including each of the services and programs we provide.

## VI. Human Resources Initiatives Currently Underway

*AOC Year 1 Reengineering Plan using Buyouts and Earlyouts* – Based on Congressional authorization, we developed program guidance, operating procedures, and informational materials. We conducted 20 employee group briefings and provided 195 one-on-one retirement/resignation counseling sessions to assist employees interested in applying for a buyout and/or earlyout during the application window of June 1 - August 6, 1999. We received and approved 73 buyout requests. Our plan provides for the filling of 73 of the vacancies (48 positions are being reengineered to be advertised and filled as various needed disciplines; 25 positions will be filled in-kind - - the position to be filled will be the same type of position as was vacated).

*AOC Year 2 Reengineering Plan using Buyouts and Earlyouts* – A proposal will be submitted in March - April 2000, for Congressional authorization.

*Performance Evaluation System (PES)* --A plan was developed and implemented to review and make necessary program and policy changes to revamp the AOC PES. Focus groups comprised of supervisors, foremen, employees and managers were used to assist in the initial phase of the review. A cross jurisdictional workgroup of AOC staff, including Union representation, worked with HRMD staff to help develop proposals for necessary changes to revamp the system. A number of program and policy enhancements are being adopted which will provide for a more usable system. The revamped PES program is in the final review process. The implementation plan provides for union negotiations, approval of the final policy by the Architect, and implementation Agency-wide. Program implementation is projected during the March - April 2000 time frame.

*Awards Program* -- An awards policy/program to establish a comprehensive incentives and recognition program, including provisions to pilot monetary and time off awards is being developed. Providing an incentive system, that recognizes performance, productivity and exceptional employee contributions toward fulfilling our mission, will serve to reinforce service excellence, professionalism, creativity, and teamwork AOC-wide. A draft Agency policy has been reviewed by senior Agency managers and suggested revisions are being made. Project completing a final proposal for management review by March - April 2000. (Prior to implementation, necessary union negotiations will need to be completed).

*AOC Pay Flexibilities Policy* -- We have completed a draft proposal for several pay flexibilities - Retention Allowances, Recruitment Bonuses, and Superior Qualifications Appointments. These pay flexibilities will provide the option for paying a monetary incentive to; retain a high quality employee that may be looking to leave the Agency; better attract high quality candidates during the Agency's recruitment process; and grant a higher step of a grade in appointing a uniquely skilled individual to fill a critical position. A draft Agency policy has been reviewed by senior Agency managers and suggested revisions are being made. Project completing a final proposal for management review by late April - May 2000. (Prior to implementation, necessary union negotiations will need to be completed).

*Employee Safety and Protection* -- In collaboration with the AOC Health and Safety Office, HRMD has been actively addressing employee safety and protection in the workplace. We developed and implemented (with union

concurrence) an employee uniform policy in the Senate Office Buildings, the House Office Buildings, the Botanic Gardens and the Capitol Grounds. We are also working to ensure that we have program and policy guidance to address other employee personal protection issues such as protective clothing, eye protection, safety shoes, etc., to further support AOC health, safety, and training initiatives.

*Review of all Laborer and Custodial Worker Positions* - - A study to review the proper classification (title, job series and grade) of all Laborer and Custodial Workers was initiated in mid January 2000 and is expected to take several months for completion. The study is in response to employees complaints that positions are not properly classified and as a result of a previously completed review of a random sample of positions in the House, Capitol and Senate Office Buildings.

*Human Resources Process/Systems Reengineering* -- In the same fashion that the discipline process was streamlined to reduce processing time, we are systematically reviewing and revamping other HR processes and procedures so they are more responsive to management and employee needs. Even though this requires us to make a large investment of time, addressing these initiatives and the business of modernizing AOC's Human Resources programs are being approached with a great degree of enthusiasm by the HRMD staff. Our current focus is the re-engineering of the operating processes and procedures followed by the Employment and Services Branch. Staff workgroups are systematically analyze, modernize, simplify and implement new ways of doing business in a number of areas including: recruitment, pay and benefits processing, retirement counseling and program administration, health and life benefits administration, etc. A few examples of accomplishments to date include:

- II. Development and implementation of a Human Resources Staff Competency Development Model. The model provides a road map for the professional, technical, and career development of the HR staff.
- III. A pilot employee benefits group has been formed to provide more responsive, focused services tailored to individual employee needs. The group provides one-on-one services in retirement counseling, health and life benefits, thrift savings, and resolution of other employee needs.
- IV. An employee suitability procedure was revamped to ensure a more timely responsive review of employment suitability for prospective employees

and contractors. The process provides for close coordination of employee suitability with the U.S. Capitol Police.

- V. A team was identified to provide continuous assistance to Agency managers in addressing ongoing operational issues. Through regular participation in jurisdictional staff meetings or working with individual or groups of employees the team.
- VI. Developed and implemented two informational/communications tools to provide guidance to employees and to supervisors on emerging issues. *Tools Of The Trade* are guidance documents for managers and supervisors on how to handle specific program, policy or operational issues. *HR Bulletins* are informational issuances to all employees regarding important upcoming activities/events.

*Labor Management Relations and Negotiations* -- With the election of a union to represent approximately one-third of the Agency's workforce, HRMD now has additional program responsibilities to carry out in collaboration with the Labor Relations Attorney. HRMD is working with a wide variety and a significant number of day-to-day union issues as well as serving on the management negotiation team. They regularly participate in meetings with union officials to address specific issues or concerns and to provide information. The staff is devoting a considerable amount of time to carry out negotiations with the union on a labor-management contract as well as on specific policy issues.

*Supervisor and Employee Handbooks* -- Under two separate initiatives, we are developing a *Supervisory Handbook for Managing Human Resources* and an *AOC Employee Handbook*. Both publications are designed to provide both supervisors and employees with relevant and accurate AOC policies, procedures, processes, programs, and benefits.

*Workers' Compensation Program* -- HRMD has initiated a concerted effort to develop a comprehensive program to address the high workers' compensation costs being incurred by the Agency. We have developed a Three-Year Strategic Plan with goals of: returning claimants to work following an injury; proactively managing cases and medical care; and containing costs and reducing lost work time. Some of our accomplishments to date include:

- I. Implementation of a Memorandum of Understanding with the Office of the Attending Physician to provide medical consultation in connection with work-related injuries/illnesses;
- II. A limited duty program that can provide limited duty to every partially disabled employee injured on the job;
- III. Development and implementation of a Workers' Compensation Tracking System to provide managers, supervisors, the Health and Safety Office, the attending Physicians's Office and the Human Resources Office with immediate access to new injury cases as they occur, for performing mishap investigations, generating injury reports, and for identifying and tracking injury trends.
- IV. Completed a review of 396 workers' compensation claims, implemented 48 corrective actions, returned 93 employees to work in limited duty work assignments, returned 14 employees to full duty from our short term and long term rolls, and canceled 2 employees' ineligible cases.
- V. Working with the Department of Labor's Office of Workers Compensation, we completed a review of 101 long-term cases and have requested their intervention in 20 cases for possible rehabilitation, re-employment or reduction of benefits.
- VI. Completed detailed research into a number of potentially fraudulent cases. Based on our findings, we have referred and requested a complete administrative review of 15 workers compensation cases by the Department of Labor.

We will continue to develop specific initiatives, in conjunction with the AOC Health and Safety Office and with the Attending Physician's Office, to systematically address each aspect of workers' compensation, to provide for a proactive return to work program and to aggressively pursue cases of potential fraudulent claims.

*Forging New Business Relationships* -- HRMD has been working with several organizations across the campus:

- The U.S. Capitol Police to establish joint efforts to successfully and safely deal with potential workplace issues;

- The Office of the Attending Physician and the Occupational Health and Safety staff to develop better program linkages with regard to workers compensation, training and other program areas; and
- Participating in initial discussions with the Sergeant at Arms and the Chief Administrative Officer on potential areas for mutual cooperation.

The staff is actively participating on several executive agency forums: a member of the *Small and Independent Federal Agencies Personnel Group*; a member of the *Office of Personnel Management's Human Resource Accountability Workgroup*; participate in the *Classification and Compensation Society forums*; and are actively involved in the *Federal Safety and Health Council*.

## VII. Upcoming Human Resources Initiatives

This is a brief summary of HRMD initiatives on the horizon:

*Leave Administration* -- Guidance and instructions being used by the various jurisdictions are being collected in an effort to assess how leave is administered across the AOC. We want to look at options for developing more standard policies and procedures for handling the various aspects of leave administration including:

- Process for requesting and approving leave (annual, sick, without pay, etc.).
- Process for annotating and documenting tardiness.
- Process for annotating, documenting and initiating action to address AWOL situations.

As an initial effort, based on initial findings HRMD is developing several *Tools Of The Trade* for managers and supervisors to address appropriate documentation and use of sick leave and tardiness. A comprehensive review and update of the Agency policy will be planned as a future program initiative.

*Records Management* -- HRMD is reviewing the information AOC organizations currently maintain about the employment and conduct of individual employees with the goal of developing guidelines to standardize these practices. Individual supervisors and managers may find it convenient to maintain unofficial personnel records containing information about their employees for purposes of initiating personnel actions, tracking leave usage, and

recommending discipline. The information maintained might duplicate some of that in the employee's Official Personnel Folder, but may include copies of additional material such as employee's counseling, incident reports, and supervisory notes. In order to provide consistency in the content and manner in which employee information is kept, HRMD will develop guidelines to govern what documentation may and may not be maintained, as well as general information on the employee's right to review it.

*Update and Revamp the AOC Conduct and Discipline Policy* -- The AOC operating process and procedures for handling conduct and discipline matters will be reviewed and updated. The existing process is rather cumbersome and can be very time intensive. The necessary procedural steps in administering the disciplinary process will be streamlined.

*A Comprehensive Wage and Pay Administration and Hours of Duty Policy* -- In addition to current work efforts on the AOC's Pay Flexibilities Policy, HRMD will look into developing a more uniform, comprehensive, way of addressing wage and pay matters to cover holiday pay, overtime, tours of duty, etc. This effort will standardize pay administration and work scheduling across the Agency and provide clear operating guidelines for AOC supervisors to follow.

*Human Resources Management Information System* -- Based on program and management needs, research is needed to actively pursue modernization of HR information management systems. The lack of an automated system results in very labor intensive efforts on behalf of Agency managers, administrative staff, the HR staff, and the Information Resources Management staff in completing day-to-day business transactions. An automated system would not only greatly reduce the necessary paperwork, but would also reduce the processing time for personnel actions and would facilitate generation of necessary Agency and Oversight Committees' reports. Such a system would be able to provide for: on-demand, accurate, management reports for program analysis; processing of personnel actions; personnel forms; position classification process; simple, protected, employee access to their personal pay, benefits, retirement, insurance, and other employment related information.

*Human Resources Process/Systems Reengineering* -- The staff will continue to reengineer, streamline and revamp our operating processes and procedures with the goals of reducing processing time and providing more responsive customer services. Following the model we used in the conduct and discipline process (previously addressed in this report), we will complete a process to streamline and reengineer operating processes and procedures in the Employment and

Services Branch and then replicate the model in the Classification and Pay Administration Branch, the Management and Employee Relations Branch, and the Employee Development and Communications Branch.

*Our organizational goal is to be more responsive in meeting the needs of our AOC customers, and provide timely, cost-effective HR services. We envision Human Resources as a proactive partner and resource in advancing the AOC mission of being an innovative and efficient team dedicated to service excellence and to preserving, maintaining and enhancing the national treasures entrusted to our care.*

## APPENDIX D

Architect of the Capitol  
Initiatives Regarding the Congressional Accountability Act  
Fiscal Year 2000  
Committee on Rules and Administration Oversight Hearing

### INTRODUCTION

Enacted in 1996, the Congressional Accountability Act of 1995 (the CAA) affords all AOC employees, and their union representatives a process by which to present allegations regarding workplace matters before the independent Office of Compliance. In addition, the CAA requires the Office of Compliance General Counsel to conduct complex-wide inspections to guarantee workplace safety and health.

#### I. COMPLAINT PROCESS IN DISCRIMINATION CASES

An employee who wishes to allege violations of the CAA, excluding labor-management and OSHA issues, may request counseling and mediation from the Office of Compliance. Individuals who wish to file such requests need not put in writing, or prove, any allegations during formal counseling, mediation or before entering the formal litigation process. At mediation the AOC must be ready to respond to any employment-related matters, including discrimination, wage and hour and family leave issues, or other workplace issues, without regard to the legal merits of claims. The CAA and the Office of Compliance procedural rules require that all mediation and formal hearing proceedings are strictly confidential and require parties to sign agreements to that effect.

After the mediation period, a complainant or a designated representative may initiate the litigation process by filing a formal complaint in the Office of Compliance or a civil action in Federal Court. (The CAA requires that Formal Complaint cases be kept confidential. On the other hand, Federal court cases are not confidential.) There are currently 18 active district court cases in which the AOC is the party defendant. In the 15 cases in which courts have ruled, the AOC has received favorable rulings, including a number of complete dismissals of civil actions.

#### II. DISCRIMINATION CASE STATISTICS

Based on the official figures provided by the Office of Compliance (the OC) for calendar year 1999, individuals filed 311 requests for counseling naming the AOC as the respondent employing office. (The filing of such requests is a pre-requisite to filing a Request for Mediation upon which the OC first informs the AOC of the existence of a complaint from an employee.) The OC only discloses numerical statistics in this area and has not authorized the release of any information in these cases. Nevertheless, the Office of Compliance has stated that the bulk of these cases concerned one issue, i.e.,

claims by AOC custodial workers under the equal pay and discrimination provisions of the CAA. The Office of Compliance proceedings concerning these requests by law are strictly confidential. As stated above, 18 cases are currently pending in federal court.

### III. OCCUPATIONAL SAFETY AND HEALTH PROVISIONS OF THE CAA

Section 215 of the CAA directs the Office of Compliance General Counsel to inspect any area or activity within the jurisdiction of employing offices, including all of the buildings within the AOC's jurisdiction with respect to compliance with occupational safety and health standards. (As of January 1998, the Library of Congress, separate and apart from the AOC, is covered by this provision regarding its own activities.) The OC General Counsel conducts inspections of all such locations at least once every Congress, but also whenever an employee or an employee representative requests an inspection.

The CAA empowers the General Counsel to issue a citation or notice when he has reason to believe that a violation of Section 215 of the CAA has occurred. The General Counsel's issuance of a citation or notice by itself does not establish that there has been a violation of the CAA. A citation contains a suggested abatement and sets a date by which compliance is requested. To obtain an order to correct an alleged violation, the General Counsel must issue a complaint against an employing office. In the history of the CAA, the General Counsel has not issued a complaint against the AOC under Section 215.

If the General Counsel were to issue a complaint against an employing office in the CAA process, an independent hearing officer would conduct a hearing at which the OC General Counsel and the employing office may present arguments as to whether the employing office is in compliance with the law. A hearing officer's decision may be appealed to the OC Board of Directors and then to the Federal Circuit Court of Appeals.

Starting in January 2000, the OC General Counsel began conducting periodic inspections of the Capitol Hill complex and other facilities under the jurisdiction of the AOC. Also, the OC General Counsel has previously conducted over 60 individually requested inspections of certain facilities. These inspections may be narrowly focused on one location or activity, or they may involve facilities and activities across the Capitol Hill complex, such as the ongoing fire safety inspections of all of the buildings under AOC jurisdiction, mentioned below. The AOC has been fully cooperative in the inspection process, has responded to each issue raised, and has corrected deficiencies, where possible with existing resources and funds.

In late April 1999, the General Counsel cited the AOC for the lack of roof fall protections on the Capitol Building and for failing to test for the Legionella bacteria at the frequency that he felt desirable in the East Towers of the Capitol Power Plant. With regard to the first issue, the AOC was well underway with its plan to provide for fall protection, not only on the Capitol Building, but on all of the buildings in the complex. In the second matter, the AOC had already begun its seasonal testing for the Legionella

bacteria at the East Towers when the citation was issued. At the suggestion of the OC General Counsel, the testing was conducted on a weekly basis over the past year. All tests at all the cooling towers of the Capitol Power Plant have been negative.

In July 1999, the OC General Counsel issued citations concerning inspection and maintenance of certain components of the electrical system in the James Madison Memorial Building of the Library of Congress. Pursuant to the recommended abatements in the citations, the AOC conducted tests and maintenance of the subject electrical switchgear, as well as the switchgear throughout the building. The AOC also initiated a training program to ensure that safe electrical practices, including the de-energizing of electrical lines, as necessary, are followed. Finally, the AOC established a procedure to notify the Library police and others in writing when any part of an alarm system is out of service for repairs. These actions abated the alleged violations noted in the issued citations. Beyond that, the AOC has initiated the process for designing and, as funding permits, installing new switchgear throughout the Madison Building.

Pursuant to several January 1999 requests for inspection by AOC and Library of Congress union representatives, the Office of Compliance is continuing to conduct inspections of all the buildings in the Capitol complex regarding fire safety. As discussed elsewhere, even before these inspections began, the AOC had ongoing efforts to identify and address the issues concerning fire safety in buildings under its jurisdiction and care. The AOC has been keeping the Office of Compliance fully informed of these efforts. In January 2000, the Office of Compliance General Counsel issued a report on fire safety that detailed the failings that it alleges exist and the improvements needed to be made. Many of the listed corrections are underway, and others need additional work in the coming years. As a follow-up, on March 20, 2000, the Office of Compliance General Counsel issued eight citations further documenting the corrections that it believes are needed. The AOC is working with in-house personnel and outside fire safety experts in its effort to improve upon the fire safety systems already in place.

## APPENDIX E

Architect of the Capitol  
Initiatives in Labor-Management Relations  
Fiscal Year 2001  
Senate Committee on Rules and Administration

### INTRODUCTION

Provisions under the Congressional Accountability Act, Public Law 104-1 (CAA), afford all eligible AOC employees the right to choose an exclusive representative to engage in collective bargaining with Employing Offices. Since the CAA's passage, seven different groups of AOC employees have exercised this right. One representation petition is currently pending for an additional proposed unit of Masons employed at the AOC. The following discussion describes labor - management relations activities that have taken place over the past three years.

#### I. FORMATION OF UNIONS

In August, 1997, the first bargaining unit at the Architect of the Capitol (AOC) was established. Approximately 600 laborers, custodians and other occupations were organized by AFSCME Council 26, Local 626, which was certified by the Office of Compliance as the first exclusive bargaining agent for AOC employees.

In November, 1998, AFSCME Council 26, Local 626 was certified by the Office of Compliance as the exclusive representative of a unit of production and maintenance employees at the United States Botanic Garden.

On January 13, 1999, Plumbers Local Union No. 5, United Association of Journeyman and Apprentices et al. was certified as the exclusive bargaining agent, by the Office of Compliance, for a unit of plumbers employed by the AOC's Construction Management Division. The AOC and Plumbers Local 5 have met twice to discuss potential contract issues. To date, no proposals have been presented for bargaining.

On August 17, 1999, the International Brotherhood of Electrical Workers, Local 26, was certified by the Office of Compliance as the exclusive bargaining agent for a unit of journeyman electricians employed by the Construction Management Division.

On September 29, 1999, the Bricklayers & Allied Craft Workers Union, Local 1, filed a petition to represent stonemasons employed as Davis-Bacon workers at the AOC. This petition was amended on January 21, 2000, to include a proposed unit of Davis-Bacon stonemasons in certain AOC jurisdictions.

On October 14, 1999, AFSCME Local 626 was certified by the Office of Compliance as the exclusive representative of laborers and coal loaders at the Capitol

Power Plant. This is an addition to the existing unit consisting of other laborers and custodial workers in the House and Senate Office Buildings and the Capitol.

On October 16, 1999, Sheet Metal Workers' International Association, Local Union No. 100 was certified by the Office of Compliance as the exclusive representative of sheet metal workers employed by the Construction Management Division of the AOC.

On November 15, 1999, the Washington D.C. Regional Council of Carpenters, United Brotherhood of Carpenters and Joiners of America was certified by the Office of Compliance as the exclusive representative of carpenters employed by the Construction Management Division of the AOC.

## II. UNION NEGOTIATIONS

A. The AOC and AFSCME Local 626 have negotiated the following agreements:

- Uniforms for Senate Office Buildings and Capitol Building employees
- Time Clocks for Capitol building employees
- Official time and the Number of Designated Union Officials
- Dues deduction
- Architect's Mobility Program
- Overtime assignments at the Botanic Garden
- Several articles of the Master Contract
- Ground Rules for Master Contract Negotiations.
- Negotiability issues for Master Contract Negotiations
- Reassignments for House, Senate and Capitol personnel
- Buy-Out, Early Retirement
- Transfer of Custodial Employees
- Uniforms for U.S. Botanic Garden Employees

B. Proposals have been received by the Carpenters' Union and Sheet Metal Workers' Union.

## III. LABOR - RELATIONS MEETINGS / NEGOTIATIONS

At least 100 labor-management meetings have been held during the past year to discuss various issues, including staffing, time and attendance, training opportunities, change in work assignments, discipline, health and safety.

#### IV. MASTER CONTRACT NEGOTIATIONS

Collective bargaining between AFSCME Local 626 and the AOC began on July 21, 1999 to negotiate the first comprehensive master contract agreement between the AOC and a labor organization. On September 20, 1999, negotiations were completed with 4 issues remaining, yet to be resolved. With the exception of two Articles pending before the Office of Compliance for review, the AOC has requested counterproposals from the Union on the four remaining Articles.

#### V. ALLEGATIONS OF UNFAIR LABOR PRACTICES

During the past three years, thirty-one unfair labor practice charges were filed by various organizations representing AOC employees. **Twelve** were withdrawn; **seven** were dismissed; a settlement was reached in one case involving the reassignment of employees; **three** cases involve pending settlements; and **nine** cases are outstanding. One charge involving dues deductions was investigated by the Office of Compliance and a complaint was issued. Summary judgment was granted in favor of the General Counsel for the Office of Compliance. The AOC was found to be in violation and required to post the remedial Order. Another charge alleging violations based on, *inter alia*, the denial of official time to a union representative is under investigation. A separate charge, filed by the Electrical workers' union (IBEW, Local 26), alleges the discriminatory lay-off of an employee due to his union activities. A complaint was issued in that case on February 11, 2000. The charge was recently resolved. The remaining outstanding unfair labor practice charges involve compliance with requests for information.

The AOC has also filed unfair labor practice charges against AFSCME Local 26. The basis for the filings include: two charges of bad faith bargaining due to the Union's refusal to bargain over scheduling and the impact and implementation of an audit review. Another charge was based on the Union's bad faith bargaining over the issue of uniforms. Two of the three unfair labor practice charges by the agency are currently pending with the Office of Compliance.

## APPENDIX F

Architect of the Capitol  
Status of Selected Capital Improvement Projects  
Fiscal Year 2001  
Senate Committee on Rules and Administration

### Dirksen Infrastructure Project

This project involves the modernization of the building infrastructure systems in the Dirksen Senate Office Building. The project includes a new electrical distribution system that will improve power quality, capacity, and reliability; installation of a new telecommunication system; replacement and upgrade of the existing emergency generator; new cable trays and data rooms to facilitate recabling of the building; replacement of the heating, ventilation, and air conditioning systems, from the ground through the 7<sup>th</sup> floors to provide increased operating efficiency, controllability and reliability; new energy efficient lighting and ceiling systems in the office spaces as well as the corridors to provide improved lighting with reduced energy consumption; modern modular partition walls for the offices providing increased efficiencies in space layouts and enhanced appearance; expansion of the existing sprinkler system to provide building wide sprinkler protection, including replacement of the fire pump for increased life safety, property protection and code compliance. Additionally, the fire alarm system will be completed throughout the facility, the center core public bathrooms will be modernized to incorporate current ADA requirements, and revisions will be made to the wiring of the Committee Rooms to meet criteria established by the United States Capitol Police Physical Security Division. The total cost of the project is \$54.0 million

The project will be constructed in two phases: Phase 1 will consist of the modernization of the main facility mechanical and electrical systems located on the 7<sup>th</sup> and sub-basement floor levels and Phase 2 will encompass renovation of the office spaces and corridors on the ground through 6<sup>th</sup> floors.

Phase 1 construction will be performed by contract and is scheduled to commence September 2000 and is scheduled for completion June 2001. Phase 2 construction is subdivided into 14 sub-phases, each phase taking 10 weeks to complete. Construction is being performed on half of a floor at a time. The first sub-phase (north and northwest sections of the 4<sup>th</sup> floor) construction began on April 15, 1999 and was completed on schedule. The second sub-phase (north and northwest sections of 2<sup>nd</sup> floor) construction began on June 28, 1999 and was completed on schedule. The third sub-phase (north and northwest sections of 3<sup>rd</sup> floor) construction began September 7, 1999 and was completed on schedule. The fourth sub-phase (north, northeast and east sections of 1<sup>st</sup> floor) construction began on November 18, 1999 and was completed on schedule. The fifth sub-phase (north and northeast sections of 5<sup>th</sup> floor) is currently under construction and scheduled for completion April 11, 2000. The wiring of the Committee Rooms for

the physical security upgrades are being performed during the sub-phases of construction and are being completed on schedule.

All communication/data closets have been completed and will become fully functional as the Phase 2 construction proceeds throughout the building. The center core bathrooms are presently under construction and are approximately 50% complete.

The full completion of the project is scheduled for December 2001.

#### U.S. Botanic Garden Conservatory Renovation

The contract for the renovation of the U.S. Botanic Garden Conservatory was awarded to The Clark Construction Group, Inc., of Bethesda, Maryland, in September 1998. The company was issued a Notice to Proceed in the same month and extensive work presently underway is clearly visible to passers-by. The renovation and reconstruction of the 1933 Conservatory will totally replace and modernize its building systems while retaining its architectural character. The initial award is for the renovation of the structure (including the interior landscapes) and installation of water treatment, security and environmental control systems. The staff of the U.S. Botanic Garden will install the plant exhibits in each house of the Conservatory. The original construction schedule implicated a completion date of September 2000. The most recent monthly update on the project reflected work extending beyond that date. A revised schedule should be available from the contractor shortly.

#### Roof Fall Protection Program

The objective of this complex- wide program is the design and installation of roof protection systems on all buildings as required to comply with OSHA safety standards. Presently 100 percent design is complete for the U.S. Capitol, Senate Office Buildings, House Office Buildings, Library of Congress Buildings, Botanic Garden Growing Facility and the Capitol Power Plant. Systems for the U.S. Capitol dome and 501 First Street are being designed under separate projects. The U.S. Capitol has modified railings, walkways and flagpole access conditions by reprogrammed funds. Work on flagpole access at the Capitol and the Russell Senate Office Building are in progress. Construction contracts have been awarded for the fabrication and installation of complete fall protection systems for the Longworth Building, U.S. Capitol Police Headquarters and Webster Hall. The balance of the program awaits construction funding requested in fiscal years 2001 through 2003.

#### Dome Rehabilitation

The 135-year-old Capitol Dome is undergoing a rehabilitation to ensure its protection and preservation into the next century. Construction phasing was determined early in 1998; several studies and pilot projects and an interim master plan associated with the first phase were also completed, paving the way for the preparation of construction

documents and the issuance of an Invitation for Bid. The phase one construction contract was awarded to The Aulson Company of Methuen, Massachusetts, on January 11, 1999, and the work has proceeded well. It is approximately 65 percent complete with the current phase of work scheduled to end in late April 2000. Temporary repairs to the guttering systems, resealing of exterior joints and painting areas of bare metal will be added to this phase to prepare the Dome for a hiatus in rehabilitation. This work may extend the contractor's presence on the site through mid-summer 2000, but should not defer removal of the Rotunda protective netting prior to the end of April.

The final review submission of the design documents for phase two has been reviewed by the staff and comments have been issued to the consulting team for their completion by late February 2000. The hiatus in construction will allow for any additional defects discovered in the completion of Phase I to be incorporated into the documents prior to bidding. Funding for phase two will be requested in fiscal year 2002 and is expected to be completed in calendar year 2005.

#### Library of Congress Book Storage Modules

Work has begun on the first of a series of book storage modules to be built for the Library of Congress on 100 acres of land at Ft. Meade, Maryland, under jurisdiction of the Architect. The contract for construction of LOC Book Storage Module 1 and an adjacent office component, as well as for initial site preparation and development work, was awarded on April 12, 1999. The first storage module (of an anticipated total of 13) is 8,000 square feet, and the office component is 5,000 square feet exclusive of mechanical equipment space. Construction began August 3, 1999 and is expected to be completed in late 2000. Future modules, not tied to additional office components, may be larger in size.

#### Underground Storage Tanks

The Architect complied with the December 22, 1998 temporary closure deadline mandated by the Environmental Protection Agency, and the December 22, 1999 deadline for addressing all relative environmental concerns. The work was accomplished utilizing a combination of U.S. Army Corps of Engineers' contractors, and two other private contractors. A replacement gasoline tank and dispensing equipment is still in planning. The design is complete and is in the process of internal review and approval. Installation will occur as soon as all procurement issues are settled.

## **APPENDIX G**

Architect of the Capitol  
Report on Architect of the Capitol Year 2000 Readiness  
Fiscal Year 2001  
Senate Committee on Rules and Administration

The Year 2000 Computing Crisis (Y2k) project at the office of the Architect of the Capitol was initiated in response to the growing awareness of the potential computing problems associated with the change from the year 1999 to 2000. In preparing for Y2k risks, the AoC implemented the wide range of guidelines established by the General Accounting Office (GAO).

The project at AoC was initiated with the major focus on Information Technology systems, including: the Unisys mainframe supporting the accounting systems, the network environment supporting office automation and internal mail, the Senate Restaurants financial systems, and other critical systems. As awareness of Y2k's potential impacts grew, so grew the responsibility of the Y2k project to include building infrastructure systems including: power, elevators, climate control, and the reliance on external utility providers. With this expansion of coverage, came the additional responsibility of coordinating the building infrastructure Y2k activities of all legislative organizations. These common activities included: sharing information about AoC compliance activities, sharing information from the external utilities, Day-1 planning, and Day-1 communications. The diligence and determination of the AoC Y2k team ensured the success of AoC's Y2k compliance.

### **Project Analysis**

The Y2k project was initiated in early 1997 when AoC's Office of Information Resources Management (OIRM) established a Y2k planning committee. The committee included representatives from the various disciplines in order to elevate the awareness of the project throughout the agency. The committee performed assessments of all AoC operations and developed a list of core business processes, highlighting those that had one or more components subject to Y2k risks. The original mission critical systems list contained 15 systems. Each system owner was then tasked with analyzing the system to determine the level of risk and the cost and complexity of correcting deficiencies. As the AoC's Y2k awareness expanded, and with guidance from GAO, the number of mission critical systems grew to 42.

As the leader of the AoC Y2k project team, the Director of OIRM was responsible for monitoring, implementing, and reporting on AoC's advancement toward Y2k compliance. The AoC Y2k project team provided system owners with guidance about compliance and worked with vendors and owners to ensure that all remediation activity was fully supported and appropriate to the associated level of risk. Concurrent with

system upgrades, the AoC Y2k project team developed contingency plans for such diverse systems as electric power, water supply, building climate control, Botanic Garden climate control, Senate Restaurant operations, and more. These contingency plans along with validation checklists were documented in the AoC's *Contingency & Day-1 Plan*.

As the year 2000 approached and each legislative organization continued to develop its own Y2k plans, the need for inter-agency communication became obvious because many of the Y2k risks that the AoC was planning for were also being planned for by other legislative agencies. In February 1999, the Director of AoC's OIRM initiated and led the Legislative Branch Y2k Coordination Group (Group) which had participation from all 13 legislative organizations and the Supreme Court Marshal's office. The Group came to consensus on a number of planning assumptions, common planning horizons, and development of an inter-agency critical incident command center (CICC). These were all documented in the Group's *Day-1 Guide* which was distributed to each organization and to congressional leadership. A November 4 table-top exercise tested the effectiveness of the CICC and prepared the participants for possible decision-making scenarios that Y2k failures could have produced.

No additional funds were expended to develop the AoC control center or the CICC. All hardware and software to support the centers was borrowed from participating organizations and the expertise for developing the communications and system validations were provided by AoC and other Legislative branch agencies.

## **Project Results**

Due to detailed planning, extensive renovations, and good communications, the result of the Y2k project at the AoC was a fully successful rollover from 1999 to 2000 **and passage of the 2000 leap-year**. The systems under AoC responsibility were monitored prior to, during, and after the year rollover and leap-year, and no problems were reported either internally or from external providers.

Communication flowed as it was designed. As information about systems was gathered in the buildings and from the utilities, it was reported to the AoC command center, who in turn shared this with the other jurisdictions, and with the CICC. The CICC provided a great forum for sharing concerns of the legislative organizations, and ensured that in the event of a Y2k disruption, the right people would have been available to make the appropriate decision.

Due to the overwhelmingly positive results of the system validations on January 1, 2000, the AoC control center and the CICC were decommissioned in the early morning hours. Other internal AoC system validations continued during the day, but no problems were reported or documented.

While the roll-over from 1999 to 2000 posed the most significant threat to automated systems, the unusual nature of the 2000 leap-year also produced apprehension. The potential impact of this event was tested as part of the Y2k efforts, and the AoC IT staff

tested the operation of internal systems early on the morning of February 29 and operations staff was put on alert to monitor for potential problems. As with the major Y2k event, the leap-year passed without incident at the AoC.

The Legislative branch group was a great success in cooperative planning development. All participants were able to express the views of their organization, and consensus reaching was attempted in a cooperative and positive manner. It is a good model for other projects that have Capitol complex-wide implications. The Sergeant at Arms of the U.S. House of Representatives has expressed interest in implementing a similar "CICC-type" group for such events as the State of the Union Address and the Presidential Inauguration.

## APPENDIX H

Architect of the Capitol  
Financial Management System Improvements  
Fiscal Year 2001  
Senate Committee on Rules and Administration

### INTRODUCTION

The AoC is pursuing the upgrading and integration of information systems and business practices in order to provide a business environment that provides timely access to reliable information. Currently, AoC's various systems do not share information or common data definitions. The implementation of a new Financial Management System (FMS) and the integration of other systems with FMS will be a major step towards AoC's system integration goal. The FMS implementation will also lead to the AoC's first preparation and audit of financial statements. These goals are fully consistent with the Vision Statement of the Legislative Branch Financial Manager's Council, which the agency has adopted. The AoC is currently in the beginning stages of the FMS implementation.

The AoC requires a new financial system that is compliant with Federal standards, easily integrated with other systems, provides timely and accurate information and contains electronic workflow capabilities. The new core financial system must be tightly integrated with the inventory system, the facilities management system (CAFM), the human resources system, and the project tracking system. The integration of the CAFM system with the core financial system is a critical goal for the AoC in order to perform proper cost accounting and analysis of the facilities management activities (as recommended in a House Inspector General report dated 9/1/98). This goal requires the new financial system to operate on a modern easily integratable technical platform and provide extra user defined data elements for capturing AoC unique information required for linking the systems (such as work order number).

The new Financial Management System, which will be compliant with all Federal standards, will be implemented in phases. The first phase will be the implementation of the Standard General Ledger, and interfaces with the current accounting system and payroll system. Subsequent phases will include the implementation of other modules of the core system (such as budget execution, purchasing, accounts payable), and the gradual phase out of the current financial system. Also included in subsequent phases is the integration of the facility management system (CAFM), the implementation and integration of a more robust project tracking system, the implementation of a contracting procurement module, and the implementation of inventory and fixed assets modules. The human resources system will also be enhanced to provide the financial system with more detailed labor information for performing cost accounting.

In order to ensure all the proper steps are taken in the procurement and implementation of a new system, and to ensure continued support from top management, the AoC has organized a steering committee made up of executives from various AoC user groups and financial system executives from GAO, the LOC and other Legislative Branch agencies. The purpose of the committee is to provide advice and feedback regarding the implementation of a new financial management system and to provide a forum for addressing high level project issues.

The Legislative Branch Financial Manager's Council (LBFMC) is currently pursuing an initiative to have all Legislative Branch agencies eventually implement the same financial management software. The AoC's phased approach to implementing FMS through a cross-servicing arrangement with another Federal agency is consistent with this LBFMC initiative. In addition, the AoC is prepared to participate in the LBFMC proposed Concept of Operations Study.

Pending approval of FY2001 funding, a pro forma audit of the FY2001 financial statements will be performed. A pro forma audit evaluates the sufficiency of the financial statements without issuing a formal audit opinion and without performing an in-depth review of the detailed transactions that make up the balances. The pro forma audit will prepare the AoC for the full audit that is expected to be performed for the fiscal year ending 9/30/02. Since the new financial management system is being implemented in a phased approach, this is the soonest a full audit can be performed.

## **ACCOMPLISHMENTS TO DATE**

- Prepared Alternatives Analysis for the Implementation of a Financial Management System

As recommended by the FMS Steering Committee, an alternatives analysis was developed evaluating the various alternatives for implementing a new financial management system. The alternatives analysis compared the advantages and disadvantages of enhancing the current system, cross-servicing a system from another Federal agency, and purchasing a new financial management system. The alternatives analysis was completed on June 18, 1999 and issued to the FMS Steering Committee for review and comment.

The Alternatives Analysis recommended that the AoC cross-service a modern financial management system through another Federal agency rather than purchase its own software package. The cross-servicing of a financial management system allows the AoC to obtain the software quicker and at a discounted price. Cross-servicing also reduces the technical risk of implementing a modern client-server system. The recommended system (American Management System's client-server Momentum product) provides a

technical platform and other functionality that allows the AoC to move forward with its system integration and cost accounting goals.

- Entered into a Cross-Servicing arrangement for a Financial Management System

The FMS Steering Committee favored the cross-servicing of a client-server financial management system through the Department of the Interior. The American Management System's Momentum software package is being implemented at the AoC through a cross-servicing arrangement with the Department of Interior's National Business Center (franchise fund agency). Two interagency agreements were issued to fund the first phase of the project. An interagency agreement was issued on 9/23/99 using fiscal year 1999 funding and an additional interagency agreement was issued on 10/21/99 using fiscal year 2000 funding.

- Prepared FMS Implementation Plan for the Phased implementation of FMS

An implementation plan was issued to the House and Senate appropriations committees on 12/14/99. The plan defines the FMS implementation in four phases, addresses the risks, defines the technical responsibilities and specifies the estimated funding required. For each phase of the project the major tasks that need to be performed are described.

#### § Hired Staff to Perform the FMS Implementation

Two Senior Systems Accountants were hired in October, 1999 to perform the tasks required to implement the new system. Two additional Systems Accountants are in the process of being hired and should be on board in February 2000.

#### § Began the Implementation of Phase 1 of the Financial Management System (FMS)

Phase 1 is the implementation of the Standard General Ledger and interfaces to the current accounting and payroll systems. The current financial system will continue to be used for all current functions. The planned implementation date for beginning production operations of Phase 1 FMS is October, 2000. The following tasks have been accomplished for the implementation of Phase 1 of FMS:

- < Developed detailed task plan and schedule for Phase 1 of the FMS Implementation
- < Developed requirements for payroll interface with FMS
- < Developed requirements for interface with the current financial system with FMS

- < Developed SGL chart of accounts and GL posting models
- < Defined accounting classification codes and budget structure

## **UPCOMING FINANCIAL MANAGEMENT INITIATIVES**

- Complete the Implementation of Phase 1 of the Financial Management System (FMS)

Phase 1 is the implementation of the Standard General Ledger and interfaces to the current accounting and payroll systems. The following tasks will be performed to complete the implementation of Phase 1 of FMS:

- < Complete the design, development and testing of the payroll interface with FMS
- < Complete the design, development and testing of the interface with the current financial system with FMS
- < Configure the software package for Phase 1 FMS
- < Perform a pilot test of the configuration of the software
- < Develop reports
- < Train system users
- < Develop user data entry procedures
- < Develop reconciliation procedures between the interfaces and the FMS general ledger
- < Convert beginning balances and reference tables
- § Begin Additional Phases of the FMS Implementation

Depending on the receipt of sufficient funding, the FMS phased implementation will proceed as follows:

Phase 2: Implementation of the budget, purchasing, accounts payable and disbursement modules of the core financial system.

The budget, purchasing, accounts payable and disbursement modules of the new system will be implemented. This will require the conversion of detailed level data from the current system to the new system. Other tasks include the testing and configuration of the new modules, the development of an interface with the Project system, the development of reports, the development of user procedures and the training of new users. The current system will continue to be used for procurement and inventory functions while FMS will be the “system of record” and be used for all other financial functions. Phase 2 is expected to begin in October, 2000 and continue through the initiation of production operations in October, 2001. The implementation of

Phase 2 is dependent on receiving sufficient Fiscal Year 2001 funding.

With the implementation of Phase 2, the AOC can undergo a full audit of its financial statements. A full audit is expected to be performed for the financial statements issued for the fiscal year ending 9/30/02.

Phase 3: Implementation of the procurement module of the core financial system.

A separate procurement module will be purchased and implemented to perform the detailed procurement functions being performed by the current financial system. This phase of the implementation will include the testing and configuration of the procurement module, the development of additional interfaces and reports, the conversion of data, the development of user procedures and the training of new users. The current system will continue to be used only for inventory functions. Phase 3 is expected to begin in October, 2001 and continue through the initiation of production operations in October, 2002. The implementation of Phase 3 is dependent on receiving sufficient Fiscal Year 2002 funding.

Phase 4 Implementation of a Fixed Asset module

This phase will implement the Fixed Assets module. With the implementation of Phase 4 the AOC will have automated records of its fixed assets and will be able to record automated depreciation entries in the general ledger. Proper accounting of fixed assets is required to receive an unqualified audit opinion. Phase 4 is expected to begin in October, 2002 and continue through the initiation of production operations in June, 2003. The implementation of Phase 4 is dependent on receiving sufficient Fiscal Year 2003 funding.

Subsequent FMS Phases

Subsequent phases of the FMS implementation are expected to include a number of system integration initiatives as follows:

- < Integration of the Computer Assisted Facilities Management System (CAFM) with FMS
- < Implementation and integration of a Contracting Procurement system with FMS

- < Implementation and integration of a new Labor Distribution system (HRS Time and Attendance System) with FMS
- < Implementation and integration of a new project tracking/management system with FMS
- < Implementation and integration of a new inventory system or a warehouse management/inventory system with FMS.

- Inventory Improvements

The AoC is currently in the process of improving its inventory operations to increase controls over the safeguarding of assets and provide consistency across the jurisdictions in the application of inventory procedures. A complete reconciliation of the actual “in-stock” inventory to the inventory accounting records is in process. Procedures are being enhanced to ensure the continued accuracy of the information. A regularly occurring cycle count process has been put in place. These activities will not only enhance control over inventory operations, they will also facilitate the FMS implementation and eventual auditing of financial statements.

## APPENDIX I

Architect of the Capitol  
Status Report on Computer Aided Facilities Management System  
Fiscal Year 2001  
Senate Committee on Rules and Administration

The Computer Aided Facilities Management system (CAFM) is a five-year initiative to modernize and establish stronger and more pro-active facilities management capabilities using industry standards and software. Within the AOC community, CAFM is phasing in several modules of computer aided facilities management operations. The CAFM initiative establishes standards for demand maintenance/work order processing and preventive maintenance while also providing an automated and systematic vehicle for facilities management.

During the period of fiscal years 1998 through January 2000, the AOC has accomplished the following:

- \$ Procured PC/printer hardware along with SPAN-FM software,
- \$ Established a Standards Committee and developed standards for the deployment of demand work orders, and
- \$ Deployed demand work order processing to the following jurisdictions: Senate, Capitol, House, Supreme Court, and the Library of Congress and Electrical Engineering Division in support of the CAFM initiative.

The CAFM program initiative, during fiscal year 2000 will accomplish the following:

- \$ Complete demand work order deployments to Capitol Grounds and High Voltage Shop,
  - \$ Start standardization and pilot requirements for Preventive Maintenance implementation to Custodial, AC and Electrical shops,
  - \$ Implement Work Order Linkage to all AOC jurisdictions,
  - \$ Upgrade current CAFM software to the new Facility Center software, and
  - \$ Develop and implement Executive Information Systems and Reports as it relates to the CAFM initiative.

A cost methodology has been developed and finalized for the measurement of CAFM cost avoidance, benefits and savings. Once this document is approved at the proper levels, it is anticipated funding requested in the fiscal year 2001 budget will be appropriated to complete the following CAFM requirements:

- \$ Complete Preventive Maintenance Standardization process,
- \$ Implement Preventive Maintenance across all AOC jurisdictions,
- \$ Implement Demand Work Order processing to Botanic Gardens and Power Plant

## APPENDIX J

Architect of the Capitol  
Project Planning and Delivery Studies  
Fiscal Year 2001  
Senate Committee on Rules and Administration

The project planning and delivery processes and organization of the Architect of the Capitol (AOC) have been under review by independent consulting firms. The purpose has been to streamline the processes and staff organization as appropriate based upon “best practices” culled from the AOC and industry.

The general findings indicated that the organization of the AOC and project operations and output are effective, especially with respect to the quick response functions of the Building Superintendents. A substantial number of “best practice” processes and tools were found within the design and construction arms of the AOC. Capable employees were found at all levels in the AOC – employees who are passionate stewards of the historic buildings in the Capitol Complex and anxious to improve their abilities to do their jobs.

The recommendations related to project identification, planning, scope determination, design, procurement and construction, concluding that there are many actions that can be taken by the AOC top and middle management to enhance and streamline the project delivery processes and tools presently in use. Such actions were deemed imperative in light of the increasing workload required of the AOC staff in preserving and enhancing the facilities and infrastructure of the complex. The principal recommendations and resulting actions to be taken by the AOC follow.

§ Planning Operation: The AOC will establish a planning operation that will manage the development and cyclical review of long range (20 year) and short range (5 year) project plans based upon continuous input from clients and AOC line staff and technical experts representing all architectural and engineering disciplines and other interests such as life safety and security. The plans will be generated first by building system and component, then integrated by building, then jurisdiction, and finally AOC-wide. The long range plan will be reviewed annually while the short range plan, comprised of more specific scopes of work, will be reviewed and adjusted quarterly against the performance of all current projects. The AOC will manage the planning process and clients will establish and modify priorities as appropriate in the process of assessing the impact of unanticipated new work and emergency projects on the established long and short range plans. The five-year AOC Capital Budget and annual budget submissions will be products of this planning process.

Steps are being taken leading to the establishment of a framework for the plans and planning teams of AOC staff who are knowledgeable of the infrastructure and systems in each building and the entire complex. A new core planning staff

will have to be established with skills appropriate to long range planning and the preparation of project programs and scopes of work. It is anticipated that the planning operation will result in a greater AOC and client understanding of long range needs, the more orderly prioritization of work, and better definition of project scope, budget and schedule, agreed to by clients and the AOC prior to the commencement of the design process.

- Building Superintendents: The Superintendents' strong, front-line relationships with clients is widely understood and appreciated, and will continue to be recognized and used to the advantage of all parties in the project planning, scoping, design and construction processes. The Superintendents and their knowledgeable staff will be given additional responsibility for meeting with any client who has requested assistance, preparing an initial statement of scope, and determining if the client's needs can be satisfied by the issuance of a work order to the Superintendent's work forces or if an AOC-wide team needs to be assigned to address the client needs as a full project requiring further scope definition, design and construction. In either the work order or the project delivery process, the Superintendent will remain fully involved with the work and with client communications. The processes and tools associated with this improved project initiation effort will be finalized early in 2000.
- Project Management: An AOC Project Manager will be assigned for the life of a project, from early scope definition through design, construction and occupancy. For purposes of project progress reporting, the Project Manager will report through a Program Management Group to the Assistant Architect of the Capitol (AAOC). Through the group, project progress will be monitored, resources shifted as necessary, and problems quickly resolved. The group, together with the appropriate Superintendent, will also serve as the communication link with clients.

The roles, responsibilities and accountability of Project Managers, Program Management Group and other key AOC staff will be defined. Project Managers will be responsible for coordinating the work of consultants, contractors and supporting AOC staff experts, and accountable for meeting project budget and schedule requirements. Project Managers will receive appropriate training to ensure they can fulfill their critical role effectively and efficiently. The AOC top management will initiate an aggressive training program internally, and has also begun to hire talented project managers from the outside on a temporary project-by-project basis to augment staff.

- AOC Standards and Guidelines: AOC requirements related to project delivery will be better defined, published and disseminated in the form of guidelines, manuals, checklists, and electronic tools and systems. These will give earlier and more complete and consistent direction to design consultants and construction contractors as well as AOC staff technical experts, all of whom are

supporting the Project Managers who are accountable for meeting all project requirements. Work on these improvements has already begun and is expected to be completed during 2000.

- Consultant Utilization: The AOC will expand its use of external design consultants to maximize the return on the AOC's highly knowledgeable and committed staff who must devote increasing time to project management and the application of an appropriate level of oversight of all project activities to protect the interests of clients and the Capitol Complex facilities entrusted to the care of the AOC. This will include an increase in the use of "indefinite delivery, indefinite quantity" (IDIQ) professional services contracts and possibly other creative architect and engineer selection procedures that are also fair and competitive on the basis of professional qualifications.
- Construction Contracting Methods: The AOC will continue to expand its options for construction delivery to ensure the most balanced and efficient use of AOC staff and the timely completion of work with minimum disturbance to building occupants and visitors. The options will supplement the traditional and dependable quick-response teams and maintenance shops of the Superintendents. At present, the Superintendents have the option of hiring temporary employees and utilizing the construction services of the AOC Construction Branch. The AOC Construction Management Division has the option to use the services of a Job Order Contractor (JOC) who is under a long term contract to complete construction jobs on call at previously agreed to unit prices, and to procure the services of general contractors through Invitations For Bids (IFBs) and Requests For Proposals (RFPs). The AOC also anticipates the establishment of a new construction delivery option, the Solution Order Contractor (SOC). A number of SOCs will be competitively selected on the basis of qualifications and put under contract to bid competitively among themselves for specific AOC construction projects. The final new option, for highly complex projects, is the provision of overall coordinated design and construction management services by an independent Construction Manager, under contract with the AOC.

An implementation plan was prepared at the conclusion of the AOC Project Delivery Best Practice Study. It is structured in four areas of concentration that address all of the above recommendations and actions:

- Leadership Guidance and Direction: The AOC Senior Policy Group and Superintendents will establish goals and objectives, a schedule and milestones, and performance criteria. "All Hands" workshops will be held early in the implementation process during which the leadership commitment to improvement will be communicated clearly to all AOC staff.
- Planning Operation: The various steps leading to the establishment of the

planning operation have been set forth. As stated earlier, a core planning staff team will have to be established. This will require the hiring of new staff with appropriate special skills in planning and program and scope definition.

- Project Management and New Tools: This track is aimed at providing the “best practices” and tools for the most effective and efficient management of projects. The “best practices” were identified during the CLA study, and the finalization of these and the new tools has begun. Their effectiveness will be tested by applying them to pilot projects selected from the current workload of the AOC.
- Training and Pilot Projects: An ambitious program of training will be charted for skills in leadership, supervision, communication, and project management. Pilot projects will be identified for the application of “best practices”.

Implementation is being scheduled at this time and target dates have been established subject to workload. It is anticipated that consultants will continue to be involved in activities designed to sustain momentum toward positive change and “best practices” implementation, and aimed at establishing essential reporting and feedback cycles.

## APPENDIX K

Architect of the Capitol  
Fiscal Year 2001 Budget Request Summary  
Senate Committee on Rules and Administration

The Architect of the Capitol's fiscal year 2001 budget request is \$252,121,000. It consists of an operating request of \$183,382,000 and a capital request of \$68,739,000. The full-time equivalent (FTE) positions remain the same at 2,012. However, funding is requested to fill 70 unfunded positions. The attached graph "FY 2001 Operating and Capital Budget by Categories" breaks out the operating and capital request by significant categories. The graph "FY 2001 Operating and Capital Budget" reflects the history of the Architect of the Capitol's budget since fiscal year 1994.

### Operating Budget Request

The operating budget request includes an \$18,577,000 or 11.3 percent increase. Thirty six percent or \$6,740,000 of the increase is due to mandated pay and benefits costs. Forty eight percent or \$8,957,000 of the increase is related to work load increases and includes \$3,927,000 for 70 unfunded positions, \$959,000 for cleaning services, \$600,000 for financial management and audit services, and \$1,487,000 for information resources management. Price level adjustments account for 9.4 percent or \$1,750,000 of the increase and are primarily related to fuel costs. Election year moves accounts for 6.1 percent or \$1,130,000 of the requested increase.

Over the past year the AOC has undertaken a review of the agency's operations and is in the process of reengineering. As displayed in the attached graph "Full-time Equivalent Employment Budget" staffing has been reduced by more than 16 percent or almost 400 positions since 1992. During the same period workload has increased, especially in the areas of life safety, security initiatives and project oversight. It is important to recognize that we have reached the saturation point where the amount of work to be done in several areas has taxed our staff capacities to the fullest extent. This budget includes requested increases for staff in several critical areas. Funding is requested for 13 positions in the Life Safety Division, 28 positions for the Senate Office Buildings primarily for cleaning and painting services, 14 positions for the House Office Buildings mainly to supplement the trades staff, 7 positions for the Botanic Garden to support the reopening of the newly renovated Conservatory and the new National Garden, and a total of 8 positions in the Engineering and Architecture Divisions.

An increase of \$1,487,000 is requested for the Information Resources Management Division. As the agency becomes more dependent on automated systems in the areas of financial management, and facilities maintenance it is critical that the hardware and software resources needed to support these systems are available.

An increase of \$362,000 is requested for life safety operations and maintenance. These resources are required to provide compliant safety and environmental programs and to be proactive in all matters that involve fire and life safety, employee safeguards, environmental monitoring, and discharge of potentially dangerous materials.

An increase of \$600,000 is requested to support the operation of the new financial management system including an “audit” of pro forma financial statements. Funding of \$759,000 has been requested in the Botanic Garden related to the operation of the newly renovated Conservatory.

Additional funding of \$595,000 has been requested in the Senate Office Buildings to supplement cleaning of public areas and restrooms and for contractual cleaning of the Capitol Police Headquarters. An additional \$400,000 has been requested in the House Office Buildings to supplement cleaning of public areas and restrooms. The normal requests for election year moves have also been requested. They include \$150,000 for the Capitol Building, \$380,000 for Senate Office Buildings and \$600,000 for House Office Buildings.

Based on projections from the Department of Energy a net increase of \$1,615,000 has been requested to cover rising costs of natural gas and fuel oil for the Capitol Power Plant. Other price level increases totaling \$135,000 have been requested throughout the agency.

The following table indicates operating budget request by appropriation.

| <u>Appropriation</u>        | <u>FY 2000</u>   | <u>FY 2001</u>   | <u>Change</u>    |
|-----------------------------|------------------|------------------|------------------|
| Capitol Buildings           | \$37,610,000     | \$44,288,000     | \$6,678,000      |
| Capitol Grounds             | 5,062,000        | 5,515,000        | 453,000          |
| Senate Office Buildings     | 39,519,000       | 44,359,000       | 4,840,000        |
| House Office Buildings      | 31,177,000       | 34,885,000       | 3,708,000        |
| Capitol Power Plant         | 36,884,000       | 39,009,000       | 2,125,000        |
| Library Buildings & Grounds | 11,341,000       | 10,688,000       | -653,000         |
| Botanic Garden              | <u>3,212,000</u> | <u>4,638,000</u> | <u>1,426,000</u> |
| Total                       | \$164,805,000    | \$183,382,000    | \$18,577,000     |

#### Capital Budget Request

The capital budget request is \$68,739,000. This is an increase of \$23,255,000 or 51 percent over fiscal year 2000.

The fiscal year 2001 capital budget request flows from the five-year capital budget initiative undertaken by the agency. It is grounded in a comprehensive and systematic agency-wide planning effort with in-depth involvement by all of the agency’s clients. On the House side, we included the Sergeant at Arms, the Chief

Administrative Officer and the Clerk of the House. On the Senate side we included the Sergeant at Arms and the Secretary of the Senate. The U.S. Capitol Police provided a detailed outline of their needs, and the Librarian of Congress was also extensively involved. During the development process more than 400 projects were reviewed. Of that number, funding is requested for 68 projects in fiscal year 2001. Funding requests are projected over the next four years for an additional 157 projects.

Construction funding has only been requested in fiscal year 2001 for those projects that have been completely designed. Because of the agency's current workload, only the most critical projects have been requested in fiscal year 2001. The five-year capital budget is projecting requests in the fiscal years 2002 through 2005 as follows:

| <u>Fiscal Year</u> | <u>Amount</u> |
|--------------------|---------------|
| 2002               | \$181,082,000 |
| 2003               | 81,058,000    |
| 2004               | 221,570,000   |
| 2005               | 113,537,000   |

All the projects associated with future requests will be reviewed and reprioritized before being included in a current fiscal year request. However, the magnitude of the future capital project needs is evident from this table.

Attached is a graph "FY 2001 Capital Requests by Category" and a table "Fiscal Year 2001 Budget Request by Category" that breaks out the amount, number of projects and the percentage of each by category. Six projects account for more than 65 percent of the request. Those projects are the Renovation of the Dirksen Senate Office Building (\$19,241,000), Cannon Garage repairs (\$9,000,000), Renovate the Rayburn Cafeteria (\$5,261,000), the Library of Congress new Audio Visual Conservation Center at Culpeper Virginia (\$5,000,000), a new Off-Site Delivery/Screening Center for the Capitol Police (\$4,500,000), and a new vehicle maintenance facility for the Police (\$2,250,000).

In past years, the AOC developed a reinvestment benchmark of 1.7 percent of the current replacement value of the facilities as a guide of the amount of cyclical maintenance funding that should be invested into the Capitol complex. This benchmark excludes capital project funding relating to the construction of additional facilities, security enhancements and technology management improvement that are included in the total capital request. For fiscal year 2001 the benchmark of 1.7 percent would indicate that \$63 million should be reinvested in cyclical maintenance and renovation projects. As indicated on the attached graph titled "Cyclical Maintenance and Building Renovations", \$52 million is being requested for facility reinvestment projects in fiscal year 2001. Because the benchmark represents an average, the current request is acceptable. However, as indicated on the graph there will be much larger requests in future years.

The following table summarizes the funding levels presented in the five-year capital budget by category.

### Five Year Capital Projections

| Category                         | FY-2001           | FY-2002           | FY-2003           | FY-2004           | FY-2005           | FIVE YEAR          |
|----------------------------------|-------------------|-------------------|-------------------|-------------------|-------------------|--------------------|
|                                  |                   |                   |                   |                   |                   | TOTAL              |
| Life Safety                      | \$11,134,000      | \$20,854,000      | \$9,669,000       | \$25,650,000      | \$3,850,000       | \$71,157,000       |
| ADA                              | 1,558,000         | 4,215,000         | 2,880,000         | 2,355,000         | 1,030,000         | 12,038,000         |
| Security                         | 5,200,000         | 17,873,000        | 700,000           | 14,300,000        | 5,000,000         | 43,073,000         |
| Cyclical Maintenance-Improvement | 20,141,000        | 11,350,000        | 2,450,000         | 13,850,000        | 10,400,000        | 58,191,000         |
| Cyclical Maintenance             | 11,200,000        | 86,598,000        | 26,724,000        | 107,405,000       | 54,957,000        | 286,884,000        |
| Technology/Management Systems    | 3,160,000         | 6,485,000         | 3,040,000         | 200,000           | 200,000           | 13,085,000         |
| Improvement-AOC                  | 1,065,000         | 12,152,000        | 5,925,000         | 8,800,000         | 200,000           | 28,142,000         |
| Improvement-Client               | <u>15,281,000</u> | <u>21,555,000</u> | <u>29,670,000</u> | <u>49,010,000</u> | <u>37,900,000</u> | <u>153,416,000</u> |
| Total                            | \$68,739,000      | \$181,082,000     | \$81,058,000      | \$221,570,000     | \$113,537,000     | \$665,986,000      |

The following table summarizes the capital budget request by appropriation.

| Appropriation<br>No. of FY 2000 Projects | FY 2000 Budget<br>Dollars | FY 2001 Request<br>Dollars | Change<br>Dollars | Major FY 2001<br>Project  |
|--|---------------------------|----------------------------|-------------------|---|
| Capitol Buildings<br>21 projects         | 9,048,000                 | 15,750,000                 | 6,702,000         | Off-site Delivery Center - \$4,500,000<br>USPC Vehicle Maintenance Facility - \$2,250,000<br>Financial Management System - \$1,475,000<br>Asbestos Survey - \$1,225,000 |
| Capitol Grounds<br>3 projects            | 344,000                   | 605,000                    | 261,000           | Wayfinding & ADA Signs - \$330,000<br>CAD Database - \$250,000  |
| Senate Office Buildings<br>8 projects    | 24,276,000                | 22,269,000                 | -2,007,000        | DSOB Renovations - \$19,241,000<br>Roof Fall Protection - \$1,678,000   |
| House Office Buildings<br>10 projects    | 5,960,000                 | 18,384,000                 | 12,424,000        | Garage Floor Repairs, CHOB - \$9,000,000<br>Renovate Rayburn Cafeteria - \$5,261,000<br>Sprinklers & Telecommunications, RHOB - \$1,815,000                             |

|   |            |            |            |  |
|---|------------|------------|------------|--|
| Capitol Power Plant<br>11 projects            | 1,025,000  | 1,863,000  | 838,000    | Roof Fall Protection - \$323,000<br>New Oil Tanks - \$350,000                |
| Library Buildings &<br>Grounds<br>13 projects | 4,631,000  | 9,590,000  | 4,959,000  | Audio Visual Center- \$5,000,000<br>Replace Switchgear JMMB -<br>\$1,750,000 |
| Botanic Garden<br>2 projects                  | 200,000    | 278,000    | 78,000     | Way Finding/ADA Signs - \$203,000  |
| <b>TOTAL</b>                                  | 45,484,000 | 68,739,000 | 23,255,000 |  |