

# Performance & Accountability Report

FISCAL YEAR 2020  
*Architect of the Capitol*



SERVE  
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# Websites and Media Platforms

VISIT THE ARCHITECT OF THE CAPITOL AT [WWW.AOC.GOV](http://WWW.AOC.GOV)

The Architect of the Capitol (AOC) maintains an official presence on social media. Visit [www.aoc.gov/social](http://www.aoc.gov/social) or the following media platforms:



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## RELATED WEBSITES:

U.S. Botanic Garden: [www.usbg.gov](http://www.usbg.gov)

U.S. Capitol Visitor Center: [www.visitthecapitol.gov](http://www.visitthecapitol.gov)

## THOLOS MAGAZINE

Tholos is the AOC's quarterly online employee magazine, which spotlights the staff that work around the clock to support the AOC's mission to serve, preserve and inspire. The magazine is available at [www.aoc.gov/what-we-do/publications/tholos-magazine](http://www.aoc.gov/what-we-do/publications/tholos-magazine).



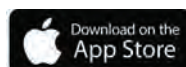
## THE AOC ON MOBILE DEVICES

In December 2020, the Performance and Accountability Report will be available in an e-reader version for Apple and Android tablets.

The AOC mobile apps provide information about the agency and the Capitol campus for staff, visitors and the American public.

The e-reader version of the report and the AOC apps are available in the Apple iTunes Store and the Android Google Play store.

- State Statues in the Capitol
- U.S. Capitol Rotunda
- U.S. Capitol Grounds
- U.S. Capitol Visitor Guide



# Performance and Accountability Highlights



## ABOUT THE ARCHITECT OF THE CAPITOL

**Who We Are:** The Architect of the Capitol (AOC) cares for more than 18.4 million square feet of facilities, more than 570 acres of grounds and thousands of works of art. The AOC's employees work behind the scenes day and night to provide Congress and the Supreme Court with facilities and infrastructure to conduct their business. We inspire the public by providing tours and exhibits of the U.S. Capitol, the surrounding grounds and the U.S. Botanic Garden.

**Established:** The AOC traces its beginnings to 1793 and was formally established by congressional legislation in 1876.

**Branch of Government:** Legislative

**Leadership:** J. Brett Blanton, Architect of the Capitol

**Number of Permanent Employees:** 2,251 as of September 30, 2020

**FY 2020 Budget Authority:** \$728.5 million (includes \$25 million in supplemental funding)

**Mission:** Serve Congress and the Supreme Court, preserve America's Capitol and inspire memorable visitor experiences.

### Did You Know?

The AOC serves as steward for the U.S. Capitol Building, the U.S. Capitol Visitor Center, the House and Senate office buildings, the Library of Congress buildings, the U.S. Supreme Court Building, the U.S. Botanic Garden, the Capitol Power Plant and other surrounding grounds and facilities. The major facilities on the Capitol campus that fall under the AOC's care are depicted in **Figure 1**. A virtual tour of the Capitol campus is available at [www.capitol.gov](http://www.capitol.gov).

To learn more about the Architect of the Capitol, watch our video, "We Are AOC": [www.aoc.gov/about-us/who-we-are](http://www.aoc.gov/about-us/who-we-are).

**Figure 1**  
Map of the Capitol Campus



## PERFORMANCE RESULTS IN BRIEF

In Fiscal Year (FY) 2020, the AOC tracked progress toward four strategic goals: (1) Maintain Awe-Inspiring Facilities, (2) Provide Extraordinary Services, (3) Foster an Innovative and Empowered Workforce and (4) Operate as One Team, Dedicated to One Mission. Eight strategic objectives, 16 strategies and 42 key performance indicators (KPI) support the goals. **Table 1** summarizes the high-level KPIs measuring the agency’s most critical actions taken in line with the Strategic Plan.

View the AOC’s FY 2020 performance highlights video: [www.aoc.gov/PAR](http://www.aoc.gov/PAR).



*Above* The AOC led the legislative branch in preparing for and responding to the COVID-19 pandemic, including the early adoption of face coverings for employees who were required to work on-site.

<b>Table 1</b> Summary of High-Level Key Performance Indicators						
HIGH-LEVEL KEY PERFORMANCE INDICATOR	FY 2019 TARGET	FY 2019 ACTUAL	FY 2019 RESULTS	FY 2020 TARGET	FY 2020 ACTUAL	FY 2020 RESULTS
<b>STRATEGIC GOAL:</b> Maintain Awe-Inspiring Facilities						
<b>Energy and Sustainability Targets.</b> Reduce energy intensity use, reduce potable water use, divert building occupancy waste, compost nonconstruction waste and divert construction and demolition debris.	5 of 5 Component Targets Met	4 of 5 Component Targets Met	<b>Not Met</b>	5 of 5 Component Targets Met	4 of 5 Component Targets Met	<b>Not Met</b>
<b>New! Facility Condition Index.</b> Reduce the percent of AOC major buildings in poor or fair condition.	New Measure for FY 2020	44.4%	<b>Not Applicable</b>	< 44.4%	48.1%	<b>Not Met</b>
<b>STRATEGIC GOAL:</b> Provide Extraordinary Services						
<b>New! TripAdvisor Ratings.</b> Establish a baseline customer experience benchmark.	New Measure for FY 2020	4.5	<b>Not Applicable</b>	≥ 4.5	4.5	<b>Met</b>
<b>Customer Satisfaction with Projects.</b> Maintain high customer satisfaction with projects.	≥ 90.0%	95.9%	<b>Met</b>	≥ 90.0%	95.0%	<b>Met</b>
<b>STRATEGIC GOAL:</b> Foster an Innovative and Empowered Workforce						
<b>Employee Nonmandatory Training.</b> Provide training to employees in skills and abilities applicable to their responsibilities.	> 33.3%	36.4%	<b>Met</b>	> 33.3%	30.0%	<b>Not Met</b>
<b>Injuries and Illnesses Rate.</b> Reduce the annual injuries and illnesses rate.	≤ 2.33%	2.23%	<b>Met</b>	≤ 2.23%	1.67%	<b>Met</b>
<b>STRATEGIC GOAL:</b> Operate as One Team, Dedicated to One Mission						
<b>Number of Days to Fill a Position.</b> Average number of days to fill a position from the initial request to the date the employee is on board (recruiting action / direct hire).	< 150 Days < 60 Days	113 <b>Met</b> 37 <b>Met</b>	<b>Met</b>	< 150 Days < 60 Days	113 <b>Met</b> 45 <b>Met</b>	<b>Met</b>

## FINANCIAL RESULTS IN BRIEF

As evidence of our commitment to financial accountability and transparency, in FY 2020 the AOC:

- Received its 16th consecutive unmodified (clean) audit opinion on its financial statements
- Received its ninth consecutive Certificate of Excellence in Accountability Reporting (CEAR) award from the Association of Government Accountants, plus a Best-in-Class CEAR award for Ease of Accessibility to Multi-Media Information
- Prioritized the AOC's COVID-19 mitigation efforts by ensuring funds were available for personal protective equipment (PPE), cleaning supplies and support contractors.
- Deployed a financial system integration with the U.S. Department of the Treasury's Collection Information Repository (CIR), which reduces manual data entry and improves internal controls.

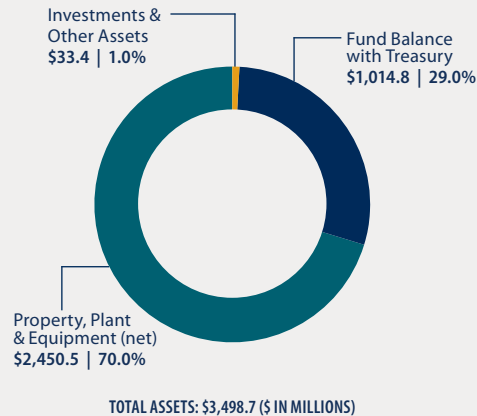
**Table 2**  
Select Financial and Related Nonfinancial Data  
(\$ in millions)

	FY 2020	FY 2019	PERCENT CHANGE
Total Assets	\$3,498.7	\$3,384.4	3%
Total Liabilities	\$403.7	\$409.5	(1%)
Total Net Position	\$3,095.0	\$2,975.0	4%
Earned Revenues	\$86.8	\$69.1	26%
Total Net Cost of Operations	\$627.3	\$609.5	3%
Total Appropriations (per Statement of Budgetary Resources)	\$728.5	\$749.8	(3%)
Facility Space Managed (sq. ft.)	More than 18.4 million	More than 18.4 million	—%
Grounds Managed (acres)	More than 570	More than 570	—%
Permanent Employees at Fiscal Year-End	2,251	2,236	1%

**Table 3**  
Independent Auditor's Internal Control Findings

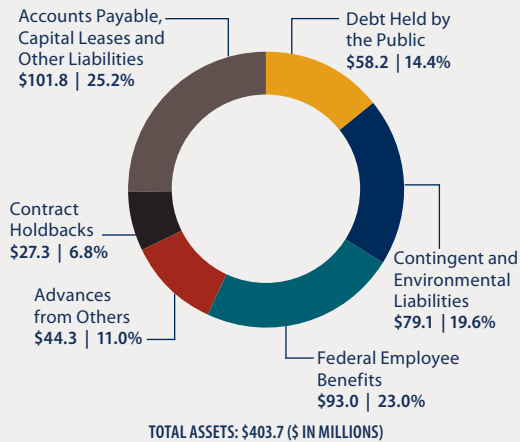
CATEGORY	FY 2020	FY 2019
Material Weaknesses	None	None
Significant Deficiencies	None	None

**Figure 2**  
Summary of Total Assets



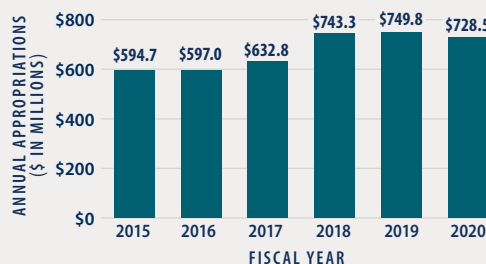
As of September 30, 2020, the AOC's property, plant and equipment represented more than two-thirds of the agency's total assets.

**Figure 3**  
Summary of Total Liabilities



As of September 30, 2020, the AOC's contingent and environmental liabilities amounted to nearly 20 percent of total liabilities.

**Figure 4**  
Trend in Total Appropriations



In FY 2020, the AOC's appropriations included \$25 million of supplemental funding via the *Coronavirus Aid, Relief, and Economic Security Act*.



A backlog in deferred maintenance and capital renewal projects is one of the most significant management challenges identified in the AOC's *Performance and Accountability Report*.

## FORWARD-LOOKING INFORMATION IN BRIEF

The AOC has identified the following as the agency's most significant challenges for FY 2021 and beyond:

**Backlog in Deferred Maintenance and Capital Renewal Projects.** Resource constraints have deferred maintenance and delayed important capital renewal work, causing deterioration of buildings and grounds. Significant investments are needed for preservation and to ensure the future safety of building occupants and visitors. As of September 30, 2020, the AOC estimated the backlog at \$1.78 billion.

**Campus Security.** The AOC is responsible for supporting the U.S. Capitol Police and providing security functions around the Capitol campus. The AOC continues to focus on meeting security requirements while also ensuring that safety, preservation and accessibility needs are met.

**Energy Stewardship and Sustainability.** The AOC targets energy use reductions on an annual basis. This fiscal year, the AOC completed its first full year of the Capitol Power Plant's cogeneration system operations. This program, along with the Refrigeration Plant Revitalization Program and planned upgrades to the Library of Congress facilities, will enable further energy efficiencies.

**Management of Concurrent Construction Projects.** The AOC is concurrently undertaking multiple major construction, renewal and restoration projects. To ensure success, the AOC must establish that each project is delivered safely, is high quality and remains on time and within budget, while creating minimal disruptions to the agency's clients.

**Attracting and Retaining a Skilled and Engaged Workforce.** The AOC requires a skilled and engaged workforce to achieve its mission and deliver services to stakeholders. The AOC's

human capital strategy includes attrition management and efforts to attract and retain talented staff.

**Workplace Safety and Health.** The AOC is responsible for ensuring that safety and health standards are met for those who work at or visit the Capitol campus. The AOC does this while addressing operational needs, applicable regulations and challenging working conditions that are unique to Capitol Hill.

The AOC's Office of Inspector General identified additional management opportunities and performance challenges facing the organization: auditability and documentation to support decisions, lack of whistleblower protection, property accountability and surplus property disposal, duplication of effort without a working capital fund, identifying and managing waste and holding personnel accountable for waste, and records retention and access.

The *AOC Performance and Accountability Highlights* provides a summary of the AOC's FY 2020 Performance and Accountability Report, following the Citizen-Centric Reporting model established by the Association of Government Accountants. The full report is available online at: [www.aoc.gov/par](http://www.aoc.gov/par)

For more information about the Architect of the Capitol, visit our website at: [www.aoc.gov](http://www.aoc.gov).

This report is issued with data as of November 23, 2020.



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## MESSAGE FROM THE ARCHITECT OF THE CAPITOL



J. Brett Blanton  
Architect of the Capitol

I am pleased to present the Architect of the Capitol's (AOC) Fiscal Year (FY) 2020 Performance and Accountability Report (PAR). This annual report reflects our commitment to providing transparency and accountability in all that we do. It includes the results of this year's independent financial statement audit, assesses our agency's operational progress and identifies our future opportunities and challenges.

It is an honor to serve as the 12th Architect of the Capitol. I hope to maintain the legacy of my accomplished predecessors and usher in a new era for the AOC. The AOC traces its origins to 1793 and serves as caretaker for more than 18.4 million square feet of facilities, more than 570 acres of grounds and thousands of works of art and architecturally significant assets. The stewardship of these assets is the foundation of the AOC's mission: to serve Congress and the Supreme Court, preserve America's Capitol and inspire memorable experiences.

This fiscal year was marked by unique challenges. There were a number of unexpected events that required immediate and interjurisdictional action, including operational support for the congressional impeachment hearings and response to the global COVID-19 pandemic. I am particularly proud of the AOC's swift and proactive response to the outbreak of COVID-19. The AOC led in the federal legislative branch in preparing for and responding to the pandemic. We were the first legislative branch agency to mandate face coverings

for employees and also the first to implement a robust contact tracing program for limiting community spread of the virus. Through the *Coronavirus Aid, Relief, and Economic Security (CARES) Act*, we were provided \$25 million in supplemental funding to procure personal protective equipment and cleaning supplies. To prepare the agency for the "new normal," the AOC developed a return-to-work plan, created a training video to inform employees about operational changes, developed employee and supervisor toolkits, created social distancing signage and more. Together, we ensured the vital safety and protection of the Capitol campus, the congressional community and our staff.

### The AOC Strategic Plan

In our strategic plan, the first two strategic goals keep us focused on our mission: (1) Maintain Awe-Inspiring Facilities and (2) Provide Extraordinary Services. The last two goals support our core values: (3) Foster an Innovative and Empowered Workforce and (4) Operate as One Team, Dedicated to One Mission. Together, the strategic goals chart a path for us to leverage our core competencies and achieve our vision as a trusted partner of Congress and the Supreme Court. Our FY 2020 accomplishments, by strategic goal, include:

#### Maintain Awe-Inspiring Facilities

Many of this year's major construction projects were critical to restoring our historic facilities after decades of degradation from weather and aging. The AOC continued Phase 2 of the renewal of the historic Cannon House Office Building, including the introduction of a robust change order process to minimize time delays and premium costs. In addition, we continued our ambitious program to restore and preserve the deteriorating stone and metal features on many of the agency's most treasured assets, including projects for the U.S. Capitol Building, Thurgood Marshall Federal Judiciary Building, Russell Senate Office Building, the Senate Underground Garage and Senate Park.

The AOC's cogeneration system at the Capitol Power Plant, which generates electricity and steam for the Capitol campus, is already providing significant energy savings. Largely due to this initiative, the agency achieved a 50.8 percent energy reduction on the Capitol campus — meeting our FY 2025 target five years ahead of schedule. At the same time, the agency is conducting a utility master plan to improve system resilience and reduce greenhouse gas emissions. We also began work under a public-private energy savings performance contract to finance and install energy efficient systems, lighting and controls for the facilities managed by our Library Buildings and Grounds jurisdiction.

#### Provide Extraordinary Services

This strategic goal addresses the agency's core functions as a support organization to Congress and the Supreme Court and a provider of visitor services for the public. Before and during the shutdown and closures related to COVID-19, the agency coordinated multiple events, including providing



support for the lying in state ceremonies of Representative Elijah Cummings, Representative John R. Lewis and Supreme Court Justice Ruth Bader Ginsberg, and line management and wayfinding during the impeachment vote and trial. The U.S. Botanic Garden (USBG) hosted a yearlong celebration of its 200th anniversary, featuring an in-depth exhibition, creative outdoor sculpture, engaging social media outreach and educational online public programs. When the U.S. Capitol Visitor Center (CVC) and USBG were temporarily closed to the public due to COVID-19, their programs were moved online where possible and additional online offerings were created. In addition, our first podcast series, “Shaping History: Women in Capitol Art,” was launched this fiscal year. The CVC also continued a major redesign and renovation to Exhibition Hall, its 16,000 square-foot exhibition space, to update interpretive material and content, gallery and lighting design, programming and communications. Exhibition Hall is projected to reopen in FY 2022.

### **Foster an Innovative and Empowered Workforce and Operate as One Team, Dedicated to One Mission**

The AOC’s adaptability through the COVID-19 emergency speaks volumes about the quality of our personnel. Thanks in large part to their extraordinary dedication, the AOC was able to maintain ongoing essential projects throughout these trying circumstances. By maximizing telework and rotating shifts, we continued to provide essential services, while also protecting employee health and safety and maintaining a robust ability to recall staff when necessary.

As our workload increases, we need to ensure we hire and retain qualified professionals. This fiscal year, we conducted training on the new e-Builder project management system and implemented a new suitability program for our personnel. We also continued implementing an Integrated Safety Management System (ISMS) to standardize safety practices throughout the agency. Further efforts included new recruitment initiatives for skilled tradespeople, such as a prospective partnership plan with the American College of the Building Arts in Charleston, South Carolina.

### **Future Challenges and Priorities**

With changes in leadership come new ideas, new philosophies and new vision. As the AOC nears the end of its FY 2017-2021 Strategic Plan, we have begun developing a new course of action for the future that targets large-scale transformational and infrastructural needs. By developing a vision through data-driven analytics and a risk-based approach to project oversight, we will create the next strategic plan. To this end, the AOC began work on a plan to re- envision the Capitol campus for the next century — Vision 2100. This document will set the stage for the 20-Year Master Plan and inform the agency’s next strategic plan.

Looking ahead, the AOC’s most significant challenge and top enterprise-level risk continues to be our deferred maintenance and capital renewal backlog — estimated at

\$1.78 billion. To address this risk, we have begun developing a comprehensive enterprise asset management program. The program will collate data from existing systems, inspections and asset surveys in order to optimize projects and invest in preventive maintenance. This will enable us to correct course while looking into the future with decision-quality data to drive both budgetary and project management decisions.

In recent years, there have been leadership challenges that contributed to our difficulty in attracting and retaining a skilled workforce. Operationally, we must continue to prioritize our critical centralized services and personnel that directly support our front-line operations. At the same time, the AOC is working to identify and foster a new generation of talented trades workers. Our agency’s human capital strategy focuses on improving talent acquisition, training and succession planning. To realize this human capital strategy, we will also transform the organizational culture. Changing the culture will take time, but it must begin with a mandate for transparency, accountability and responsiveness. This fiscal year, with the support of our Diversity, Inclusion and Dispute Resolution professionals, we took steps to ensure that the AOC enhances its status as a fair and equitable workplace. Small actions will yield big results in developing the respect and trust we all expect as members of the AOC team.

### **Conclusion**

The AOC takes pride in its stewardship of its public funds. For the 16th consecutive year, the agency received an unmodified or “clean” opinion on our consolidated financial statements. In addition, we are pleased to share that the independent auditor’s report for this fiscal year noted no material weaknesses or significant deficiencies. For the ninth consecutive year, we received a Certificate of Excellence in Accountability Reporting from the Association of Government Accountants for our annual PAR. As shown in the Statement of Assurance found in this report’s **Management’s Discussion and Analysis** (Page 43), I provide my assurance that the financial and performance data presented in this report is complete, reliable and accurate.

This report provides a comprehensive overview of the successes that the AOC achieved in FY 2020 and the challenges we face going forward. We thank Congress for its trust, support and investment in our agency. Finally, at the conclusion of my first year at the AOC, I have been inspired by the resilience, ingenuity and dedication of our hard-working employees. Together, we can forge a bright future on the Capitol campus.

Sincerely,



J. Brett Blanton  
Architect of the Capitol  
November 20, 2020

# Performance and Accountability Report

“A regular Statement and Account of the Receipts and Expenditures of all public Money shall be published from time to time.”  
(U.S. Constitution, Article I, Section 9)

## ABOUT THIS REPORT

The Architect of the Capitol (AOC) provides financial management and program performance information to Congress and the American people through its annual Performance and Accountability Report (PAR). The Fiscal Year (FY) 2020 report details how the AOC accounts for the public funds and property under its care, and includes a comprehensive record of the agency’s recent successes and challenges in executing its mission for the reporting period.

The AOC is a legislative branch agency and, therefore, is not bound by the financial management and reporting statutes established for the executive branch. Nonetheless, the AOC referenced the following federal legislation and related guidance for the establishment of its financial management practices:

- *Federal Managers’ Financial Integrity Act of 1982*
- *Chief Financial Officers Act of 1990*
- *Government Performance and Results Act (GPRA) of 1993*  
(as amended by the *GPRA Modernization Act of 2010*)
- *Government Management Reform Act of 1994*
- *Federal Financial Management Improvement Act of 1996*
- *Reports Consolidation Act of 2000*
- *Accountability of Tax Dollars Act of 2002*
- *Payment Integrity Information Act of 2019*
- Office of Management and Budget (OMB) Circular A-136 Revised, Financial Reporting Requirements
- OMB Circular A-11, Preparation, Submission and Execution of the Budget
- OMB Circular A-123, Management’s Responsibility for Enterprise Risk Management and Internal Control

Throughout the report, Capitol Highlights spotlight major construction projects, important events and agency accomplishments. Infographics, charts, tables and photographs help to increase visual appeal and provide further insight. The report also includes URLs and links to online videos, websites and social media platforms to engage the reading audience and allow the reader to access additional information about the AOC.

The report is available for download or online viewing in standard PDF and interactive digital versions on the AOC’s website at: [www.aoc.gov/par](http://www.aoc.gov/par). In addition, the AOC publishes innovative e-reader versions of the report for Apple and Android tablets, which are available in the App Store and the Google Play store, respectively.

## ABOUT THE COVER

The Architect of the Capitol is the dedicated steward of the iconic buildings and grounds of the Capitol campus, which is exemplified by the Dome of the U.S. Capitol Building. This image captures one of the most beautiful scenes in our nation’s capital as, each morning at sunrise, the softly radiant glow of the Dome illuminates Capitol Hill.



# HOW THIS REPORT IS ORGANIZED

The FY 2020 PAR details the AOC’s financial and performance operations, accomplishments and challenges. The report provides information for the fiscal year beginning October 1, 2019 and ending September 30, 2020. The report begins with highlights of the agency’s financial and performance results and a message from the 12th Architect of the Capitol, J. Brett Blanton, which are followed by the four main sections of the report and its appendices.

## Section I: Management’s Discussion and Analysis (MD&A)

The MD&A presents an overview of the AOC’s FY 2020 performance and financial achievements. The section includes information on the AOC’s history, mission, organizational structure, key risks and financial management systems. This fiscal year, the MD&A also includes a summary of the financial impact of COVID-19 and the budgetary resources the AOC received under the *Coronavirus Aid, Relief, and Economic Security (CARES) Act*. The section concludes with the Architect’s Statement of Assurance on internal controls and the agency’s forward-looking information.

## Section II: Performance Information

The Performance Information section includes an analysis of the AOC’s annual performance results. The section identifies the strategic planning framework, describes how the AOC verifies and measures performance data and summarizes its strategic goals, objectives, key performance indicators (KPI)

and the related strategies. For this fiscal year, the section also includes a supplement highlighting the AOC’s COVID-19 response activities.

## Section III: Financial Information

This section details the AOC’s FY 2020 financial information and provides comparable data for FY 2019. It contains a message from the Acting Chief Financial Officer, the Office of Inspector General’s transmittal letter of audit results and the independent auditor’s reports. In addition, it contains the audited financial statements and required supplementary information.

## Section IV: Other Information

The Other Information section presents the Office of Inspector General’s Statement of Management Opportunities and Performance Challenges and a summary of the AOC’s financial statement audit. It also includes management assurances, payment integrity and mandatory congressional reports on the AOC’s energy and sustainability, small business and human capital management programs.

## Appendices

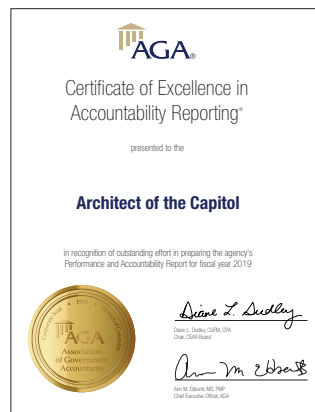
The appendices provide additional data on the agency and this report, including a listing of the major facilities under the AOC’s care, a summary of the accomplishments and priorities for each AOC jurisdiction, U.S. Capitol campus visitation statistics and a glossary of key terms.

# CERTIFICATE OF EXCELLENCE IN ACCOUNTABILITY REPORTING

In August 2020, the AOC received the Association of Government Accountants’ (AGA) prestigious Certificate of Excellence in Accountability Reporting (CEAR) award for the FY 2019 Performance and Accountability Report. This was the ninth consecutive year the AOC has received the award for its annual PAR. The report also received a Best-in-Class award for Ease of Accessibility to Multi-Media Information.

The AGA, in conjunction with the Chief Financial Officers Council and OMB, created the CEAR program to enhance financial and program accountability. The CEAR award represents the highest form of recognition in federal government financial reporting. The AGA presents the annual award to federal organizations for producing informative, high-quality reports that provide clear insight into their agency’s spending and program performance.

This fiscal year, the AOC also received a Certificate of Excellence in Citizen-Centric Reporting from the AGA for its FY 2019 Performance and Accountability Highlights. The AGA noted that the AOC’s highlights report “sets the standard” for citizen-centric reporting.



SECTION

# 01



# Management's Discussion and Analysis

## OVERVIEW

The Management's Discussion and Analysis (MD&A) provides a brief overview of the report and includes the most important matters regarding the work and responsibilities of the AOC. This section includes:

**History of the AOC** — information on the AOC's origin and history.

**Mission and Vision of the AOC** — description of the mission, vision, core values and customer service philosophy.

**Organizational Structure of the AOC** — information about the organizational structure and leadership.

**Enterprise Risk Management at the AOC** — overview of the AOC's enterprise risk management (ERM) program.

**Summary of Key Risks** — listing of the key enterprise risk factors.

**Performance Highlights** — summary of the strategic goals, objectives, data validation and verification processes and performance results.

**Financial Highlights** — analysis of the audited financial statements and a description of the sources and uses of the AOC's funds.

**Financial Management Systems Framework** — explanation of the financial management systems in use for financial and budget management at the AOC.

**Financial Systems Summary: Achieving the AOC's Mission With Improved Financial Management** — explanation of the strategies for improving financial

management and the activities of the agency's financial management team in support of the AOC's mission.

**COVID-19 Financial Impact** — summary of the financial impact of the COVID-19 pandemic on the AOC, including a discussion of the budgetary resources provided.

**Management Assurances and Other Financial Compliances** — management's assessment and assurance on internal controls under the *Federal Managers' Financial Integrity Act of 1982*, and the AOC's conformity with other financial laws and regulations.

**Forward-Looking Information** — highlights of the most significant challenges identified by management and the efforts taken to address those challenges.

## HISTORY OF THE AOC

### 1790–1800



The AOC's origins date to the founding of the federal capital. *The Residence Act of 1790* established Washington, D.C. as the seat of the national government and authorized a Board of Commissioners to “provide suitable buildings for the accommodation of Congress.” The commissioners hired Pierre L'Enfant to develop a city plan and Andrew Ellicott to survey the boundaries of the 100-square mile federal district. In 1792, Dr. William Thornton's depiction of a grand, two-winged structure topped by a central dome won a public competition for the design of the U.S. Capitol Building. Construction of the U.S. Capitol began shortly thereafter when President George Washington ceremoniously set the building's cornerstone in 1793.

### 1801–1900



In 1802, Congress consolidated the duties of the Board of Commissioners into a single superintendent, the Commissioner of Public Buildings, who was responsible for the care of the U.S. Capitol Building — which at the time housed Congress, the

*Left* The Rayburn Garage Interior Rehabilitation project will replace structural concrete and waterproofing joints to extend the life of the underground garage for 50 years. Phase 3 construction is currently underway and is on schedule for completion in early FY 2021.

Library of Congress, the Supreme Court, the district courts and other offices — and its grounds. Following the 1814 burning of the U.S. Capitol by British troops, the building was restored and expanded to accommodate the needs of Congress. During the 1850s and 1860s, a new position, the Architect of the Capitol Extension, oversaw the cast-iron dome construction and the addition of the north and south extensions to the U.S. Capitol. In 1867, Congress combined the responsibilities of the Commissioner of Public Buildings and the Architect of the Capitol Extension. Between 1874 and 1892, the grounds surrounding the U.S. Capitol expanded based on the grand design of noted American landscape architect Frederick Law Olmsted. During this expansion, in 1876, Congress established the Architect of the Capitol as a permanent office under the legislative branch of the federal government.<sup>1</sup>

### 1901–2000



The AOC's mission responsibilities continued to expand throughout the 20th century. The agency assumed responsibility for the operation and maintenance of the Library of Congress' Thomas Jefferson Building and facilities belonging to the U.S. Botanic Garden, including the Conservatory and the surrounding gardens. Beginning with the Cannon House Office Building (completed in 1908), the AOC oversaw new construction on Capitol Hill to support the needs of Congress, the Supreme Court<sup>2</sup> and the Library of Congress. In total, the AOC oversaw construction of three House office buildings, three Senate office buildings, the Supreme Court of the United States, the Thurgood Marshall Federal Judiciary Building, the Library of Congress' John Adams Building and James Madison Memorial Building, the Capitol Power Plant's generator building and main boiler plant and various other support facilities.

### 2001–Present



The 21st century began with the construction of the U.S. Capitol Visitor Center (completed in 2008), the largest expansion to the U.S. Capitol Building in its history. In 2011, the AOC received responsibility for Union Square, a 13-acre site between the U.S. Capitol and the National Mall, which increased the land portfolio under the AOC's stewardship to more than 570 acres. In 2017, Congress transferred stewardship responsibility for the O'Neill House Office Building to the AOC. In 2018, the AOC completed construction on the cogeneration facility at the Capitol Power Plant. Although most of the AOC's managed facilities are located on or near Capitol Hill, the AOC also maintains support facilities in locations beyond the limits of the District of Columbia.<sup>3</sup>

- 1 Appendix A** provides information on the 12 individuals who have served as Architect of the Capitol, beginning with Dr. Thornton, who is honored as the first Architect of the Capitol for his winning design of the U.S. Capitol.
- The AOC shares facility management responsibilities with the Marshal of the Supreme Court.
- Off-site support facilities include the Packard Campus for Audio-Visual Conservation in Culpeper, Virginia, and the Library of Congress Book Storage Modules in Fort Meade, Maryland.

January 16, 2020 marked the beginning of a new era for the agency as J. Brett Blanton was confirmed as the 12th Architect of the Capitol.

**Figure 1** (Page i) provides a map of the major facilities on the Capitol campus under the AOC's stewardship. **Figure 5** charts the growth of the AOC's responsibilities from the construction of the U.S. Capitol Building to the present day. **Appendix B** includes a list of the major facilities under the AOC's care.

## MISSION AND VISION OF THE AOC

### Who We Are

Serving Congress and the Supreme Court, the AOC is the builder and steward of the landmark buildings and grounds on the Capitol campus. The AOC is responsible for more than 18.4 million square feet of buildings, more than 570 acres of grounds and thousands of treasured works of art. With more than 2,200 dedicated employees, the AOC works tirelessly behind the scenes day and night to provide Congress and the Supreme Court with the facilities and infrastructure to conduct their business. During a typical year, the Capitol campus is home to thousands of daily occupants and hosts millions of visitors from around the world.

### Mission

To serve Congress and the Supreme Court, preserve America's Capitol and inspire memorable experiences.

### Vision

We are a trusted partner of Congress and the Supreme Court. The AOC employees are an exceptional team, acclaimed for superior service, recognized as trusted stewards and renowned for enriching people's lives.

### Core Values

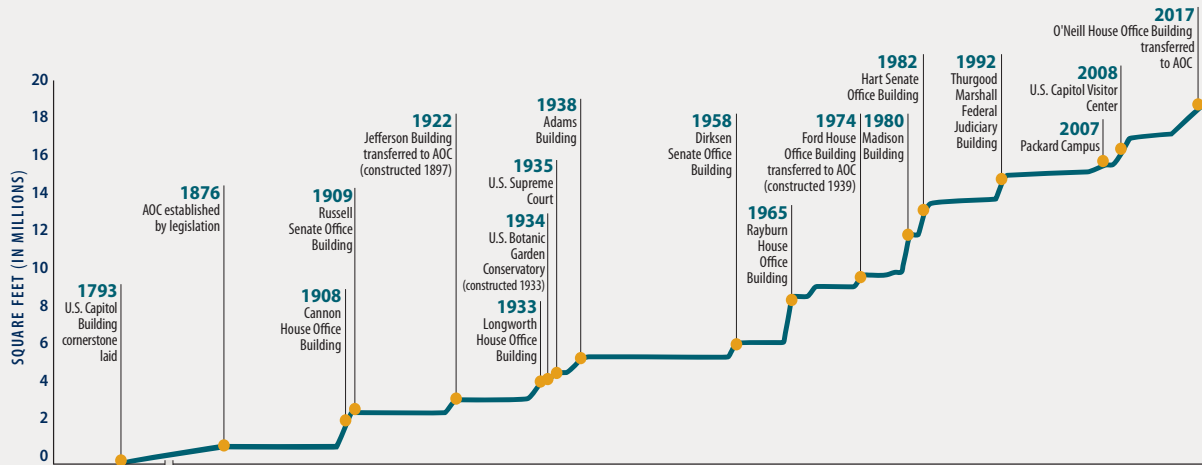
AOC employees demonstrate five core organizational values: teamwork, integrity, professionalism, pride and safety (TIPPS). See **Infographic: The AOC's Core Values** on Page 3.

### Customer Service Philosophy

The work of AOC employees affects the lives of thousands of people every day. Through our focus on responsiveness, ownership and courtesy, we demonstrate our commitment to delivering extraordinary customer service to our colleagues and external stakeholders.

- **Responsiveness:** We immediately acknowledge our customers and their needs. We ensure they receive a timely resolution.
- **Ownership:** We provide a personalized and proactive service. We anticipate needs and implement solutions.
- **Courtesy:** We treat others as we want to be treated. Everyone is a very important person.

**Figure 5**  
Growth in Major Facilities Under the AOC's Care



Note: This figure tracks the square footage for all of the AOC's owned and leased buildings. Only the major facilities are named in the figure, although the square footage of smaller buildings is also included in the display.

**Infographic**  
The AOC's Core Values

**Core Values:** The behaviors of AOC employees demonstrate our commitment to the TIPPS principles:

Letter	Value	Description
T	Teamwork	We work and communicate with each other cooperatively and respectfully to achieve the greater goals of the AOC.
I	Integrity	We demonstrate our honesty, sincerity and dependability to earn the trust of those we serve.
P	Professionalism	We adhere to the highest standards of quality and competency for the work we do.
P	Pride	We derive great satisfaction from the work we do and in the honor of serving Congress, the Supreme Court and the American people every day.
S	Safety	We exercise responsibility for ourselves and those around us to promote the safety, security and well-being of our team and our customers.

## ORGANIZATIONAL STRUCTURE OF THE AOC

### The Architect of the Capitol

The Architect of the Capitol is both the name of the U.S. legislative branch agency responsible for the maintenance and upkeep of the Capitol campus, as well as the title of the leader of the agency.<sup>4</sup> Appointed by the president and subject to Senate confirmation, the Architect of the Capitol serves a 10-year term. Responsibilities of the AOC are far-reaching and cover management and oversight of operations and facilities maintenance for the entire Capitol campus. The AOC also oversees the care of all works of art in the U.S. Capitol Building under the direction of the Joint Committee on the Library, including the maintenance and restoration of murals, outdoor sculptures and architectural elements throughout the Capitol campus. The Architect of the Capitol serves as a member of the Capitol Police Board and the Congressional Accessibility Services Board, as well as an ex-officio member of the United States Capitol Preservation Commission and the National Building Museum. Additionally, the Architect of the Capitol is a member of the District of Columbia Zoning Commission, the President's Advisory Council on Historic Preservation, the National Capital Memorial Advisory Commission, the Art and

<sup>4</sup> Throughout this report, "AOC" refers to the agency and "Architect of the Capitol" refers to the individual appointed to lead the agency.

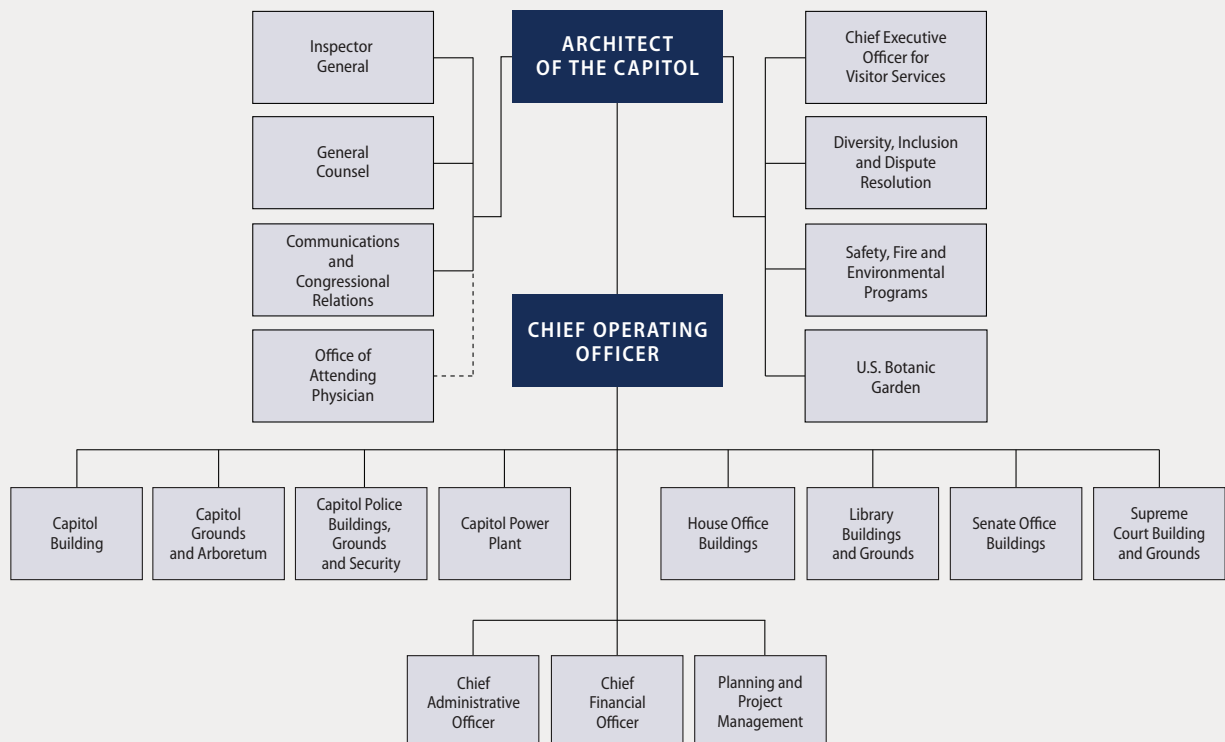
Advisory Committee to the Washington Metropolitan Area Transit Authority and the National Institute for the Conservation of Cultural Property. The Architect of the Capitol also serves as the acting director of the U.S. Botanic Garden. **Appendix A** provides a complete list of the individuals who have served as the Architect of the Capitol.

### The AOC's Organizational Structure

The AOC manages 10 jurisdictions, each funded by a separate appropriation. In addition, the AOC receives funds under the Capital Construction and Operations appropriation to support multiple functional areas within the agency. These include specialized construction, curatorship, design, energy and sustainability, facilities planning, financial management, historic preservation, project management, safety, fire and environmental programs, technical support and management and administrative support. This organizational structure and funding arrangement provides the AOC with economies of scale that increase efficiency and reduce operating costs. **Figure 6** presents the AOC's organization chart. The AOC's organizational directory is online at: [www.aoc.gov/about-us/organizational-directory](http://www.aoc.gov/about-us/organizational-directory).

Employees are the AOC's greatest asset and form the foundation of the agency. As of September 30, 2020, the AOC's workforce included more than 2,200 permanent employees along with temporary and seasonal staff. The

**Figure 6**  
The AOC Organization Chart as of September 30, 2020



Note: The AOC provides administrative support to the Office of Attending Physician, represented by a dotted line on the organization chart.



Infographic

# Getting to Know the AOC

# 1793

The year George Washington laid the cornerstone of the U.S. Capitol.



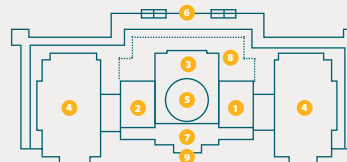
**3** Hidden Treasures on Capitol Hill

- Great Hall in the Jefferson building, Library of Congress
- Summerhouse, Capitol Grounds
- Bartholdi Fountain and Gardens, U.S. Botanic Garden

# 570<sup>+</sup>

Acres of Land

Currently, the Capitol campus is comprised of more than **30 buildings** and **18.4 million square feet** of building space.



**9** Number of incremental expansions of the U.S. Capitol

1	Original North (Senate) Wing	1793-1800
2	Original South (House) Wing	1793-1807
3	Center Section & Rotunda	1818-24
4	Present House and Senate Wings and Connecting Corridors	1851-67
5	Cast-iron Dome	1855-66
6	Terraces	1884-92
7	East Front Extension	1958-62
8	Courtyard Infill Room	1991-93
9	Capitol Visitor Center	2002-08



# 2,200<sup>+</sup>

Uniquely Skilled Employees



# 12

Number of Architects of the Capitol

The first Architect of the Capitol was William Thornton. The 12th Architect of the Capitol, J. Brett Blanton, was appointed in 2020.

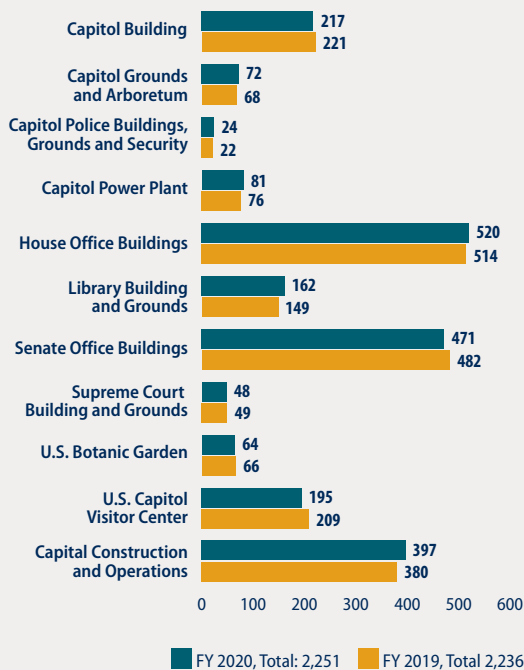
# 25,000,000

Visitors welcomed to the U.S. Capitol since the opening of the Capitol Visitor Center in 2008.



AOC relies on its diverse workforce to care for and preserve the Capitol campus and provide extraordinary services to the agency's clients and visitors. AOC artisans use a combination of cutting-edge techniques and centuries-old trade skills to preserve the historic artifacts that exist throughout the Capitol campus. The AOC staff includes architects, carpenters, custodians, electricians, engineers, gardeners, laborers, masons, mechanics, painters and plasterers, planners, plumbers, sheet metal workers, upholsterers, woodcrafters and other craftspeople. **Figure 7** shows the distribution of the AOC's employees by jurisdiction. The AOC offices are primarily based in Washington, D.C., with off-site support facilities in Maryland and Virginia. The **Infographic: Getting to Know the AOC** displays notable information about the agency and the U.S. Capitol.

**Figure 7**  
Permanent Employees by AOC Location



## AOC JURISDICTIONS

This section summarizes the responsibilities for each AOC jurisdiction and the offices funded under the Capital Construction and Operations appropriation. For financial statement purposes, the AOC jurisdictions are considered responsibility segments and are the components used for reporting on the Statement of Net Costs. For more information, see **Appendix B**, which lists the major facilities under the AOC's stewardship and **Appendix C**, which highlights each jurisdiction's FY 2020 accomplishments and FY 2021 priorities.

### Capital Construction and Operations

The AOC's Capital Construction and Operations appropriation funds the position of the Architect of the Capitol, along with the offices that provide essential construction, central management and operational and professional support. The central offices included in the Capital Construction and Operations responsibility segment are:

**Chief Administrative Officer:** The Chief Administrative Officer (CAO) provides administrative and business support and includes the Acquisition and Material Management Division, Curator Division, Human Capital Management Division, Information Technology Division, Office Services Division and Policy Program Office. The Curator Division, which is responsible for the care and conservation of the architectural, fine and decorative arts under the AOC's stewardship, also manages the agency's Photography Branch and Records Management and Archives Branch.

**Chief Financial Officer:** The Chief Financial Officer (CFO) ensures sound financial stewardship and analyzes the financial implications of program decisions. CFO activities include accounting operations, budget formulation and execution, enterprise risk management and internal control, financial reporting, financial systems management and fiscal policy.

**Chief Operating Officer:** The Chief Operating Officer (COO) is responsible for the overall direction, operation and management of the AOC, including strategic planning, implementing the agency's mission and strategic goals, providing overall organization management, promoting reform and measuring results.

**Communications and Congressional Relations:** Communications and Congressional Relations is responsible for strategic communication initiatives, legislative affairs and media and community relations. The office oversees communications to members of Congress and their staffs, as well as to external parties such as the press, government agencies and the public. The office also creates a variety of resources for agency stakeholders including graphics, videos, publications and web content.

**Diversity, Inclusion and Dispute Resolution:** The Diversity, Inclusion and Dispute Resolution office supports the agency's commitment to providing a work environment free of discrimination and harassment. The office oversees agency efforts to promote an inclusive, respectful and



### Capitol Highlights

## J. BRETT BLANTON SWORN IN AS THE 12TH ARCHITECT OF THE CAPITOL

On January 16, 2020, J. Brett Blanton was sworn in as the 12th Architect of the Capitol by Supreme Court Chief Justice John Roberts Jr. Mr. Blanton was nominated to become the Architect of the Capitol by President Donald Trump on December 9, 2019 and, shortly thereafter, he was confirmed by the U.S. Senate.

As the Architect of the Capitol, Mr. Blanton brings over 25 years of experience in civil engineering, facilities operations, construction management and capital planning. Describing himself as a "leader of change," his incoming objectives at the AOC are to champion the agency's commitment to a culture of transparency, accountability and responsiveness, to attract and retain a skilled workforce and to implement data analytics to drive both budgetary and project management decisions.

Before this appointment, Mr. Blanton served as the deputy vice president for engineering at the Metropolitan Washington Airports Authority, where he led all capital planning, design and construction at the Reagan National and Dulles International airports. Mr. Blanton also served in the Navy for 22 years, where he became a commander in the Civil Engineer Corps and oversaw some of the largest infrastructure projects undertaken by the Department of the Navy. He is a licensed professional engineer and a certified energy manager. With his background, Mr. Blanton is uniquely qualified to usher in a new era for the AOC, while honoring the vision of his predecessors and preserving America's Capitol for future generations.



The AOC supported several high-profile events on the Capitol campus, including Supreme Court Justice Ruth Bader Ginsburg's lying in repose under the portico at the Supreme Court of the United States (above) and lying in state at the U.S. Capitol Building in September 2020.

civil workplace and enables supervisors and employees to proactively deal with conflict resolution.

**General Counsel:** The General Counsel provides legal counsel on matters involving construction and service contracts, occupational safety and health matters, labor management and employee relations, environmental issues, new and proposed legislation, insurance and liability, and property acquisition management. The General Counsel serves as the AOC's supervising ethics office.

**Inspector General:** The *Architect of the Capitol Inspector General Act of 2007* established the Office of the Inspector General (OIG) as a statutory office within the AOC to promote the integrity, efficiency and effectiveness of agency operations and programs. The OIG conducts independent audits and investigations, reviews existing and proposed legislation and regulations, and recommends policies to detect and prevent fraud, waste and abuse.

**Planning and Project Management:** Planning and Project Management (PPM) provides consolidated services to the AOC, including long-range facility planning, architectural and engineering design, historic preservation, project management and program management. The office conducts Capitol campus master planning, building performance audits, retro-commissioning and facility condition assessments. PPM manages an energy and sustainability

program, provides project-funded, in-house construction services and supports critical campus systems, including electrical distribution, emergency generators, cable television, legislative clocks and the AOC's building automation system.

**Safety, Fire and Environmental Programs:** Safety, Fire and Environmental Programs (SFEP) is responsible for leading AOC efforts to provide a world-class safety culture, reduce injuries and incidents and ensure that the AOC complies with safety, fire and environmental regulations. The office establishes safety, environmental and fire prevention and protection policy, coordinates emergency planning and preparedness and conducts oversight. It serves as the AOC's point of contact with regulatory agencies for occupational safety and health, fire protection and environmental matters.

**Office of Attending Physician:** The Office of Attending Physician, comprised of several health units throughout the Capitol campus, provides primary care, emergency, environmental and occupational health services in support of the congressional community, the Supreme Court, dignitaries and visitors to the Capitol campus. The AOC provides administrative support to the Office of Attending Physician.

### Capitol Building

The Capitol Building jurisdiction is entrusted with the care and stewardship of the U.S. Capitol Building, one of the most iconic and historically significant buildings

in the world and the centerpiece of the Capitol campus. The jurisdiction is responsible for providing a variety of services that include: carpentry, construction, custodial, electrical, elevator, heating and air conditioning, insulation, labor, masonry, painting, plumbing and sheet metal. The jurisdiction manages the Capitol Flag Program, which allows citizens to request a flag that has been flown over the U.S. Capitol through their congressional offices. It supports special events held on the Capitol campus (see **Figure 8**) and manages facility maintenance at the U.S. Capitol Visitor Center. The jurisdiction also supports programs related to occupational safety and health, sustainability, recycling and energy management, fire detection and protection management. For more information: [www.aoc.gov/about-us/organizational-directory/capitol-building-jurisdiction](http://www.aoc.gov/about-us/organizational-directory/capitol-building-jurisdiction).

### Capitol Grounds and Arboretum

The Capitol Grounds and Arboretum jurisdiction is responsible for maintaining and preserving the historic landscape designed by Frederick Law Olmsted. The grounds encompass 286 acres of landscape and infrastructure across Capitol Hill, including Union Square, the 13-acre site situated between the U.S. Capitol Building's West Front and the National Mall, and includes approximately 8 miles of roadways, 17 acres of parking lots and 16 miles of sidewalks. The jurisdiction provides professional grounds management services that include: horticultural activities, vehicle and equipment maintenance, sustainable irrigation practices and masonry and preservation of historically and architecturally significant landscape elements and

memorials. In 2017, the grounds earned recognition as a Level II-accredited arboretum consisting of an ordered living asset collection of over 4,600 trees. The jurisdiction provides snow removal and trash collection across the campus. In addition, the jurisdiction supports major events including the presidential inauguration, lying in state ceremonies, National Police Officer Memorials, Capitol Christmas Tree selection and display and concerts for Memorial Day, Fourth of July and Labor Day. For more information: [www.aoc.gov/about-us/organizational-directory/capitol-grounds-arboretum-jurisdiction](http://www.aoc.gov/about-us/organizational-directory/capitol-grounds-arboretum-jurisdiction).

### Capitol Police Buildings, Grounds and Security

The Capitol Police Buildings, Grounds and Security is managed by the AOC's Office of Security Programs and is responsible for the maintenance, care and operation of the buildings, grounds and security enhancements of the U.S. Capitol Police and other facilities. It provides centralized security and resilience operations for the Capitol campus, manages the AOC's internal security programs and perimeter security, coordinates interagency emergency preparedness and supports the U.S. Capitol Police in protecting, policing and providing security for the congressional community and its visitors. For more information: [www.aoc.gov/about-us/organizational-directory/capitol-police-buildings-grounds-security-jurisdiction](http://www.aoc.gov/about-us/organizational-directory/capitol-police-buildings-grounds-security-jurisdiction).

### Capitol Power Plant

This jurisdiction manages year-round power plant operations, providing and distributing steam and chilled water to heat

**Figure 8**

Timeline of Special Events at the U.S. Capitol Building, Fiscal Year 2020



and cool the U.S. Capitol Building and 22 other facilities on and around the Capitol campus. The Capitol Power Plant jurisdiction also maintains an administration building and the utility tunnel distribution and metering system. The Capitol Power Plant operates on a reimbursable basis to noncongressional facilities and procures electricity from commercial suppliers. In support of the AOC's long-term energy program, the Capitol Power Plant is the site of the newly constructed Cogeneration Plant and the multiphase Refrigeration Plant Revitalization construction project. For more information: [www.aoc.gov/about-us/organizational-directory/capitol-power-plant-jurisdiction](http://www.aoc.gov/about-us/organizational-directory/capitol-power-plant-jurisdiction).

### House Office Buildings

The House Office Buildings jurisdiction is responsible for the operation, maintenance and preservation of more than 5 million square feet of facility space, including the Cannon, Ford, Longworth, O'Neill and Rayburn House office buildings, underground garages, annexes and subways. Providing oversight for daily domestic care, repairs and maintenance at these facilities, the jurisdiction also performs client services, preventive maintenance, building inspector surveys, compliance issues abatement, energy savings initiatives and safety inspections. The use of office and committee space for the members of the U.S. House of Representatives and the biennial office move process for House members are also duties of this jurisdiction. For more information: [www.aoc.gov/about-us/organizational-directory/house-office-buildings-jurisdiction](http://www.aoc.gov/about-us/organizational-directory/house-office-buildings-jurisdiction).

### Library Buildings and Grounds

The Library Buildings and Grounds jurisdiction is responsible for the life-cycle operation, maintenance, development and stewardship of the Library of Congress facilities and surrounding grounds. The jurisdiction's real property assets span 4.4 million square feet of space and include: the Jefferson, Adams and Madison buildings on Capitol Hill; the Packard Campus for Audio-Visual Conservation in Culpeper, Virginia; the Library Collections Storage Facilities on the 100-acre campus at Fort Meade, Maryland; and other leased facilities. For more information: [www.aoc.gov/about-us/organizational-directory/library-buildings-grounds-jurisdiction](http://www.aoc.gov/about-us/organizational-directory/library-buildings-grounds-jurisdiction).

### Senate Office Buildings

This jurisdiction oversees the office and committee space for the United States Senate. It is responsible for the daily care, maintenance, repair and operations of more than 3 million square feet of facility space, including the Dirksen, Hart and Russell Senate office buildings, restaurants, an employee child care center, a congressional page school and dormitory and subway systems. The jurisdiction also manages leased facilities housing off-site Senate support organizations and coordinates the office move process for senators and staff. For more information: [www.aoc.gov/about-us/organizational-directory/senate-office-buildings-jurisdiction](http://www.aoc.gov/about-us/organizational-directory/senate-office-buildings-jurisdiction).

APRIL 2020

MAY 2020

JUNE 2020

JULY 2020

AUGUST 2020

SEPTEMBER 2020

Jul 27-28  
Lying in State of  
Congressman  
John Lewis



Sep 25  
Lying in State  
of Supreme  
Court Justice  
Ruth Bader Ginsburg



### Mid-March Through the End of the Fiscal Year

Temporary Closure of Capitol Campus Due to COVID-19 Pandemic

SEPTEMBER 30, 2020 END OF FISCAL YEAR



The AOC is responsible for the stewardship of heritage assets located throughout the Capitol campus. Above, a member of the AOC's Senate upholstery team replaces the decorative fabric of an antique chair.

### Supreme Court Building and Grounds

The Supreme Court Building and Grounds jurisdiction operates and maintains the Supreme Court of the United States and the Thurgood Marshall Federal Judiciary Building. As per legislation, the AOC is responsible for the structural and mechanical care and maintenance of the Supreme Court of the United States and its grounds. Appropriations for this purpose are provided to the AOC in the judiciary's annual appropriation bill. The AOC performs its responsibilities for the operation and care of the Supreme Court of the United States under the direction of the Marshal of the Supreme Court. The AOC provides care and maintenance, minor construction and capital project support in the Thurgood Marshall Building to the Administrative Office of the U.S. Courts on a reimbursable basis. For more information: [www.aoc.gov/about-us/organizational-directory/supreme-court-buildings-grounds-jurisdiction](http://www.aoc.gov/about-us/organizational-directory/supreme-court-buildings-grounds-jurisdiction).

### *Did You Know?*

The U.S. Botanic Garden was named one of the 10 "Best Botanical Gardens in the United States" according to the USA Today's 2020 Readers' Choice Awards.

### U.S. Botanic Garden

The U.S. Botanic Garden (USBG) jurisdiction oversees the maintenance, operation and construction of all USBG facilities, including the Conservatory, the Regional Garden, Pollinator Garden, First Ladies Water Garden, Rose Garden and the Bartholdi Fountain and Gardens. The jurisdiction's

responsibilities also include the administration building and a plant production and support facility with 34 greenhouse bays, outdoor nurseries and areas for storage and maintenance. The USBG is the steward of a diverse, living and documented plant collection and provides educational programs, tours, exhibits and consultations, as well as youth training. As a leader in plant conservation efforts, the USBG was a founder of the Sustainable SITES Initiative (SITES<sup>SM</sup>) program to encourage sustainable landscaping. The executive director of the USBG reports directly to the Architect of the Capitol. The Architect of the Capitol serves as acting director of the USBG and reports on its operations to Congress. For more information: [www.aoc.gov/about-us/organizational-directory/botanic-garden-jurisdiction](http://www.aoc.gov/about-us/organizational-directory/botanic-garden-jurisdiction) or [www.usbg.gov](http://www.usbg.gov).

### U.S. Capitol Visitor Center

The U.S. Capitol Visitor Center (CVC) jurisdiction manages the U.S. Capitol Visitor Center. Completed in 2008, the facility serves as the main entrance for visitors to the U.S. Capitol Building. The facility offers a welcoming and educational atmosphere for visitors to learn about the unique characteristics of the House, the Senate and the legislative process, as well as the history and development of the architecture and art of the U.S. Capitol. It provides exhibits, a restaurant, two orientation theaters, a large auditorium and two gift shops to enhance the visitor experience. More than 25 million people from around the world have visited the CVC since its opening. For more information: [www.aoc.gov/about-us/organizational-directory/capitol-visitor-center-jurisdiction](http://www.aoc.gov/about-us/organizational-directory/capitol-visitor-center-jurisdiction) or [www.visitthecapitol.gov](http://www.visitthecapitol.gov).

In FY 2021, the AOC launched a reorganization to enhance efficiency, decision-making and service delivery, in order to improve accountability and transparency across the agency. The new organizational structure will be discussed in next year's report.

# ENTERPRISE RISK MANAGEMENT AT THE AOC

Strong risk management practices and internal controls help an entity run its operations efficiently and effectively, report reliable information about its operations and financial position, and comply with applicable laws and regulations. The *Federal Managers' Financial Integrity Act of 1982* (FMFIA) requires federal agencies to establish internal controls that provide reasonable assurance that agency objectives will be achieved. OMB Circular A-123 offers detailed guidance for management's responsibility for reporting and internal control.

While the guidance initially focused on internal control over financial reporting, OMB expanded the scope to consider both financial and operational issues. In FY 2017, OMB Circular A-123 was modified to include enterprise risk management in the FMFIA annual letter of assurance. OMB Circular A-123 provides guidance to federal managers on how to effectively manage risks. The guidance requires federal agencies to provide reasonable assurance that it has met the three internal control objectives: effectiveness and efficiency of operations; reliability of reporting for internal and external use; compliance with applicable laws and regulations.

At the AOC, senior leaders work with the risk management officer in establishing a governance structure to effectively implement a robust process of risk management and internal control and to develop an enterprise risk profile. Successful implementation requires a transparent culture that encourages individuals to openly communicate about potential risks and other concerns. The AOC determined the best approach to incorporate risk management into the agency's long-standing risk-based business architecture, and developed a specific enterprise risk management implementation plan for OMB Circular A-123 that incorporated a governance approach under a risk management officer.

In FY 2020, the Integrated Risk Management Division (IRMD) continued to mature its implementation approach and ERM processes. During the risk assessment process, IRMD introduced an enterprise wide survey to assist with the identification of the top enterprise level risks.

The risk management officer meets regularly with senior leaders to discuss top risks that may impact the achievement of the AOC's strategic objectives. Specifically, senior leaders are informed of risks to critical programs, systems, projects and priorities, including response strategies. The IRMD presents at the agency's management meetings, which bring together senior leaders from each jurisdiction and central offices on a regular basis to share best practices and discuss risks. IRMD continues to work with senior leaders to monitor and annually update the AOC's risk profile.

## SUMMARY OF KEY RISKS

The AOC conducted a series of risk assessment and prioritization strategy sessions to determine and rank the agency's enterprise level risks. In these senior leadership sessions, the AOC identified and prioritized 12 enterprise level risks. The AOC prioritized the risks based on the likelihood

of realization and the potential impact to mission capability.<sup>5</sup> Based on this process, the AOC identified four priority risks: deferred maintenance and capital renewal, funding for information technology operations, cybersecurity and construction project management. The AOC is developing risk mitigation plans for these four enterprise-level risks.

### Risk: Deferred Maintenance and Capital Renewal

**Risk statement:** If the AOC is not resourced to adequately address its deferred maintenance and capital renewal backlog, then continued deferral will increase the effort, time and costs required to preserve buildings and heritage assets and/or prevent system failures.

**Strategic goal alignment:** Maintain Awe-Inspiring Facilities

### Risk: Funding for Information Technology Operations

**Risk statement:** If the AOC does not receive adequate resources for information technology (IT), then the IT services and functions that the agency relies upon to meet its mission may be at risk of failure and the agency may not have the capacity to adequately support critical areas. This risk could also limit system growth opportunities and prevent the agency from meeting key staffing requirements necessary to maintain IT services and functions.

**Strategic goal alignment:** Operate as One Team, Dedicated to One Mission

### Risk: Cybersecurity

**Risk statement:** If the AOC Information Technology Division does not receive adequate resources to provide the systems and personnel oversight of a sound cybersecurity program, and provide more effective control of the decentralized IT components, the AOC is at an increased risk from external and internal cyberthreats that could result in a disruption to the AOC's operations.

**Strategic goal alignment:** Operate as One Team, Dedicated to One Mission

### Risk: Construction Project Management

**Risk statement:** If construction projects are not effectively planned, communicated and executed within the approved parameters (i.e., cost, schedule, delivered safely, high quality and with minimal client disruption), then the AOC risks damage to effective project execution and stakeholder relationships. The construction projects include contractor-executed projects, Construction Division projects and jurisdictional in-house projects.

**Strategic goal alignment:** Maintain Awe-Inspiring Facilities

<sup>5</sup> The AOC defines risk as the effect of uncertainty on objectives, either positive or negative. The AOC's management challenges are the most serious management and performance issues facing the agency based on an analysis of the long-term operational, economic and demographic landscape. While there may be overlap between the agency's risks and management challenges (which are discussed in detail in this section's Forward-Looking Information and the Other Information section's Inspector General's Statement of Management Opportunities and Performance Challenges), they are not identical.



*Above* The AOC's Strategic Plan lays out the agency's strategic goals and sets the direction for performance management for the FY 2017–FY 2021 period.

## PERFORMANCE HIGHLIGHTS

### Strategic Planning Framework

The AOC Strategic Plan 2017-2021 positions the agency to meet the expanding and evolving demands of its mission during a time of growth in facilities, visitors and capital construction. The Strategic Plan aligns with the guidance contained in OMB Circular A-11, Part 6 and is publicly available at: [www.aoc.gov/what-we-do/publications](http://www.aoc.gov/what-we-do/publications).

### Strategic Goals and Objectives

The Strategic Plan is structured around four strategic goals and eight objectives, as well as the specific strategies to accomplish them and key performance indicators (KPI) that aid in their measurement.

- **Strategic Goal 1: Maintain Awe-Inspiring Facilities** — This goal supports the agency's stewardship of the structures and grounds of the Capitol campus. This goal ensures visitors to the Capitol campus and those who work within its facilities experience the grandeur of these historic treasures at their very best.
- **Strategic Goal 2: Provide Extraordinary Services** — This goal supports the prestigious occupants of our facilities in their critical mission to govern our country. In addition, the AOC serves visitors from across the nation and around the world in discovering and celebrating the symbolic core of American democracy on Capitol Hill.

- **Strategic Goal 3: Foster an Innovative and Empowered Workforce** — This goal supports agency staff members as they exercise greater responsibility for their performance and proactively apply informed judgments and innovations in identifying results-oriented solutions.
- **Strategic Goal 4: Operate as One Team, Dedicated to One Mission** — This goal supports and encourages collaboration among the AOC's wide ranging functions, jurisdictions and organizations.

The first two goals, Maintain Awe-Inspiring Facilities and Provide Extraordinary Services, are externally focused, guiding efforts related to facilities maintenance, operational support, project delivery, heritage asset preservation and client and visitor services. The next two goals, Foster an Innovative and Empowered Workforce and Operate as One Team, Dedicated to One Mission, are internally focused, concentrating on promoting employee engagement and accountability, as well as a culture of innovation, collaboration and safety. **Table 4** identifies the relationship between the AOC's four strategic goals and the eight strategic objectives that support them.

In FY 2020, the AOC developed an enterprise-level Performance Plan that defines strategic initiatives that boost the agency's ability to accomplish its strategic goals and objectives. The plan also identifies the KPIs that assess progress toward the performance outcomes in the Strategic Plan. The Performance Plan covers two fiscal years and is



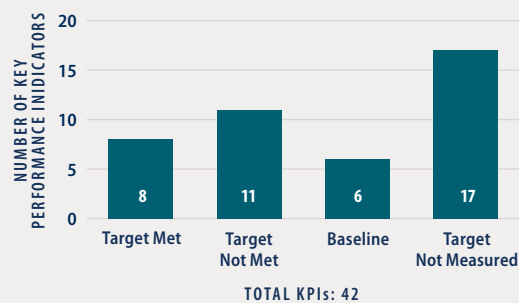
**Table 4**  
Strategic Goals and Objectives

	STRATEGIC GOALS	STRATEGIC OBJECTIVES
PROGRAM-ORIENTED GOALS	<b>1. MAINTAIN AWE-INSPIRING FACILITIES</b>	<ol style="list-style-type: none"> <li>1. Reliably deliver high-quality capital projects</li> <li>2. Preserve, maintain and operate facilities and cultural and natural resources at the highest quality levels</li> </ol>
	<b>2. PROVIDE EXTRAORDINARY SERVICES</b>	<ol style="list-style-type: none"> <li>1. Demonstrate our expertise while exhibiting responsiveness, ownership and courtesy to all internal and external customers</li> </ol>
LONG-TERM SUPPORT GOALS	<b>3. FOSTER AN INNOVATIVE AND EMPOWERED WORKFORCE</b>	<ol style="list-style-type: none"> <li>1. Strengthen employee performance through improved development and accountability practices</li> <li>2. Cultivate high employee engagement in the workplace</li> <li>3. Provide for the security and safety of every AOC employee</li> </ol>
	<b>4. OPERATE AS ONE TEAM, DEDICATED TO ONE MISSION</b>	<ol style="list-style-type: none"> <li>1. Support the success of others by prioritizing the AOC's mission, values, vision and goals ahead of the interests of any individual, work group or business unit</li> <li>2. Strategically plan, allocate and manage resources throughout the AOC</li> </ol>

updated annually. The FY 2020-2021 Performance Plan identifies 42 KPIs. Indicators measure performance against an established target or establish a baseline of performance, as required under the *GPRAMA Modernization Act of 2010* (GPRAMA). When available, up to five years of historic data are provided for trend comparison. **Table 5** indicates the number of objectives and KPIs associated with each goal.

In FY 2020, the AOC met the performance targets for eight KPIs and did not meet the target for 11 of the KPIs that had a performance target for this fiscal year (see **Figure 9**). The AOC established a baseline level of performance for six new indicators and did not measure 17 KPIs due to activities placed on hold due to the COVID-19 pandemic. As part of

**Figure 9**  
Key Performance Indicator Results



ongoing efforts to strengthen and improve its performance management structure, the AOC began evaluating changes to its KPIs in FY 2020. For more detail, each strategic objective's future strategies and KPIs are provided in **Section II: Performance Information**.

#### Data Validation and Verification

In accordance with the GPRAMA, the AOC strives to ensure the completeness, reliability and quality of all performance measurement data. The agency has the mechanisms in place to validate and verify the accuracy of information collected and reported. Validation and verification of performance data supports the accuracy and reliability of this information, reduces the risk of inaccurate data and provides a sufficient level of confidence that the information is credible. At the AOC, these efforts include internal agency assessments that address standards and

**Table 5**  
Strategic Objectives and Key Performance Indicators by Strategic Goal

STRATEGIC GOAL	STRATEGIC OBJECTIVES	KEY PERFORMANCE INDICATORS
Maintain Awe-Inspiring Facilities	2	7
Provide Extraordinary Services	1	4
Foster an Innovative and Empowered Workforce	3	23
Operate as One Team, Dedicated to One Mission	2	8
<b>Total</b>	<b>8</b>	<b>42</b>

procedures, data entry and transfer, data integrity, data quality, data limitations and oversight.

The assessments often occur in the development stages of dashboards and management reports. Subject matter experts and agency executives regularly conduct performance data meetings. These meetings provide an opportunity to put information in the hands of many agency managers. This shared knowledge allows the agency to validate and verify the quality and reliability of its performance data and identify possible discrepancies for resolution.

### High-Level Key Performance Indicators

The high-level KPIs are a subset of those monitored under the Strategic Plan and represent the agency's most critical performance indicators. Each high-level KPI displays the current year performance target and results, as well as applicable prior year results for comparison. The indicators, displayed in **Tables 6** through **9**, are organized by strategic goal. The performance summary includes narrative highlights that describe major program and project results for each strategic goal.

**Section II: Performance Information** provides a complete discussion of the AOC's data validation and verification processes, and performance results.



In FY 2020, the AOC developed an enterprise-level Performance Plan that defines a set of initiatives to improve the agency's ability to accomplish its four strategic goals and eight strategic objectives.

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The Thurgood Marshall Federal Judiciary Building is undergoing a multiyear effort to repair the building's exterior façade. This project falls under the AOC's strategic goal to Maintain Awe-Inspiring Facilities and addresses the agency's core facilities operations, stewardship, capital project delivery and sustainability programs.

#### STRATEGIC GOAL 1:

### MAINTAIN AWE-INSPIRING FACILITIES

The AOC's strategic goal to Maintain Awe-Inspiring Facilities focuses the agency on providing outstanding stewardship for the assets entrusted to its care, as well as ensuring a safe, healthy and secure environment through the efficient use of resources, integrated facility planning and sustainable practices. This strategic goal addresses the AOC's core facilities maintenance, stewardship and sustainability responsibilities. As shown in **Table 6**, there are two strategic objectives, two strategies and two high-level KPIs associated with this strategic goal. These high-level KPIs track the sustainability and facility conditions of major buildings on the Capitol campus. The agency did not reach its targeted performance for either high-level KPI. For more detail on the indicator results and strategy outcomes, see **Section II: Performance Information**.

In addition, the following AOC accomplishments align with this strategic goal:

#### Capital Project Delivery

**Cannon Renewal Project:** The AOC continued work on Phase 2 (Independence Avenue, SE) of the Cannon Renewal Project. A unique aspect of this project is that most of the building remains open to members and committees throughout the renewal. Phase 2 of the

comprehensive facility renewal involved system upgrades and demolition, abatement, and renovation work in 32 member suites, one hearing room, one building entrance, the basement and a new fifth-floor interior space. Work also included the exterior façade restoration, including 34 Doric columns. To improve project management, the AOC introduced a robust contract change order process to minimize time delays and the associated costs. Despite unforeseen structural conditions that led to extensive additional restoration, the agency kept the project on track and within budget. The project team also experienced enhanced stakeholder coordination for the Phase 2 delivery, which facilitated an increase in collaboration and communication of construction activities.

**Stone Preservation Program:** Despite COVID-19 restrictions, the AOC continued an ambitious program to preserve the deteriorating stone and metal features on many of its most treasured assets, including the U.S. Capitol Building, Thurgood Marshall Federal Judiciary Building and Russell Senate Office Building. These projects are critical for the preservation of the exterior stonework of these facilities after decades of deterioration. As a continuation of the stone restoration program at the Supreme Court of the United States, the AOC initiated work on the exterior terraces.

**Table 6**  
Maintain Awe-Inspiring Facilities Strategic Goal “At a Glance”

<b>STRATEGIC OBJECTIVES</b>	<ol style="list-style-type: none"> <li>1. Reliably deliver high-quality capital projects</li> <li>2. Preserve, maintain and operate facilities and cultural and natural resources at the highest quality levels</li> </ol>						
<b>STRATEGIES</b>	<ol style="list-style-type: none"> <li>1. Identify, analyze and strengthen critical management processes, resources and assignment of responsibilities for successful Capital Improvement Program project delivery</li> <li>2. Research, analyze and select the most appropriate industry standards, desired levels of performance and associated implementation plans for achieving desired levels of performance for each of the AOC’s key operational functions</li> </ol>						
<b>HIGH-LEVEL KEY PERFORMANCE INDICATORS</b>	<b>FY 2015</b>	<b>FY 2016</b>	<b>FY 2017</b>	<b>FY 2018</b>	<b>FY 2019</b>	<b>FY 2020 TARGET</b>	<b>FY 2020 RESULTS</b>
<b>Energy and Sustainability Targets.</b> Reduce energy intensity use, reduce potable water use, divert building occupancy waste, compost nonconstruction waste and divert construction and demolition debris.	N/A	N/A	4 of 5 Component Targets Met <b>Not Met</b>	4 of 5 Component Targets Met <b>Not Met</b>	4 of 5 Component Targets Met <b>Not Met</b>	5 of 5 Component Targets Met	4 of 5 Component Targets <b>Not Met</b>
<b>New! Facility Condition Index.</b> Reduce the percent of AOC major buildings in poor or fair condition.	53.6%	48.1%	48.1%	40.7%	44.4%	<44.4%	48.1% <b>Not Met</b>

See **Appendix D** for a summary of major stone repair and preservation projects.

**U.S. Capitol Building Exterior Stone and Metal Preservation:** The AOC completed work on Phase 2 of this project, which was designed to preserve and restore the building’s deteriorating marble façade and architectural metals. Phase 2 focused on cleaning, pointing, repairing and replacing stone on the Capitol’s House Extension, similar to the Phase 1 work at the Senate Extension. The AOC also completed a close-range stone survey at the West Front to update the scope of repair in preparation for Phase 3. The recent survey will minimize the cost exposure for any changed conditions to the West Front stone.

**Senate Underground Garage and Landscape Restoration:** The AOC continued progress on the Senate Underground Garage and Landscape Restoration project to renovate the parking facility and restore the fountains, pool, plaza and landscaping atop the garage. Over the past year, the AOC achieved several major milestones, including excavating Delaware Avenue, waterproofing the pedestrian tunnel underneath the street, reopening Delaware Avenue to vehicular traffic and dismantling and storing the majority of the stonework. Work continues on waterproofing the underground garage and cleaning and resetting the site’s stonework.

**House of Representatives Child Care Center:** The AOC completed work on the House of Representatives Child Care Center expansion and relocation project. Following last year’s completion of the East Wing, this project phase involved construction in the O’Neill House Office Building’s West Wing. The AOC also completed construction on the

west playground, which allowed the child care center to open in July 2020.

**Thomas Jefferson Building Roof Replacement:** The AOC completed a major roof replacement over the Library of Congress Rare Books & Special Collections Reading Room on time and under budget. This important work addressed deficiencies in the existing copper roof that had allowed water to infiltrate the Library’s collections storage space. For more information, see **Capitol Highlights: Thomas Jefferson Building Roof Replacement**.

**Refrigeration Plant Revitalization Program:** The AOC installed a 5,000-ton chiller as part of its efforts to revitalize the Refrigeration Plant. The new chiller is an energy efficient replacement that provides improved reliability. In addition, the AOC completed repairs for two cooling towers that allow for expanded use of the cooling system and provide additional energy savings.

*Did You Know?*

The AOC continued the redesign and renovation of the U.S. Capitol Visitor Center’s 16,000 square foot Exhibition Hall in FY 2020. This year’s work included design, lighting and content updates to achieve a more educational and interactive environment. Exhibition Hall is scheduled to reopen in FY 2022.

**Implemented Responsibility Assignment System:**

The AOC completed development and implementation of responsible, accountable, consulted and informed (RACI) matrices — systems used to assign construction project tasks, decisions and milestones — to maximize communication and efficiency. The system clarifies the roles and responsibilities of all project members at all stages of a project.

**Baseline Security Standards for Critical Projects:**

The AOC made significant progress toward establishing baseline security standards for construction projects and procedures to ensure the safety and security of the congressional community. In collaboration with the U.S. Capitol Police, the AOC formed working groups to improve workflow for construction projects throughout the Capitol campus. The working groups participated in feedback sessions that provided recommendations for standardizing design approaches, implementing more efficient procedures and improving safety, coordination and communication. The working groups made recommendations to a leadership team of senior staff, which resulted in increased coordination and stronger relationships with stakeholders for critical projects.

**Initiated New Project Management Technologies:**

The AOC completed a two-year pilot of a new project management information system, e-Builder, and will be proceeding with a full rollout to the AOC's project portfolio. The system allows the AOC to better manage construction projects across the Capitol campus. This fiscal year, the AOC initiated more than 30 projects in e-Builder

using a newly developed project initiation process and provided user training to more than 40 members of its staff. In addition, the agency further developed its use of a building information modeling technology, Bluebeam, and initiated a pilot in the Thomas Jefferson Building emergency lighting project.

**Preservation Projects and Initiatives**

**Senate Committee on Commerce, Science and Transportation Hearing Room Renovation:** The AOC transformed the Senate hearing room SR-253 of the Russell Building into a state-of-the-art workspace. The agency also prioritized historic preservation, with the goal of returning the space to its original architectural appearance. The renovation brought the hearing room into compliance with the *Americans with Disabilities Act* (ADA) and added advanced lighting and HVAC systems and a custom wood rostrum and dais. For more information, see **Capitol Highlights: Senate Committee Room Renovation**.

**Bartholdi Fountain Recoating Project:** While the U.S. Botanic Garden's Bartholdi Fountain was fully restored in 2011, the fountain's exterior had again deteriorated from harsh conditions and constant exposure to water. This fiscal year, the AOC performed a comprehensive cleaning of the fountain, removing the deteriorated paint down to the cast iron and applying a high-performance paint system. The project also included recoating the perimeter lampposts and restoring the fountain's glass lanterns.



*Above* The AOC recoated the Bartholdi Fountain, removing deteriorated paint down to the cast iron and applying three ultra-high-performance coatings, including a Teflon-like finishing coat. The project also included a cleaning of the perimeter lampposts and the sculpture's glass lanterns.



### *Capitol Highlights*

## GROUNDS MANAGEMENT PROGRAM FOR THE CAPITOL CAMPUS

The AOC is responsible for preserving and maintaining the historic landscape, decorative features and physical infrastructure across the Capitol campus. Spanning more than 570 acres, and including over 16 miles of sidewalks, driveways and irrigation systems, as well as some 4,600 trees, the grounds require constant maintenance and upkeep. To build an industry-leading program that preserves its historic landscapes, the AOC launched a Grounds Management Program to provide comprehensive landscape management solutions and integrate innovative approaches for maintaining and improving the Capitol campus.

In FY 2020, the Capitol Grounds and Arboretum jurisdiction enhanced the sustainable landscape practices across the campus. For example, native plant species, which are more tolerant of the local climate and foster native pollinators, were incorporated in several landscape areas. Additionally,

the AOC converted several existing turf science positions to “specialists” roles in the biological sciences, including turfgrass manager, urban forester and plant health care specialist (entomologist). Further efforts included the modernization of inefficient irrigation systems and a program to reduce stormwater runoff through green roof projects. The AOC also continued to integrate utility upgrades with landscape improvements and build specialized pest management programs.

To build an industry leading program, the AOC is combining the efforts of landscape professionals from across the agency to exchange ideas and overcome challenges. The AOC has also communicated with professional organizations to identify benchmarks to assess various aspects of grounds management. These benchmarks will function as a planning tool for appropriately maintaining the grounds across the Capitol campus.

#### **U.S. Capitol Grounds Landscape Elements Restoration:**

The AOC continued a significant maintenance and preservation program of the Olmsted-era lanterns and fountains across the U.S. Capitol Grounds. This year’s work included cleaning and recoating the two bronze East Plaza fountains and restoring four bronze light fixtures. The fixtures were restored to the original finish and the electrical portions modified to approximate the original configuration with new wiring and energy efficient LED lamps. The AOC will restore 10 additional fixtures in FY 2021. For additional agency conservation efforts, see **Capitol Highlights: Heritage Asset Conservation.**

#### **Facilities Maintenance**

**Building and Landscape Preservation:** The AOC prepared building preservation guides, exterior masonry and envelope surveys, paint analyses and cultural landscape reports to provide agency staff with information to make decisions regarding preservation treatments. Recent examples include: cultural landscape report (Senate office buildings); exterior masonry and envelope investigation (Ford House Office Building); paint analysis for Senate committee rooms (three rooms in the Russell and Dirksen Senate office buildings); and paint analysis for the Memorial Stairs and Hall of the U.S. Capitol Building.

**Capitol Campus Studies:** The AOC engaged a panel of industry subject matter experts to conduct a study on

future renewal strategies for the House office buildings. In addition, the AOC initiated a transportation study focused on traffic flow and safety improvements for Capitol campus visitors and staff across multiple modes of transit.

### *Did You Know?*

Frederick Law Olmsted, the father of American landscape architecture, created the grand design for the U.S. Capitol Grounds. Between 1874 and 1892, Olmsted served as the first landscape architect of the U.S. Capitol.

#### Facilities Operations (Including Sustainability and Energy)

**Improved Stormwater Management:** The AOC implemented a new policy for managing stormwater retention credits, including a stormwater credit certification through the District of Columbia's Department of Energy and Environment for the green roofs on the Dirksen Senate Office Building and the O'Neill House Office Building, as well as for the Bartholdi Gardens Improvements project. In addition, the USBG installed an environmental monitoring system on the new green roof of the Conservatory and the AOC installed sustainable landscape plantings using heat-tolerant native species in several areas throughout the Capitol campus to contribute to the agency's stormwater management efforts. To improve stormwater management at the Capitol Power Plant parking lot and the previously demolished East Refrigeration Plant cooling towers, the AOC began installing a comprehensive underground stormwater management system. Its components include oil/water separators, sand filters, detention basins and various erosion and sediment controls. The project will be completed in FY 2021.

**Energy Savings Performance Contract:** In FY 2020, the AOC awarded an energy savings performance contract (ESPC) to install energy efficient systems, lighting, HVAC enhancements and water conservation improvements throughout the Library of Congress. Upon completion, the project will reduce energy and water consumption in the Library Buildings by more than 22 percent.

#### Other

**Pandemic Planning and Response:** The AOC began COVID-19 preparations in January 2020 by tracking the developing situation and updating the agency's pandemic plan. The AOC's Safety, Fire and Environmental Programs team developed guidance documents, coordinated emergency response for cleaning, researched evolving developments, performed contact tracing to limit the potential virus spread, coordinated with the Office of Attending Physician and provided weekly updates to agency leadership. Operationally, the AOC mandated face coverings for employees who were unable to work remotely. Initiating rotating shifts and schedules also ensured that the AOC was able to maintain technical knowledge and expertise while



*Above* The AOC is responsible for facilities operations across the Capitol campus. In FY 2020, the AOC installed and transitioned to two new generators and an underground fuel storage tank as part of the Rayburn House Office Building and House Underground Garage Emergency Power Upgrade project.

managing on-site staff. The agency implemented enhanced cleaning protocols for all AOC-managed facilities and sanitation requirements for agency tools and vehicles.

**Accessibility Compliance Findings Closed:** The AOC closed 38 Office of Congressional Workplace Rights (OCWR) compliance findings in FY 2020 related to accessibility, fire and life safety protection, bringing the closed findings down to approximately 53 percent of the total. This is a result of increased stakeholder coordination and education on ADA requirements. The AOC also completed a weeklong ADA inspection with the OCWR for the U.S. Capitol Visitor Center, the House and Senate office buildings and the Library of Congress' facilities.

**Perimeter Security Element Repairs:** Many of the Capitol campus perimeter security vehicle barriers and kiosks have reached their intended lifespan. As a result, the AOC has put in place a long-term project for barrier and kiosk repairs to extend their useful lives. Services included repair and preventive maintenance tasks for perimeter security elements — such as bollards, walls, fencing and planters — and the replacement of vehicular barriers and kiosks.

**Safety Observation Training:** Several AOC jurisdictions participated in the Safety Observations and Reflections (SOAR) ver 2.0 training pilot that used tour routes and facilities on the Capitol campus. This exercise engaged staff and leadership in occupational health and safety awareness, teaching them to identify and reduce hazards in highly trafficked areas.

**Self-Inspection Improvements:** The AOC strives to continuously improve its safety program assessments. This year's inspections found insufficient staff training to be the cause for many findings. To address this, the agency is developing specialized training to raise awareness of what actions or inactions can lead to safety hazards. For more information, see **Capitol Highlights: Self-Inspections Improve Workplace Safety.**



*Above* The U.S. Botanic Garden provides free programs, exhibitions, videos and activities for the general public. This year's holiday exhibition, Season's Greenings: America's Gardens, featured model recreations of conservatories, fountains and sculptures from around the United States, all made from plants and natural materials.

## STRATEGIC GOAL 2

### PROVIDE EXTRAORDINARY SERVICES

The AOC's strategic goal to Provide Extraordinary Services is intended to ensure the proactive delivery of professional and integrated services that exceed client and visitor expectations. This goal addresses the AOC's core function as a support organization to Congress and the Supreme Court, as well as a provider of visitor services for the public. As seen in **Table 7**, there is one strategic objective, two strategies and two high-level KPIs associated with this goal. The agency reached its targeted performance for both KPIs in FY 2020. For an in-depth discussion of the indicator results and strategy outcomes, see **Section II: Performance Information**.

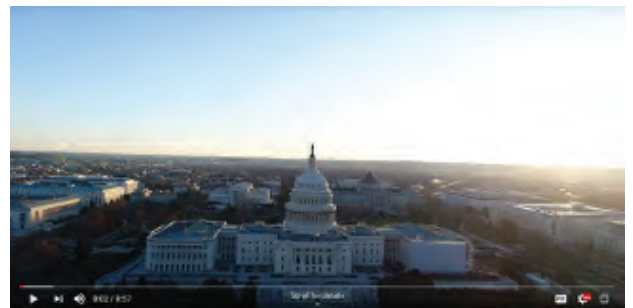
In addition to reaching its targeted performance goals, the AOC attained several other accomplishments aligned with the strategic goal, including:

#### Visitor Services

**Exhibitions:** The AOC offered a number of exemplary exhibitions and programs to educate and inspire the public. These included the annual "Discover the World of Orchids" exhibition at the U.S. Botanic Garden (USBG), which was produced in collaboration with Smithsonian Gardens, and a large-scale display about the U.S. Constitution and Bill of Rights at the U.S. Capitol Visitor Center (CVC). The USBG's popular holiday exhibition, featuring a theme of botanic gardens across America, drew more than 200,000 visitors. See

**Appendix E** for a detailed description of the major exhibitions held during FY 2020. A short feature on the USBG's 200th anniversary is on Page 22. Both the CVC and the USBG closed to visitors in March 2020 due to COVID-19 and remained closed through the remainder of the fiscal year.

**Special Events:** The AOC planned, designed and provided support for multiple special and high-profile events in the U.S. Capitol, including congressional ceremonies and the State of the Union address. These events also included coordination of the lying in state ceremonies for Representatives Elijah



A virtual U.S. Capitol tour is available at: [www.youtube.com/watch?v=qvqg1awXNzs](https://www.youtube.com/watch?v=qvqg1awXNzs)



**Table 7**  
Provide Extraordinary Services Strategic Goal "At a Glance"

<b>STRATEGIC OBJECTIVES</b>	1. Demonstrate our expertise while exhibiting responsiveness, ownership and courtesy to all internal and external customers						
<b>STRATEGIES</b>	1. Regularly administer, and refine as appropriate, customer satisfaction surveys for each major line of business in the AOC 2. Enhance the AOC's ability to understand and respond to customer needs and enhance the customer experience						
<b>HIGH-LEVEL KEY PERFORMANCE INDICATORS</b>	<b>FY 2015</b>	<b>FY 2016</b>	<b>FY 2017</b>	<b>FY 2018</b>	<b>FY 2019</b>	<b>FY 2020 TARGET</b>	<b>FY 2020 RESULTS</b>
<b>NEW! TripAdvisor Ratings.</b> Establish a baseline customer experience benchmark.	N/A	N/A	N/A	N/A	4.5	≥ 4.5	4.5 <b>Met</b>
<b>Customer Satisfaction with Projects.</b> Maintain high customer satisfaction with projects.	96.5% <b>Met</b>	95.4% <b>Met</b>	92.4% <b>Met</b>	94.7% <b>Met</b>	95.9% <b>Met</b>	≥ 90.0%	95.0% <b>Met</b>

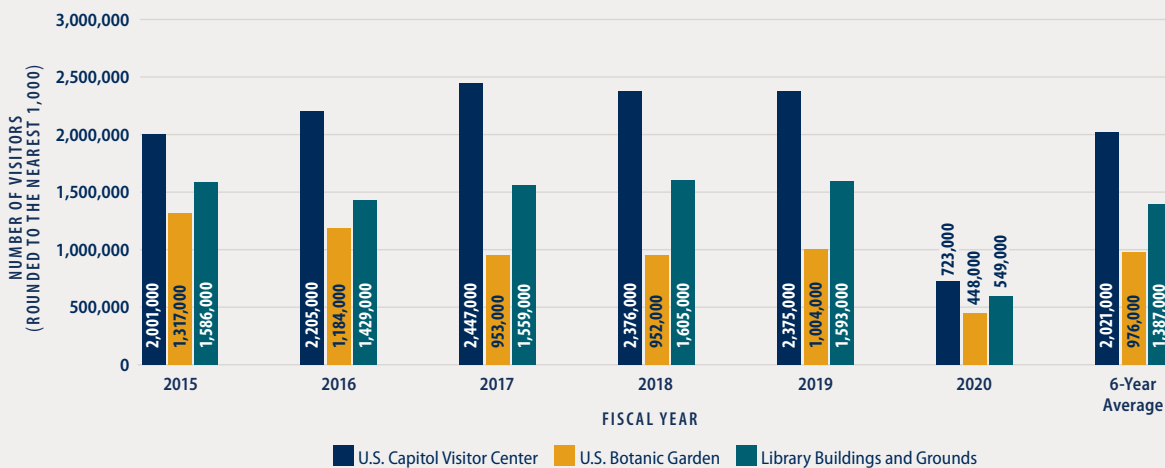
Cummings and John R. Lewis and Supreme Court Justice Ruth Bader Ginsburg, as well as wayfinding and line management for the articles of impeachment debate and vote in the U.S. House of Representatives and the impeachment trial in the U.S. Senate. See **Capitol Highlights: The AOC Supports the Lying in State Ceremonies for Three Historic Public Servants.**

**Capitol Campus Visitation:** Since opening in December 2008, the CVC has welcomed more than 25 million visitors from across the country and the globe. This fiscal year, before the campus temporarily closed to the public due to COVID-19, the agency's CVC, USBG and Library Buildings and Grounds jurisdictions welcomed

approximately 1.7 million visitors (as shown in **Figure 10**). See **Appendix F** for monthly and annual visitation data.

**Specialty Tours and Educational Programs:** Before COVID-19, the CVC continued to provide a full calendar of specialty tours for the visiting public. The "Freedom Fighters in the Capitol Collection" tour introduced visitors to four ordinary Americans whose actions changed the course of civil rights history, and the "Halls of the Senate" tour took visitors through the beautiful Brumidi Corridors. During the continued closure of Exhibition Hall for renovations, the CVC relocated models and archival holdings to locations that remained open to the public, offered impromptu programs for visitors and developed a nine-minute general audience

**Figure 10**  
Capitol Campus Visitation From FY 2015 Through FY 2020



U.S. Capitol video tour. The USBG offered several innovative programs, including the new sensory-friendly program, STOP! Smell and Touch Our Plants Tour, for visitors with vision impairment. The USBG also invited local families in the sensory-friendly program to work with horticulture specialists in creating the orchid exhibition and the Patrick Dougherty sculpture, O Say Can You See. In response to COVID-19, the USBG and CVC made educational resources and program materials available online whenever possible.

**Premiered Podcast Series:** The CVC premiered a podcast series, “Shaping History: Women in Capitol Art,” commemorating the centennial celebration of the 19th Amendment. This podcast series brings together curators, historians, artists, eyewitnesses and descendants of honored subjects, providing insight to enhance every listener’s Capitol experience.

### *Did You Know?*

In November 2019, AOC leadership traveled to Dublin, Ireland for the International Network of Parliamentary Properties. This annual meeting is an international forum for government agencies to share information about managing and operating their historic and important properties. Through this community, the AOC engages in innovative management strategies and improves its best practices.

#### Client/Tenant Services

**Inauguration Planning:** In preparation for the January 2021 presidential inauguration, the AOC completed procurement actions for the inaugural stands construction, sound system, chairs and fencing. The inauguration, to be held on the U.S. Capitol’s West Front, is the highest priority project for the AOC and is being coordinated with the Joint Congressional Committee on Inaugural Ceremonies.

**COVID-19 Pandemic Management:** The AOC deployed numerous COVID-19 preventive measures to maintain government operations based on guidance from the Office of Attending Physician, the Centers for Disease Control and Prevention and the Food and Drug Administration. The agency provided immediate support to the members of Congress, including personal protective equipment and cleaning supplies. The AOC also installed plexiglass screens in critical areas, developed new layouts for hearing rooms and conference spaces to align with social distancing recommendations and helped maintain the continuity of government by transforming the Congressional Auditorium to support the work of Congress. During these efforts, the AOC maintained a base of on-site staff supported by employees connected via enhanced telework and other



### *Capitol Highlights*

## 200th ANNIVERSARY OF THE U.S. BOTANIC GARDEN

The USBG celebrated its 200th anniversary in FY 2020. The major bicentennial exhibition, “The U.S. Botanic Garden at 200: Deeply Rooted, Branching Outward,” opened in February 2020 and featured historic stereoscopic images of the USBG, interactive children’s programming that evoked 19th-century botanical exploration and a life-size bronze sculpture of the USBG’s celebrated corpse flower.

The USBG hosted a historic collaboration with Thomas Jefferson’s Monticello in the outdoor Kitchen Garden, displaying plants that Jefferson and many other Founding Fathers grew in the era when the USBG was founded.

Despite temporarily closing to the public in March 2020 due to the COVID-19 pandemic, the USBG continued to share historic photos and stories on its website and social media platforms. Additionally, on-site programs transitioned to new online platforms to continue engaging the public.

The USBG began as a vision of George Washington and Thomas Jefferson. It was established by Congress in May 1820 when James Madison signed a bill granting 5 acres of land at the base of the U.S. Capitol for the Garden. Today, it is the oldest continuously operating public botanic garden in the country.

remote methods. The AOC also sequestered a dedicated group of operations and maintenance staff at the Capitol Power Plant between April and May 2020 to ensure continuous utility services.

**Suite Selection Tools:** In preparation for the election year moves of the 117th Congress, the AOC provided further upgrades to the Senate online suite selection tool. The web-based tool features 360-degree photos of offices to allow senators and staff to take virtual tours of office suites, compare suite attributes, make selections online and receive email notifications. The House suite selection tool will be moved online as well.

**Customer Experience (CX) Strategy and Roadmap:**

The AOC implemented its CX Strategy and Roadmap by forming a cross-organizational champions group to promote knowledge-sharing, developing customer service standards and training and identifying metrics to capture performance feedback and assess and improve service delivery and overall customer experience.

**U.S. Copyright Office Interim Storage Facility Lease:**

The AOC led an effort to lease, build out and equip a new 40,000 square foot, high-bay facility to provide environmentally controlled document storage for the U.S. Copyright Office. The Library of Congress transferred funds to the AOC to execute the initial five-year lease, oversee the build-out and building shell improvements, and design and construct custom shelving for the copyright deposits.

**Internal Customer Services**

**Implementation of Employee Case Management Solution:**

The AOC enhanced its management and reporting capabilities for employee and labor relations matters — specifically disciplinary actions and grievances — by implementing cloud-based case management software. The program replaces manual processes to securely manage personally identifiable information, tracks employee and labor relations cases, and reports on those cases to the AOC's leadership.



*Above* During October 2019, the AOC installed new stage flooring in the U.S. Capitol Visitor Center's Congressional Auditorium. During the COVID-19 pandemic, the Congressional Auditorium was used to support congressional hearings with proper social distancing requirements.



*Above* For a period of six weeks, a dedicated group of Capitol Power Plant operations and maintenance staff lived fully sequestered at the plant to ensure that utility services were not interrupted during the COVID-19 pandemic.

### STRATEGIC GOAL 3:

## FOSTER AN INNOVATIVE AND EMPOWERED WORKFORCE

The AOC's strategic goal to Foster an Innovative and Empowered Workforce is intended to cultivate an organizational culture that attracts, develops and retains exceptional employees. It is also intended to encourage innovation among its personnel and advance inclusive, staff-oriented programs and processes to accomplish the agency's mission. This goal encourages the organization to embrace change through accountability, outstanding leadership and continuous improvement. As seen in **Table 8**, there are three strategic objectives, nine strategies and two high-level KPIs associated with this goal. The agency reached its targeted performance for one high-level KPI. For an in-depth discussion of the indicator results and strategy outcomes, see **Section II: Performance Information**.

In addition to reaching its targeted performance goals, the following AOC accomplishments align with this strategic goal:

**COVID-19 Pandemic Operations Plan:** The AOC created a COVID-19 Pandemic Operations Plan to help employees continue to meet the agency mission, while also promoting health and safety. The plan is divided into two broad sections: "The New Normal," which details new protocols to help employees adapt to changing environments, and "Operations," which focuses on jurisdiction planning and facilities management.

**Specialized Training, Outreach and Promotional Opportunities:** The AOC developed a number of specialized training, outreach, internal promotion and mentorship programs to further professional development and service throughout the agency, allow employees to practice new industry techniques and ensure the AOC attracts and retains a quality workforce. Detail opportunities allowed employees from different jurisdictions to share knowledge and skills across the agency. New employee-led working groups at the USBG allowed agency staff to develop solutions for issues such as safety, workplace morale, environmental sustainability and racial equity. Additionally, following a Gallup survey created specifically for the CVC's employees, managers participated in two webinars to interpret the results and create action plans to enhance team engagement.

**Hiring Modifications for COVID-19:** The AOC's Human Capital Management Division worked in the initial days of the COVID-19 pandemic to modify the hiring and onboarding process to incorporate social distancing, while allowing the agency to fill critical vacancies. With the revamped processes in place, the agency was able to welcome new key personnel such as a new occupational health and safety specialist for the Senate Office Buildings jurisdiction.

**Table 8**  
Foster an Innovative and Empowered Workforce Strategic Goal "At a Glance"

<b>STRATEGIC OBJECTIVES</b>	<ol style="list-style-type: none"> <li>1. Strengthen employee performance through improved development and accountability practices</li> <li>2. Cultivate high employee engagement in the workplace</li> <li>3. Provide for the security and safety of every AOC employee</li> </ol>
<b>STRATEGIES</b>	<ol style="list-style-type: none"> <li>1. Provide training to employees in job-related knowledge, skills and abilities (including training to industry standards) and/or desired behaviors</li> <li>2. Provide supervisory training and coaching on effective employee performance management</li> <li>3. Incorporate AOC core values and customer service philosophy into the Performance Communication and Evaluation System (PCES)</li> <li>4. Deploy a learning management system that provides supervisors with the ability to track required training</li> <li>5. Reduce bureaucracy and promote innovation by enabling decision-making in support of service delivery at the lowest practical levels and/or streamlining processes to simplify and expedite service delivery</li> <li>6. Promote fairness in rewards and recognition by refining the system for tracking them, to inform analysis and improvement of the awards and recognition system</li> <li>7. Promote fairness in hiring and promotions by providing supervisor and employee training in hiring processes and providing feedback to all internal applicants not selected through standard recruiting processes</li> <li>8. Develop and deliver training and communication to improve awareness, preparedness and safety/security performance</li> <li>9. Routinely self-identify and self-correct risks to ensure a safe and environmentally compliant work environment</li> </ol>

HIGH-LEVEL KEY PERFORMANCE INDICATORS	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020 TARGET	FY 2020 RESULTS
<b>Employee Nonmandatory Training.</b> Provide training to employees in knowledge, skills and abilities applicable to their responsibilities.	N/A	N/A	N/A	N/A	36.4% <b>Met</b>	> 33.3%	30.0% <b>Not Met</b>
<b>Injuries and Illnesses Rate.</b> Reduce injuries and illnesses rate.	4.28% <b>Not Met</b>	3.14% <b>Met</b>	2.37% <b>Met</b>	2.33% <b>Met</b>	2.23% <b>Met</b>	< 2.23%	1.67% <b>Met</b>

**Working Group for Improved Weekend Coverage:** The AOC chartered a working group for the Library Buildings and Grounds jurisdiction aimed at developing revised work schedules. The results improved weekend staffing and work coverage for mechanics and addressed longstanding staffing concerns. By actively engaging a diverse cross section of the workforce, the AOC improved work-life balance and upgraded recruitment and retention goals.

**Self-Inspection Training:** As part of the AOC's Strategic Plan, the agency advanced its safety efforts through self-inspections, which allow jurisdictions to self-identify and self-correct risks to ensure a safe and environmentally compliant work area. The inspections also allow safety specialists to interact with employees, address concerns they might have and provide on-the-spot training. In FY 2020, the Capitol Building jurisdiction pioneered the self-inspection effort in collaboration with the AOC's Safety, Fire and Environmental Programs. See also **Capitol Highlights: Self-Inspections Improve Workplace Safety.**

**Collaboration with Professional Organizations:** The AOC continued efforts to ensure its workforce is trained and knowledgeable in current industry best practices. For instance, the Capitol Grounds and Arboretum jurisdiction increased its involvement in several industry professional organizations, including the Professional Grounds Management Society, Irrigation Association and American Public Gardens Association, which expand employee knowledge in specialized areas such as horticulture and equipment mechanics.

**Peer Organization Information Sharing:** The AOC continues to share information and collaborate on best business practices with peer organizations. In FY 2020, the agency participated in the International Network of Parliamentary Properties annual meeting in Dublin, Ireland to promote best practices in facility maintenance, facility operations and building renewal projects. Through such strategic partnerships, the AOC enhances its capacity to deliver value to its stakeholders.



*Above* U.S. Botanic Garden staff and volunteers hosted an open house event for the public at the USBG Production Facility Greenhouse. This event occurred prior to the COVID-19 pandemic and corresponding safety measures.

#### STRATEGIC GOAL 4

### OPERATE AS ONE TEAM, DEDICATED TO ONE MISSION

The AOC's strategic goal to Operate as One Team, Dedicated to One Mission promotes a culture of learning, collaboration and teamwork to enhance the agency's overall effectiveness. Cooperation — both throughout the agency and interjurisdictionally — allows the AOC to simultaneously reduce costs and improve efficiency. As seen in **Table 9**, there are two strategic objectives and three strategies associated with this goal. This goal includes one high-level KPI, which the agency met in FY 2020. For an in-depth discussion of the indicator results and strategy outcomes, see **Section II: Performance Information**.

In addition to reaching its targeted performance goals, the following AOC accomplishments align with this strategic goal:

**CVC Auditorium Transformed Into Hearing Room:**

In response to the COVID-19 pandemic, the AOC's Capitol Building and U.S. Capitol Visitor Center jurisdictions partnered to quickly transform the Congressional Auditorium into a multipurpose hearing room. The AOC converted the layout of the auditorium stage into a hearing room and added retractable seat barriers to accommodate social distancing.

**COVID-19 Safety and Sanitation Coordination:** The U.S. Capitol Police Buildings, Grounds and Security coordinated AOC efforts to address the COVID-19 pandemic. The jurisdiction developed acquisition procedures to procure, store and deliver \$16.5 million in safety and sanitation products

and services for the agency's response. This included enhanced cleaning services for the Capitol campus and specialized on-call cleaning for areas with confirmed or presumed exposure to the virus. The AOC also awarded a contract to provide six months of cleaning supplies for the jurisdictions and sourced plexiglass to build shields for reception areas and other high-contact locations in offices and restaurants.

**Integrated Capital Improvements at the Thurgood Marshall Federal Judiciary Building:**

The AOC simultaneously executed a number of capital improvement projects at the Thurgood Marshall Building to address the building automation system, elevator modernization, space realignments and exterior stone façade. This workload required a significant level of coordination, both intra-agency (between the Supreme Court Building and Grounds jurisdiction, Planning and Program Management, Acquisition and Materials Management Division and others) and interagency (with the Administrative Office of the U.S. Courts).

**Intern Safety Training Program:**

The AOC developed and adopted a comprehensive Intern Safety Training Program for the Library Buildings and Grounds jurisdiction, which is now available for adoption throughout the agency. The program includes custom training packages for the AOC's interns and their supervisors that provide policies and procedures to ensure a safe environment for all parties involved throughout the duration of all internships.

**Table 9**  
Operate as One Team, Dedicated to One Mission Strategic Goal "At a Glance"

<b>STRATEGIC OBJECTIVES</b>	<ol style="list-style-type: none"> <li>1. Support the success of others by prioritizing the AOC's mission, values, vision and goals ahead of the interests of any individual, work group or business unit</li> <li>2. Strategically plan, allocate and manage resources AOC-wide</li> </ol>
<b>STRATEGIES</b>	<ol style="list-style-type: none"> <li>1. Each business unit works to strengthen collaboration and its alignment to shared purpose with partners within and across business units by improving communication, clarifying roles and responsibilities and/or improving processes</li> <li>2. Each business unit establishes opportunities for its employees to work in or closely collaborate with the employees of other business units and for employees from other business units to work in or closely collaborate with its own business unit</li> <li>3. Determine the AOC's current and estimated future resource requirements; consider strategic approaches to resource planning, allocation and management; and fully implement solutions</li> </ol>

HIGH-LEVEL KEY PERFORMANCE INDICATOR	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020 TARGET	FY 2020 RESULTS
<b>Number of Days to Fill a Position.</b> Average number of days to fill a position from the initial request to the date the employee is on board (recruiting action/direct hire).	114 <b>Met</b>	128 <b>Met</b>	107 <b>Met</b>	108 <b>Met</b>	115 <b>Met</b>	< 150 Days	113 <b>Met</b>
	37 <b>Met</b>	36 <b>Met</b>	34 <b>Met</b>	36 <b>Met</b>	37 <b>Met</b>	< 60 Days	45 <b>Met</b>

## THE AOC'S STRATEGIC PLAN: LOOKING TOWARD THE FUTURE

This fiscal year, the AOC began work on Vision 2100, an institutional vision for the development of the Capitol campus over the next century. Soliciting innovative ideas and strategies from urban planning experts, futurists and many others, the AOC is developing Vision 2100 to help transform the Capitol campus into a world-class campus of the future, which reflects the government's role as an international leader in development, innovation and diplomacy. Vision 2100 also focuses on long-term critical operations to ensure that the AOC is prepared to meet the evolving requirements of Congress and the Supreme Court.

Vision 2100 will set broad, foundational goals for the next century on the Capitol campus, guiding the AOC's infrastructural and strategic decisions. It will serve as

the framework for all of the AOC's long- and short-term planning, informing everything from the Capitol campus master plans and five-year strategic plans, to smaller scale policy updates and jurisdictional goals. Vision 2100 will provide a path forward for both preservation and innovation on the Capitol campus and enable the AOC to move towards more proactive operations.

The AOC's leadership is beginning work with key stakeholders and outside experts to develop Vision 2100 early in FY 2021, with an expected release date by the fiscal year-end. As the steward of the U.S. Capitol Building and the surrounding campus, the AOC must be prepared to meet the future head-on. Vision 2100 will ensure that the agency meets that future with success.



The AOC is committed to providing accountability and transparency for its financial resources. In FY 2020, the AOC received a clean independent audit opinion for the 16th consecutive year.

## FINANCIAL HIGHLIGHTS

### Introduction

This section provides an analysis and overview of the AOC's financial statements that appear within **Section III: Financial Information** of this report. The principal financial statements, independently audited by Kearney & Company, include the Balance Sheets, Statements of Net Cost, Changes in Net Position and Budgetary Resources for the fiscal years ending September 30, 2020 and 2019. **Table 10** summarizes key data from the AOC's financial statements. The financial highlights include:

- Assets exceeded liabilities at the close of FY 2020 by \$3.1 billion, an increase of \$120 million (4 percent) over FY 2019. This change primarily resulted from an increase in general property, plant and equipment (PP&E) offset by a decrease in the fund balance with Treasury (FBWT).
- General property, plant and equipment (net of accumulated depreciation), the AOC's largest asset, totaled \$2.5 billion at the close of FY 2020, a \$200 million increase over FY 2019. This increase is primarily a result of capitalization costs from various Capitol campus construction projects.
- The agency's net cost of operations amounted to \$627 million, an \$18 million (3 percent) increase from the prior year. This increase resulted from costs associated with the COVID-19 pandemic response, along with payroll and inflationary increases.

- The AOC's financial activities resulted in a \$120 million positive change in net position from the prior year. Of this amount, unexpended appropriations decreased \$93 million and the cumulative results of operations rose \$213 million.

### Independent Financial Statements Audit

The AOC received an unmodified (clean) financial statements audit opinion for FY 2020 — the 16th consecutive year in which the agency received a clean audit opinion. An unmodified opinion provides reasonable assurance that the financial statements are free of material misstatement. Reasonable assurance, while not absolute, is nonetheless a high level of assurance. The audit also resulted in zero material weaknesses or significant deficiencies.

**Figure 11** shows the number of material weaknesses and significant deficiencies for each fiscal year that the AOC submitted its four principal financial statements for an audit. As the AOC's financial management processes transformed and matured, the average audit internal control findings dropped from 5.2 per year between FY 2005-FY 2010 to 1.0 per year between FY 2011-FY 2020. Although not rising to the level of a material weakness or significant deficiency, the FY 2020 audit identified control deficiencies related to the untimely de-obligation of unliquidated obligations, untimely review and analysis of service and subservice organizations, user access deficiencies for the core financial management system, Momentum®, payroll noncompliance and payroll

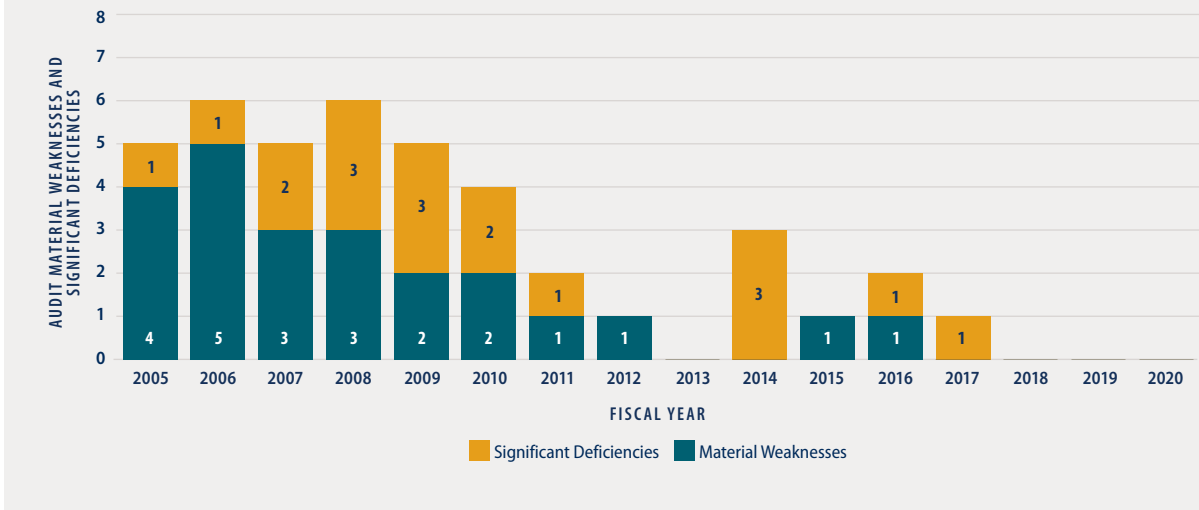


**Table 10**  
Summary Financial Statement Data (\$ in Thousands)

<b>BALANCE SHEET SUMMARY</b>	<b>FY 2020</b>	<b>FY 2019</b>	<b>PERCENT CHANGE</b>
Fund Balance with Treasury	\$1,014,778	\$1,094,152	(7%)
Investments	31,127	35,264	(12%)
General Property, Plant and Equipment, Net	2,450,456	2,250,783	9%
Accounts Receivable, Cash, Inventory and Other Assets	2,377	4,240	(44%)
<b>Total Assets</b>	<b>\$3,498,738</b>	<b>\$3,384,439</b>	<b>3%</b>
Debt Held by the Public	\$58,229	\$70,082	(17%)
Contingent and Environmental Liabilities	79,062	79,243	0%
Federal Employee Benefits	93,000	84,840	10%
Advances from Others	44,327	50,365	(12%)
Contract Holdbacks	27,254	14,442	89%
Accounts Payable, Capital Leases and Other Liabilities	101,859	110,482	(8%)
<b>Total Liabilities</b>	<b>\$403,731</b>	<b>\$409,454</b>	<b>(1%)</b>
Unexpended Appropriations	\$801,991	\$895,155	(10%)
Cumulative Result of Operations	2,293,016	2,079,830	10%
<b>Total Net Position</b>	<b>\$3,095,007</b>	<b>\$2,974,985</b>	<b>4%</b>
<b>Total Liabilities and Net Position</b>	<b>\$3,498,738</b>	<b>\$3,384,439</b>	<b>3%</b>
<b>STATEMENT OF NET COST SUMMARY</b>			
Gross Cost	\$714,005	\$678,618	5%
Less: Earned Revenue	(86,753)	(69,109)	26%
<b>Net Cost of Operations</b>	<b>\$627,252</b>	<b>\$609,509</b>	<b>3%</b>
<b>STATEMENT OF BUDGETARY RESOURCES SUMMARY</b>			
Unobligated Balance Brought Forward	\$642,614	\$694,922	(8%)
Appropriations*	728,531	749,803	(3%)
Spending Authority from Offsetting Collections	59,990	55,746	8%
Borrowing Authority	5,662	6,608	(14%)
<b>Total Budgetary Resources</b>	<b>\$1,436,797</b>	<b>\$1,507,079</b>	<b>(5%)</b>

\* Appropriations of \$728.5 million in FY 2020, as reported on the Statement of Budgetary Resources, includes direct appropriations of \$695.9 million, \$15.6 million in the Judiciary appropriation (administered by the AOC for the care of the Supreme Court of the United States and its grounds), \$25.0 million for COVID-19 response under the CARES Act and minor special funds receipts, less a House Office Building Fund transfer of \$8.0 million. In FY 2019, the AOC received \$733.7 million in direct appropriations, \$16.0 million in the Judiciary appropriation and minor special funds receipts.

**Figure 11**  
Audit Material Weaknesses and Significant Deficiencies



database patch management deficiencies. In FY 2021, the AOC will establish the corrective action plans to remediate these findings.

**Guide to the Financial Statements**

Federal government efforts to improve financial transparency and accountability led to the enactment of mandatory uniform accounting and reporting standards for executive branch agencies. Although as a legislative branch agency the AOC is not bound by these standards, the AOC complies with the spirit of the executive branch requirements as a best practice. Therefore, the AOC prepared its consolidated financial statements from accounting records in conformity with generally accepted accounting principles (GAAP). For federal entities, GAAP are the standards prescribed by the Federal Accounting Standards Advisory Board (FASAB). **Table 11** provides a summary of the AOC’s compliance with federal financial requirements. The following section provides a brief description of each financial statement, significant balances and their relevance to the AOC’s operations and major fluctuations. To facilitate analysis, the AOC has organized these financial highlights as follows:

- Financial Position Overview: Balance Sheet
- Operational Results: Statement of Net Cost
- Cumulative Overview: Statement of Changes in Net Position
- Combined Statement of Budgetary Resources
- Limitations of the Principal Financial Statements

**Financial Position Overview: Balance Sheet**

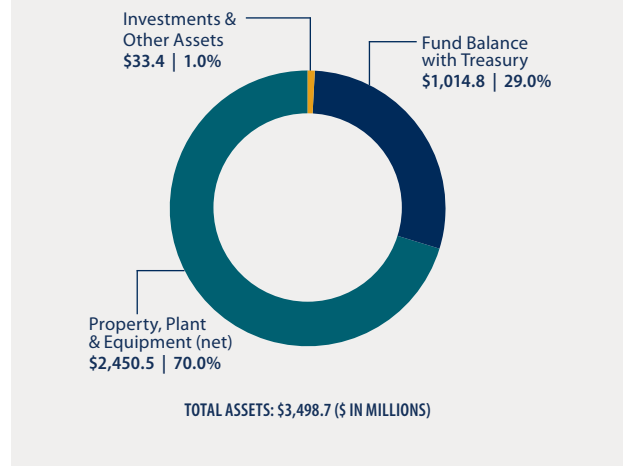
The Balance Sheet provides a snapshot of the AOC’s financial position at a fixed point in time. It displays the amounts of current and future economic benefits owned or

available (Assets), amounts owed (Liabilities) and residual amounts (Net Position) at the end of the fiscal year.

**Assets:** As of September 30, 2020, the AOC reported total assets of \$3.5 billion. This represents an increase of \$114 million (3 percent) over the FY 2019 total assets of \$3.4 billion. This change is primarily due to the \$200 million increase in PP&E and offset by the \$79 million decrease in FBWT. These two asset classes account for 99 percent of the agency’s total assets. **Figure 12** summarizes the total assets by major component at September 30, 2020.

PP&E is the AOC’s largest asset, representing 70 percent of total assets. PP&E, net of accumulated depreciation, was \$2.5 billion at fiscal year-end, a \$200 million increase from the FY 2019 balance. The increase in PP&E from the prior year is primarily due to the capitalization of construction projects,

**Figure 12**  
Summary of Total Assets as of September 30, 2020



**Table 11**  
AOC Financial Scorecard

REQUIREMENT OR INITIATIVE	MET?			REQUIREMENT OR INITIATIVE
	YES	NO	N/A	
<i>Government Management Reform Act of 1994</i>	✓			Unmodified audit opinion
<i>Federal Managers' Financial Integrity Act of 1982 (FMFIA) — Internal Controls (Section II) Financial Systems (Section IV)</i>	✓			Zero material weaknesses (Section II) Financial systems conform to Section IV requirements and no <i>Federal Information Security Modernization Act of 2014 (FISMA)</i> significant deficiencies identified
OMB Circular A-123, Appendix A	✓			Zero material weaknesses
OMB Circular A-136	✓			Meets reporting requirements, follows federal generally accepted accounting principles (GAAP)
<i>Federal Financial Management Improvement Act of 1996 (FFMIA)</i>	✓			Substantially complies with federal financial management system requirements
<i>Federal Information Security Modernization Act of 2014 (FISMA)</i>	✓			Substantially complies with FISMA requirements
<i>Anti-Deficiency Act</i>	✓			Zero violations
<i>Debt Collection Improvement Act</i>	✓			Employee debts referred to Treasury for collection
<i>Digital Accountability and Transparency Act (DATA Act)</i>			✓	As a legislative branch agency, the AOC is not required to comply with this Act
<i>Payment Integrity Information Act (PIAA)</i>			✓	As a legislative branch agency, the AOC is not required to comply with this Act
<i>Do Not Pay Initiative</i>	✓			Achieved through Treasury's Invoice Processing Platform
<i>Prompt Payment Act</i>			✓	As a legislative branch agency, the AOC is not required to comply with this Act — however, AOC policy is to pay its vendors within 30 days after receipt and acceptance of an invoice
<i>Fraud Reduction and Data Analytics Act of 2015</i>			✓	As a legislative branch agency, the AOC is not required to comply with this Act

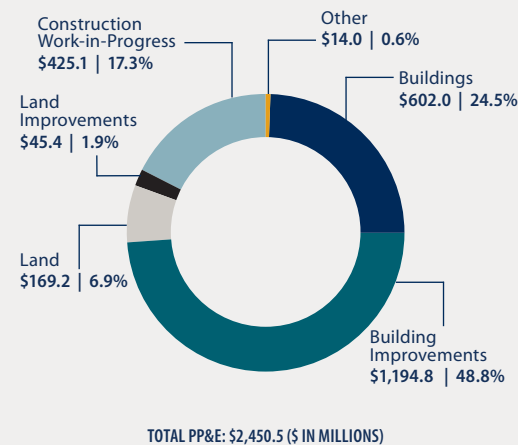
net of depreciation expense. Major completed capitalized improvements included Phase 2 of the U.S. Capitol Building Exterior Stone and Metal Preservation Project (\$31 million), House Office Buildings Child Care Center Expansion, West (\$17 million) and Emergency Power Upgrade (\$15 million), and other capital projects. **Figure 13** summarizes the PP&E balances by asset class at September 30, 2020.

The largest asset class of the AOC's PP&E balance is building improvements (\$1.2 billion, 49 percent of total PP&E). As the majority of the AOC's building portfolio is made up of historic buildings whose ages exceed the standard 40-year accounting useful life, most of the original costs of the buildings are fully depreciated and the remaining balance sheet value relates to more recent building improvements. This category is followed by buildings (\$602 million, 25 percent) and construction work-in-progress (\$425 million, 17 percent). In FY 2020, the largest construction work-in-progress projects included Phase 2 of the Cannon Renewal Project

(\$133 million), Phase 2 of the Senate Underground Garage and Landscape Restoration (\$44 million), the Capitol Power Plant's Refrigeration Plant Revitalization (\$30 million), the Rayburn Garage Interior Rehabilitation (\$25 million) and others.

The FBWT, at \$1.0 billion (29 percent), represents the next largest asset category. Its decrease from the prior fiscal year was primarily due to a decline in appropriations received in FY 2020 compared to FY 2019. During the current year, the AOC's disbursements also increased noticeably because of ongoing work on the Cannon Renewal Project, as well as COVID-19-related spending. Appropriated construction project funding immediately increases the FBWT balance while the related disbursements reduce the FBWT balance over the term of the projects. This causes the FBWT balance to initially spike and then decline as the construction program amounts are disbursed.

**Figure 13**  
Net PP&E by Asset Class as of  
September 30, 2020



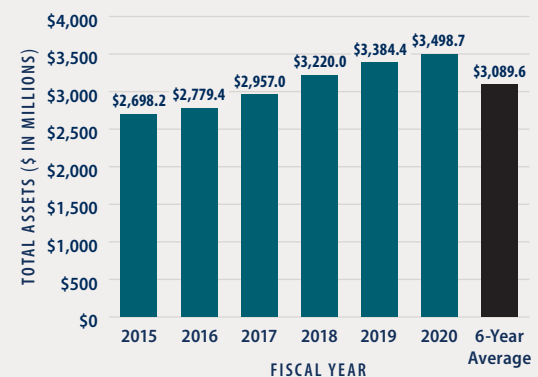
The remainder of the AOC's assets are comprised of investments, accounts receivable, retail inventory held for sale in the CVC Gift Shops and other assets. Investments are composed of two primary instruments: the Capitol Visitor Center Revolving Fund held with Treasury (\$20 million) and an escrow balance held with the public related to the Thurgood Marshall Federal Judiciary Building (\$11 million).<sup>6</sup> Total investments equaled \$31 million, representing a net decrease of \$4 million, or 12 percent from FY 2019. This decrease is primarily a result of decreased CVC Gift Shops sales and restaurant commissions as a result of the temporary closure of the CVC due to COVID-19, as well as spending related to the CVC Exhibition Hall renovation and upgrade, which is being fully funded out of the Capitol Visitor Center Revolving Fund. The escrow reserve fund supporting the Thurgood Marshall Building may be used for renovations to that facility.

The annual trend in the AOC's total assets between FY 2015 through FY 2020 is presented in **Figure 14**. As displayed, the total assets increased by \$801 million, or 30 percent, over this period. This increase is principally the result of a \$585 million (31 percent) increase in general PP&E, net of accumulated depreciation, and a \$223 million increase (28 percent) in the FBWT. The PP&E increase was a result of the capitalization of personal and real property over this period, including the U.S. Capitol Dome restoration, the Cannon Renewal Project (Phases 0 and 1),

<sup>6</sup> The AOC's investments include funds held by a trustee outside of the U.S. Department of Treasury as a result of financing the construction of the Thurgood Marshall Federal Judiciary Building. Congress did not appropriate funds for this building's construction but, instead, authorized the use of private financing to cover its cost. In 1989, the AOC entered into a development management agreement with Boston Properties for its design, development and construction. Shearson Lehman Hutton, Inc. and Kidder, Peabody, & Co., Inc., issued 30-year Serial Zero Coupon Certificates of Participation to finance the construction. Pursuant to a Trust Agreement, the proceeds were received by a trustee, The United States Trust Company of New York (now the Bank of New York Mellon). The Operating Reserve Fund is held in reserve to cover the future renovation needs of the building.

the cogeneration plant and multiple stone restoration and preservation projects. The largest single component of the FBWT increase is related to appropriations designated for the AOC's House Historic Buildings Revitalization Trust Fund. Since FY 2015, Congress enacted \$117 million in appropriations to support the revitalization of major historic buildings and assets of the U.S. House of Representatives, which the AOC is responsible for maintaining and preserving. Multiyear and no-year appropriations to the AOC's jurisdictions make up the remainder of this FBWT increase. The AOC uses multiyear and no-year appropriations to fund many of its long-term construction projects. The agency's FY 2016-FY 2020 enacted appropriations each included \$62 million for the restoration and renewal of the Cannon House Office Building.

**Figure 14**  
Trend in Total Assets



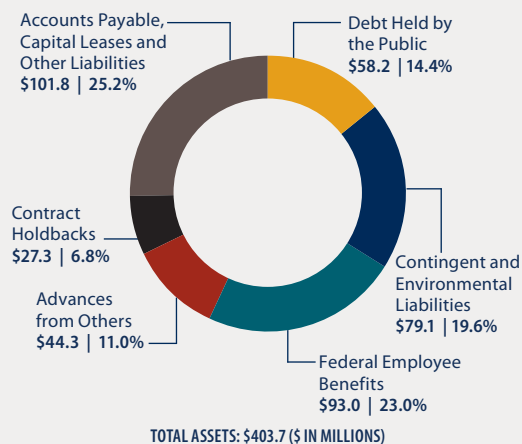
**Stewardship Assets:** The AOC maintains an important collection of heritage assets (including artwork, architectural features, reference and library materials, archival collections and living botanical assets) and stewardship land (including the U.S. Capitol Grounds). Heritage assets and stewardship land have historic or natural significance, are of cultural, educational or artistic importance, or have significant architectural characteristics. In accordance with the FASAB standards, the Balance Sheet does not include a dollar value for its heritage assets and stewardship land. Instead, since these assets are expected to be preserved indefinitely, they are generally treated as expenses in the Statement of Net Cost and carried at a zero dollar amount on the agency's Balance Sheet.<sup>7</sup> However, an exception applies for multiuse heritage assets — namely, heritage assets that are primarily used for general government operations. The AOC's multiuse heritage assets, identified in **Table 12**, are included on its Balance Sheet at its cost of acquisition or betterment.

<sup>7</sup> Federal entities are required to provide a description of major heritage asset categories, physical unit information at the end of the reporting period, physical units added or withdrawn during the year, a description of the methods of acquisition and withdrawal, and condition information. For further detail, see the Notes to the Financial Statements (Note 9) and Required Supplementary Information, both in **Section III: Financial Information**.

**Liabilities:** At the end of FY 2020, the AOC's total liabilities amounted to \$404 million, a \$6 million (1 percent) decrease from FY 2019. Major liability changes included a \$13 million (89 percent) increase in Contract Holdbacks due to increased holdbacks for a variety of Capitol campus construction projects, such as the Cannon Renewal Project Phase 2, Senate Underground Garage and Landscape Restoration, Rayburn Garage Interior Rehabilitation, U.S. Capitol Exterior Stone and Metal Preservation Project and others. In addition, federal employee benefits increased \$8 million (9 percent) due to increased payroll and annual leave accruals. These increases were offset by a \$12 million (17 percent) decline in debt held by the public due to required semiannual bond payments attributable to the Thurgood Marshall Building's construction, a \$9 million (15 percent) decline in debt related to the cogeneration project and a \$6 million (12 percent) decrease in advances from others due to liquidation of advances for interagency agreements.

**Figure 15** provides the total liabilities by component as of September 30, 2020. The AOC's largest component of total liabilities was Accounts Payable, Capital Leases and Other Liabilities (\$102 million, 25 percent). A "catch-all" category, this amount includes liabilities for other accrued liabilities related to capital projects (\$45 million), a cogeneration plant payment (\$49 million), accounts payable (\$4 million), capital leases (\$4 million) and others. This was followed by contingent and environmental liabilities (\$79 million or 20 percent) related to estimated asbestos-related cleanup costs and federal employee benefits, which accounted for \$93 million (23 percent) of the total liabilities. This latter amount included the workers' compensation liabilities associated with the *Federal Employees' Compensation Act* (FECA) (\$60 million) and accrued payroll and annual leave (\$33 million). Other major liabilities included debt held by the public (\$58 million or 14 percent) related to the 30-year Serial Zero Coupon Certificates of Participation to finance the Thurgood Marshall

**Figure 15**  
Summary of Total Liabilities as of  
September 30, 2020



**Table 12**  
Multiuse Heritage Assets at the AOC

FACILITY	AOC JURISDICTION
U.S. Capitol Building	Capitol Building
Main Boiler Building	Capitol Power Plant
East Refrigeration Plant	Capitol Power Plant
Old Generator Building	Capitol Power Plant
Cannon House Office Building	House Office Buildings
Longworth House Office Building	House Office Buildings
Rayburn House Office Building	House Office Buildings
East and West House Underground Garages	House Office Buildings
Ford House Office Building	House Office Buildings
Thomas Jefferson Building	Library Buildings and Grounds
John Adams Building	Library Buildings and Grounds
James Madison Memorial Building	Library Buildings and Grounds
Russell Senate Office Building	Senate Office Buildings
Dirksen Senate Office Building	Senate Office Buildings
Hart Senate Office Building	Senate Office Buildings
Senate Underground Garage	Senate Office Buildings
Daniel Webster Page Residence	Senate Office Buildings
U.S. Supreme Court Building	Supreme Court Building and Grounds
Thurgood Marshall Federal Judiciary Building	Supreme Court Building and Grounds
Conservatory	U.S. Botanic Garden
Administration Building	U.S. Botanic Garden

Building's construction and construction contract holdbacks (\$27 million or 7 percent).

The AOC presents the annual trend in total liabilities for FY 2015 through FY 2020 in **Figure 16**. Since FY 2015, the AOC's total liabilities have increased by \$75 million, or 23 percent. This change was primarily driven by the following account increases: a \$49 million increase in long-term debt to Washington Gas for the cogeneration plant (included under other liabilities), \$45 million in accrued construction liabilities, \$24 million in advances from others, \$17 million in contract holdbacks, \$16 million in contingent and environmental holdbacks and \$10 million in federal employee benefits. These increases were offset by declines in

the following liability balances: \$48 million in debt held by the public and \$35 million in accounts payable.

### Operational Results: Statement of Net Cost

The Statement of Net Cost presents the AOC’s total net cost of operations by responsibility segment (jurisdiction). Net cost includes total program costs less all earned revenues attributed to and permitted to be offset against those costs. The AOC’s net cost of operations in FY 2020 totaled \$627 million, an increase of \$18 million or 3 percent from FY 2019. The increase in net costs was a result of increased operational and program costs, greater in-house personnel costs for project and contract management, mandatory cost-of-living payroll increases, higher nonpay (e.g., inflationary and utility rate) costs, enhanced support for security services and capital projects and the costs associated with the COVID-19 pandemic response. The trend in the net cost of operations is displayed in **Figure 17**.

A comparison of the AOC’s total net cost by responsibility segment for FY 2020 and FY 2019 is displayed in **Figure 18**. Significant increases, year over year, included:

- **Capital Construction and Operations:** Net costs increased by \$43 million (42 percent) due to additional personnel compensation and benefits for centralized positions supporting project design and development, construction oversight, project and contract management, information technology, emergency response and safety inspections. Net costs also increased due to costs of the agency’s COVID-19 response (see **COVID-19 Financial Impact** on Page 41), cybersecurity improvements and inflationary adjustments for payroll and nonpay items.
- **U.S. Capitol Visitor Center:** Net costs increased by \$7 million (31 percent) due to non-capitalizable costs associated with the CVC Exhibition Hall renovation, new employees to manage the Gift Shops’ e-commerce site and the associated retail inventory, improved information technology resources, a redesigned website and inflationary costs for payroll and nonpayroll items.

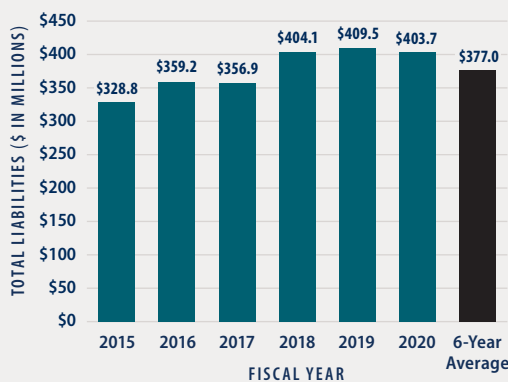
- **U.S. Botanic Garden:** Net costs increased by \$2 million (12 percent) due to the expanded exhibitions offered during their 200th anniversary year, new educational programming and increases in payroll and nonpayroll expenses.
- **Capital Grounds and Arboretum:** Net costs increased by \$2 million (13 percent) due to higher program costs for grounds maintenance and tree risk management, as well as inflationary increases in personnel compensation, benefits and nonpayroll related costs.

Significant decreases in the net cost of operations included:

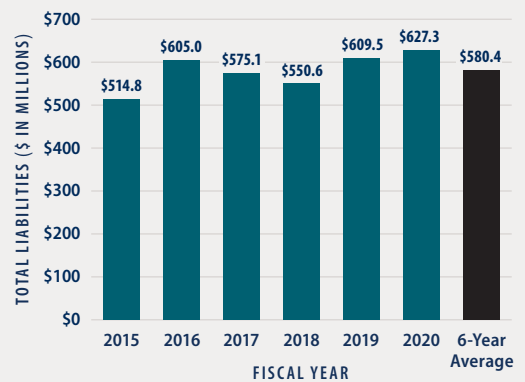
- **House Office Buildings:** Net costs decreased by \$12 million (11 percent) due to a reduction in facilities maintenance costs as the House facilities operated at reduced levels and telework increased during the pandemic, and by the absence of election year move costs. These decreases were offset by enhanced cleaning services and inflationary payroll and nonpay costs.
- **Supreme Court Building and Grounds:** Net costs decreased by \$10 million (53 percent) primarily due to a \$5 million increase in gross costs, reduced by a \$15 million in additional reimbursements for Thurgood Marshall Building projects (including building automation system updates and Administrative Office of the U.S. Courts space realignments).
- **Senate Office Buildings:** Net costs decreased by \$4 million (5 percent) due to a reduction in facilities maintenance costs as the Senate facilities operated at reduced levels and telework increased, and by the absence of election year move costs. These decreases were offset by enhanced cleaning services and inflationary payroll and nonpay costs.

**Earned Revenues by Source:** Overall, revenues increased by 26 percent from \$69 million in FY 2019 to \$87 million in FY 2020. As depicted in **Figure 19**, the AOC’s primary source of revenue was intragovernmental reimbursements from the judiciary branch for facility operations (\$51

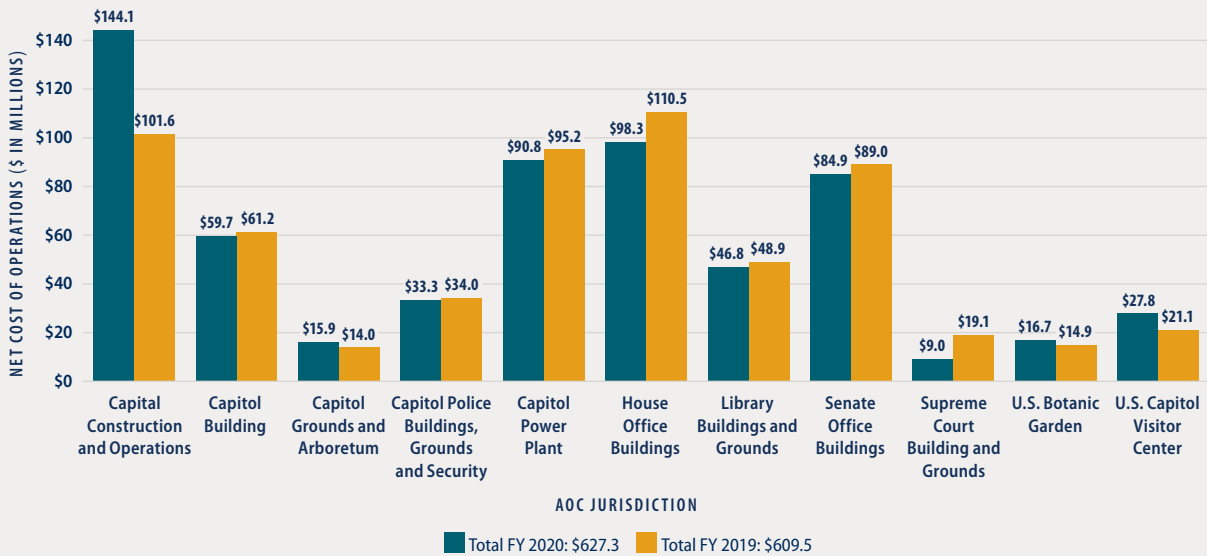
**Figure 16**  
Trend in Total Liabilities



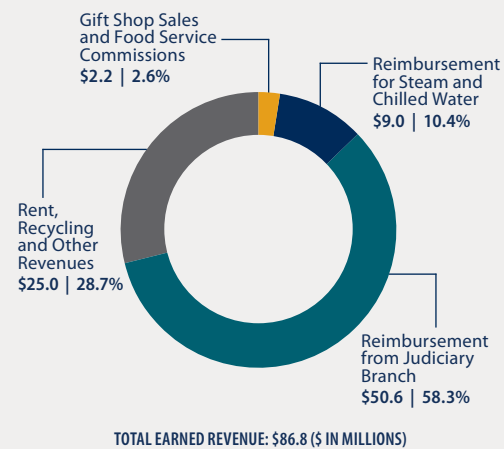
**Figure 17**  
Trend in Net Cost of Operations



**Figure 18**  
Summary of Net Cost of Operations by AOC Responsibility Segment



**Figure 19**  
Earned Revenue by Source



million, 58 percent). This represented a 43 percent increase from \$35 million in FY 2019. Other principal revenue sources were from rent, recycling proceeds and miscellaneous revenues earned at multiple AOC jurisdictions, which amounted to \$25 million (29 percent) of all earned revenues, and reimbursements paid to the Capitol Power Plant for the provision of steam and chilled water to nonlegislative branch entities near the Capitol campus, which decreased from \$11 million to \$9 million. This 20 percent decrease was primarily due to reduced steam and chilled water usage by the nonlegislative branch facilities. Gift shop sales and restaurant commissions at the U.S. Capitol Visitor Center Gift Shops saw a \$4 million decrease this fiscal year due to COVID-19-related closures.

**Cumulative Overview: Statement of Changes in Net Position**

The Statement of Changes in Net Position identifies the difference between all financing sources available to and used by the AOC to support its net cost of operations. Net position is the sum of two components: cumulative results of operations and unexpended appropriations. Each component is displayed to facilitate a more detailed understanding of the changes to the net position.

*Did You Know?*

You can read the Architect of the Capitol's written statements to the appropriations committees of the U.S. House of Representatives and U.S. Senate with respect to the agency's FY 2020 budget request at: [www.aoc.gov/what-we-do/publications/testimony](http://www.aoc.gov/what-we-do/publications/testimony).

The AOC's net position at September 30, 2020, shown on both the Balance Sheet and the Statement of Changes in Net Position, was \$3.1 billion, a \$120 million increase from FY 2019. This change was due to an increase of \$213 million to the cumulative results of operations and a \$93 million decrease in unexpended appropriations. As depicted in **Figure 20**, net position has steadily increased over the past six years — from \$2.4 billion in FY 2015 to \$3.1 billion in FY 2020, a \$726 million (31 percent) increase. This increase stemmed from an increase in appropriations for multiyear and no-year capital projects.



### *Capitol Highlights*

## HERITAGE ASSET CONSERVATION

The preservation of heritage assets — which include artworks, architectural features and historic structures — is one of the AOC's core functions. The AOC's Curator Division leads the agency's curatorial and conservation efforts for architectural, fine and decorative arts throughout the Capitol campus.

In FY 2020, the AOC completed extensive conservation on The Apotheosis of Democracy, the marble pediment sculpture located over the House portico of the U.S. Capitol's East Front. Completed as part of the U.S. Capitol Building Exterior Stone and Metal Preservation Project, this effort removed general soil and copper stains, replaced a sculpted torch and applied a "shelter coat" to protect the marble surface. The AOC also created 3D scans of the pediment and its plaster model (on view inside the U.S. Capitol). This is the first in a series of scans that the AOC will undertake to ensure the preservation of architectural and sculptural assets.

The AOC also performed maintenance on the breccia marble columns and pilasters around the perimeter of National Statuary Hall. Set in place in 1819, these columns and pilasters are distinguished for their Italian marble Corinthian capitals, as well as their soaring height of 27 feet.

Additionally, the AOC completed the first phase of a comprehensive treatment plan for the statue pedestals throughout the U.S. Capitol. An earlier assessment of the pedestals identified a range of conservation issues. Under this phase, a small selection of pedestals were chosen for treatment based on their condition and location.

As a result of COVID-19, the AOC delayed some planned conservation work, including the conservation and restoration of the decorative plaster, finishes and gilding on the U.S. Capitol's Senate Reception Room ceiling.

### **Combined Statement of Budgetary Resources**

The Combined Statement of Budgetary Resources (SBR) reports how the AOC obtained its budgetary resources and the status of these resources at the end of the fiscal year. This statement displays the key budgetary equation: total budgetary resources equals total status of budgetary resources.

The AOC develops its budget request to obtain the funds necessary to make the investments necessary to preserve and maintain the national treasures entrusted to its care. Congress enacts separate appropriations for each AOC jurisdiction. For FY 2020, the AOC's budgetary resources amounted to \$729 million, comprised of appropriations and authorized transfers. The AOC received \$696 million

in direct appropriations, consisting of three components. The agency's operating budget was the largest component, at \$464 million (64 percent). The operating budget funds payroll, utilities, facilities maintenance, centralized activities, information services, power plant operations and maintenance, grounds care, safety operations and maintenance, as well as architecture, engineering, visitor and curatorial services.

The multiyear capital projects budget, at \$170 million (23 percent), was the second largest component and supports the ongoing construction, upgrades, improvements and preservation projects including barrier and security kiosk repairs and replacement, as well as electrical distribution upgrades and replacements in the Capitol Building and

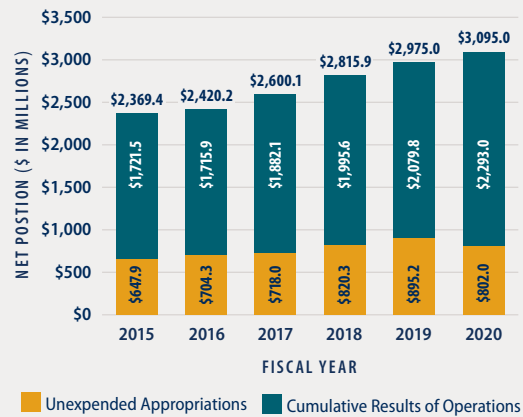


the Longworth House Office Building. No-year funding of \$62 million (9 percent) provided continued funding for the restoration and renovation of the Cannon House Office Building. The AOC also received \$16 million in the Judiciary appropriation for the care of the Supreme Court of the United States and its grounds.<sup>8</sup> Under the CARES Act, the AOC received a \$25 million appropriation for the agency's COVID-19 response. Included in the \$62 million no-year funding, \$8 million was derived by the transfer from the House Office Buildings fund to the AOC.

**Figure 21** displays the AOC's total appropriations over the last six fiscal years. The AOC's FY 2020 appropriations level reflects a \$21 million decrease from FY 2019 levels. This decrease was chiefly due to a \$57 million reduction in multiyear capital project funding and a reduction of \$10 million for the House Historic Buildings Revitalization Trust Fund in the FY 2020 appropriations. These decreases were offset by a \$29 million increase in the operating budget and the addition of \$25 million for the COVID-19 response.

<sup>8</sup> Per legislation, the AOC is responsible for the care of the Supreme Court of the United States and its grounds although the corresponding budgetary resources are included in the federal government's judiciary branch, not the legislative branch, appropriations.

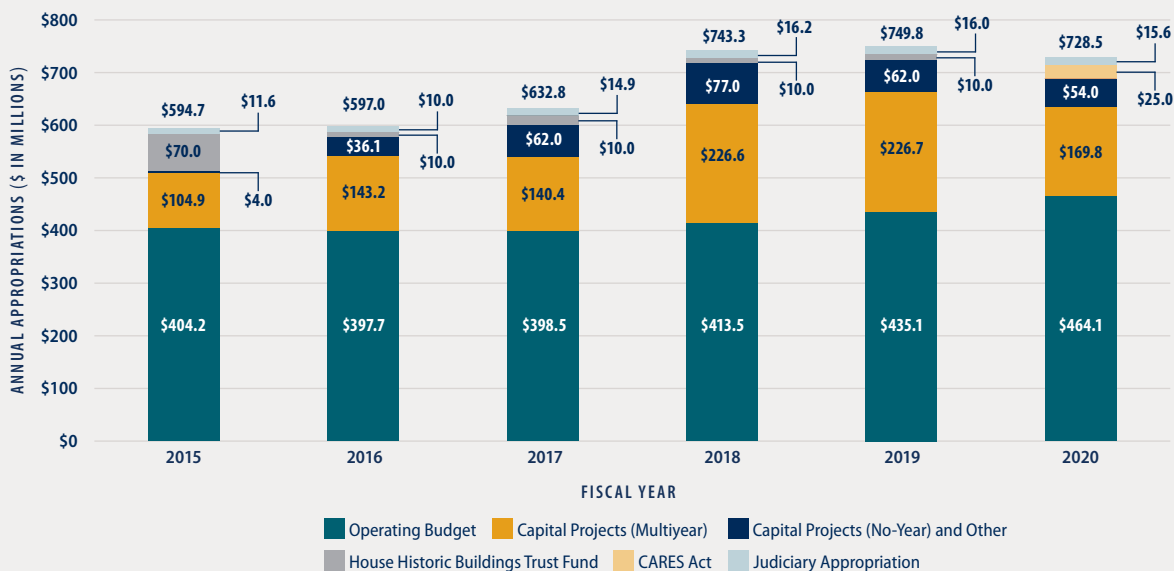
**Figure 20**  
Trend in Net Position by Category



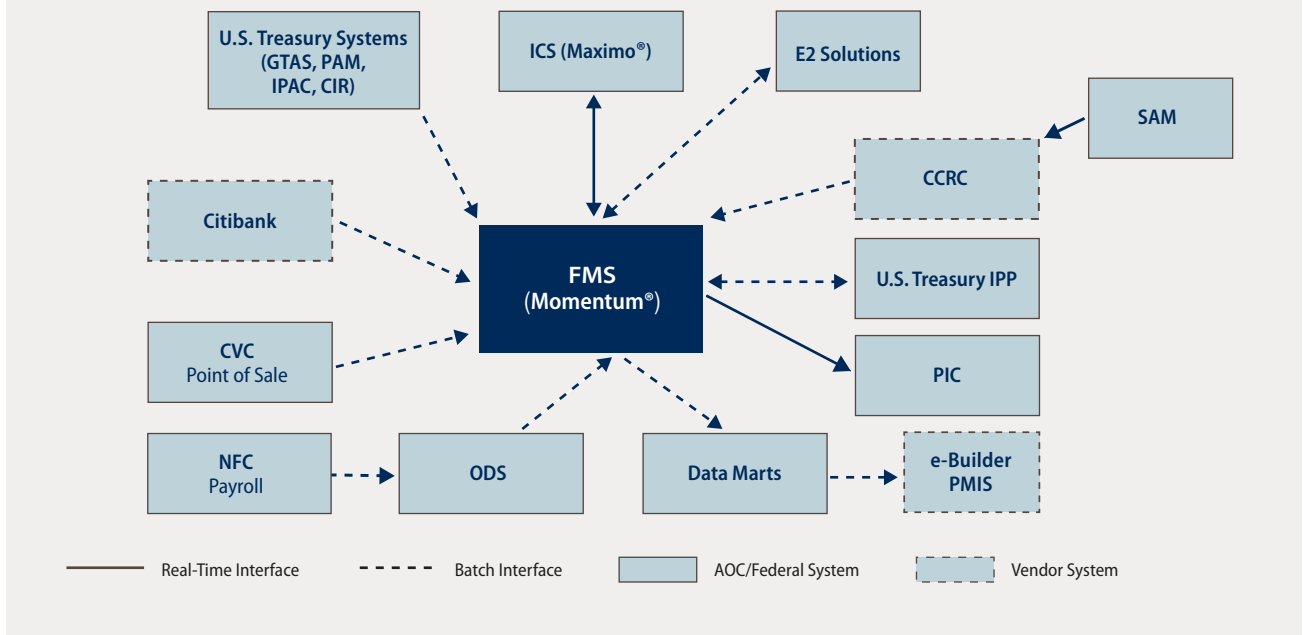
**Limitations of the Principal Financial Statements**

The principal financial statements are prepared to report the financial position and results of operations of the AOC consistent with the requirements of 31 U.S.C. § 3515(b). The statements are prepared from the AOC's books and records in accordance with federal GAAP and in the spirit of the formats prescribed by OMB. Reports used to monitor and control budgetary resources are prepared from the same books and records. The financial statements should be read with the realization that they are for a component of the U.S. government, a sovereign entity.

**Figure 21**  
Trend in Total Appropriations



**Figure 22**  
Financial Management Systems Framework



## FINANCIAL MANAGEMENT SYSTEMS FRAMEWORK

The AOC's core financial management system accounts for the AOC's funds through approximately 826,000 annual transactions. **Figure 22** depicts the AOC's financial management system framework.

### Key Financial and Reporting Systems

The AOC's core financial management system, Legislative Branch Financial Management System (LBFMS), conforms to the *Federal Financial Management Improvement Act of 1996* (FFMIA) requirements. The system uses commercial-off-the-shelf (COTS) software (Momentum®) designed for the federal government. Momentum® includes the following financial system modules: Budget Execution, Acquisitions, Purchasing, Receiving, Accounts Payable, Automated Disbursements, General Ledger, Credit Card, Fixed Assets, Workload, Contract Closeout, Travel and Project Cost Accounting. In addition to Momentum®, the AOC's key financial and reporting systems include:

- **Capitol Visitor Center Point of Sale System (CVC POS)** is a standalone back-office retail inventory management system used to record daily CVC Gift Shops sales and inventory transactions. The CVC POS has a manual batch interface with LBFMS.
- **Central Contractor Registration Connector (CCRC)** is a Momentum® application that downloads the latest vendor information from the U.S. General Services Administration (GSA) System for Award Management and updates the LBFMS vendor records.

- **Citibank** credit card interface transmits credit card transaction data to LBFMS via a batch file. The AOC uses the GSA SmartPay 3 shared services structure and contract.
- **Data Marts** assist in data management, including staging data during off-peak times and simplifying data structure for use by multiple systems.
- **NEW! e-Builder Pro Project Management Information System (PMIS)** is a Planning and Project Management (PPM) system that tracks the status of projects. The AOC data marts provide financial information for the construction projects managed by e-Builder.
- **Inventory Control System (ICS)** is COTS software (Maximo®) used to track the AOC's inventory of materials, supplies and accountable property. ICS provides a life-cycle and asset management functionality. Batch interfaces integrate ICS with Momentum® obligations, receipt of transactions and inventory drawdowns.
- **Invoice Processing Platform (IPP)** is a secure, web-based electronic invoicing system provided by the Treasury. IPP allows the AOC to simplify the management of vendor invoices. IPP interfaces with Momentum®.
- **National Finance Center (NFC)** provides payroll and personnel services to the AOC as part of a cross-servicing agreement with the U.S. Department of Agriculture. The NFC submits payroll transactions to Momentum® via a batch file through the Operational Data Store.

- **Operational Data Store (ODS)** is the AOC's payroll and personnel database and is used as a warehouse for detailed employee payroll information. The ODS receives a batch file of NFC payroll data and an AOC application creates a batch file of payroll transactions for export to Momentum®.
- **Project Information Center (PIC)** is an AOC-developed project management system. Momentum® provides budget and obligation data to PIC. PIC will eventually be replaced by e-Builder.
- **Reporting and Analytics** business intelligence tools used by the AOC includes Microsoft SQL Server Reporting Services and Tableau. These tools pull information from multiple AOC systems but, for visual clarity, are not shown on the financial management systems framework (Figure 22).
- **CWTSatoTravel E2 Solutions Travel System (E2 Solutions)** provides end-to-end travel management services via a secure web portal and interfaces with Momentum®. The E2 Solutions system is part of the GSA E-Gov Travel Service, a federal, web-based, shared travel management service.
- **System for Award Management (SAM)** is an official website managed by the GSA providing vendor and other entity registration to do business with the federal government. The CGI Momentum Central Contractor Registration Connector (CCRC) provides key interface management to support SAM.gov and LBFMS operations.

- **U.S. Department of Treasury Systems** allow the AOC to collect, disburse, reconcile and report on the agency's funds. These systems include the Governmentwide Treasury Account Symbol Adjusted Trial Balance System (GTAS) for monthly trial balance reporting, Treasury Payment Automation Manager (PAM) for payments to employees and vendors and Intra-Governmental Payment and Collection (IPAC) supporting intra-agency transactions. Collections Information Repository (CIR) provides detail level information on collections from the Treasury's Pay.gov website, OTCnet and other sources. In addition, the AOC uses Pay.gov to manage the collections of fees and other payments.

## FINANCIAL SYSTEMS STRATEGY: ACHIEVING AOC'S MISSION WITH IMPROVED FINANCIAL MANAGEMENT

The AOC's financial systems strategy supports mission performance, facilitates interagency planning and improves transparency and accountability. Continued standardization of financial activities within a shared services environment improves the agency's business processes, leading to greater efficiencies and cost stabilization. The AOC continued efforts this fiscal year to upgrade existing systems and capabilities and implement new functionality that better supports financial management, data analytics and data-driven decision-making.

### Infographic

#### Legislative Branch Financial Management System



ARCHITECT OF THE CAPITOL



CONGRESSIONAL BUDGET OFFICE



GOVERNMENT ACCOUNTABILITY OFFICE



LIBRARY OF CONGRESS



THE MEDICARE PAYMENT ADVISORY COMMISSION



OFFICE OF CONGRESSIONAL WORKPLACE RIGHTS



OPEN WORLD LEADERSHIP CENTER



U.S. CAPITOL POLICE

#### SYSTEMS INCLUDED:

MOMENTUM® — CORE FINANCIAL MANAGEMENT SYSTEM

MAXIMO® — INVENTORY CONTROL SYSTEM

SATO E2 SOLUTIONS TRAVEL SYSTEM — TRAVEL MANAGEMENT SERVICES SYSTEM

Since FY 2016, the AOC has used Legislative Branch Financial Management System (LBFMS) a shared-service financial management system hosted by the Library of Congress. An infographic on Page 39 (**Legislative Branch Financial Management System**) displays the participating agencies and the systems included in this shared environment. The LBFMS operations and hosting continued as a major focus in FY 2020, including the planning and testing for a major upgrade to its core financial management system, from Momentum® 7.4 to 7.8. The AOC will also upgrade its inventory management software from Maximo® 7.6.0.10 to 7.6.1 in coordination with the U.S. Capitol Police and LBFMS. Both LBFMS and Maximo® will migrate to the Microsoft Azure data center. The AOC expects to complete these upgrades and the migration in FY 2021.

In FY 2020, the AOC implemented Treasury’s Collections Information Repository (CIR). The CIR is a web-based tool that provides information on deposits and collections from the Treasury’s Pay.gov website, OTCnet and other sources. Deployment of this interface reduces manual data entry and improves internal controls for the data, with overall increases of efficiency and data quality for the agency. The Government Accountability Office (GAO) and Library of Congress had previously implemented the CIR interface, and by using their lessons learned the AOC was able to reduce overall system deployment efforts and costs.

The AOC Acquisition Management and Materials Division and Financial Systems and Reporting teams collaborated to implement the Federal Acquisition Regulation Procurement Instrument Identifier (PIID) this fiscal year. This effort brings the AOC into compliance with federal standards ahead of requirements by various Treasury and GSA shared services and systems. Additional standardization and simplification of templates, procedures and coding resulted in streamlining system maintenance and improving user experience. With close coordination and support, the AOC reduced errors from inactive users and out-of-date contracting officer representative assignments by 63 percent through various methods and targeted communications. Modifications of employee code structure increased traceability and ease of comparisons across National Finance Center (NFC) payroll reporting.

Looking ahead, the AOC will continue its implementation of Treasury’s Budget Formulation and Execution Manager application to standardize and improve the agency’s budget processes. In addition, the AOC will develop and pilot requirements for the use of the Treasury’s G-Invoicing to manage the processing and approval of interagency agreements, orders and invoices, with planned implementation in FY 2022. These changes will help reduce manual processes, improve data quality and enhance the efficiency of the AOC’s financial stewardship.



*Above* In coordination with the House and Senate Sergeants at Arms and the U.S. Capitol Police, the AOC added marks at six-foot intervals near security checkpoints and other public spaces. The marks serve to remind everyone to practice social distancing.

**Figure 23:**  
COVID-19-Related Funding and Obligations (\$ in Thousands)

CATEGORY	AMOUNT	PERCENTAGE
Funding:		
CARES Act	\$25,000	96%
Transferred Appropriations	1,000	4
<b>Total</b>	<b>\$26,000</b>	<b>100%</b>
Spending:		
Supplies and Services	\$16,185	55%
Payroll	3,759	13
Contract Payments	3,368	12
Subtotal	\$23,312	80%
Additional Jurisdiction Spending for COVID-19 Related Costs	5,884	20
<b>Total</b>	<b>\$29,196</b>	<b>100%</b>

## COVID-19 FINANCIAL IMPACT

Of the approximately \$2 trillion appropriated under the *Coronavirus Aid, Relief, and Economic Security (CARES) Act*, the AOC received \$25 million in supplemental funding to prevent, prepare for and respond to COVID-19 throughout the facilities and grounds under the agency's care. These emergency funds were provided for the purchase and distribution of cleaning and sanitation products, along with related services and operational costs. In addition, the AOC received authority to transfer \$2 million from the Senate Office Buildings appropriation to support the AOC's COVID-19 response efforts, of which \$1 million was transferred at year end. A summary of the AOC's funding and expenditures provided to the agency under the CARES Act, and the related transfers for COVID-19 spending, is shown in **Figure 23**.

Details about the AOC's prevention, preparation for and response to COVID-19 throughout the Capitol campus follow:

### Supplies and Services

The AOC spent \$16.2 million in funding for cleaning and sanitation supplies and custodial services. This category represents 55 percent of all AOC spending on COVID-19 protection. The supplies acquired included face coverings, hand sanitizer and dispensers, disinfectant wipes, hand soap and gloves purchased specifically for COVID-19 response activities. The acquired services included specialized cleaning, sanitation and comprehensive disinfection services in accordance with the Centers for Disease Control and

Prevention (CDC) and Office of Attending Physician guidance for the facilities on the Capitol campus.

### Payroll

The AOC paid for \$3.7 million in COVID-related salaries, overtime and benefits of permanent full and part-time agency staff assigned to COVID-19 prevention, preparation and response. These funds were also used for temporary staff hired to perform COVID-19 emergency response activities. Tasks performed by agency employees included enhanced cleaning services, extended information technology help desk hours and the fabrication and installation of protective equipment.

### Contract Payments

The AOC spent \$3.4 million on reimbursements to service contractors who were furloughed or otherwise unable to work as a result of the COVID-19 pandemic.

### Additional Jurisdiction Spending for COVID-19 Related Costs

In addition to amounts spent from CARES Act funds, the AOC spent an additional \$5.9 million from its jurisdictions' current appropriations for COVID-19 related costs.

See **Section II: Performance Information** (under COVID-Related Activities on Page 81) for a description of the operational and performance impact of COVID-19 on the agency.



The AOC continues to expand its enterprise risk management program with a vision to integrate risk management concepts into operational and strategic decision-making.

## MANAGEMENT ASSURANCES AND OTHER FINANCIAL COMPLIANCES

### *Federal Managers' Financial Integrity Act of 1982*

The AOC's leadership is responsible for establishing and maintaining effective internal control and financial management systems that meet the objectives of the *Federal Managers' Financial Integrity Act of 1982* (FMFIA). The FMFIA requires agencies to establish internal controls and financial systems that provide reasonable assurance that the following objectives are achieved: effective and efficient operations, compliance with applicable laws and regulations, and financial reporting reliability. OMB Circular A-123, Management's Responsibility for Enterprise Risk Management and Internal Control, implements the FMFIA and defines management's responsibilities for enterprise risk management and internal control. The FMFIA requires agencies to provide an annual statement addressing internal accounting and administrative controls and to perform ongoing evaluations and reporting of the adequacy of the controls within the agency.

As a legislative branch agency, the AOC is not subject to FMFIA requirements. Nonetheless, the AOC considers internal control to be an integral part of the systems and processes it uses to manage daily operations in support of its strategic goals and objectives. The AOC holds its managers accountable for efficiently and effectively performing their duties in compliance with applicable laws and regulations and for maintaining the integrity of their activities through the use of internal controls.

Within the AOC, the internal control program is managed by the Chief Financial Officer. The risk management officer has the responsibility to manage the program's ongoing internal control components that follows the principles of OMB Circular A-123, Appendix A, Management of Reporting and Data Integrity Risk and the Government Accountability Office's (GAO) Green Book. The internal control components under evaluation include the control environment, risk assessment, control activities, information and communication and monitoring. The AOC also provided a Summary of Financial Statement Audits and Management Assurances, as required by OMB Circular A-136, Financial Reporting Requirements, revised, in this report's **Section IV: Other Information**.

### Financial Reporting

This fiscal year, the AOC relied on the independent financial statement audit to support the agency's assessment of internal controls over financial reporting.

### Risk Management

Consistent with the latest OMB Circular A-123 guidance, the AOC is taking a maturity model approach to implement OMB Circular A-123, Appendix A, and integrate risk management activities throughout the agency. The AOC will continue to explore logical integration points between enterprise risk management activities and internal control processes to preserve organizational value and enhance decision-making.

## ARCHITECT'S STATEMENT OF ASSURANCE

**ARCHITECT OF THE CAPITOL'S STATEMENT OF ASSURANCE**

The Architect of the Capitol's (AOC) management is responsible for managing risks and maintaining effective internal control and financial management systems to meet the objectives of Sections 2 and 4 of the *Federal Managers' Financial Integrity Act* (FMFIA). The FMFIA requires federal agencies to establish controls that reasonably ensure obligations and costs are in compliance with applicable laws; funds, property and other assets are safeguarded against waste, loss, unauthorized use, or misappropriation; and revenues and expenditures are properly recorded and accounted for to permit the preparation of accounts and reports and to maintain accountability. The FMFIA also requires agencies to annually assess and report on the controls that protect the integrity of federal programs and whether financial systems conform to its requirements.

While the AOC is a legislative branch agency and is not subject to the FMFIA, the AOC considers internal control to be a critical element of the processes and systems used to manage its operations in support of Congress and the Supreme Court. The AOC embraces the FMFIA principles as a best practice and is committed to assessing the effectiveness of its internal control environment.

The AOC conducted its assessment of risk and internal control in accordance with Office of Management and Budget Circular A-123, Management's Responsibility for Enterprise Risk Management and Internal Control. Based on the results of the assessment, the AOC can provide unmodified assurance that its internal control over operations, reporting and compliance were operating effectively as of September 30, 2020. This year, neither AOC management nor the financial statement auditors found any material weaknesses or instances of non-compliance in the design or operation of internal controls over reporting. In addition, based on its assessments, the AOC determined that its financial management system conforms to applicable financial system requirements.

Sincerely,



J. Brett Blanton  
Architect of the Capitol  
November 20, 2020

Doc. No. 200922-04-01

Further implementation of the ERM program will build upon the AOC's strategic review process established by the *GPRA Modernization Act of 2010*.

Future planned activities include the linkage of ERM to the agency's strategic goals, objectives and outcomes, which will enable the AOC to improve its mission delivery. To that end, successful implementation requires the AOC to continue fostering a transparent culture that encourages the open communication about potential risks. The AOC's ERM program helps the agency improve its processes and performance, while also formalizing the impressive work already undertaken by its personnel.

### Financial Systems

As discussed in the *Federal Financial Management Improvement Act* section, FFMIA requires federal agencies' financial management systems to provide reliable financial data that complies with federal financial system requirements, applicable federal accounting standards and the U.S. Standard General Ledger (USSGL) at the transaction level. To assess conformance, the agency uses internal control assessments based on implementation guidance from OMB, results of OIG reports and reports from the annual independent financial statement audit. The overall assessment relies upon the evaluations made under the OMB Circular A-123, Appendix A. When applicable, particular importance is given to any material weakness or significant deficiency identified during the internal control assessments.

### Overall Assessment

Based on the procedures performed, the AOC does not consider any identified deficiencies to be material weaknesses in internal controls that would warrant a less than unqualified assertion on internal control over reporting or significant deficiency reporting for FFMIA systems purposes.

### Other Information

A summary of the management assurances is provided in **Section IV: Other Information**. For additional information, refer to The AOC Inspector General's Statement of Management Opportunities and Performance Challenges, also located in **Section IV**.

## SUMMARY OF FINANCIAL STATEMENT AUDIT MATERIAL WEAKNESSES AND NONCONFORMANCES

At the close of FY 2020, the AOC had no material weaknesses or other nonconformances in internal control over program operations and compliance with applicable laws and regulations. Material weaknesses and reportable conditions are determined by management. Using a variety of information sources, the AOC managers and staff assess and improve the effectiveness of internal control for program operations. These information sources include management

knowledge gained from the daily operation of programs and systems, management reviews, program evaluations and the annual independent financial statement audit.

### Material Weaknesses Summary

A material weakness is a reportable condition that the agency head determines to be significant enough to be reported outside the agency. The AOC's FY 2020 financial statement audit identified no material weaknesses.

### Nonconformances Summary

A reportable condition is a control deficiency or combination of control deficiencies that in management's judgment represent significant deficiencies in the design or operation of internal controls that could adversely affect the organization's ability to meet its internal control objectives. The AOC's FY 2020 financial statement audit identified no reportable conditions or nonconformances.

## OTHER FINANCIAL COMPLIANCES

### *Anti-Deficiency Act*

The *Anti-Deficiency Act*, as amended, prohibits federal agencies from obligating or expending federal funds in advance or in excess of a congressional appropriation and from accepting voluntary services. The AOC had no *Anti-Deficiency Act* violations for FY 2020.

### *Debt Collection Improvement Act*

The *Debt Collection Improvement Act of 1996* requires that any nontax debt or claim owed to the U.S. government that is 180 days delinquent, with certain exceptions, be referred to Treasury for collection. Debt that is in litigation or foreclosure with a collection agency or designated federal debt collection center, or that will be disposed of under an asset sales program, is exempt from this requirements. The AOC referred employee debt to Treasury's Debt Management Services for collection in FY 2020.

### *Digital Accountability and Transparency Act*

The *Digital Accountability and Transparency Act of 2014* (DATA Act) sets standards for federal financial data to make federal spending data more accessible, searchable and reliable. As a legislative branch agency, the AOC is not required to comply with the DATA Act and is not participating in the report submissions.

### *Federal Financial Management Improvement Act*

The *Federal Financial Management Improvement Act of 1996* (FFMIA) requires that federal agencies' financial management systems comply with federal accounting standards, federal system requirements and the USSGL at the transaction level. An agency achieves substantial compliance when its financial management systems routinely provide reliable and timely financial information for managing day-to-day operations, as well as for producing reliable financial statements. The AOC substantially complied with the FFMIA in FY 2020.



### *Federal Information Security Modernization Act*

The *Federal Information Security Modernization Act of 2014* (FISMA) requires each executive branch agency to develop, document and implement a program to provide security for government information and information systems that support agency operations and assets. FISMA is inapplicable to legislative branch agencies, so the AOC is not required to comply with its requirements. Nonetheless, the AOC references FISMA and the U.S. GAO Federal Information System Controls Audit Manual and the National Institute of Standards and Technology (NIST) Special Publications for guidance on its risk-based information security program.

The AOC, with support from an independent third party, reaccredits its information systems every three years and tests approximately one-third of all controls each intermediate year. This effort evaluates the information security controls consistent with the AOC's policies. The AOC's risk management and continuous monitoring strategy is based on current NIST guidelines.

The AOC continuously monitors and improves its cybersecurity program using annual computer security awareness training. This includes: testing controls and procedures (including phishing and spear phishing tests); enforcing procedures and processes for detecting, reporting and responding to security incidents; improving vulnerability scanning; and remediating and patching systems in a timely manner. In FY 2020, the AOC achieved its fastest and highest level of patch compliance to date.

The AOC tested and monitored the incident response program in FY 2020. This monitoring used internal agency

procedures, along with managed security monitoring and enterprise infrastructure, provided by Security Information and Event Management (SIEM) services. Independent tests verified that managed SIEM protects the AOC against cybersecurity threats, provides immediate assessment and response to security incidents, and adheres to regulatory requirements for log auditing, security and compliance reporting. The AOC also used enhanced industrial security controls to strengthen the cybersecurity of its computer-controlled systems. The OIG conducted an evaluation of the cybersecurity posture of the Capitol Power Plant's cogeneration facility. The OIG made four findings and eight recommendations, and the AOC concurred with each.

### *Prompt Payment Act*

The *Prompt Payment Act* requires certain federal agencies to pay their bills on time, pay interest penalties for late payments and take discounts only when payments are made by the discount date and the discount is economically justified. The AOC is exempt from the *Prompt Payment Act*, however, the agency uses Treasury's Invoice Processing Platform (IPP), a secure online platform, to assist in its invoice payment process. By policy, the AOC aims to approve and pay invoice payments within 30 days. The IPP reinforces agency compliance with prompt payment business processes through invoice aging reports, configurable workflow escalation strategies and email alerts.

### *Payments Integrity Information Act and Other Legislation*

See **Section IV: Other Information** for a brief summary of additional financial management legislation and their applicability to the AOC.



*Above* A detail on the U.S. Capitol’s House pediment before (left) and after restoration (right). Phase 2 of the U.S. Capitol Building Exterior Stone and Metal Preservation Project included the replacement of missing or irreparable stonework. This project is part of deferred maintenance and capital renewal backlog, the agency’s most critical management challenge.

## FORWARD-LOOKING INFORMATION

The AOC confronts unique challenges in fulfilling its mission to serve Congress and the Supreme Court, preserve America’s Capitol and inspire memorable visitor experiences. By identifying and defining the most difficult challenges facing the agency, the AOC can mitigate barriers to operational success and identify opportunities for improvement. This subsection of the report outlines the AOC’s most significant management challenges and the steps the AOC has taken to address them.

At the close of FY 2020, AOC management identified six management challenges. The AOC’s OIG identified 10 management opportunities and performance challenges, four of which address similar issues identified by management. **Section IV: Other Information** includes the OIG’s statement defining their identified management opportunities and performance challenges. AOC management has reviewed the OIG’s recommendations and pledges to address the matters and take appropriate actions in a timely fashion. **Figure 24** provides a combined summary of the opportunities and performance challenges identified by AOC management and the OIG. Together, these 12 areas comprise the challenge areas facing the AOC.

The following section summarizes the challenges identified by AOC management.

### Backlog in Deferred Maintenance and Capital Renewal

**Challenge:** Fiscal constraints prevent the AOC from fully addressing the rehabilitation and maintenance needs for

aging infrastructure under its care. The estimated deferred maintenance and capital renewal backlog for the Capitol campus was \$1.78 billion as of September 30, 2020. Of the total backlog, \$831 million is required to improve “poor” and “fair” facilities to “good” condition. At fiscal year-end, 44 percent of the AOC’s major buildings were rated as “poor” or “fair.” The rehabilitation and maintenance of these aging facilities requires significant attention, which the AOC cannot fully address due to fiscal constraints and staff capacity. Moreover, continued deferral will likely accelerate the deterioration of these facilities, which will increase the amount of resources required to address the backlog.

**AOC Initiatives:** The AOC’s deferred maintenance and capital renewal backlog is the agency’s top enterprise-level risk and management challenge. A large portion of the AOC’s annual budget is dedicated to addressing the backlog. Of the \$695.9 million the AOC received in regular FY 2020 appropriations, \$231.8 million was for capital projects — one-third of the total budget. This funding allowed the AOC to prioritize urgent deferred maintenance projects such as the Cannon Renewal Project, U.S. Capitol Building Exterior Stone and Metal Preservation Project, Russell Exterior Envelope Project, Rayburn Garage Interior Rehabilitation and the Senate Underground Garage and Landscape Restoration. This fiscal year, the AOC completed a number of major projects, including the Thomas Jefferson Building Roof Replacement and the Thurgood Marshall Garage Renovation. Forensic studies for the U.S. Botanic Garden production facility roof, the Longworth House Office Building roof, Hart Building garage operational study

**Figure 24**  
Summary of AOC Management Challenges and OIG Management Opportunities and Performance Challenges

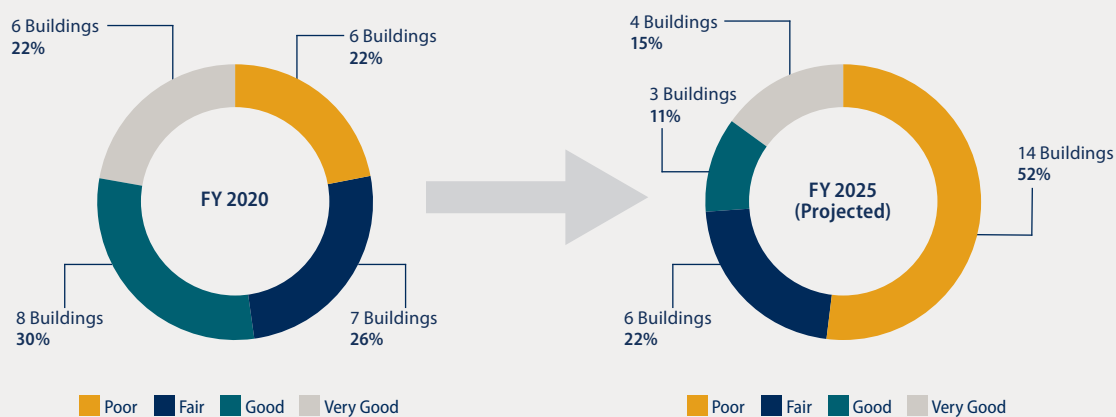
MANAGEMENT CHALLENGE	AOC MANAGEMENT	AOC OIG
Backlog in Deferred Maintenance and Capital Renewal	✓	
Campus Security / Cybersecurity	✓	✓
Energy Stewardship and Sustainability	✓	
Management of Concurrent Construction Projects	✓	✓
Attracting and Retaining a Skilled and Engaged Workforce / Human Capital Management	✓	✓
Workplace Safety and Health/ Balancing Safety and Security with Preservation and Heritage	✓	✓
Auditability and Documentation to Support Decisions		✓
Lack of Whistleblower Protection		✓
Property Accountability and Surplus Property Disposal		✓
Duplication of Effort without a Working Capital Fund		✓
Identifying and Managing Waste and Holding Personnel Accountable for Waste		✓
Records Retention and Access		✓

and the U.S. Supreme Court Building Courtyard structural analysis and scaffolding were also completed to support future projects.

The AOC uses a draft Capitol Complex Master Plan (CCMP) to guide its long-range planning. The CCMP provides a 20-year strategy for infrastructure priorities, investments and projects. From this Master Plan, the AOC develops a Five-Year Capital Improvements Plan that is informed by annual facility condition assessments (FCA) and other studies. In FY 2020, the AOC completed FCAs for the Capitol Power Plant, James Madison Memorial Building and the Supreme Court of the United States and initiated FCAs for the U.S. Capitol Visitor Center, U.S. Capitol Police facilities, Capitol Square, Union Square, John Adams Building and pedestrian tunnels. The assessments provide the AOC with the Facility Condition Index (FCI), an objective condition rating used to benchmark a facility's current and projected condition. **Figure 25** shows the number and percentage of the AOC's major buildings in each FCI category (i.e., poor, fair, good or very good) for the current year and the projected condition in five years (FY 2025), assuming no additional deferred maintenance funding.

Looking ahead, the AOC will use new and existing tools to identify, prioritize, manage and respond to the deferred maintenance needs of congressional facilities. In the FY 2021 budget request, the agency developed 12 Line Item Construction Program (LICP) projects to address \$126 million of the deferred maintenance and capital renewal backlog. Furthermore, the AOC will establish an enterprise asset management system to optimize needed maintenance activities, as well as develop an FCA dashboard to more transparently display facility work elements, risk rating and backlog. The agency will also establish an annual facility equipment audit program to align with the FCAs. Most importantly, the AOC is developing Vision 2100

**Figure 25**  
Major Buildings in Each FCI Rating Category, FY 2020 (Actual) versus FY 2025 (Projected)





*Above* The AOC supports the U.S. Capitol Police and provides additional security functions for the Capitol campus, including the installation, upgrade and maintenance of security bollards.

to determine the Capitol campus' needs through the next century. This vision will inform the next 20-Year Master Plan, corresponding budgets and the agency's strategic priorities.

### Campus Security

**Challenge:** The AOC is responsible for supporting U.S. Capitol Police efforts to provide security for the Capitol campus. Securing government facilities and their perimeter from external threats, such as natural disasters or violent attacks, is a formidable task for all federal agencies. Keeping the agency's physical and technology infrastructure secure and accessible, coordinating construction project security and managing the personnel suitability program — while also minimizing the impact of security protocols on visitors and those who work on the Capitol campus — remains a crucial challenge.

**AOC Initiatives:** The AOC addresses this challenge with a combination of new initiatives and long-term programs to support continuity of operations, critical infrastructure protection, congressional continuity, emergency management, employee and contractor suitability, construction project security and support for the U.S. Capitol Police.

In FY 2020, the agency implemented multiple infrastructure improvements to mitigate security threats. The AOC continued collaborating with the U.S. Capitol Police on the phased repair and replacement to barriers and security kiosks, while also performing a series of permanent lighting upgrades to security kiosks and truck interdiction posts across the Capitol campus. Using updated designs, the new kiosks will reduce the time and cost of recurring repair and maintenance. As the AOC's mission-critical facilities continue to age, their vulnerabilities increase. In FY 2020, the agency awarded contracts to address near- and long-term deficiencies in critical facilities and equipment. In addition, the agency continued upgrading electrical equipment and uninterruptible power supplies across the campus to address

the risk of electrical outages, which ensures emergency management and congressional continuity does not experience downtime during routine maintenance.

To enhance the agency's workforce, the AOC's Office of Security Programs revised position descriptions for critical, nonstandard positions to support security-related projects and a new suitability program. This program is coordinated with the U.S. Department of Interior's Interior Business Center. The agency also developed position descriptions to address critical infrastructure and continuity needs and to coordinate radio and emergency notification communications.

To address the cybersecurity threat and secure sensitive material about the Capitol campus and its functions, the AOC maintains a robust cybersecurity program. The AOC was the first legislative branch agency to deploy two-factor authentication for system access. The agency also works closely with the Legislative Branch Cybersecurity Working Group to provide a comprehensive security posture. The AOC requires all employees and contractors with access to the AOC network to complete annual computer security awareness training. The agency's training and testing controls and procedures allow the AOC to more effectively detect, report and respond to security incidents. In addition, AOC policies ensure that system patches are installed in a timely manner. This fiscal year, the AOC had its fastest and highest level of patch compliance in the policy's history.

Looking ahead, the AOC will continue its progress with the barriers and kiosks repair and replacement program, as well as its electrical assessments and upgrades to critical facilities and electrical equipment to improve the redundancy of critical infrastructure.

### Energy Stewardship and Sustainability

**Challenge:** After successfully meeting a 10-year, 30 percent energy reduction target in FY 2015, the AOC set a new target to reduce its energy use by an additional 2 percent per year through FY 2025 (an additional 20 percent in total). This achievement would result in an aggregate 50 percent energy reduction on the Capitol campus over the two decades since FY 2005. As further energy reduction opportunities become scarcer and costlier to achieve, meeting this target will become more challenging.

**AOC Initiatives:** FY 2020 was a landmark year for the AOC's energy reduction efforts. Due in large part to cogeneration at the Capitol Power Plant, the agency achieved a 49.8 percent energy reduction from its 2015 baseline, nearly meeting the FY 2025 performance target of 50 percent ahead of schedule. Cogeneration is a highly efficient, clean, fuel-burning technology that allows the AOC to generate both steam and electricity. Since the completion of the cogeneration plant in FY 2019, it has proven to be the single largest factor in annual energy reductions and will continue to be into the future.

Some of the AOC's other energy efficiency improvements include the Refrigeration Plant Revitalization Program in



## Capitol Highlights

# SENATE COMMITTEE ROOM RENOVATION

The AOC completed restoration of the Senate Committee on Commerce, Science and Transportation Conference Room in the Russell Senate Office Building. The renovation required exceptional effort and cross-jurisdictional teamwork to transform the space into a state-of-the-art hearing room while simultaneously restoring its original architectural intent.

The hearing room renovation prioritized historic preservation and revitalized the Beaux Arts interior. The project team researched primary archival sources and performed a historic paint analysis to restore the room to its original grandeur. The space was also enhanced with major upgrades to its accessibility, functionality, technological capacity and décor. These included:

- Improved *Americans with Disabilities Act* (ADA) accessibility, which brings the hearing room into compliance with the ADA and provides critical accommodations for senators, staff and visitors with special needs

- Advanced multimedia technology, including 14-inch monitors, touch-screen control panels and microphones integrated directly into the dais for each member
- Custom furnishings and interior design to maintain the room's historic appearance while incorporating needed infrastructure upgrades, including a 14-foot witness table, bronze handrails, a custom carpet and an expanded, custom-made wood rostrum and dais
- Advanced HVAC systems and rerouted ductwork for optimized temperature control and air flow, maximizing energy efficiency and cost savings

This effort, which furthers the AOC's strategic goals of Maintaining Awe-Inspiring Facilities and Providing Extraordinary Services, has resulted in major improvements to the Senate work room. The project also serves as a pilot for an extensive hearing room renovation program planned in the Senate office buildings over the next 15 years.

the Capitol Power Plant, as well as energy-efficient digital air handler control upgrades in the James Madison Memorial Building, Thurgood Marshall Federal Judiciary Building and O'Neill House Office Building. The Refrigeration Plant Revitalization Program will upgrade outdated and inefficient equipment at the Capitol Power Plant. This multiyear, multiphase effort is projected to be completed in 2025, pending appropriations for the later phases. In addition, the increased use of project charters to document project responsibilities have helped ensure that sustainability elements

are considered in developing a project's scope. The focus on sustainable practices — for example, ways to use water more efficiently — also helps to reduce agency operating costs.

In past fiscal years, the AOC used ESPCs to accomplish infrastructure upgrades that resulted in significant energy savings while limiting the upfront project costs. Congress authorized such contracts in the *Energy Policy Act of 1992*, which allows for the use of private sector financing to implement energy conservation methods and energy



*Above* The AOC uses a multifaceted approach to address its energy stewardship and sustainability challenges, such as the recent installation of a new 5,000-ton chiller at the Capitol Power Plant. Seen here, a shift supervisor monitors chiller operation from the control room.

efficiency technologies by federal entities. The AOC implemented previous successful ESPC projects in the U.S. Capitol and the House and Senate office buildings, saving the AOC more than \$9 million in annual energy costs. Building on this strategy, the AOC awarded and began work on an ESPC for the facilities managed by the AOC's Library Buildings and Grounds jurisdiction. This multiyear effort is expected to be completed in FY 2022 and will result in significant energy savings by installing energy efficient systems, such as lighting, motors and HVAC controls, as well as water conservation improvements.

Priority FY 2021 sustainability initiatives include completing a resilience study and investigating opportunities for renewable energy generation. For this effort, the AOC is partnering with the Department of Energy's (DOE) National Renewable Energy Laboratory. When complete, this study will inform the agency's ability to achieve further energy and emission reductions while making the AOC more resilient. In FY 2021, the AOC will also focus on improving water savings by developing detailed water use targets for its major users and tracking monthly consumption to drive further savings. For more information, see the Energy and Sustainability Performance Management Report located in **Section IV: Other Information**.

### Management of Concurrent Construction Projects

**Challenge:** The AOC manages and executes multiple, simultaneous, high-visibility, large-scale and long-term projects to meet the infrastructure needs of the Capitol campus. These include projects such as the Cannon Renewal Project, Russell Exterior Envelope Project, the Capitol Power Plant's Refrigeration Plant Revitalization Program and the U.S. Capitol Building Exterior Stone and Metal Preservation Project. To deliver these projects safely, cost effectively and on time, AOC management must balance



### Capitol Highlights

## A PROSPECTIVE PARTNERSHIP

The AOC relies upon highly skilled and specialized artisans to maintain the historic buildings of the Capitol campus. Approximately 70 percent of the AOC's workforce consists of these essential tradespeople, including masons, plasterers and woodworkers. Skilled tradespeople, however, have been in short supply within the labor market for several years — for every three skilled tradespeople retiring in America today, only one new worker is taking their place.

The AOC's Human Capital Management Division has worked diligently to create new recruitment efforts and identify new sources of skilled workers. As part of its efforts, the AOC took steps to establish a partnership with the American College of the Building Arts (ACBA) in Charleston, South Carolina, including a visit to the school in fall 2019.

The ACBA offers a Bachelor of Applied Science degree in building arts, making it the only four-year school in the country dedicated to traditional trades. Their academic program offers specialization in multiple disciplines, including architectural carpentry, architectural stone, masonry and plasterwork. A partnership between the agency and ACBA would be a natural fit and a fruitful collaboration appears promising. Three students had been scheduled to participate in the agency's 2020 Summer Intern Program, before such internships and training opportunities were put on hold due to COVID-19 safety concerns.

"We're hoping to establish a partnership with the college that allows us to build a talent pipeline for AOC positions that are considered hard to fill," said the AOC's Deputy Chief Human Capital Officer John McPhaul. "That's how we'll ensure the transfer of knowledge and expertise in maintaining the historic buildings entrusted to our care."



*Above* Architect of the Capitol J. Brett Blanton is briefed by senior leadership on the Cannon Caucus Room renovation. The project will provide a comprehensive upgrade to the largest meeting and hearing room space in the House Office Buildings. The photo was taken prior to COVID-19 related social distancing measures.

schedules, budgets and risks over numerous project phases, coordinate personnel, minimize operational disruptions and sustain the administrative support necessary for this increased workload.

**AOC Initiatives:** The AOC continues to enhance its project planning tools and develop the management processes to ensure the efficient, effective delivery of its large portfolio of design and construction projects. This fiscal year, the AOC continued implementation of the e-Builder project management information system to replace the existing, obsolete system. This will enable the agency to more effectively track, manage and resource a portfolio of major construction projects simultaneously. Once fully implemented, the new system will assist in the design and construction management process, which will enable project managers to provide better project execution data, such as costs, schedules, resources and data analytics.

The AOC will continue to prioritize critical centralized services and personnel that directly support frontline operations and infrastructure projects. Adequate support for studies, planning, project design and development, construction oversight and project management is lacking. To overcome the staff shortfall, the agency increased the use of temporary project-funded staff, such as project managers, construction managers and inspectors. The agency's Project Management Division also created and filled two new assistant director positions, as well as new program management and construction management supervisors. In the short term, the AOC's staff members have actively stepped in to address other needed functions, while the agency has supplemented its staff with contract project managers, construction managers and inspectors.

However, these are not permanent solutions and risks to project execution develop when staff is overworked and tasked with additional duties. The AOC will continue to advocate for more funding to bring its staff to an adequate level for the management of this surge in multiple major restoration projects. As validated in the FY 2019 workforce study, this includes direct staff such as project managers, construction managers, project controllers, engineers, planners and inspectors. This also includes the administrative staff to support this workload, such as the procurement, human resources and financial workforce to manage the contracts, staff and payments associated with additional construction activity.

Looking forward, the AOC will continue to improve project management while also focusing on how the entire capital project portfolio is coordinated. By investing in high-level analytical tools such as enterprise asset management, the agency will increase its understanding of project and program interdependencies and improve the management of the agency's physical assets over their entire life cycle.

### Attracting and Retaining a Skilled and Engaged Workforce

**Challenge:** Attracting and retaining a strong workforce is essential to carrying out the AOC's mission. The agency must recruit dedicated, highly specialized tradespeople and professionals who can typically earn higher wages in the private sector. Adding to this challenge is the aging demographic of the AOC's current workforce, which has a median age of 49. The number of employees approaching retirement age raises concern about the loss of institutional knowledge that is so critical to the agency's succession planning and continuing ability to meet its mission.

**AOC Initiatives:** The AOC's talent management strategic initiative is designed to identify current and future



*Above* At the Human Capital Management Division's Supervisory Leadership Symposium in November 2019, over 140 AOC supervisors engaged with colleagues to enrich their leadership abilities.

workplace priorities, assist in succession planning and encourage specialized skills training. These efforts assist the AOC in attracting experienced and skilled individuals to the federal workforce, retaining existing employees and developing a pipeline of internal candidates for open positions — all of which ensures that the AOC has the right people to meet current and future staffing demands.

In FY 2020, the AOC worked with each jurisdiction to develop talent management plans to provide a better understanding of their current and forecast workforce requirements. These requirements informed a comprehensive workforce analysis and the development of each jurisdiction's talent management plan, which serve as blueprints to build candidate pipelines, meet succession planning needs and remediate talent gaps, particularly for hard-to-fill positions. Skilled tradespeople — such as electronic industrial controls mechanics, stonemasons and decorative plasterers — comprise more than 70 percent of the agency's workforce. To mitigate the inevitable loss of these specialized employees through attrition or retirement, the AOC implemented succession planning strategies to ensure continuity of institutional knowledge and expertise. The AOC's recruiting has focused on the skilled trades within professional associations and military, veteran and university populations. Human Capital Management Division staff made recruiting visits to the American College of the Building Arts and the Pennsylvania College of Technology (see **Capitol Highlights: A Prospective Partnership**). The agency also increased the use of paid recruiting advertisements in specialized recruitment sources and websites such as the International Facility Management Association, Society of American Military Engineers, American Public Gardens Association, Construction Management Association and the Society of Human Resources Management.

The AOC's FY 2020 workforce retention efforts focused largely on improving employee access to training and development opportunities. The AOC launched a new learning management system that provides individualized training plans and advanced search functions for specialized training opportunities. For supervisors, the agency organized a symposium focused on leadership training. In addition, the Architect's Mobility Program continues to provide staff with opportunities to develop new skillsets.

As the AOC looks ahead, it will continue developing the learning management system and other online training resources. The AOC will also develop a stand-alone five-year Human Capital Strategic Plan that will support the agency's strategic priorities, goals and objectives.

### Workplace Safety and Health

**Challenge:** The AOC is responsible for providing a safe and healthy environment for all who work on or visit the Capitol campus. The agency strives to uphold these standards by integrating emergency preparedness measures, life safety and fire protection planning and environmental compliance into its daily operations and large-scale projects. Ensuring access to public buildings and preserving the AOC facilities'



*Above* An AOC team member documents safety findings for abatement during a self-inspection. The agency promotes a robust safety culture that recognizes and manages risks and improves compliance.

historic and architectural integrity while meeting the safety requirements of the Capitol campus is a significant management challenge. This challenge was compounded by the COVID-19 pandemic this fiscal year.

**AOC Initiatives:** The AOC is focused on fostering and sustaining a robust safety culture. The agency continually works to integrate precautionary measures into its operations, and its safety team supports construction projects across the Capitol campus. This support includes design reviews, fire and life safety code compliance, fire alarm testing, walk-through inspections, construction specifications and hazardous waste management.

This fiscal year, the AOC drove an effort to implement an Integrated Safety Management System (ISMS) across the agency — a coordinated, systematic framework to plan, support and evaluate safety programs — to standardize programs, identify and implement best practices and improve safety awareness. The ISMS identified electrical safety as a targeted program to address in FY 2020. As a result, the AOC provided electrical safety training to superintendents and 185 electrical workers covering multiple risks and safety precautions. The training topics included arc flash and shock hazards, personal protective equipment, insulated tools and testing equipment, body positioning and emergency response. Nineteen additional employees received specialized electrical circuit training to help them identify and avoid risks from the older electrical code wiring practices that exist in the agency's historic buildings.

The AOC's preparations for the COVID-19 pandemic began in December 2019, when the agency began tracking the developing situation and updating its pandemic plan. The agency developed guidance documents, coordinated emergency response for cleaning, researched evolving



developments, mandated face coverings for employees, initiated contact tracing program to limit the potential spread of the virus on the Capitol campus, coordinated with the Office of Attending Physician, provided daily situational reports, and provided weekly information updates to AOC leadership. Later, agency senior staff participated in a Return-to-Work Tiger Team and created a COVID-19 pandemic operations and return-to-work plan. One of the primary outcomes of the team was the development and dissemination of COVID-19 employee and supervisor toolkits and a mandatory return-to-work training video for all employees.

Looking ahead, the AOC will continue implementing more elements of the safety management system, including an industry-leading environmental, health and safety software. This expansion will provide the AOC with a standardized, streamlined method for reporting injuries and illnesses across the agency and will support the identification of risks that can be mitigated to prevent additional injuries and illnesses. The agency is planning additional incident investigation training to support root cause analysis, resilient systems and injury prevention.

# The Year in Photos

From the day-to-day activities of the AOC to major projects and special events, our photographers document the activities of the agency. These photos defined the fiscal year at the AOC.

1. A renovated committee room in the Russell Senate Office Building.
2. The AOC recoated the cast-iron Bartholdi Fountain.
3. Social distancing markers were installed throughout the Capitol campus.
4. J. Brett Blanton, the 12th Architect of the Capitol, with his family.
5. The courtyard during the Cannon Renewal Project, Phase 2.
6. The AOC employed new cleaning protocols to mitigate the spread of COVID-19.
7. The Jefferson Building illuminated in purple and gold for the 19th Amendment's centennial anniversary.
8. An autumn view of the U.S. Capitol Building.
9. An AOC gardener plants summer annuals and perennials.
10. Congressman John R. Lewis honored at the U.S. Capitol in July 2020.





SECTION

# 02



# Performance Information

## INTRODUCTION

This section presents the AOC's FY 2020 performance and progress toward achieving the goals identified in the AOC Strategic Plan FY 2017–2021. The Strategic Plan defines four strategic goals that focus the agency's efforts to execute the mission, leverage core competencies and pursue the AOC's vision as a trusted partner of Congress and the Supreme Court. The first two goals, Maintain Awe-Inspiring Facilities (AIF) and Provide Extraordinary Services (ES), are program-oriented and align with the agency's core mission areas. The next two goals, Foster an Innovative and Empowered Workforce (IEW) and Operate as One Team, Dedicated to One Mission (OTOM), are values-focused and promote employee engagement and accountability as well as a culture of innovation, collaboration and safety.

The Strategic Plan defines strategic objectives for each strategic goal that reflect the outcome or impact that the AOC strives to achieve. Specific strategies lay the course for how the AOC will meet each strategic objective, while key performance indicators (KPI) allow the AOC to measure performance against specific targets to monitor progress towards meeting the strategic objectives and goals. Issued on an annual basis and covering a two-year period of the Strategic Plan implementation, the AOC's Performance Plan defines a set of strategic initiatives that are intended to boost the agency's ability to accomplish its strategic goals, as well as a governance framework to support effective executive engagement and key stakeholder accountability. The AOC refreshes the Performance Plan annually to adapt its approach based on performance reviews and changes in internal and external operating environments. The AOC also makes updates to the Strategic Plan (changes to objectives, strategies and KPIs) when it issues the Performance Plan. To better align the mission and AOC Strategic Plan with the agency's programs and operations, the AOC

*Left* The U.S. Capitol Grounds are comprised of 286 acres, which includes lawns, parks, trees, horticultural display beds, gardens and decorative elements. It was named an accredited arboretum in 2017.

**Table 13**  
Strategic Objectives and Key Performance Indicators by Strategic Goal

STRATEGIC GOAL	STRATEGIC OBJECTIVES	KEY PERFORMANCE INDICATORS
Maintain Awe-Inspiring Facilities	2	7
Provide Extraordinary Services	1	4
Foster an Innovative and Empowered Workforce	3	23
Operate as One Team, Dedicated to One Mission	2	8
<b>Total</b>	<b>8</b>	<b>42</b>

refined its key performance indicators in FY 2020. After a facilitated session with agency leadership in FY 2019, the AOC identified and agreed on specific priority indicators, targets and data availability. The AOC adopted a phased approach for the implementation of these indicators and, in FY 2020, added new measurements for facilities, safety and administrative programs. For more information on the AOC's Strategic Plan, refer to: [www.aoc.gov/publications](http://www.aoc.gov/publications).

### Performance Management

As a legislative branch agency, the AOC is not required to report performance information but chooses to do so as a best practice for transparency and accountability. Likewise, the AOC is not required to submit its performance results to the Office of Management and Budget (OMB), and this Performance Information section is not linked to the executive branch's performance and accountability website, [www.performance.gov](http://www.performance.gov). Similarly, the AOC does not contribute to OMB's Cross-Agency Priority (CAP) Goals

used to accelerate progress on select presidential priority areas where implementation requires active collaboration among multiple agencies.

This section lists each strategic goal with its associated strategic objectives, strategies and KPIs. Each KPI includes a definition, targets, current-year results, five prior years of data (when available) and data sources.<sup>9</sup> As identified in **Table 13**, the AOC planned to track 42 KPIs in FY 2020, aligned with eight strategic objectives.

As shown in **Figure 26**, the AOC met the performance targets for eight of 19 indicators that had a performance target for this fiscal year. The AOC did not meet the target for 11 KPIs and did not measure 17 indicators due to activities placed on hold as a result of COVID-19. The AOC established a baseline level of performance for six new indicators.

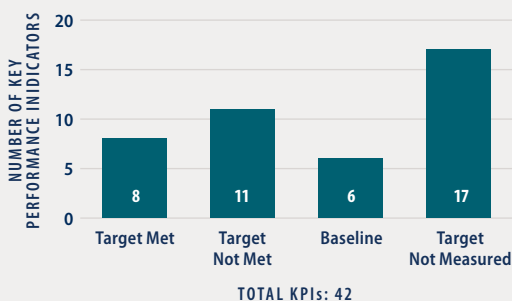
### COVID-19 Pandemic and Agency Performance

The COVID-19 pandemic prompted a shift in the AOC's operations. While the Capitol campus remained open for congressional members, staff and official visitors, it was closed to the general public from mid-March through the end of the fiscal year. To protect the health and well-being of its employees, visitors and building occupants, the agency minimized its on-site staff and maximized telework, with approximately 900 personnel teleworking on a full-time basis during the peak of the pandemic. While the agency continued its construction projects, it implemented social distancing procedures to promote safety. To continue essential services, the AOC balanced fulfilling service requests with protecting employee health and safety, while also maintaining sufficient staff that could be recalled to backfill employees who might become ill or need to be quarantined. These necessary precautions caused a shift in focus and influenced operational performance in some areas.

Further, in March 2020, the U.S. Office of Personnel Management (OPM) postponed the 2020 Federal Employee Viewpoint Survey (FEVS) to enable agencies to support their

<sup>9</sup> Targets may not be available for the new indicators that established a baseline level of performance in FY 2020.

**Figure 26**  
Key Performance Indicator Results



critical missions and maximize survey participation. The AOC also postponed the administration of this survey.

Operating during a pandemic resulted in the AOC establishing new protocols and steps to keep agency personnel, colleagues and visitors to the Capitol campus safe and healthy. To assist in preparedness for, response to and recovery from the pandemic across the Capitol campus, the AOC undertook a range of processes and activities (e.g., contact tracing, enhanced facility cleaning and others). Following a discussion of the AOC's performance under its four strategic goals, this year's Performance Information section concludes with a supplemental section on the agency's COVID-19 performance (see **COVID-Related Activities** on Page 81).

## DATA VALIDATION AND VERIFICATION

The AOC is committed to ensuring the completeness, reliability, usefulness and quality of all performance data included in the PAR and has mechanisms in place to validate and verify the accuracy of reported information. These efforts primarily entail regular internal agency assessments that address standards and processes, data entry, transfer, integrity, limitations, stewardship and governance. The assessments occur frequently in the development stages of dashboards and management reports to mitigate errors that may occur before deployment, as well as to confirm the usefulness of the data in decision-making processes. Subject matter experts and agency executives conduct data-driven meetings to evaluate performance. The AOC's data validation and verification includes:

- Use of applied measurement techniques to identify sources, validate data and generate meaningful information
- Identification and implementation of authoritative sources, calculations and standards
- Use of automated data collection systems, when available
- Use of automated and manual data checking procedures
- Analysis of data and identification of possible discrepancies for resolution
- Implementation of controls such as restricting permissible values, flagging outliers for review and visualizing results for visual checks
- Review by data owners, data users and subject matter experts
- Deployment of enterprise tools for standardized reporting
- Review and discussion of performance results with the agency's senior leadership
- Improvement of data integrity by ensuring that the agency's internal reports and dashboards use the same data sources and support calculations



*Above* Signs reminding individuals to practice social distancing can be found throughout the Capitol campus, including inside the U.S. Capitol Visitor Center.

The long-term goals, described in the AOC's Strategic Plan, inform the annual KPIs included in this report. The AOC maintains documentation for each KPI. This documentation includes a description of the KPI's relevance, data source and owners, the calculations used to build the KPI, data validation steps, definitions of relevant terms and a summary of data limitations and risks that might impair accuracy. The AOC uses this information to improve the validity, accuracy and depth of the data used to measure performance. The AOC leveraged its corporate performance dashboards to assess performance and ensure data quality. The dashboards enable the automated reporting of analytics with authoritative data. To improve the reliability of its performance data, the AOC certified data sources, performed quality checks of the indicators' outputs and utilized the dashboard software to flag input errors and execute test calculations. In the future, the AOC will examine the use of real-time alerts to notify stakeholders via email when KPI performance falls outside an acceptable threshold.

In FY 2020, the AOC was not required to have, nor did it fund, research or program evaluations related to the agency's program performance. As a result, this report does not include evaluation findings. However, because of operational impacts resulting from COVID-19, the AOC conducted an internal review of all KPIs and strategic initiatives to assess execution status, performance impacts and data availability. The AOC achieved this through interviews with strategic initiative leads, reviews of delayed activities and assessments of indicators within the AOC's Corporate Performance Dashboard. **Appendix H** provides a summary of the changes to the KPIs tracked this fiscal year.

### Key to Performance Results

*Target Met* ✓

*Target Not Met* ✗

*Baseline Established* +

*Not Measured* —



*Above* In FY 2020, the AOC continued the restoration of the exterior envelope of the Russell Senate Office Building. The agency's strategic goal to Maintain Awe-Inspiring Facilities includes the conservation of core facilities and grounds stewardship responsibilities.

### STRATEGIC GOAL 1: MAINTAIN AWE-INSPIRING FACILITIES

**Goal Description:** The AOC's mission centers on its stewardship of the buildings, structures and grounds of the Capitol campus. It is our duty to ensure that every visitor to Capitol Hill experiences the grandeur of these historic treasures at their very best.

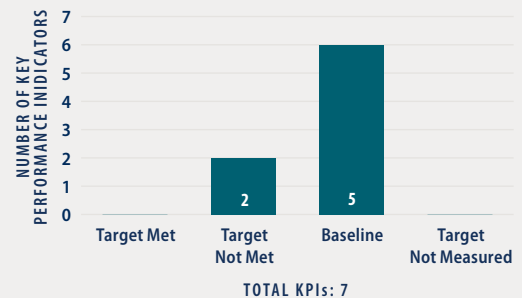
This strategic goal includes two strategic objectives and two strategies. To accomplish these objectives and strategies, the agency invested in six strategic initiatives. The AOC monitored seven KPIs for this strategic goal in FY 2020, the results of which are summarized in **Figure 27**.

#### Strategic Objective 1.0: Reliably deliver high-quality capital projects

The AOC strives to deliver all capital improvement projects on time, within budget, safely, with high quality and with minimal disruptions to mission critical client operations. One strategy and one strategic initiative support this strategic objective.

The strengthen, standardize and streamline project delivery processes, roles and responsibilities strategic

**Figure 27**  
Key Performance Indicator Results for Strategic  
Goal 1: Maintain Awe-Inspiring Facilities



initiative includes defining and tracking project indicators, implementing the project management information system (PMIS), incorporating enhanced project planning, development and processes, managing roles and responsibilities through “RACI” (responsible, accountable, consulted and informed) matrices and minimizing and mitigating unplanned disruptions. This initiative is designed to streamline stakeholder coordination and align processes for improved project execution.



STRATEGY	STRATEGIC INITIATIVE
<ul style="list-style-type: none"> <li>Identify, analyze and strengthen critical management processes, resources and assignment of responsibilities for successful project delivery</li> </ul>	<ul style="list-style-type: none"> <li>Strengthen, standardize and streamline project delivery processes, roles and responsibilities</li> </ul>

## ANALYSIS OF FY 2020 RESULTS

In FY 2020, the AOC continued piloting PMIS and offered virtual classes to prepare staff for implementation across its capital project portfolio in FY 2021. The implementation of this new system improves processes, data collection and reporting on project status. To strengthen accountability and transparency throughout the project delivery lifecycle, the agency began incorporating enhanced planning processes into PMIS and defined roles and responsibilities through RACI matrices. The AOC also analyzed practices that led to unplanned disruptions and began using new standardized definitions for project tracking.

### **NEW!** Projects Delivered On Time, Within Budget and Safely (AIF KPI 1, 2, 3)

These indicators measure the AOC's ability to plan, manage and deliver capital projects to strict standards. In FY 2020, the AOC began using PMIS to manage active Line Item Construction Program (LICP) and construction projects with an estimated cost exceeding \$2 million. The use of PMIS improved the AOC's ability to consistently track project status and generated data regarding project execution and delivery. With these baselines defined, the agency has set targets to accomplish and improve project delivery.

**On Time:** This new KPI tracks the delivery of new construction projects within the agreed timeline. The AOC defines a project as "on time" if the forecast completion date is on or before the external client delivery date and is on or before the current completion date. Based on current data, over 75 percent of projects are on time. The AOC used the indicator baseline data and industry benchmarks to set a target at 80 percent or greater. **Baseline Established +**

**Within Budget:** This new KPI tracks the delivery of new construction projects within their established budget. A project is considered "within budget" if the remaining contingency after potential change orders is greater than or equal to \$0 and the forecast cost is less than or equal to remaining contingency after change orders. This fiscal year, 91.8 percent of the AOC's construction projects were within budget. The AOC used this baseline data and industry benchmarks to set an FY 2021 target at 90.0 percent or greater. **Baseline Established +**

**Safely:** This new KPI tracks the safe delivery of new constructions projects to Occupational Safety and Health Administration (OSHA) guidelines. Project safety is measured using the OSHA recordable incident rate: (number of injuries) x (200,000) / (total hours worked by employees). A project is considered delivered "safely" if the total

recordable incident rate is less than or equal to 75 percent of OSHA's industry average. The AOC's FY 2020 baseline shows 83.4 percent of projects below the industry average. The AOC's FY 2021 target for this measure will be set at 80.0 percent or greater. **Baseline Established +**

### **Strategic Objective 2.0:** **Preserve, maintain and operate facilities and cultural and natural resources at the highest quality levels**

To accomplish this objective, the AOC is researching industry standards to inform the development of implementation plans for achieving desired levels of performance for each of the AOC's key operational functions. Five strategic initiatives support this strategic objective — one for each key function.

STRATEGY	STRATEGIC INITIATIVE
<ul style="list-style-type: none"> <li>Research, analyze and select the most appropriate industry standards, desired levels of performance and associated implementation plans for achieving desired levels of performance for each of the AOC's key operational functions</li> </ul>	<ul style="list-style-type: none"> <li>Integrated Safety Management System (ISMS)</li> <li>Facilities management — emergency power standards</li> <li>Facilities management — HVAC/R standards</li> <li>Gardens and grounds standards</li> <li>Construction project security and resilience standards</li> </ul>

## ANALYSIS OF FY 2020 RESULTS

In FY 2020, the AOC reported progress toward this strategic objective using four KPIs. While the AOC made advances with the strategic initiatives supporting this strategic objective in FY 2020, the COVID-19 pandemic impacted this work and impeded key activities. The AOC placed activities requiring in-person training on hold and delayed others that required jurisdiction collaborations as staff resources shifted to focus on the pandemic response.

In FY 2020, the AOC made progress in implementing the Integrated Safety Management System (ISMS) by assessing the health of the electrical/arc flash program to reduce safety risks to AOC employees. Due to the limitations imposed by COVID-19, the AOC placed the Safety Observations and Reflections (SOAR) activity within the ISMS on hold because it required staff to observe and report findings of on-site safety scenarios. For emergency power standards, memoranda of understanding detailing roles and responsibilities were signed by each jurisdiction and standard operating procedures and preventative maintenance work orders were entered into the AOC's computer-assisted facility management system. Emergency power standards training for key personnel also required on-site attendance that will resume in FY 2021. Although the draft gardens and grounds and project construction security standards are complete, the jurisdictional reviews and implementation



### *Capitol Highlights*

## THOMAS JEFFERSON BUILDING ROOF REPLACEMENT

When the Thomas Jefferson Building opened in 1897 as the permanent home of the Library of Congress, it was widely acclaimed for its grandeur. For nearly a century, this remarkable building has been under the care of the AOC, which has worked to maintain, repair and restore its noble and historic character.

Over the decades, the Jefferson Building's copper roofing system has proven to be a particular maintenance and conservation challenge — the roof, dome and torch were last replaced by the AOC in 1998. However, significant water intrusion issues necessitated another major roof system replacement. During FY 2019, the AOC completed repairs to the copper roof and skylight over the West Main Pavilion and Great Hall.

The Library Building and Grounds jurisdiction completed the project on time and under budget in FY 2020, replacing

the roof over the Jefferson Building's East Main Pavilion, which houses the Rare Book and Special Collections Reading Room — the Library's most valuable collection storage space. Deficiencies in the existing copper roofing system had allowed water infiltration. The AOC replaced approximately 9,000 square feet of flat seam copper with a cold fluid-applied liquid membrane roof system to provide a watertight seal, in addition to making masonry repairs. During this project, the team made extensive use of risk management techniques and lessons learned from earlier project phases.

The successful repair and replacement of the Jefferson Building roof helps ensure critical long-term protection for the Library of Congress' invaluable collection of rare books, posters, archival documents, photographs, medieval and Renaissance manuscripts and more.

schedules were delayed due to the shifting priorities of team members. Similarly, the AOC placed the development of facilities management for heating, ventilation, air conditioning and refrigeration (HVAC/R) standards on hold. An analysis of preventative frequency performed during the pandemic, as well as new leadership direction, will inform the approach.

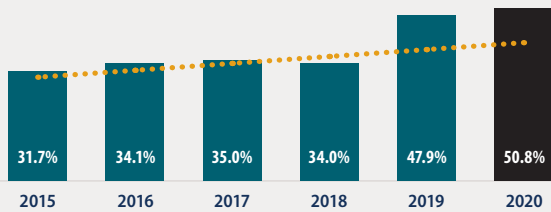
### Energy and Sustainability Targets (AIF KPI 4)

This annual KPI measures the success of the AOC's energy and sustainability program through five components: reduce energy intensity use, reduce potable water use, divert building occupancy waste, compost nonconstruction waste and divert construction and demolition debris. Each component has its own target and the KPI requires the AOC to meet the targets for each component. This fiscal year, as shown in **Figure 28**, the AOC met its targets for four of the five energy and

Figure 28

## Energy and Sustainability Targets

## REDUCE ENERGY INTENSITY USE

**Target**

Reduce cumulative annual energy intensity use an additional 2.0% (40.0% target for FY 2020)

**Definition**

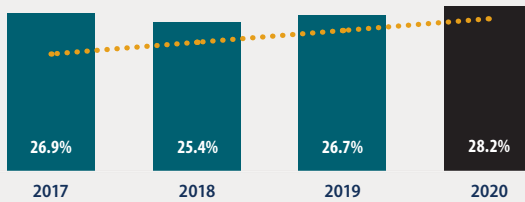
BTUs divided by buildings' gross square feet

**Source**

Utility bills

✔ Component Target Met

## REDUCE POTABLE WATER USE

**Target**

Reduce cumulative annual potable water use an additional 2.0% (26.0% target for FY 2020)

**Definition**

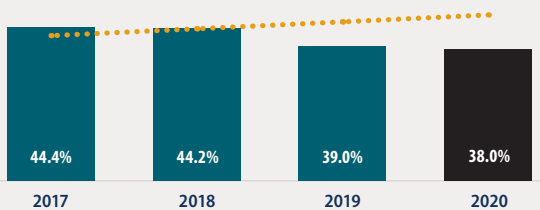
Water usage divided by buildings' gross square feet

**Source**

Utility Bills and meters

✔ Component Target Met

## DIVERT BUILDING OCCUPANT WASTE

**Target**

Divert cumulative annual building occupant waste an additional 2.0% (48.0% target for FY 2020)

**Definition**

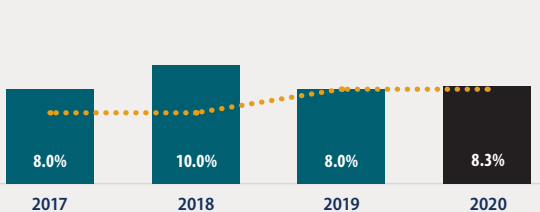
Occupant waste diverted divided by total occupant waste

**Source**

PPM Sustainability Information Management System

✘ Component Target Not Met

## COMPOST NONCONSTRUCTION WASTE

**Target**

Compost 8.0% of nonconstruction waste annually (pre-FY 2019 target was 6.0%)

**Definition**

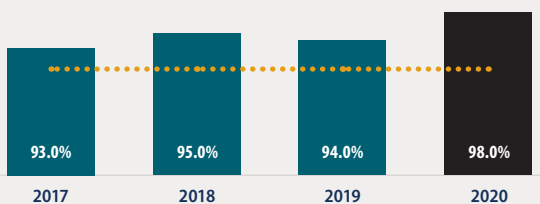
Nonconstruction waste composted divided by total nonconstruction waste

**Source**

PPM Sustainability Information Management System

✔ Component Target Met

## DIVERT CONSTRUCTION AND DEMOLITION DEBRIS

**Target**

Divert 90.0% of annual construction and demolition debris from landfills

**Definition**

Construction and demolition debris reduced, reused or recycled divided by total construction and demolition debris

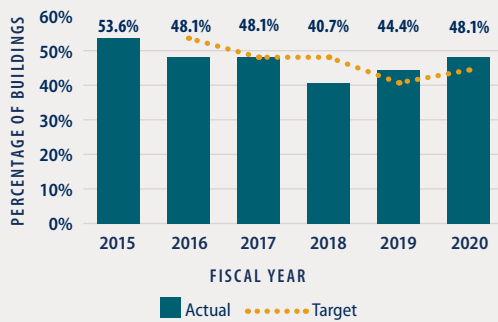
**Source**

PPM Sustainability Information Management System

✔ Component Target Met

**Result:** ✘ **Target Not Met** The AOC met the energy and sustainability target for four of the five KPI components. All components must be met to achieve the overall target.

**Figure 29**  
Facility Condition Index



**Definition**

Percentage of buildings in poor or fair condition

**Source**

AOC Facility Assessments, FY 2020

**Target**

Percent of buildings in poor or fair condition  
<= previous year

**X Target Not Met**

sustainability components tracked. As the agency did not achieve all five targets, the AOC did not achieve its targeted performance for this KPI in FY 2020. **Target Not Met X**

**Reduce Energy Intensity Use:** This component measures the AOC's cumulative reduction of energy use. The target calls for a reduction of 2 percent annually from the prior year goal (i.e., a 40 percent target for FY 2020). The AOC met its energy reduction target for FY 2020, achieving a cumulative reduction of 50.8 percent. The continued efficiency of the cogeneration plant was the primary source of the agency's energy savings. In addition, completed ESPCs in the U.S. Capitol Building and the House and Senate office buildings continue to provide energy and water savings. Further savings resulted from retro-commissioning existing mechanical systems and improving building system monitoring. Implementation of large-scale campus infrastructure projects such as the Cannon Renewal Project and a new ESPC at the Library Buildings and Grounds will help the agency to meet future targets.

**Reduce Potable Water Use:** This component measures the AOC's cumulative reduction of potable water usage. The target calls for a 2.0 percent reduction from the prior year (i.e., a 26.7 percent target for FY 2020). The AOC met the target in FY 2020 with a reduction of 28.2 percent. The AOC focused on water consumption and continued to reconcile water usage, malfunctioning meters and billing. The AOC's current potable water survey will identify opportunities for improved efficiency and quantify savings.

**Divert Building Occupant Waste:** This component measures the amount of building occupant waste (e.g., paper, bottles, cans, printer cartridges and decommissioned

computer equipment) the AOC diverted from landfills for recycling. The AOC's target for FY 2020 was to divert 46.0 percent of waste from landfills for recycling. The AOC did not meet the target, diverting 38.0 percent of waste produced. Disruptions to the recycling industry, including a changing international market and COVID-19, have affected the AOC's ability to meet its target for this KPI. However, the AOC continues to minimize its materials footprint and look for additional opportunities to divert building occupant waste.

**Compost Nonconstruction Waste:** This component measures the amount of nonconstruction waste (e.g., food waste and organic waste) diverted from landfills for composting and reuse as mulch or fertilizer. The AOC's annual target is to compost 8.0 percent of its nonconstruction waste. In FY 2020, the AOC met its target by composting 8.3 percent of its nonconstruction waste.

**Divert Construction and Demolition Debris:** This component measures the amount of construction and demolition debris (i.e., the byproduct of construction, remodeling, renovation and repair) diverted from landfills for recycling or reuse. The AOC's annual target is to divert 90.0 percent of its construction waste. In FY 2020, the AOC met its target by diverting 98.0 percent of its construction and demolition debris. Two recent business impacts on the recycling industry have affected the agency's ability to meet its diversion target: a changing international market and COVID-19. Despite these factors, the agency continues to take actions to minimize its materials footprint.

For more information, see the AOC's annual Energy and Sustainability Performance Management Report, located in **Section IV: Other Information.**

**NEW! Facility Condition Index (FCI) (AIF KPI 5)**

The Facility Condition Index (FCI) is a standard facility benchmark to objectively assess a facility's current and projected condition. The FCI categorizes facilities either as poor, fair, good or very good. The FCI is calculated as the cost of deferred maintenance divided by the current replacement value. A ratio of less than 0.02 is considered very good, between 0.02 to 0.05 is good, between 0.05 to 0.10 is fair and more than 0.10 is poor.

This KPI measures the AOC's ability to maintain facilities in either very good or good condition. The target for FY 2020 is for the percent of major buildings in poor or fair condition to be less than or equal to that of the previous year. As shown in **Figure 29**, in FY 2020, the percentage of buildings in poor or fair condition was 48.1 percent. The AOC made progress in FY 2020 to reduce its backlog for design and construction projects by more than \$93 million through the FY 2020 LICP. The AOC did not meet its target for this KPI. **Target Not Met X**



*Above* The AOC works around the clock, 365 days a year, to maintain the iconic buildings and grounds under its stewardship.

#### **NEW!** Energy Reduction by Building (AIF KPI 6)

This KPI measures the AOC's progress of reducing energy usage within each building. In FY 2020 the AOC conducted meetings with each jurisdiction to reevaluate energy targets for steam, chilled water and electricity for each building. The AOC assessed energy consumption data and energy usage intensity from previous years to establish new, agreed-upon targets that take into consideration the current operating environment and ongoing energy conservation projects. Performance will be reviewed at energy management working group meetings and corporate facility management meetings. The AOC will implement these new targets in FY 2021 and manage accordingly. **Baseline Established +**

#### **NEW!** Americans with Disabilities Act Remediation (AIF KPI 7)

This KPI measures the AOC's progress toward remediating *Americans with Disabilities Act* (ADA) findings from inspections conducted by the Office of Congressional Workplace Rights (OCWR). Findings from OCWR inspections assess compliance in accessibility elements such as access barriers and accessible ramps, doors, bathrooms and water fountains. In FY 2020, the AOC closed 38 OCWR findings, amounting to 53 percent of the total findings. This is a result of enhanced core competency and education on ADA requirements, increased stakeholder coordination and a focus on remediation through regular

maintenance processes. The AOC also logs and maintains actions on ADA findings in the AOC's work order system to better account for and close findings. The AOC baselined the number of closed findings in FY 2020 and is evaluating a measurement target for FY 2021. **Baseline Established +**

#### FUTURE EFFORTS

Looking ahead, the AOC will continue to implement enterprise-level initiatives through the AOC's Performance Plan and work on strategic initiatives efforts delayed by COVID-19.

In FY 2021, the AOC will use the project management system for all study, design and construction projects. The agency will also leverage lessons learned from the development of the RACI matrices to make project team members aware of their roles and responsibilities. The AOC will complete a comprehensive update of the project management manual to integrate key planning processes. The AOC will continue to measure and report on project delivery KPIs for timeliness, budget and safety as well as set baselines and targets for KPIs associated with project delivery at high quality and with minimal unplanned disruptions. A new enterprise asset management program will also be introduced to improve the life cycle and efficiency of building equipment and systems, maintenance schedules, procurement, employee skills and tools.



*Above* This fiscal year, the AOC was honored to support the lying in state ceremony for Congressman Elijah Cummings, held in the U.S. Capitol's National Statuary Hall in October 2019.

## STRATEGIC GOAL 2

### PROVIDE EXTRAORDINARY SERVICES

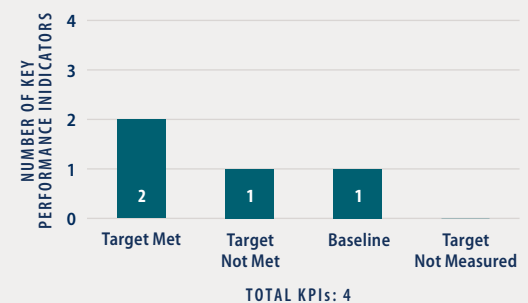
**Goal Description:** We support our prestigious occupants in their critical mission to govern our country. We fulfill the journey of visitors from across our nation and around the world to celebrate and discover the center and symbol of American democracy. Our internal and external services are equally essential in the successful fulfillment of our mission, values and vision.

This strategic goal aims to advance an organizational culture that is focused on consistently recognizing and meeting customer needs by being responsive and courteous and taking ownership for actions. The goal includes one strategic objective supported by two strategies for which the AOC implements two strategic initiatives. The AOC monitored four KPIs for this strategic goal in FY 2020, summarized in **Figure 30**.

**Table 14** defines the types of customer services associated with this strategic goal. The term “client” includes members of Congress and the Supreme Court, their staff and employees of other federal agencies working in AOC-managed facilities. The term “visitors” encompasses all

**Figure 30**

Key Performance Indicator Results Achieved for Strategic Goal 2: Provide Extraordinary Services



persons coming to Capitol Hill, whether for business or leisure. The term “internal” refers to AOC employees.

#### **Strategic Objective 1.0:** Demonstrating our expertise while exhibiting responsiveness, ownership and courtesy to all internal and external customers

This strategic objective focuses the agency’s workforce on delivering extraordinary customer service to the AOC’s internal and external stakeholders. To achieve this strategic objective the AOC employs two strategies.

Table 14

## Customer Types Associated with the Provide Extraordinary Services Strategic Goal

CUSTOMER TYPE	DESCRIPTION
Client Services	Client services include normal and special request services provided to building tenants. A service call, written request or technician work order typically initiates normal client services (e.g., painting services, deliveries and picture framing). Client services also include special event support (e.g., presidential inauguration) and the biennial election year office moves.
Visitor Services	Visitor services include the AOC efforts to provide a welcoming, informative and inspiring experience for Capitol campus visitors. The AOC provides public tours, training, exhibitions and lectures to enhance the visitor experience and manages restaurant and gift shop operations.
Internal Services	The AOC has many collaborative partnerships among its business units. Internal customer services include human resources, contracting and procurement, information technology, security, safety, financial services, project management, strategic planning and communications.

Under the first strategy, the agency administers customer satisfaction surveys for each major line of business to understand how customers view the quality and types of services provided by the AOC. In FY 2020, The AOC developed a customer service analytics framework leveraging industry standards and best practices to identify indicators, surveys and data-gathering mechanisms for each jurisdiction to regularly collect and assess customer feedback. It includes the capture of real-time customer service data from automated systems and after-action or post-event surveys. Newly designed enterprise client, visitor and internal surveys will be conducted annually or biennially for in-depth analysis. Data and indicators will be compiled into KPI dashboards that will be used to monitor performance and make improvements through data-driven decisions. In FY 2020, the AOC conducted a survey of building occupants to better understand current levels of customer sentiment and satisfaction with services. The data and analysis from the surveys will inform and prioritize actions to elevate levels of customer satisfaction. See **Figure 31** for the schedule of the AOC's customer satisfaction surveys for FY 2020 and FY 2021.

The second strategy seeks to improve the AOC's ability to understand and enhance the customer experience. To operationalize this strategy, the AOC launched a customer experience (CX) program in FY 2019 as part of the AOC CX Strategy and Roadmap. In FY 2020, the CX program activities included:

- CX Champions Group — Formed the AOC CX Champions Group to facilitate continued knowledge sharing, cross-organizational collaboration and shared learning on customer service and experience best practices
- CX training — Developed training for all supervisors and employees to enhance customer service skills and strengthen a customer-focused mindset
- Customer service standards for inclusion in employee performance plans — Researched customer service standards that apply to elements of employee performance and compiled applicable standards by customer group and position type

STRATEGY	STRATEGIC INITIATIVE
<ul style="list-style-type: none"> <li>■ Regularly administer and refine, as appropriate, customer satisfaction surveys for each major line of business in the AOC</li> </ul>	<ul style="list-style-type: none"> <li>■ Enhanced customer service analytics</li> </ul>
<ul style="list-style-type: none"> <li>■ Enhance the AOC's ability to understand and respond to customer needs and enhance the customer experience</li> </ul>	<ul style="list-style-type: none"> <li>■ Customer experience program</li> </ul>

## ANALYSIS OF FY 2020 RESULTS

The AOC met two of the three KPIs measured in FY 2020 associated with this strategic objective and baselined one.

## Customer Satisfaction With Projects (ES KPI 1)

This annual KPI measures customer satisfaction with AOC-led design services and construction management to ensure the AOC delivers construction projects with high customer satisfaction. A customer satisfaction survey following the completion of projects provides the data for this KPI. The target for this KPI is a 90.0 percent satisfaction rating.

Figure 31

## FY 2020–FY 2021 Customer Satisfaction Survey Schedule

FISCAL YEAR	2020	2021
Internal Customer Satisfaction		●
CVC Customer Satisfaction Survey		●
Customer Satisfaction with Projects	●	●
Facility Management Customer Satisfaction Survey	●	



### *Capitol Highlights*

## THE AOC SUPPORTS THE LYING IN STATE CEREMONIES FOR THREE HISTORIC PUBLIC SERVANTS

The U.S. Capitol is considered the most suitable place for the nation to pay final tribute to its most distinguished citizens by having their remains lay in state. In FY 2020, the AOC was honored to support the lying in state of U.S. Congressman Elijah Cummings, U.S. Congressman John R. Lewis and Supreme Court Justice Ruth Bader Ginsberg — all venerated champions of human rights.

Representatives Cummings and Lewis shared much in common. Both were sons of sharecroppers who rose to become civil rights leaders and congressmen. As long-serving representatives, they were among the most esteemed members of Congress. Mr. Cummings, first elected in 1996, was serving his 13th term in the House of Representatives. He had previously served for over a decade in the Maryland House of Delegates. Mr. Lewis, known for his activism during the civil rights movement, was first elected to Congress in 1986 and was serving his 17th term in the House, where he was also the dean of the Georgia congressional delegation.

Justice Ginsburg, a leading litigator for women's rights in the 1970s, was nominated in 1980 to the U.S. Court of Appeals for the District of Columbia by President Jimmy Carter. In 1993, Justice Ginsburg was nominated to the Supreme Court of the United States by President Bill

Clinton and confirmed by the United States Senate — becoming the second woman to serve on the nation's highest court.

The AOC coordinates teams across the Capitol campus for lying in state ceremonies, ensuring that no detail is overlooked. The ceremony for Mr. Cummings took place on October 24, 2019 in National Statuary Hall, with a public viewing at the entrance to the House Chamber in the U.S. Capitol Building. The ceremony for Mr. Lewis was held on July 27-28, 2020 and included a small memorial service in the Rotunda, followed by a public viewing on the U.S. Capitol's East Front steps. After lying in repose in front of the Supreme Court of the United States on September 23-24, 2020, Justice Ginsburg became the first woman and the first Jewish person to lie in state at the U.S. Capitol, with a ceremony in National Statuary Hall on September 25, 2020. The ceremonies for Mr. Lewis and Justice Ginsburg accommodated COVID-related safety measures.

For a complete list of those who have lain in state or honor\* at the U.S. Capitol, visit [www.aoc.gov/what-we-do/programs-ceremonies/lying-in-state-honor](http://www.aoc.gov/what-we-do/programs-ceremonies/lying-in-state-honor)

\*The lying in state ceremony is held for eminent government officials and military officers, while the lying in honor is for select private citizens.



In FY 2020, the AOC conducted 45 project surveys, including surveys related to the design services for the Thomas Jefferson Building's gift shop renovation, ceiling updates at the Russell Senate Office Building and sprinkler system upgrades in the Madison Building. Based on the surveys completed in FY 2020, the AOC achieved a 95.0 percent satisfaction rating. As shown in **Figure 32**, this is the sixth year in a row that the AOC has met or exceeded its goal. This was the first full year of the redesigned survey that incorporated questions and themes aligned to attributes with the Maintain Awe-Inspiring Facilities goal linked to schedule, budget, quality, safety, minimized disruptions and collaboration. A free text field in the new survey tool captured recommendations for improvement from customers that will be used to develop process enhancements going forward. **Target Met** ✓

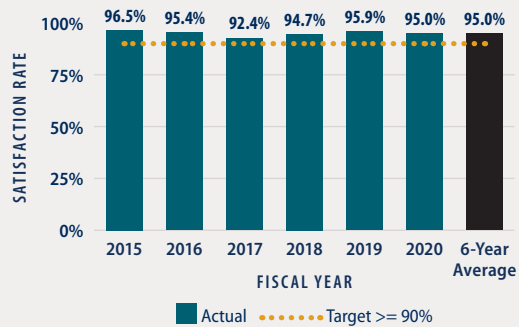
#### **NEW!** Employees Trained on the AOC's Customer Service Philosophy (ES KPI 2)

The CX program developed materials for an in-person customer experience training for staff and supervisors. This training is intended to strengthen employee competence in effective customer service delivery and is tailored for the customer groups that the AOC workforce serves and the types of services that they provide. The target for this KPI was to develop and provide training to 100 percent of AOC staff and supervisors in FY 2020. While the AOC was able to develop and pilot the training, the COVID-19 pandemic prevented the AOC from delivering the training to the workforce. The AOC began exploring virtual delivery methods for the training and updating the training schedule to ensure that all employees can participate and benefit from the training. As a result, the AOC has pushed the implementation of its training to FY 2021. **Target Not Met** ✗

#### **NEW!** TripAdvisor Ratings (ES KPI 3)

This KPI provides an external benchmark on the level of visitor satisfaction with their experience at the U.S. Capitol Visitor Center (CVC) and U.S. Botanic Garden (USBG). Visitors' ratings and responses are recorded through TripAdvisor inputs and assessed for themes in comments on what visitors liked or disliked about their experience. The target for this KPI is to achieve a score equal to or greater than the previous year. In FY 2020, the CVC average score was 4.5 on a scale of 5. Scoring on the individual responses equate to a 93.0 percent satisfaction rate (5.0 percent higher than FY 2019). The USBG achieved an average score of 4.5 this fiscal year, equating to a 92.7 percent satisfaction rate (2.1 percent higher than FY 2019). **Target Met** ✓

**Figure 32**  
Customer Satisfaction with Projects



#### **Definition**

Number of projects rated as satisfactorily completed divided by total evaluated

#### **Source**

Design Project Customer Satisfaction Survey & Construction Projects Customer Satisfaction Surveys as of October 8, 2020

#### **Target**

>=90% of projects are rated by clients as satisfactorily completed

✓ **Target Met**

#### **NEW!** Adherence to Procurement Acquisition Lead Times (PALT) (ES KPI 4)

This annual KPI measures the level of internal customer service provided by the Acquisition and Material Management Division (AMMD) to the AOC business units. The expedient awarding of contracts and the procurement of supplies and materials has a direct impact on the ability of the AOC to fulfill its mission. AMMD recently revised the number of Procurement Acquisition Lead Times categories from six to 13 to enhance performance by assessing a higher-fidelity breakdown of award types to improve the quality of service. For FY 2020, AMMD established a baseline in each of the 13 categories to develop performance targets. **Baseline Established** +

## FUTURE EFFORTS

In FY 2021, the AOC will begin a phased implementation of refined customer experience indicators, customer surveys and regular feedback collection tools for all jurisdictions, include customer service standards as part of the new employee performance communication and evaluation system and begin to roll out the delayed CX training.



*Above* The AOC is undertaking a series of 3D imaging scans of its significant architectural and sculptural assets to ensure their preservation. Seen here, the AOC's photography branch makes a 3D scan of the plaster model of The Apotheosis of Democracy, the marble sculptural pediment located over the House wing on the U.S. Capitol's East Front.

### STRATEGIC GOAL 3

## FOSTER AN INNOVATIVE AND EMPOWERED WORKFORCE

**Goal Description: An empowered workforce will exercise greater responsibility for its performance, and proactively apply well-informed judgment and innovation to solve problems with solutions that focus on results.**

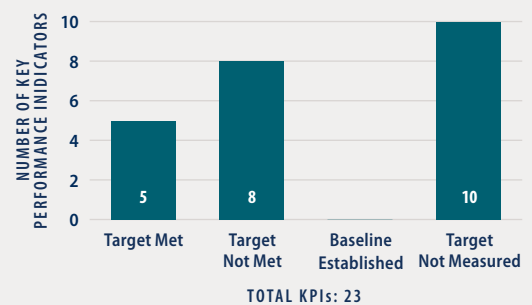
This goal drives the AOC's efforts to create a work environment that rewards excellence and creativity and assists the AOC in attracting, developing and retaining exceptional employees. The goal includes three strategic objectives and nine strategies. The AOC has focused on 12 enterprise-level strategic initiatives that are crucial for accomplishing the goal's objectives and strategies. The AOC identified 23 KPIs for this strategic goal in FY 2020, summarized in **Figure 33**.

### **Strategic Objective 1.0: Strengthen employee performance through improved development and accountability practices**

This strategic objective promotes stronger performance and technical competency by ensuring that AOC employees receive clear performance expectations, regular training and development opportunities and reliable accountability reviews. Four strategies and two initiatives support this strategic objective.

**Figure 33**

Key Performance Indicator Results for Strategic Goal 3: Foster an Innovative and Empowered Workforce



## ANALYSIS OF FY 2020 RESULTS

The AOC measures progress toward this objective through six KPIs. Due to COVID-19, the AOC did not measure three KPIs associated with the FEVS. Of the remaining three KPIs, the AOC met one and did not meet two.

The AOC made progress on this strategic objective in FY 2020 through implementation of two strategic initiatives. Agency leadership approved requirements developed by a cross-jurisdictional group to reengineer the agency's Performance, Communications and Evaluation System

STRATEGY	STRATEGIC INITIATIVE
<ul style="list-style-type: none"> <li>■ Provide employee training in job-related knowledge, skills and abilities and/or desired behaviors</li> <li>■ Provide supervisory training and coaching on effective employee performance management</li> <li>■ Incorporate the AOC core values and customer service philosophy into the PCES</li> </ul>	<ul style="list-style-type: none"> <li>■ Enhanced employee Performance Communication and Evaluation System (PCES)</li> </ul>
<ul style="list-style-type: none"> <li>■ Deploy a training management system that enables supervisors to track the required training</li> </ul>	<ul style="list-style-type: none"> <li>■ Learning management system</li> </ul>

(PCES) in FY 2020. The reengineered PCES will more effectively communicate performance expectations and evaluate performance outcomes. These include:

- Strengthening the connection between individual and organizational performance
- Increasing the range of performance rating levels from three to five
- Streamlining midyear performance feedback requirements
- Incorporating the AOC's core values into performance elements

The AOC began updating its PCES policy and documentation in FY 2020 and expects to complete this effort and provide training to staff on the updated system in FY 2021. In addition, the agency completed phase one of its internal learning management system enhancement, launching the fully redesigned "AOC Learn" training portal with the mandatory standards of conduct training. This phase also includes a new portal page with training opportunities, course details, a completion tracker for mandatory requirements and autogenerated email notifications to employees and supervisors.

### Employee Nonmandatory Training (IEW KPI 1)

This KPI measures the AOC's efforts to provide professional training that strengthens the knowledge, skills and abilities of the workforce. While the AOC's mandatory training requirements (e.g., computer security awareness, fraud awareness and standards of conduct) deliver a universal foundation for all agency employees, the nonmandatory training provides opportunities for employee development and learning that expands their knowledge base. The target for this KPI is for one-third of the workforce to receive nonmandatory training each fiscal year and for 100 percent of the workforce to receive nonmandatory training every three fiscal years. Due to COVID-19 impacts, the AOC was only able to provide nonmandatory training to 30.0 percent

of its workforce in FY 2020, missing its annual performance target. **Target Not Met** ✘

### NEW! Supervisors Trained in PCES (IEW KPI 2)

This KPI measures the number of supervisors who were provided training on new features in the AOC's enhanced PCES system. That target for the KPI was to have 100 percent of supervisors trained. Due to COVID-19, planned enhancements have not been implemented and a new online performance system has not been procured. As a result, training for all AOC supervisors is not anticipated until FY 2021. **Target Not Met** ✘

### NEW! Customer Service Performance Standards Developed (IEW KPI 3)

This single-year KPI measures positions for which customer service standards were developed for use in employee performance plans. In FY 2020, the AOC researched applicable customer service standards for the three main customer groups the agency serves — clients, visitors and internal staff — and developed standards for demonstrating the AOC customer service philosophy elements of responsiveness, ownership and courtesy that are applicable to all position types and customer groups. The target for this KPI was to establish customer service standards for each position type. The AOC met this target by publishing the standards in the second quarter of FY 2020. **Target Met** ✓

### Strategic Objective 2.0: Cultivate high employee engagement in the workplace

This strategic objective promotes the AOC's commitment to increasing employee engagement in the workplace through improved employee development and accountability practices. Three strategies and three strategic initiatives support this strategic objective.

STRATEGY	STRATEGIC INITIATIVE
<ul style="list-style-type: none"> <li>■ Reduce bureaucracy and promote innovation to enable decision-making that supports service delivery</li> </ul>	<ul style="list-style-type: none"> <li>■ Continuous process improvement program</li> </ul>
<ul style="list-style-type: none"> <li>■ Promote fairness by refining the system for tracking rewards and recognition</li> </ul>	<ul style="list-style-type: none"> <li>■ AOC rewards and recognition</li> </ul>
<ul style="list-style-type: none"> <li>■ Promote fairness in hiring and promotions by providing supervisors and employee training in hiring processes and by providing feedback to all internal applicants not selected in the standard recruiting processes</li> </ul>	<ul style="list-style-type: none"> <li>■ Biennial training for supervisors and employees in hiring processes and career management</li> </ul>

## ANALYSIS OF FY 2020 RESULTS

The AOC measures progress toward this objective through eight KPIs. Due to COVID-19, the AOC did not measure five KPIs associated with the FEVS. The AOC did not meet the targets for the remaining three.

To cultivate employee engagement and promote innovation, the AOC's continuous process improvement program trained 20 staff members in improvement methodologies to support jurisdictions in their efforts to reduce bureaucracy and promote innovation. The program facilitated a project with the Capitol Power Plant to simplify procedures, create a culture of continuous improvement and drive operational performance through a more efficient and data-informed procurement process.

To ensure fairness in its awards process, the agency analyzed monetary and time-off awards by job groups, as well as by race and national origin. The findings were shared with agency leadership and will be used to strengthen the awards process. Although the AOC continued offering its semiannual Hiring 101 course to train supervisors to administer the hiring and promotions processes fairly, COVID-19 impacted the number of supervisors who received training in FY 2020.

### Business Units With a Bureaucracy Reduction (IEW KPI 4)

This biennial KPI measures the extent to which AOC business units reduced bureaucracy and promoted innovation. The AOC's target for this KPI is for 100 percent of business units to implement a bureaucracy reduction effort to enable decision-making in support of service delivery at the lowest practical levels, or to streamline processes to simplify and expedite service delivery. In FY 2020, 88.2 percent of business met the target. **Target Not Met** ✘

### Nonselected Internal Candidates Offered Feedback (IEW KPI 5)

This KPI measures the AOC's commitment to supporting employee career growth by offering feedback to a target of 100 percent of internal candidates who were interviewed but not selected for positions within the agency. The feedback is intended to support continued development and allow employees to use feedback received to improve their ability to successfully compete for promotional or other career growth opportunities. This fiscal year, the AOC developed new guidance for hiring managers to effectively offer and deliver feedback and a new process for more efficiently tracking whether that feedback has been offered. The AOC offered feedback to 91.8 percent of unsuccessful internal applicants in FY 2020. **Target Not Met** ✘

### NEW! Supervisors Trained in Fair Hiring Procedures (IEW KPI 6)

This one-year KPI measures how many supervisors completed the AOC's Hiring 101 curriculum. The target for this measure is for 100 percent of supervisors to complete the course. Due to COVID-19, this in-person class was not available after March and 23 supervisors completed the class in FY 2020,



## Capitol Highlights

# SELF-INSPECTIONS IMPROVE WORKPLACE SAFETY

Safety is a fundamental value at the AOC. The agency is committed to achieving and sustaining an incident-free environment by integrating safety into facility operations, maintenance and services. Driving these efforts is the AOC's Safety, Fire and Environmental Programs (SFEP), which oversees safety programs for all who work within or visit the Capitol campus.

One of the important ways in which the AOC advances its safety efforts is through self-inspections. Self-inspections empower jurisdictions to take responsibility for safe and environmentally compliant work areas by training their staffs to identify and correct risks. The self-inspections also allow the AOC's safety specialists to interact directly with employees, answering questions and addressing potential concerns.

The Capitol Building jurisdiction has taken a pioneering role in implementing safety self-inspection programs. Self-inspections are scheduled approximately once a month while daily inspections are performed by the Capitol Building's safety and occupational health specialist and occupational health manager. As a result, leadership has gained a systemic understanding of the efforts and resources required to optimize workplace safety.

The AOC designed and manages an electronic tool to standardize inspections and track findings. "Safety is one of our core values," said SFEP Director Pat Williams, "and inspections are an important way for the AOC to ensure a safe environment for all who work in or visit the Capitol campus and AOC-managed facilities."

bringing the total number of supervisors trained to 262, or 63 percent of the AOC’s supervisors. The AOC plans to resume classes in FY 2021. **Target Not Met** ✘

**Strategic Objective 3.0:**  
**Provide for the security and safety of every AOC employee**

The AOC is committed to ensuring the health, safety and security of AOC employees. To that end, the AOC mandates that all employees participate in regular safety, injury avoidance and emergency preparedness training. This training, along with regular safety communications and protocols, improves the awareness, preparedness and performance of the AOC’s safety and security programs. Two strategies and two strategic initiatives support this strategic objective.

STRATEGY	STRATEGIC INITIATIVE
<ul style="list-style-type: none"> <li>Develop and deliver training and communication to improve awareness, preparedness and safety / security performance</li> </ul>	<ul style="list-style-type: none"> <li>AOC Emergency Management Program</li> </ul>
<ul style="list-style-type: none"> <li>Routinely self-identify and self-correct risks to ensure a safe and environmentally compliant work environment</li> </ul>	<ul style="list-style-type: none"> <li>Facility life safety, fire and environmental inspection checklist</li> </ul>

**ANALYSIS OF FY 2020 RESULTS**

The AOC measures progress toward this objective through nine KPIs. Due to COVID-19, the AOC did not measure two KPIs associated with the FEVS. Of the remaining seven KPIs, the AOC met the targets for four and did not meet the targets for three. In FY 2020, the AOC began implementing the first phase of its updated emergency management program to further enhance the capability to manage, monitor and assess potential threats and hazards, and to bring its program in line with Federal Emergency Management Agency’s (FEMA) guidance. The agency also developed online emergency preparedness training topics for staff. This effort began prior to COVID-19 and proved useful in providing remote training opportunities during the pandemic. Due to the pandemic, many of the resources necessary for the planned activities were redirected and activities were placed on hold. To enhance emergency preparedness and management, the AOC plans to conduct an after-action review that will incorporate lessons learned during the pandemic response. The AOC also began using standard checklists to support jurisdiction self-inspections of compliance with facility safety and environmental requirements and instituted a reporting mechanism, the Inspection Findings Module, to effectively plan for and track actions and remedy findings. Due to COVID-19, the jurisdictions had limited capacity to conduct self-inspections, identify areas for improvement or report findings and lessons learned.

**Injuries and Illnesses Rates (IEW KPI 7)**

This annual KPI assesses the AOC’s ability to ensure a safe workplace. The AOC’s target is to achieve a lower rate of injuries and illnesses (I&I) in FY 2020 than in FY 2019. In FY 2020, the AOC’s I&I rate was 1.67 — a significant reduction over the FY 2019 rate of 2.23 (Figure 34). This reduction is in part due to having fewer staff working on-site during the COVID-19 pandemic. The most common injuries in FY 2020 were contusions, sprains and strains. The most frequent causes of injury were related to inattention and wet or slippery surfaces. The AOC, through its ISMS, also assessed the health of the electrical/arc flash program to identify program gaps and develop corrective actions that reduce safety risks to AOC employees. **Target Met** ✓

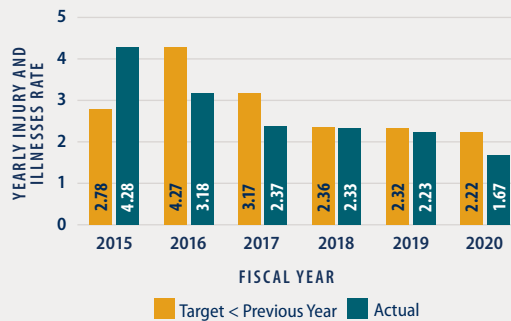
**Injuries and Illnesses Rate (Rolling Five-Year Average) (IEW KPI 8)**

This annual KPI measures the long-term AOC workplace safety trends through the rolling I&I average for the previous five fiscal years. This calculation minimizes the impact of an outlier fiscal year. The target for this KPI is a reduction over the five-year average from the prior fiscal year. As shown in Figure 35, the AOC achieved a five-year rolling average of 2.28 in FY 2020, marking the second consecutive fiscal year of a reduction to the rolling average I&I rate. **Target Met** ✓

**NEW! Workers’ Compensation Cases (IEW KPI 9)**

This KPI measures the outcomes of more serious injuries sustained by employees while on the job. The number of

**Figure 34**  
**Injuries and Illnesses Rate**



**Definition**

Number of injury claims sent to Department of Labor (DOL) in the fiscal year divided by the average number of employees

**Source**

Number of injuries sent to DOL; HCMD, Employee Benefits and Services Branch, National Finance Center bimonthly information data file via ODS for the number of employees, October 8, 2020

**Target**

Less than the previous year’s rate

✓ **Target Met**

workers' compensation cases has declined for the past six years through enhanced safety programs and a concerted effort to challenge debatable claims. In FY 2020, the total yearly lost-time work hours charge fell by 764 hours — from 2,955 to 2,191 — reducing the lost-time cost by more than \$32,379. The reduced number of on-site staff due to COVID-19 also created fewer opportunities for work injuries and cases recorded. The target for this KPI is for fewer recordable workers' compensation cases than the previous fiscal year, or zero recorded cases. As shown in **Figure 36**, the AOC met their target by having 15 fewer cases than the previous year. **Target Met ✓**

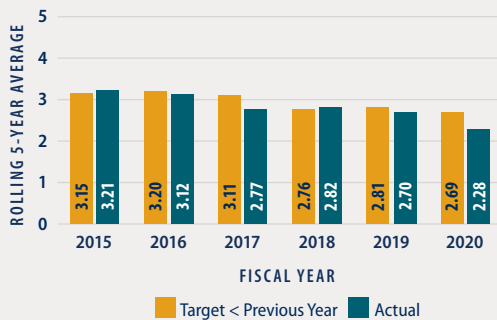
**Business Units That Have Reviewed Emergency Procedures Within the Fiscal Year (IEW KPI 10)**

This annual KPI measures the adherence to the AOC's policy that all business units complete an annual review of emergency procedures with all employees. The target for this KPI is that 100 percent of AOC business units review their procedures. As shown in **Figure 37**, the AOC business units achieved a 100 percent rate for this important safety task in FY 2020. **Target Met ✓**

**Business Units That Conducted Emergency Exercises Within the Fiscal Year (IEW KPI 11)**

This annual KPI measures the AOC's commitment to emergency preparation by conducting emergency exercises.

**Figure 35**  
Injuries and Illnesses Rate  
Rolling Five-Year Average



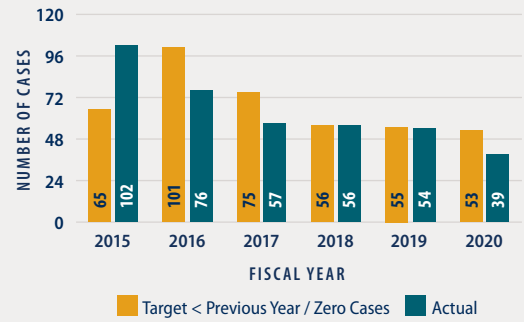
**Definition**  
Five year average of the number of injury claims sent to Department of Labor (DOL) in the fiscal year divided by the average number of employees

**Source**  
Number of injuries sent to DOL; HCMD, Employee Benefits and Services Branch, National Finance Center bimonthly information data file via ODS for the number of employees, October 8, 2020

**Target**  
Less than the average of the previous five years' rate

**Target Met ✓**

**Figure 36**  
Workers' Compensation Cases



**Definition**  
Number of workers' compensation claims accepted by the Department of Labor

**Source**  
AOC Corporate Performance Workers' Compensation Dashboard derived from HCMD Workers' Compensation Branch, October 8, 2020

**Target**  
Less than the previous year / zero cases

**Target Met ✓**

The target for this KPI is that all AOC jurisdictions conduct two exercises each year and that all agency business units conduct one annual exercise. This fiscal year, 94.1 percent of business units and jurisdictions conducted emergency exercises. See **Figure 37. Target Not Met ✗**

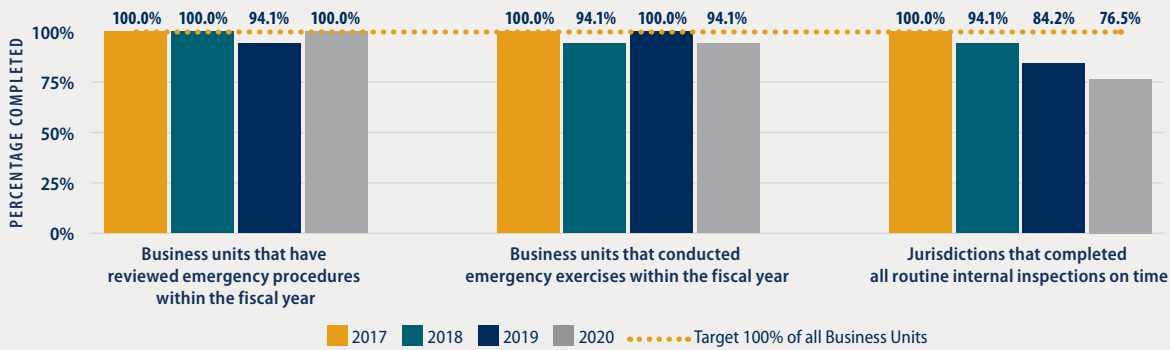
**Jurisdictions That Completed All Routine Self-Inspections On Time (IEW KPI 12)**

This KPI measures the ability of jurisdictions to complete routine self-inspections on time. Adherence to routine internal inspections can prevent external safety and environmental inspection findings and result in quicker mitigation of issues before they result in injury or regulatory noncompliance. The target for this KPI is that jurisdictions complete 100 percent of internal safety and environmental self-inspections on time. As shown in **Figure 37**, the AOC completed 76.5 percent of the relevant agency inspections as scheduled. This marks the third year in a row the AOC has missed this target. **Target Not Met ✗**

**External Safety and Environmental Inspection Findings (IEW KPI 13)**

This KPI measures the number of environmental and safety inspection findings identified by the OCWR. During each congressional cycle, the OCWR assesses the AOC's spaces for hazards that require corrective action. The target for this measure is to have fewer findings than the rolling six-year average. Although the OCWR found 313 fewer instances of noncompliance in FY 2020 than the previous fiscal year, the six-year average was exceeded for the third straight year (**Figure 38**). This is in part due to a change

**Figure 37**  
Jurisdiction Emergency Procedures and Routine Inspections Measures



**Definition**

Percentage of business units that have reviewed emergency procedures within the fiscal year  
 Percentage of business units that have conducted emergency exercises within the fiscal year  
 Jurisdictions that conduct at least two emergency exercises per year

**Source**

AOC 2020 Action Plans

**Target**

100% of business units that complete the requirement

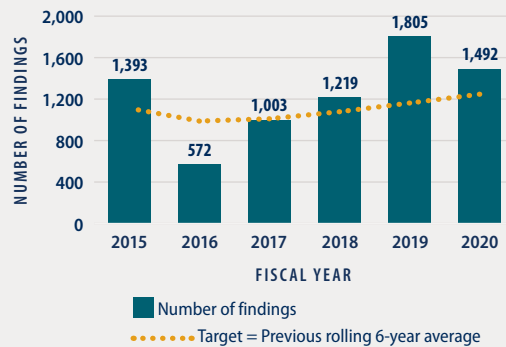


in OCWR’s methodology that results in documenting the same finding in multiple locations as separate findings. The AOC, through its Safety, Fire and Environmental Programs (SFEP), is working to continually improve its environmental program assessments. During this year’s inspections, the root causes for many findings were a lack of staff training. To correct this, SFEP is developing specific training for staff in order to raise awareness of what actions or inactions can lead to violations and what to do to prevent these hazards. **Target Not Met**

**Federal Employee Viewpoint Survey Results at the AOC**

The AOC administers the FEVS biennially to gather feedback from its employees on their perceptions of their work experiences, agency and leadership. Analysis of the FEVS data is used to calculate agency rankings in the Partnership for Public Service (PPS) Best Places to Work in the Federal Government® report. OPM postponed the start of the FY 2020 FEVS to enable agencies to support critical missions during the COVID-19 pandemic. The AOC postponed the administration of this survey. As a result, the outcomes for all FEVS-related KPIs appear in this FY 2020 report as “Not Measured,” and the AOC will include the survey results in its FY 2021 PAR. For all existing FEVS KPIs, the AOC benchmarked its performance against the FY 2018 survey results. The AOC also introduced four new KPIs related to interjurisdictional collaborations for which the AOC will establish a baseline performance level. A brief summary follows in **Table 15**.

**Figure 38**  
External Safety and Environmental Inspection Findings



**Definition**

OCWR Findings

**Source**

Number of findings captured from the OCWR Summary Report Spreadsheet

**Target**

Less than the average of the previous six years’ findings



**Table 15**  
Key Performance Indicators based on the FEVS

KEY PERFORMANCE INDICATOR	DESCRIPTION	STRATEGIC OBJECTIVE	KPI NUMBER	FY 2016 RESULTS	FY 2018 RESULTS	FY 2020 RESULTS
<b>Development</b>	Benchmarks skill improvement, job knowledge and continual learning	3.1	IEW 14	69.2%	72.9%	N/A
<b>Accountability</b>	Benchmarks performance, results, appraisals and continual improvement	3.1	IEW 15	69.1%	70.2%	N/A
<b>Coaching</b>	Benchmarks meaningful supervisor-employee discussions and constructive suggestions to improve performance	3.1	IEW 16	73.9%	75.5%	N/A
<b>Best Places to Work Ranking</b>	Benchmarks the AOC's favorability rating against similarly sized federal agencies	3.2	IEW 17	11th out of 27 midsized agencies*	Ninth out of 27 midsized agencies	N/A
<b>Best Places to Work Favorability Score</b>	Benchmarks the AOC's favorability score in the FEVS survey and is an analogue to the PPS Best Places to Work in the Federal Government ranking **	3.2	IEW 18	72.9%	76.4%	N/A
<b>Innovation</b>	Benchmarks encouraging new and better methods, rewarding creativity, decision-making and the removal of barriers	3.2	IEW 19	61.6%	64.4%	N/A
<b>Rewards and Recognition</b>	Benchmarks job performance, quality of results and recognition for good work	3.2	IEW 20	58.3%	60.8%	N/A
<b>Hiring and Promotions</b>	Benchmarks job opportunities, merit-based promotions and leadership opportunities	3.2	IEW 21	46.6%	49.9%	N/A
<b>Safety</b>	Benchmarks work conditions, health and safety job hazards, safety enforcement, reporting, tools and preparedness	3.3	IEW 22	81.3%	82.1%	N/A
<b>Security</b>	Benchmarks security threat preparedness, workplace emergency procedures and workplace violence	3.3	IEW 23	87.1%	88.5%	N/A
<b>Collaboration</b>	Benchmarks internal / external cooperation and knowledge sharing	4.1	OTOM 2	71.5%	75.7%	N/A
<b>Communication</b>	Benchmarks dialogue, listening and information dissemination	4.1	OTOM 3	70.7%	73.4%	N/A
<b>Alignment</b>	Benchmarks work related to agency mission, goals and priorities	4.1	OTOM 4	76.2%	78.7%	N/A
<b>NEW! Opportunities Provided (own jurisdiction)</b>	Benchmarks whether employees are provided work opportunities in other areas within their jurisdiction	4.1	OTOM 5	N/A	N/A	N/A
<b>NEW! Opportunities Provided (other jurisdictions)</b>	Benchmarks whether employees are aware of work opportunities in other jurisdictions	4.1	OTOM 6	N/A	N/A	N/A
<b>NEW! Participated in Opportunities (own jurisdiction)</b>	Benchmarks whether employees are participating in new work opportunities within their jurisdiction	4.1	OTOM 7	N/A	N/A	N/A
<b>NEW! Participated in Opportunities (other jurisdictions)</b>	Benchmarks whether employees are participating in new work opportunities in other jurisdictions	4.1	OTOM 8	N/A	N/A	N/A

\* The Partnership for Public Service defines midsize government agencies as those with 1,000 to 14,999 employees.

\*\* The overall score is based on three factors: whether employees recommend the organization as a good place to work, job satisfaction and satisfaction with the organization.



## FUTURE EFFORTS

Looking ahead, the AOC will continue to implement strategic initiatives advancing employee performance and engagement and improving the work environment. Initiatives will include the implementation of phase two of the AOC's learning management system, which will provide individualized training requirements and offer curricula for recurring safety, contracting officer representative requirements, appropriations law and ethics training. The AOC will also implement the enhanced employee performance communication and evaluation system, procure an online performance management system and

provide training to supervisors and staff on the system's new capabilities, including training for supervisors who handle crucial communications with staff. The AOC will continue cultivating high employee engagement by scaling the continuous process improvement program and implementing improvements for its awards and recognition processes and programs. To ensure a safe and secure workplace, the AOC will implement the emergency management communications plan, develop after-action reports to enhance emergency preparedness (including pandemic lessons learned) and identify areas of improvement for the self-inspection process.



*Above* In October 2019, the AOC gathered employees responsible for the Capitol Power Plant's cogeneration project to celebrate the project's completion at the Architect's Honor Awards Ceremony. The strategic goal to Operate as One Team, Dedicated to One Mission fosters a culture of learning, cooperation and teamwork.

#### STRATEGIC GOAL 4

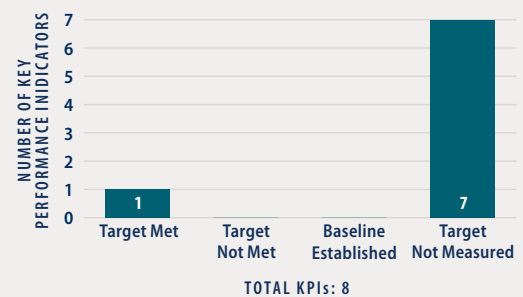
### OPERATE AS ONE TEAM, DEDICATED TO ONE MISSION

**Goal Description:** We must recognize and value that what may appear to be competing priorities for different AOC functions are ultimately in service to our united mission, vision and values.

This goal promotes communication and collaboration within and among the agency's jurisdictions and administrative offices to create a more efficient and effective organization. The goal includes two strategic objectives and three strategies. The strategic initiatives direct the AOC's efforts to strengthen collaboration, increase alignment and reduce redundancies through intra-agency cooperation and cross-agency learning. The AOC had eight KPIs for this strategic goal in FY 2020, seven of which are associated with the FEVS. As previously discussed, the AOC did not administer the FEVS in FY 2020 and could not measure these KPIs. See **Figure 39**.

**Figure 39**

Key Performance Indicator Results for Strategic Goal 4: Operate as One Team, Dedicated to One Mission



#### Strategic Objective 1.0:

**Support the success of others by prioritizing the AOC's mission, values, vision and goals ahead of the interests of any individual, work group or business unit**

This strategic objective promotes employee collaboration and learning through cross-functional projects and activities that require a high level of communication, cooperation and alignment towards a shared purpose. Two strategies and three strategic initiatives support this objective.

STRATEGY	STRATEGIC INITIATIVE
<ul style="list-style-type: none"> <li>Each business unit works to strengthen collaboration and alignment to a shared purpose with partners across business units by improving communication, clarifying roles and responsibilities and improving processes</li> </ul>	<ul style="list-style-type: none"> <li>Communities@AOC</li> <li>Integrated inventory management system</li> </ul>
<ul style="list-style-type: none"> <li>Each business unit establishes opportunities for its employees to work in other business units or closely collaborate with employees in other business units, as well as for employees from other business units to closely collaborate with or work in its own business unit</li> </ul>	<ul style="list-style-type: none"> <li>Talent Hub</li> </ul>

## ANALYSIS OF FY 2020 RESULTS

In FY 2020, the AOC intended to measure this objective through seven KPIs associated with the FEVS. Due to COVID-19, the FEVS was delayed and the AOC did not measure the KPIs. With quantifiable data unavailable to assess performance on this objective, the AOC instead reviewed the implementation of the strategic initiatives.

The AOC continued efforts to explore a single integrated inventory management system. In addition to strengthening control and accountability in procurement and property management, the system would link work order systems with inventory for precise data to inform management decisions. In FY 2020, the agency scoped a study to document requirements and provide an evaluation of potential systems against this need. Further efforts will be considered within the lens of an enterprise asset management solution.

The AOC had planned to begin design of a Talent Hub to support business units in identifying potential cross-organizational opportunities for their employees and advertise opportunities within their own organization for other business unit employees. The Talent Hub is intended to be accessible to all staff and to share cross-unit collaboration and developmental opportunities, such as details, special projects and committee opportunities across the Capitol campus. Due to COVID-19, development of the Talent Hub was placed on hold.

### Strategic Objective 2.0: Strategically plan, allocate and manage resources AOC-wide

This strategic objective ensures that the AOC deploys resource planning, allocation and management capabilities in a systematic manner. One strategy and two strategic initiatives support this strategic objective.

STRATEGY	STRATEGIC INITIATIVE
<ul style="list-style-type: none"> <li>Determine the AOC's current and future resource requirements</li> </ul>	<ul style="list-style-type: none"> <li>Integrated talent management</li> <li>Direct digital controls skills gap</li> </ul>

## ANALYSIS OF FY 2020 RESULTS

The AOC measured progress toward this objective through one KPI and furthered its advancement through execution of two strategic initiatives. In FY 2020, the AOC completed initial comprehensive talent management plans for each jurisdiction and began their implementation. These annual plans reflect a three-prong approach to identify short-term and long-term talent acquisition priorities and strategies, succession planning and training requirements to attract, engage and retain high-performing talent, as well as to mitigate the loss of institutional knowledge when employees separate or retire from the agency. These plans serve as shared blueprints to build candidate pipelines, remediate talent gaps and ensure succession needs are met. As part of the implementation, Human Capital Management Division (HCMD) staff visited colleges that specialize in artisan trades and the building arts in order to develop candidate pipelines for some of the AOC's hard-to-fill positions. HCMD also significantly increased the use of paid advertisements in recruitment resources and websites. The AOC improved its social media presence, as demonstrated in increased page views on Glassdoor, LinkedIn and Twitter. The agency's talent acquisition strategies allowed it to successfully fill 385 positions in FY 2020 (these positions included 249 full time positions and 136 temporary positions).

The agency also launched the direct digital controls (DDC) initiative to address the workforce challenge of a building automation and digital controls skill gap this fiscal year. The AOC seeks to hire, train, develop and retain highly skilled staff to program, operate, maintain and troubleshoot performance issues with building automation systems and equipment. The AOC made progress in FY 2020 through best practice benchmarking efforts with the University of Maryland and the National Gallery of Art to identify key recruitment and training practices and performance drivers in similar organizations. Due to COVID-19, the AOC delayed additional plans and will resume these efforts in FY 2021.

### Number of Days to Fill a Position: Competitive / Direct Hire (OTOM KPI 1)

This indicator is a quantifiable measure of efficiency for recruiting actions (advertised positions) and direct hires. Recruiting actions and direct hire processes differ in that the latter does not require the position to be advertised. As an excepted service agency, the AOC has the authority to onboard new employees into temporary appointments for hard-to-fill positions.<sup>10</sup>

<sup>10</sup> Title 5 U.S. Code § 2103 defines the excepted service as those civil service positions that are not in the federal competitive service or the Senior Executive Service. The AOC's hiring policies and practices fall under the authority of Title 2 U.S. Code § 1831.

In FY 2020, the AOC continued its efforts to reduce the hiring timelines and mitigate hard-to-fill positions by implementing talent acquisition plans to strategically hire and fill positions. This included direct outreach to colleges that specialize in trades, like masons and plasterers, and schools with curricula geared towards construction and building trades.

This indicator ensures the AOC focuses on hiring quality candidates as quickly as possible. It is measured by the average number of days required to fill a vacancy, from the time of a formal request to the time the new employee begins their position. As shown in **Figure 40**, the AOC met its target in FY 2020. Due to COVID-19, the AOC had to extend potential candidate referral lists for up to six months, as shifting priorities slowed hiring actions. Conducting interviews remotely required fluency in audiovisual technologies that required more coordination. The process for determining selectees' suitability also took more time, further extending the number of days to fill a position.

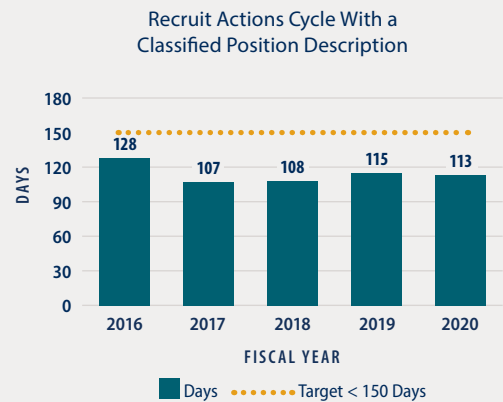
**Target Met ✓**

For a brief discussion of the seven FEVS-related KPIs associated with the One Team, One Mission strategic goal (OTOM 2- OTOM 8), see **Federal Employee Viewpoint Survey Results** at the AOC on Page 76.

### FUTURE STRATEGY

In FY 2021, the AOC will continue executing initiatives that foster greater cross-jurisdictional collaboration by piloting additional communities of practice and will continue to assess and design a strategy for attracting and retaining qualified technicians for the DDCs that regulate and automate building systems.

**Figure 40**  
Number of Days to Fill a Position



**Definition**

Total number of days from request to fill a vacancy to the date the employee is on board divided by the total number of positions filled

**Source**

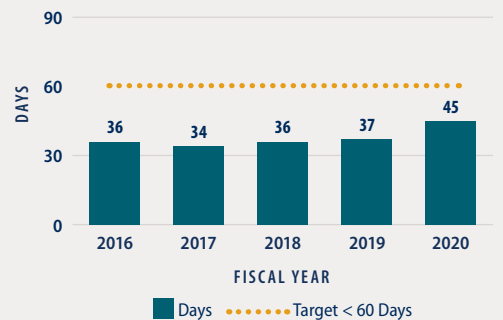
HCMD, Talent Acquisition and Classification Branch, October 2020

**Target**

< 150 Days

**Target Met ✓**

Direct Hire Cycle With a Classified Position Description



**Definition**

Total number of days from request to fill a vacancy to the date the employee is on board divided by the total number of positions filled

**Source**

HCMD, Employment and Classification Branch statistics, October 2020

**Target**

< 60 Days

**Target Met ✓**



*Above* The AOC created a COVID-19 Pandemic Operations Plan to support the agency in safely adjusting operations to the new normal as the Washington, D.C. region moves into recovery mode.

## SUPPLEMENT

### COVID-RELATED ACTIVITIES

The AOC began monitoring the COVID-19 outbreak in December 2019, reviewing emergency preparedness and continuity of operations plans to prepare for the impacts of a possible pandemic. To continue essential services during a rapidly evolving situation, the AOC swiftly adapted procedures and created policies and protocols to balance fulfilling service requests with protecting employee health and safety. The ability to adapt at such a pace required an agencywide response. Impacts of COVID-19 on the AOC's performance in achieving its strategic goals and objectives have been highlighted throughout the **Performance Information** section. However, the AOC also undertook several additional processes and actions in responding to the crisis to ensure mission execution and a safe, healthy and informed workforce.

For each of the following areas, the AOC reviewed measures and data availability to determine the potential use of KPIs to continuously assess and improve performance. While most processes did not easily lend themselves to an assessment of performance due to data gathering and analysis limitations, the agency's contact tracing process did provide regular data that could be used to assess agency performance. Contact tracing data also offered insight into the effectiveness of agency communication and training actions in maintaining a healthy workplace.

#### AOC: PANDEMIC OPERATIONS

##### FULL OPERATIONS

- CAMPUS OPEN TO STAFF AND PUBLIC

##### LEVEL 1 SUPPORT

- CAMPUS OPEN TO STAFF AND PUBLIC WITH ENHANCED PRECAUTIONS
- CONGRESS / SUPREME COURT IN SESSION

##### LEVEL 2 (ESSENTIAL)

- CAMPUS CLOSED TO PUBLIC
- CONGRESS / SUPREME COURT IN SESSION

##### LEVEL 3 (CRITICAL)

- CAMPUS CLOSED TO PUBLIC
- CONGRESS / SUPREME COURT NOT IN SESSION

## Continuity of Operations

Fulfilling the AOC's mission to serve Congress and the Supreme Court required the agency to continue essential services and functions throughout the COVID-19 pandemic, while also maintaining health and safety across the Capitol campus. The AOC's Pandemic Operations Plan articulates the "new normal" for AOC operations, defining agency protocols to help staff remain healthy in the workplace and establishing a framework for facility maintenance and service provisions across the Capitol campus. This framework of operating levels allows the AOC to adjust its on-site staffing in response to actions of Congress and the Supreme Court and to the mandates of local authorities as the circumstances presented by the pandemic shift course.

In keeping with recommendations from the Office of Attending Physician (OAP) and the CDC to minimize staff in the workplace, the AOC adapted staff scheduling to support the continuity of operations during the pandemic. These included maximizing telework and relaxing core hours, rotating and staggering shifts, modifying employee arrival and departure times to avoid congestion and providing administrative leave to employees at high risk (age 65 years or older and employees of any age who have a serious underlying medical condition). To sustain the AOC's staffing of essential functions, the agency took early proactive measures, conducting a mass telework exercise in March 2020 to understand information technology capabilities and reviewing and adapting key procedures to support staff flexibility.

The agency moved quickly to modify construction and service contacts to incorporate key procedural changes, OSHA standards, contact tracing and CARES Act funding, among other areas. The AOC was the first legislative branch agency to mandate its employees wear face coverings while on the Capitol campus and in public spaces. The agency provided hand sanitizer, wipes, face coverings and gloves to all AOC employees working on-site.

To support fluidity in staffing levels on-site in response to congressional service needs, the AOC established a Return-to-Work Tiger Team to create a comprehensive plan that supports agency staff in navigating a "new normal." Six working groups developed a mandatory return-to-work training video, created employee and supervisor toolkits outlining key policies and explaining modified procedures, and executed a range of operational modifications to help staff maintain safe practices while at work (e.g., new signage, office space adjustments and protective plexiglass at high-volume customer interaction points).

### Enhanced Facility Cleaning and Disinfection

Since the beginning of the COVID-19 pandemic, the AOC has followed rigorous cleaning and disinfecting protocols throughout the Capitol campus, coordinating with the OAP on appropriate levels of cleaning and disinfection using CDC guidelines. A critical element of the agency's cleaning efforts was ensuring the preservation, safety and integrity of



*Above* As the COVID-19 pandemic unfolded, the AOC organized cleaning protocols needed to keep employees, Congressional members, staff and visitors safe.

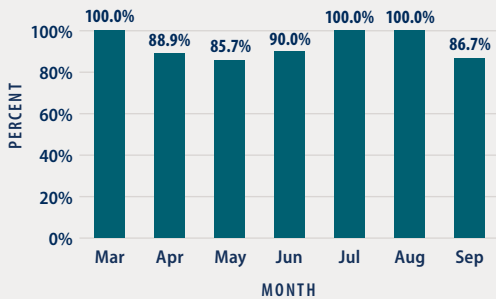
heritage assets throughout AOC facilities. All "high-touch" hard surfaces and common spaces received more frequent and enhanced cleaning using disinfecting products approved by the Environmental Protection Agency (EPA) for use against COVID-19.

The AOC worked with partner agencies across the Capitol campus to establish and implement processes to quickly clean and disinfect rooms or spaces identified as being visited by any persons suspected or confirmed to have had COVID-19. Any space assessed by the OAP as needing disinfection received specialized cleaning in accordance with CDC guidelines by contractors with expertise in comprehensive disinfecting services. The AOC executed more than 62 "high-touch" cleaning requests over a five-month period, which covered more than 187,000 square feet. Additionally, the AOC executed more than 101 bio-cleaning requests, which covered more than 157,400 square feet. Areas addressed using specialized cleaning procedures included childcare centers, member offices, police vehicles and AOC trailers in construction compounds. The AOC executed all specialized cleanings as emergency responses and completed the cleanings within 24 hours of the request's submission. Additionally, the agency increased the number of hand sanitizer stations in buildings throughout the Capitol campus to have one at every public entrance and dining location.

### Supply Acquisition, Management and Distribution

At the onset of the pandemic, the agency worked rapidly to identify, source, secure and distribute EPA-approved custodial cleaning supplies and personal protective equipment (PPE). These services proved to be a vital part

**Figure 41**  
Percent of Cases With Contact Tracing Completed Within 48 Hours of Notification



**Definition**

AOC staff cases with contact tracing completed within 48 hours of notification divided by total AOC staff cases

**Source**

AOC COVID-19 Case Management Database

of the support provided not only to AOC jurisdictions, but also to other legislative branch agencies. With the global supply chain for PPE and cleaning supplies strained, the AOC streamlined the acquisition process, modified existing contracts and awarded new contracts to obtain scarce supplies and materials that were in high demand.

The agency established a centralized off-site warehouse to consolidate supplies and PPE and ensure accurate inventory control and delivery efficiency. Once established, the AOC coordinated procurement of bulk orders and delivered PPE supplies to Capitol campus clients twice per week and custodial cleaning supplies once per month.

### Engineering Controls

Based on recommendations from the CDC and the American Society of Heating, Refrigerating and Air-Conditioning Engineers, the AOC increased the amount of outdoor air in Capitol campus facilities where possible. By filtering, dehumidifying and cooling outside air and then pushing it throughout the building, the AOC reduced air recirculation in campus facilities and improved the effective dilution ventilation per person.

### Contact Tracing

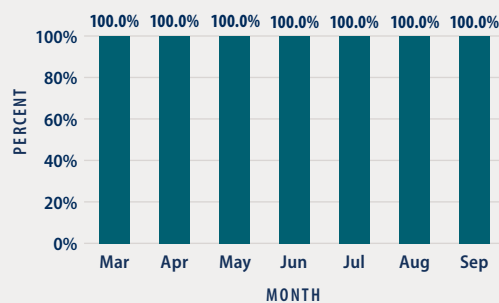
As part of the early monitoring for COVID-19, the AOC established protocols to identify infected staff members and determine the people and Capitol campus locations with which they had been in contact. Coordinating closely with the OAP, the agency moved quickly to establish, document and train staff on the tools and processes to interview AOC employees with suspected or confirmed cases of COVID-19, maintain employee privacy in accordance with agency policy, assess the spaces and rooms they had visited for any specialized cleaning needs, identify each individual's

close contacts and notify them to remain at home in self-quarantine. More than 50 staff across the agency received contact tracing case management training. The AOC did not have widespread transmission of COVID-19 in FY 2020 and continued to provide essential support to the U.S. Congress and the Supreme Court. As a measure of reliability and timeliness, the AOC aims to conduct a complete contact trace within 48 hours of notification that an employee is known or suspected to be COVID-19 positive. This measure assesses the AOC's capacity to conduct contact tracing and its preparedness to take action. See **Figure 41**.

Similar to standards used by many local and state health authorities, the agency seeks to inform any close contacts identified in the AOC or partner agencies on the Capitol campus within 24 hours to stay home and self-quarantine. Assessing this measure routinely helps the AOC understand the quality and effectiveness of its actions in stopping the spread of COVID-19 transmission. As illustrated in **Figure 42**, the agency informed identified close contacts in the AOC or other partner agencies to quarantine within 24 hours in 100 percent of AOC staff cases.

The AOC employs contractors to implement projects and provide services across the Capitol campus. Contractors present an additional risk of COVID-19 transmission throughout the campus. Therefore, a key measure of agency effectiveness in interrupting the spread of the virus on campus is the AOC's ability to oversee its contractors in carrying out their contact tracing responsibilities for their staff working on the Capitol campus. See **Figure 43**.

**Figure 42**  
Percent of Campus Close Contacts Advised To Quarantine Within 24 Hours of Identification



**Definition**

Close contacts advised to quarantine within 24 hours of notification divided by total close contacts

**Source**

AOC COVID-19 Case Management Database

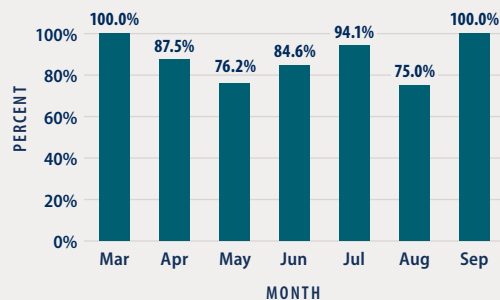
## Staff Communications and Training

Early in the pandemic, the AOC began providing a daily COVID-19 email update to all staff. The emails included up-to-date COVID-19 information and resources related to teleworking, evolving local government guidance, family resources and more. These updates allowed the agency to keep its workforce connected and informed.

To enhance communication with staff during a time of maximum telework, the AOC created a weekly “Office Hours” session via teleconference for employees and supervisors to interact and hear directly from key staff on subjects like the Employee Assistance Program, improving productivity while teleworking, leave flexibilities and conducting successful teleconferences and remote meetings. In addition, the agency worked with vendors to move essential training online to ensure that AOC staff could complete key requirements while working remotely. In addition to issuing the Pandemic Operations Plan, the AOC developed a return-to-work video and disseminated toolkits for both employees and supervisors returning to on-site work. The return-to-work video provided details on key protocols and practices, staff responsibilities, contact tracing, special leave options and other topics related to pandemic protocol in the workplace.

Agencywide monitoring was not practicable during the pandemic, nor was an all-staff survey on guidance adoption of agency protocols. However, the AOC’s contact tracing tools and procedures provided consistent data that offered the AOC partial insight on how employees adopted social distancing and the wearing of face coverings — two key protocols for minimizing the spread of COVID-19 on the Capitol campus. Though the sample size measured is much smaller than the total agency size, the data assessment

**Figure 43**  
Percent of Contractor Cases for Which the AOC Received Contact Trace (Close Contact) Information



### Definition

Contractor cases for which the AOC received contact trace information divided by total contractor cases

### Source

AOC COVID-19 Case Management Database



*Above* The U.S. Botanic Garden temporarily closed to the public due to COVID-19. When possible, public programs and events were rescheduled or moved online.

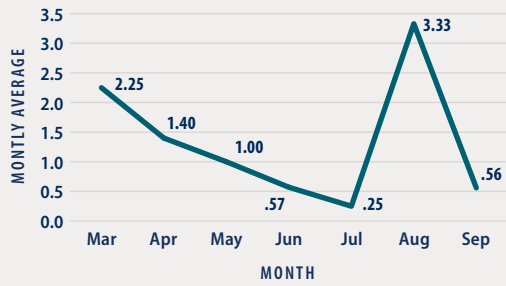
offered opportunities to understand where communication efforts could be reinforced to improve employee protocol adoption.

According to the CDC, maintaining a social distance of at least 6 feet is a key factor in determining if someone is a close contact and should self-quarantine. While certain essential functions that the AOC performs necessitate closer contact for safety or operational purposes, the agency assessed the number of close contacts on the Capitol campus for each AOC staff confirmed with COVID-19 on an average monthly basis, as a proxy for how agency staff were respecting social distancing guidelines. In general, infectious disease transmission decreases when the average number of close contacts per case is less than one. Assessing this indicator gave the agency an additional window of understanding on its performance in preventing the spread of COVID-19 on the Capitol campus. **Figure 44** demonstrates a general downward trend in the number of Capitol campus close contacts among AOC staff positive cases, with the average number of close contacts staying at or below one in four of the five months since May 2020 — indicating good employee adherence to social distancing guidance.

While wearing face coverings is not a factor in whether someone has close contact, it is effective in slowing the transmission of the disease. The agency established a policy requiring all employees to wear face coverings on-site in April 2020 and began tracking through contact tracing protocols whether AOC staff were wearing masks during their close contact interactions in June 2020, as some staff began returning to work on-site. While the agency did not have full adherence



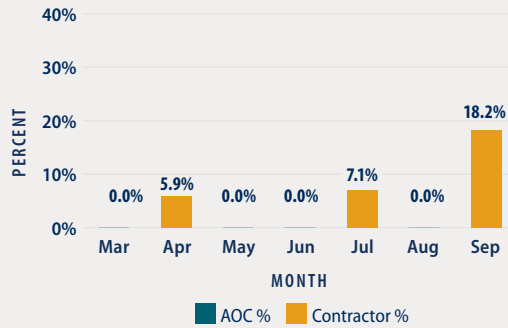
**Figure 44**  
Monthly Average of Campus Close Contacts from COVID-19 Positive Cases (AOC Staff Only)



**Definition**  
Monthly average of campus close contacts from COVID-19 positive AOC staff

**Source**  
AOC COVID-19 Case Management Database

**Figure 46**  
Percent of Capitol Campus Close Contacts (To a Campus Case) That Test Positive



**Definition**  
Campus close contacts to a campus case that tested positive divided by total campus close contacts

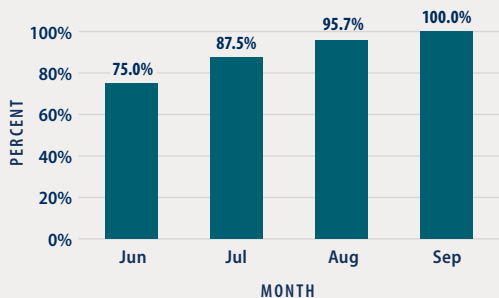
**Source**  
AOC COVID-19 Case Management Database

to the policy in June, corrective measures by leadership helped to improve that trend over the following months, reaching 100.0 percent by September 2020 (Figure 45).

The AOC assesses the number of Capitol campus close contacts who contract COVID-19 as an overall measure of the agency’s ability to stop future transmission. As demonstrated in Figure 46, there have been no AOC staff members who were close contacts to a Capitol campus

case that tested positive for COVID-19 during their self-quarantine. However, in April, July and September 2020, AOC contractors had staff confirmed with COVID-19 with close contacts who became positive during their self-quarantine. Because they were identified quickly via contact tracing protocols, their quarantine prevented the virus from spreading on the Capitol campus.

**Figure 45**  
Percent of Campus Close Contacts Wearing a Face Mask During Close Contact with an AOC Staff Case



**Definition**  
Campus close contacts wearing a face mask during close contact with an AOC staff case divided by total campus close contacts

**Source**  
AOC COVID-19 Case Management Database

# Operate as One Team, Dedicated



**Steve Boozer**, *Capitol Grounds and Arboretum*

An automotive mechanic supervisor, Steve consistently exhibits an extraordinary level of dedication to any task, regardless of size or complexity, which serves as a source of motivation to his team.

**Migdali Delgado**, *Chief Financial Officer*

As the jurisdiction's administrative officer, Migdali provides consistent outstanding customer service and works tirelessly to assist her fellow Chief Financial Officer team.



**Valerie Hasbury**, *Office of Security Programs*

As director of the Office of Security Programs, Valerie led the team responsible for the AOC's COVID-19 pandemic response. Each staff member is recognized for their tremendous efforts and support of the congressional community.

**Kelly Jenkins**, *Human Capital Management Division*

As a payroll specialist, Kelly monitors the AOC's time and attendance and personnel action processing. She is recognized for her professionalism, outstanding customer service, strong work ethic and initiative.

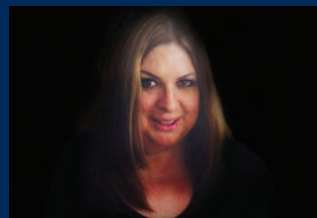


**Stephen Jones**, *U.S. Botanic Garden*

An arborist, Steve is committed to growing and displaying the healthiest plants possible through technology and innovation. He is a mentor to his co-workers and a terrific ambassador to the visiting public.

**Matt Kasprzak**, *Curator Division*

As archivist, Matt provided excellent research support for AOC staff seeking historical drawings and documents to support restoration and construction projects on the Capitol campus.



**Kathryn Klakken**, *Senate Office Buildings*

A business financial analyst, Kathryn has provided invaluable financial guidance over the past 16 years. Kathryn's jurisdiction has had the agency's highest budget execution rate for six consecutive years.

**Chris Lear**, *Capitol Building*

A general engineer, Chris demonstrated integrity and teamwork in resolving project management issues, including Phase 2 of the U.S. Capitol Building Exterior Stone and Metal Preservation Project.



# to One Mission



**Jenna Lemons**, *U.S. Capitol Visitor Center*

Jenna was her jurisdiction's 2019 Employee of the Year. As scheduler, Jenna's attention to detail, focus and energy ensured the success of many major events at the U.S. Capitol Visitor Center.

**Marie Lynn**, *Planning and Project Management*

An interior designer, Marie continuously provides extensive design support for the AOC jurisdictions and individual members of Congress.



**John Moore**, *Library Buildings and Grounds*

A facility project manager, John oversees 4 million square feet of fire alarm systems. Based on his reliability and expertise, John is leading his jurisdiction's comprehensive alarm system modernization.

**Cristin O'Brien**, *Safety, Fire and Environmental Programs*

A communications specialist, Cristin developed the structure for and creates the weekly COVID-19 briefings for the AOC's executive leadership team and the pandemic response working group.



**Keely Shaughnessy**, *Supreme Court Building and Grounds*

An advanced gardener, Keely developed the requirements and annual plant selection process for the grounds and courtyards at the U.S. Supreme Court Building, which has inspired visitors with its beauty.

**Cordell Shields**, *House Office Buildings*

A laborer general supervisor, Cordell's mentorship has been instrumental to his team's success. He has enhanced operational efficiencies and inspired a commitment to getting the job done.



**Antonio Sweetney**, *Capitol Power Plant*

Antonio worked through the AOC Architect Mobility Program to become a power plant operator. With a can-do attitude and willingness to learn and assist others, Antonio has become a valued team member.

SECTION

# 03



# Financial Information

## INTRODUCING THE PRINCIPAL FINANCIAL STATEMENTS

The AOC prepared its Principal Financial Statements to report its financial position and results of operations. The AOC prepared the Statements from its books and records in accordance with formats prescribed by the Office of Management and Budget (OMB) Circular A-136, Financial Reporting Requirements, revised. The Statements are in addition to financial reports prepared by the AOC in accordance with OMB and U.S. Department of the Treasury (Treasury) directives to monitor and control the status and use of budgetary resources, which the AOC prepares from the same books and records. The Statements should be read with the understanding that they are for a component of the U.S. government, a sovereign entity. The AOC has no authority to pay liabilities not covered by budgetary resources. Liquidation of such liabilities requires enactment of an appropriation. The AOC prepares each of the Statements on a comparative basis, showing FY 2020 and FY 2019 results.

The Balance Sheet provides the AOC's assets, liabilities and net position (unexpended appropriations and cumulative results of operations). Net position represents the net

investment of the U.S. government in the AOC's assets, less liabilities.

The Statement of Net Costs provides the gross costs incurred by responsibility segment (AOC jurisdiction), net of any exchange or earned revenue from activities. Exchange revenue includes income from steam and chilled water provided to governmental or private entities, gift shop sales, recycling and other sources. The AOC prepares the net cost of operations using the proprietary basis of accounting and, unlike budgetary accounting, includes costs of services provided by other entities, accruals and noncash expenses such as depreciation and amortization.

The Statement of Changes in Net Position provides the beginning net position, the transactions that affected net position during the period and the ending net position.

The Combined Statement of Budgetary Resources presents information on the budgetary basis of accounting, including the availability of budgetary resources and their status at year-end.

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*Left* The AOC completed a comprehensive recoating of the cast-iron Fountain of Light and Water (commonly known as the Bartholdi Fountain), a heritage asset located in the U.S. Botanic Garden's Bartholdi Gardens.

I am pleased to present the Fiscal Year (FY) 2020 audited financial statements in this Performance and Accountability Report (PAR). Overseeing the financial operations of our organization during the COVID-19 pandemic presented many unique challenges this fiscal year, through which the AOC's professional staff exhibited extraordinary dedication and flexibility. Together, we ensured the AOC continued to meet its mission to serve Congress and the Supreme Court, preserve America's Capitol and inspire memorable experiences.

The AOC's Chief Financial Officer provides for the transparent and responsible management of the public funds entrusted to the agency. In FY 2020, the AOC received \$703.5 million in regular appropriations, plus \$25 million in supplemental funding from the *Coronavirus Aid, Relief, and Economic Security (CARES) Act*, for a total of \$728.5 million. This amount is a decrease of \$21.3 million, or 3 percent, from the FY 2019 funding level. This year's annual funding total included \$231.8 million to fund multiyear capital infrastructure projects that will address our deferred maintenance and capital renewal backlog, as well as attend to needed safety, security and preservation projects. The supplemental CARES Act funding allowed the AOC to prevent, prepare for and respond to the COVID-19 pandemic throughout the Capitol campus.

### Annual Financial Statement Audit

The AOC's annual financial statement audit is an essential element in our internal control program and a verification and validation of our financial management processes. For the 16th consecutive year, the AOC received an unmodified ("clean") opinion on our annual financial statement audit, with no material weaknesses and no significant deficiencies. These results confirm that our financial statements accurately present the financial position of our agency, are free of material misstatements and are in conformity with generally accepted accounting principles (GAAP). As part of our annual audit, the auditors determined there were no instances of noncompliance with the laws, regulations or contracts applicable to the AOC.

In addition, I am proud to report that the AOC received multiple awards from the Association of Government Accountants (AGA) for financial reporting. For the ninth consecutive year, the AOC's PAR received the AGA's Certificate of Excellence in Accountability Reporting (CEAR). Also, our FY 2019 PAR received an AGA CEAR Best-in-Class award for Ease of Accessibility to Multi-Media Information and our FY 2019 PAR Highlights received a Certificate of Excellence in Citizen-Centric Reporting with a note that it "truly sets the standard" for citizen-centric government reports. As dedicated stewards of taxpayer funds, we are immensely proud of this recognition for our reporting and transparency.

### Our Achievements

FY 2020 proved to be unlike any other, and I am incredibly proud of our preparedness for and response to the COVID-19 pandemic. In March 2020, our staff made a

quick transition to maximum enhanced telework without any interruption to performance efficiency. We met all of our required deadlines — including statutorily required reports on the CARES Act and the Cannon Renewal Project — and supported the AOC's COVID-19 mitigation efforts by ensuring funding was available for personal protective equipment (PPE), cleaning supplies and support contractors. To account for the full cost of these efforts, we separately tracked all expended funds related to the COVID-19 response and created a report to keep the agency's leadership, Office of Inspector General (OIG), Government Accountability Office and congressional oversight informed. As the pandemic quickly increased in severity and threatened the operation of the Capitol campus, the AOC took immediate action to ensure resources were available to implement required safety measures across the campus.

Despite our extra workload related to the pandemic response this fiscal year, we also continued to modernize our technology and improve operations. To more effectively track our budget and collate payment transactions and deposits, the AOC implemented the U.S. Department of the Treasury's (Treasury) Collections Information Repository (CIR). This provides detailed information from online Treasury resources such as Pay.gov and OTCnet, which reduces manual data entry and improves internal controls. We also implemented the Federal Acquisition Regulation Procurement Instrument Identifier, which brings the AOC into compliance with federal standards ahead of schedule.

At the same time, while our CFO office hosts the agency's Integrated Risk Management Division, its focus is not limited to financial matters. Enterprise risk management (ERM) provides the AOC with insight into potential external and internal risks to successful mission delivery. Pursuant to the OMB Circular A-123, the AOC uses a matured model approach to integrate risk management throughout the agency. In FY 2020, the AOC participated in the OMB ERM Maturity Model pilot and worked with the OIG on a risk assessment update for the agency.

Although it did not rise to the level of a material weakness or significant deficiency, the prior year audit identified a control finding related to the untimely de-obligation of unliquidated obligations (ULO). In FY 2020, to address this finding, the AOC developed a new, web-based, quarterly financial review (QFR) application, and provided related policy guidance and training. This web-based QFR tool automates the process to validate open obligations, thus alleviating the administrative burden placed on our agency's small community of fund managers.

We continued to refine our ability to use our data to drive management decisions by leveraging real-time dashboards, resulting in improved systems efficiency and broader data access. We also integrated our financial management system with non-CFO systems such as e-Builder, a new project management information system and the U.S. Capitol Visitor Center's new point-of-sale system. The operations



The AOC's talented financial staff helps to manage the agency's resources with integrity and accuracy.

and hosting of the shared service Legislative Branch Financial Management System was a significant focus of FY 2020, including planning and testing for next year's major upgrade to our core financial system and migration to the Microsoft Azure data center. Other new implementations included an automated funding allocation document process that allows us to manage account funding levels and provide jurisdictions greater flexibility in obligating funds. Additionally, we implemented a new audit portal to track audit information requests and ensure that our operations comply with regulations, laws and industry best practices. We also began a refresh of many of our financial policies, a project that will continue into the next fiscal year.

### Looking Forward

For FY 2021 and future years, we will continue efforts to improve our operations, the value of the data we collect and our ability to accurately account for and report on the public funds that we receive. Next year, we will continue implementing the Treasury's Budget Formulation and Execution Manager application to standardize and improve our budget processes. Although the AOC is not subject to the *Digital Accountability and Transparency Act*, we intend to continue our financial data standardization for cleaner reporting and improved transparency. We are also working to implement the Treasury's G-Invoicing platform, which will help improve our intragovernmental purchase and sales processes, starting in FY 2022.

As we approach the scheduled end of our current five-year Strategic Plan, we are looking to our next Strategic Plan to implement data-driven analytics to inform management decisions, oversee project risks and improve systems efficiency.

It will also introduce an enterprise asset management program to provide a better balance between asset maintenance costs and available resources, while improving the agency's deferred maintenance and capital renewal backlog management. In addition, the AOC will develop Vision 2100 to guide the agency for the next century. This vision will inform a new 20-year Master Plan, which will in turn influence the agency's future budget requests.

### Conclusion

I want to thank Congress for its extraordinary support in preserving our nation's capital for future generations. Furthermore, we owe thanks to our audit partners, Kearney & Company and the Office of Inspector General, for their assistance and professionalism. Most importantly, I would like to express my gratitude for our incredible financial team. In the best of times, managing the AOC's day-to-day financial operations is uniquely demanding. With the COVID-19 pandemic upending our normal operations, I am incredibly proud of how our team stepped up, adapted and excelled in maintaining our operations and ensuring the sound stewardship of our agency's funds in accomplishing our mission to acquire and distribute resources that sustain the financial needs of the AOC's operational jurisdictions and central services.

Sincerely,

Jonathan Kraft  
Acting Chief Financial Officer  
November 20, 2020

## INSPECTOR GENERAL TRANSMITTAL




Office of Inspector General  
 Fairchild Bldg.  
 499 S. Capitol St., SW, Suite 518  
 Washington, D.C. 20515  
 202.593.1948  
[www.aoc.gov](http://www.aoc.gov)

United States Government

## MEMORANDUM

DATE: November 23, 2020

TO: J. Brett Blanton  
 Architect of the Capitol

FROM: Christopher P. Failla, CIG  
 Inspector General 

SUBJECT: Audit of Fiscal Year 2020 Financial Statements  
 (Audit Report OIG-AUD-2021-01)

We contracted with the independent public accounting firm, Kearney & Company (Kearney), P.C. to audit the financial statements of the Architect of the Capitol (AOC) as of and for the fiscal years that ended September 30, 2020 and 2019, to provide reports on internal control over financial reporting, and on compliance and other matters. The contract required that the audit be performed in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; Office of Management and Budget Bulletin No. 19-03, *Audit Requirements for Federal Financial Statements*; the U.S. Government Accountability Office's (GAO) Federal Information System Controls Audit Manual; and the GAO/Council of the Inspectors General on Integrity and Efficiency Financial Audit Manual.

In its audit of the AOC, Kearney reported:

- the financial statements were fairly presented, in all material respects, in accordance with U.S. Generally Accepted Accounting Principles;
- no material weaknesses<sup>1</sup> in internal control over financial reporting;
- no instances in which the AOC's financial management systems did not substantially comply; and
- no reportable noncompliance issues with provisions of laws tested or other matters.

Kearney is responsible for the attached auditor's report dated November 20, 2020, and the conclusions expressed therein. We do not express opinions on the AOC's financial statements or internal control over financial reporting, or conclusions on compliance and other matters.

<sup>1</sup> A material weakness is a deficiency, or combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected, on a timely basis.



INSPECTOR GENERAL TRANSMITTAL (*continued*)

If you have any questions or wish to discuss this report, please contact Erica Wardley at 202.593.0081 or [Erica.Wardley@aoc.gov](mailto:Erica.Wardley@aoc.gov).

Distribution List:

Thomas J. Carroll III, Assistant to the Architect  
Peter Bahm, Chief of Staff  
Jonathan Kraft, Acting Chief Financial Officer,  
William O'Donnell, Chief Administrative Officer  
Jason Baltimore, General Counsel  
Jonathan Migas, Chief Information Officer  
Curtis McNeil, Risk Management Officer  
Mary Jean Pajak, Senior Advisor

## INDEPENDENT AUDITOR'S REPORT



1701 Duke Street, Suite 500, Alexandria, VA 22314  
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**INDEPENDENT AUDITOR'S REPORT**

To the Architect of the Capitol and Inspector General of Architect of the Capitol

**Report on the Financial Statements**

We have audited the accompanying financial statements of the Architect of the Capitol (AOC), which comprise the balance sheets as of September 30, 2020 and 2019 the related statements of net cost and changes in net position, and the combined statements of budgetary resources (hereinafter referred to as the "financial statements") for the years then ended, and the related notes to the financial statements.

**Management's Responsibility for the Financial Statements**

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

**Auditor's Responsibility**

Our responsibility is to express an opinion on these financial statements based on our audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and Office of Management and Budget (OMB) Bulletin No. 19-03, *Audit Requirements for Federal Financial Statements*. Those standards and OMB Bulletin No. 19-03 require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

INDEPENDENT AUDITOR'S REPORT *(continued)*

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

**Opinion**

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of the AOC as of September 30, 2020 and 2019, and its net cost of operations, changes in net position, and budgetary resources for the years then ended, in accordance with accounting principles generally accepted in the United States of America.

**Other Matters***Required Supplementary Information*

Accounting principles generally accepted in the United States of America require that the Management's Discussion and Analysis and Required Supplementary Information (hereinafter referred to as the "required supplementary information") be presented to supplement the financial statements. Such information, although not a part of the financial statements, is required by OMB and the Federal Accounting Standards Advisory Board (FASAB), who considers it to be an essential part of financial reporting for placing the financial statements in an appropriate operational, economic, or historical context. We have applied certain limited procedures to the required supplementary information in accordance with auditing standards generally accepted in the United States of America, which consisted of inquiries of management regarding the methods of preparing the information and comparing it for consistency with management's responses to our inquiries, the financial statements, and other knowledge we obtained during our audits of the financial statements. We do not express an opinion or provide any assurance on the information because the limited procedures do not provide us with sufficient evidence to express an opinion or provide any assurance.

*Other Information*

Our audits were conducted for the purpose of forming an opinion on the financial statements taken as a whole. Other Information, as named in the Performance and Accountability Report (PAR), is presented for purposes of additional analysis and is not a required part of the financial statements. Such information has not been subjected to the auditing procedures applied in the audits of the financial statements; accordingly, we do not express an opinion or provide any assurance on it.

**Other Reporting Required by *Government Auditing Standards***

In accordance with *Government Auditing Standards* and OMB Bulletin No. 19-03, we have also issued reports, dated November 20, 2020, on our consideration of the AOC's internal control over financial reporting and on our tests of the AOC's compliance with provisions of applicable laws, regulations, contracts, and grant agreements, as well as other matters for the year ended September 30, 2020. The purpose of those reports is to describe the scope of our testing of

INDEPENDENT AUDITOR'S REPORT *(continued)*

internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on internal control over financial reporting or on compliance and other matters. Those reports are an integral part of an audit performed in accordance with *Government Auditing Standards* and OMB Bulletin No. 19-03 and should be considered in assessing the results of our audits.

A handwritten signature in blue ink that reads "Kearney &amp; Company".

Alexandria, Virginia  
November 20, 2020

INDEPENDENT AUDITOR'S REPORT ON INTERNAL  
CONTROL OVER FINANCIAL REPORTING

1701 Duke Street, Suite 500, Alexandria, VA 22314  
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**INDEPENDENT AUDITOR'S REPORT ON INTERNAL CONTROL OVER  
FINANCIAL REPORTING**

To the Architect of the Capitol and Inspector General of Architect of the Capitol

We have audited, in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and Office of Management and Budget (OMB) Bulletin No. 19-03, *Audit Requirements for Federal Financial Statements*, the financial statements of the Architect of the Capitol (AOC) as of and for the year ended September 30, 2020, and the related notes to the financial statements, which collectively comprise the AOC's financial statements, and we have issued our report thereon dated November 20, 2020.

**Internal Control over Financial Reporting**

In planning and performing our audit of the financial statements, we considered the AOC's internal control over financial reporting (internal control) to determine the audit procedures that are appropriate in the circumstances for the purpose of expressing our opinions on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the AOC's internal control. Accordingly, we do not express an opinion on the effectiveness of the AOC's internal control. We limited our internal control testing to those controls necessary to achieve the objectives described in OMB Bulletin No. 19-03. We did not test all internal controls relevant to operating objectives as broadly defined by the Federal Managers' Financial Integrity Act of 1982 (FMFIA), such as those controls relevant to ensuring efficient operations.

A deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. A material weakness is a deficiency, or combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented or detected and corrected on a timely basis. A significant deficiency is a deficiency, or combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies. Given these limitations, during our audit we did not identify any deficiencies in internal control that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

We noted certain additional matters involving internal control over financial reporting that we will report to the AOC's management in a separate letter.

INDEPENDENT AUDITOR'S REPORT ON INTERNAL  
CONTROL OVER FINANCIAL REPORTING (*continued*)**Purpose of this Report**

The purpose of this report is solely to describe the scope of our testing of internal control and the results of that testing, and not to provide an opinion on the effectiveness of the AOC's internal control. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* and OMB Bulletin No. 19-03 in considering the entity's internal control. Accordingly, this communication is not suitable for any other purpose.

A handwritten signature in blue ink that reads "Kearney &amp; Company".

Alexandria, Virginia  
November 20, 2020

## INDEPENDENT AUDITOR'S REPORT ON COMPLIANCE



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**INDEPENDENT AUDITOR'S REPORT ON COMPLIANCE WITH LAWS,  
REGULATIONS, CONTRACTS, AND GRANT AGREEMENTS**

To the Architect of the Capitol and Inspector General of Architect of the Capitol

We have audited, in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and Office of Management and Budget (OMB) Bulletin No. 19-03, *Audit Requirements for Federal Financial Statements*, the financial statements of the Architect of the Capitol (AOC) as of and for the year ended September 30, 2020, and the related notes to the financial statements, which collectively comprise the AOC's financial statements and we have issued our report thereon dated November 20, 2020.

**Compliance and Other Matters**

As part of obtaining reasonable assurance about whether the AOC's financial statements are free from material misstatement, we performed tests of its compliance with certain provisions of applicable laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. We limited our tests of compliance to these provisions and did not test compliance with all laws, regulations, contracts, and grant agreements applicable to the AOC. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards* and OMB Bulletin No. 19-03.

**Purpose of this Report**

The purpose of this report is solely to describe the scope of our testing of compliance and the results of that testing, and not to provide an opinion on the effectiveness of the entity's compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* and OMB Bulletin No. 19-03 in considering the entity's compliance. Accordingly, this communication is not suitable for any other purpose.

A handwritten signature in blue ink that reads "Kearney &amp; Company". The signature is written in a cursive, flowing style.

Alexandria, Virginia  
November 20, 2020

ARCHITECT OF THE CAPITOL'S RESPONSE  
TO THE INSPECTOR GENERAL

**Architect of the Capitol**  
U.S. Capitol, Room SB-16  
Washington, DC 20515  
202.228.1793  
[www.aoc.gov](http://www.aoc.gov)

November 20, 2020

Mr. Christopher Failla  
Inspector General  
Architect of the Capitol  
Washington, DC 20515

Dear Mr. Failla:

We have received the Independent Auditor's Report related to the Architect of the Capitol's (AOC) financial statements for the Fiscal Years ending September 30, 2020 and 2019. Thank you for the opportunity to comment on the independent audit.

We appreciate working in partnership with you in support of an efficient and effective audit. The AOC works diligently to establish strong financial management practices in order to address our fiscal compliance requirements, manage our financial processes and systems, and meet our day-to-day responsibilities. The annual audit continues to provide us with new insights and valuable recommendations for improvement.

We concur with the findings in your report and are pleased that the audit resulted in an unmodified opinion — marking the 16th consecutive year that the AOC received a “clean” opinion. In addition, the auditor's report identified zero material weaknesses and significant deficiencies. While we are pleased with these results, we also recognize that more can be done to strengthen our fiscal stewardship. Our management agrees with the auditor's notices of findings and recommendations. We will develop an appropriate corrective action plan for these issues, provide it to the Office of Inspector General by February 1, 2021, and monitor the implementation of this plan throughout the corrective action process.

I would like to thank you, your staff and the auditor, Kearney & Company, P.C., for the professionalism in conducting the audit.

Sincerely,

J. Brett Blanton  
Architect of the Capitol

Doc. No. 200922-04-02



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## ARCHITECT OF THE CAPITOL

## BALANCE SHEET

As of September 30, 2020 and 2019 (\$ in Thousands)

	2020	2019
<b>ASSETS</b>		
Intragovernmental Assets		
Fund Balance with Treasury (Note 3)	\$ 1,014,778	\$ 1,094,152
Investments (Note 5)	20,366	24,591
Accounts Receivable (Note 6)	607	1,857
Other (Note 10)	214	834
<b>Total Intragovernmental</b>	<b>\$ 1,035,965</b>	<b>\$ 1,121,434</b>
Cash and Other Monetary Assets (Note 4)	14	45
Investments (Note 5)	10,761	10,673
Accounts Receivable, Net (Note 6)	357	876
Inventory and Related Property, Net (Note 7)	1,185	624
General Property, Plant and Equipment, Net (Note 8)	2,450,456	2,250,783
Other (Note 10)	—	4
<b>TOTAL ASSETS (Note 2)</b>	<b>\$ 3,498,738</b>	<b>\$ 3,384,439</b>
Stewardship PP&E (Note 9)		
<b>LIABILITIES</b>		
Intragovernmental Liabilities		
Accounts Payable	\$ 104	\$ 262
Unfunded FECA (Note 12)	8,720	9,159
Advances from Others	44,327	50,365
Other Liabilities (Note 16)	2	57
<b>Total Intragovernmental</b>	<b>\$ 53,153</b>	<b>\$ 59,843</b>
Accounts Payable	3,429	3,328
Debt Held by the Public (Note 13)	58,229	70,082
Actuarial FECA (Note 12)	51,668	52,073
Contingent and Environmental Liabilities (Note 14)	79,062	79,243
Accrued Annual Leave and Other (Note 12)	32,612	23,608
Capital Lease Liability (Note 15)	4,207	4,408
Contract Holdbacks	27,254	14,442
Other Liabilities (Note 16)	94,117	102,427
<b>TOTAL LIABILITIES (Note 11)</b>	<b>\$ 403,731</b>	<b>\$ 409,454</b>
<b>COMMITMENTS AND CONTINGENCIES (Note 14)</b>		
<b>NET POSITION</b>		
Unexpended Appropriations	\$ 801,991	\$ 895,155
Cumulative Results of Operations	2,293,016	2,079,830
<b>TOTAL NET POSITION</b>	<b>\$ 3,095,007</b>	<b>\$ 2,974,985</b>
<b>TOTAL LIABILITIES AND NET POSITION</b>	<b>\$ 3,498,738</b>	<b>\$ 3,384,439</b>

The accompanying footnotes are an integral part of these financial statements.

## ARCHITECT OF THE CAPITOL

## STATEMENT OF NET COSTS

For the Years Ending September 30, 2020 and 2019 (\$ in Thousands)

<b>PROGRAM COSTS</b>	<b>2020</b>	<b>2019</b>
<b>Capital Construction and Operations</b>		
Gross Costs	\$ 144,755	\$ 102,401
Less: Earned Revenue	(657)	(822)
Net Program Costs	144,098	101,579
<b>Capitol Building</b>		
Gross Costs	60,161	61,726
Less: Earned Revenue	(428)	(515)
Net Program Costs	59,733	61,211
<b>Capitol Grounds and Arboretum</b>		
Gross Costs	15,927	14,120
Less: Earned Revenue	(33)	(77)
Net Program Costs	15,894	14,043
<b>Capitol Police Buildings, Grounds and Security</b>		
Gross Costs	33,359	34,030
Less: Earned Revenue	—	—
Net Program Costs	33,359	34,030
<b>Capitol Power Plant</b>		
Gross Costs	99,827	106,524
Less: Earned Revenue	(9,044)	(11,335)
Net Program Costs	90,783	95,189
<b>House Office Buildings</b>		
Gross Costs	108,757	120,533
Less: Earned Revenue	(10,499)	(10,058)
Net Program Costs	98,258	110,475
<b>Library Buildings and Grounds</b>		
Gross Costs	59,086	50,369
Less: Earned Revenue	(12,238)	(1,519)
Net Program Costs	46,848	48,850
<b>Senate Office Buildings</b>		
Gross Costs	85,924	91,785
Less: Earned Revenue	(1,056)	(2,795)
Net Program Costs	84,868	88,990
<b>Supreme Court Building and Grounds</b>		
Gross Costs	59,557	54,531
Less: Earned Revenue	(50,588)	(35,428)
Net Program Costs	8,969	19,103
<b>U.S. Botanic Garden</b>		
Gross Costs	16,684	14,924
Less: Earned Revenue	—	—
Net Program Costs	16,684	14,924
<b>U.S. Capitol Visitor Center</b>		
Gross Costs	29,968	27,675
Less: Earned Revenue	(2,210)	(6,560)
Net Program Costs	27,758	21,115
<b>Net Cost of Operations (Note 23)</b>	<b>\$ 627,252</b>	<b>\$ 609,509</b>

The accompanying footnotes are an integral part of these financial statements.

## ARCHITECT OF THE CAPITOL

## STATEMENT OF CHANGES IN NET POSITION

For the Years Ending September 30, 2020 and 2019 (\$ in Thousands)

	2020	2019
<b>UNEXPENDED APPROPRIATIONS</b>		
<b>Beginning Balance</b>	\$ 895,155	\$ 820,284
<b>Budgetary Financing Sources</b>		
Appropriations Received (Note 19)	728,504	742,744
Other Adjustments	(3,424)	(1,974)
Appropriations Used	(818,244)	(665,899)
<b>Total Budgetary Financing Sources</b>	<b>(93,164)</b>	<b>74,871</b>
<b>Total Unexpended Appropriations</b>	<b>\$ 801,991</b>	<b>\$ 895,155</b>
<b>CUMULATIVE RESULTS OF OPERATIONS</b>		
<b>Beginning Balance</b>	\$ 2,079,830	\$ 1,995,569
<b>Budgetary Financing Sources</b>		
Appropriations Used	818,244	665,899
Nonexchange Revenue	97	229
<b>Other Financing Sources (Nonexchange)</b>		
Transfers In/(Out) Without Reimbursement	122	1,000
Imputed Financing from Costs Absorbed by Others (Note 17)	21,975	26,642
<b>Total Financing Sources</b>	<b>840,438</b>	<b>693,770</b>
<b>Net Cost of Operations</b>	<b>(627,252)</b>	<b>(609,509)</b>
<b>Net Change</b>	<b>213,186</b>	<b>84,261</b>
<b>Cumulative Results of Operations</b>	<b>\$ 2,293,016</b>	<b>\$ 2,079,830</b>
<b>NET POSITION</b>	<b>\$ 3,095,007</b>	<b>\$ 2,974,985</b>

The accompanying footnotes are an integral part of these financial statements.

## ARCHITECT OF THE CAPITOL

## COMBINED STATEMENT OF BUDGETARY RESOURCES

For the Years Ending September 30, 2020 and 2019 (\$ in Thousands)

	2020	2019
<b>BUDGETARY RESOURCES</b>		
Unobligated Balance from Prior Year Budget Authority, Net (Note 22)	\$ 642,614	\$ 694,922
Appropriations (Note 19)	728,531	749,803
Borrowing Authority	5,662	6,608
Spending Authority from Offsetting Collections	59,990	55,746
<b>Total Budgetary Resources</b>	<b>\$ 1,436,797</b>	<b>\$ 1,507,079</b>
<b>STATUS OF BUDGETARY RESOURCES</b>		
New Obligations and Upward Adjustments (Total)	\$ 964,489	\$ 901,105
Unobligated Balance, End of Year:		
Exempt from Apportionment, Unexpired Accounts	449,356	585,996
Unexpired Unobligated Balance, End of Year	449,356	585,996
Expired Unobligated Balance, End of Year (Note 3)	22,952	19,978
Unobligated Balance, End of Year (Total)	472,308	605,974
<b>Total Budgetary Resources</b>	<b>\$ 1,436,797</b>	<b>\$ 1,507,079</b>
<b>OUTLAYS, NET</b>		
Outlays, Net (Total) (Discretionary and Mandatory)	797,098	654,579
<b>Agency Outlays, Net (Note 23)</b>	<b>\$ 797,098</b>	<b>\$ 654,579</b>

The accompanying footnotes are an integral part of these financial statements.

## NOTES TO THE FINANCIAL STATEMENTS

For the Years Ending September 30, 2020 and 2019

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## SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

### A. Reporting Entity

The Architect of the Capitol (AOC) is an agency within the legislative branch of the federal government. Initially authorized by Congress to provide “suitable buildings and accommodations for the Congress of the United States,” its role has expanded to include responsibility for the maintenance, operation, development, and preservation of the Capitol Building; Capitol Grounds and Arboretum; Capitol Police Buildings, Grounds, and Security; House Office Buildings; Library Buildings and Grounds; Senate Office Buildings; Supreme Court Building and Grounds; Capitol Power Plant; U.S. Botanic Garden (USBG); and U.S. Capitol Visitor Center (CVC).

The AOC is also responsible for:

- Supporting Congress during official national events (e.g., Presidential Inaugural Ceremonies) held at the U.S. Capitol or on the Capitol Grounds and Arboretum
- Providing steam and chilled water to the Supreme Court of the United States, Thurgood Marshall Federal Judiciary Building (the Thurgood Marshall Building), Union Station, and the Folger Shakespeare Library, and steam-only to the Government Publishing Office (GPO) and the Postal Square building
- Providing educational programs and guide services to visitors at the CVC and USBG

Some of the assets and liabilities reported by AOC may be eliminated from governmentwide reports because they are offset by assets and liabilities of another U.S. government entity. These financial statements should be read with the realization that they are for a component of the U.S. government, a sovereign entity.

### B. Basis of Accounting and Presentation

As a legislative branch agency, AOC is not required to follow the accounting standards promulgated by the Federal Accounting Standards Advisory Board (FASAB). Also, AOC has not formally adopted the *Government Management and Reform Act of 1994*, the *Federal Managers Financial Integrity Act of 1982*, the *Federal Financial Management Improvement Act of 1996*, or the *Government Performance and Results Modernization Act of 2010*, as these apply only to executive branch agencies. Nonetheless, AOC refers to these regulations as a general guide for best practices and incorporates them into its financial management practices, as appropriate. Also, AOC has adopted GAAP for financial reporting in a manner consistent with other federal agencies. Therefore, AOC’s financial statements have been prepared in conformity with U.S. generally accepted accounting principles (GAAP) as promulgated by FASAB. The American Institute of Certified Public Accountants (AICPA) recognizes FASAB standards as GAAP for federal reporting entities.

The AOC records both proprietary and budgetary accounting transactions. Following the accrual method of accounting, revenues are recognized when earned and expenses are recognized when incurred, without regard to the actual collection or payment of cash.

Federal budgetary accounting recognizes the obligation and use of available budget authority and other fund resources upon the establishment of a properly documented legal liability. The recognition of budgetary accounting transactions is essential for compliance with legal controls over the use of federal funds and for compliance with appropriations law.

### C. Fund Balance with Treasury

The AOC maintains most available fund balances with the U.S. Department of Treasury (Treasury). Fund Balance with Treasury (FBWT) represents the unexpended balances of expenditure and receipt accounts (see Note 3). Budget authority, receipts and disbursements are processed by Treasury, and AOC’s records are reconciled with those accounts on a regular basis. In addition to the FBWT, AOC also has other cash deposits and investments that are held in accounts outside of Treasury, as described in Notes 4 and 5, respectively.

FBWT is an asset of AOC and a liability of the General Fund of the government. The amount represents commitments by the government to provide resources for particular programs, but does not represent net assets to the government as a whole.

When AOC (like other reporting entities) seeks to use FBWT to liquidate budgetary obligations, Treasury will finance the disbursements in the same way it finances all other disbursements, using some combination of budget authority, collections and other inflows, and borrowing from the public (if there is a budget deficit).

### D. Accounts Receivable

The AOC’s receivables may include, but are not limited to amounts due for steam and chilled water provided to other agencies, food service commissions from operations at the CVC and Senate restaurants, flag-flying fees and employees’ payroll-related debt. If applicable, Accounts Receivable from federal (intragovernmental) and non-federal sources may be reduced to net realizable value by the Allowance for Doubtful Accounts, which is based on management’s review of outstanding receivables. (see Note 6).

The AOC is legislatively authorized to retain a predetermined amount of steam and chilled water reimbursements to cover current year obligations. Any receivable (and subsequent collection) over the predetermined amount (congressional cap) is a non-entity asset that is credited to Treasury’s Miscellaneous Receipts account.

### E. Investments

All investments are reported at their acquisition (par) value, net of amortized premiums and discounts, as it is AOC’s intent to hold the investments to maturity. Purchases

and sales of investments are recorded as of the trade date. Investment income is reported when earned. The market value of the investments is the current market value at the end of the reporting period.

#### **Intragovernmental (Investments Held With Treasury)**

The *Capitol Visitor Center Act of 2008* (2 U.S.C. § 2201 et seq.) allows for proceeds from the sale of Gift Shop inventory, restaurant commissions, and miscellaneous Gift Shop receipts to be invested in government securities through the Bureau of the Fiscal Service's web-based application, FedInvest. By law, interest income is credited to the fund.

#### **Public (Investments Held Outside Treasury)**

The AOC has funds invested by a trustee outside of Treasury as a result of financing the construction of the Thurgood Marshall Building. Congress did not appropriate funds for the construction of the building but, instead, authorized the use of private financing to cover its cost. In 1989, AOC entered into a development management agreement with Boston Properties for the design, development, and construction of the Thurgood Marshall Building.

Shearson Lehman Hutton Inc. and Kidder, Peabody, & Co. Inc. issued 30-Year Serial Zero Coupon Certificates of Participation to finance its construction. The discount on the purchase reflects the absence of coupon interest payments and is amortized over the life of these certificates.

Pursuant to the Trust Agreement, the proceeds were received by a trustee, The United States Trust Company of New York (now The Bank of New York Mellon). These proceeds were deposited into two funds, the Project Fund and the Operating Reserve Fund, to cover the costs of the construction project. In 2007, the Project Fund balance was transferred to the Operating Reserve Fund. The Operating Reserve Fund is held outside the Treasury by the trustee and, at AOC's direction, the funds are invested and disbursed. The Operating Reserve Fund is held in reserve for future needs of the building (e.g., roof replacement or other major renovation) (see Note 5).

### **F. Trust and Revolving Funds**

#### **Trust and Special Funds**

The AOC has stewardship responsibility for one trust fund account, the National Garden Trust Fund, and one special fund account, the Capitol Trust Account.

The National Garden Trust Fund is subject to the direction of the Joint Committee on the Library (of Congress) and was established to accept gifts or bequests of money, plant material, and other property on behalf of the USBG. While this trust fund account still exists, it has a zero balance and is inactive.

The Capitol Trust Account was established pursuant to P.L. 113-76. The balance in this fund consists of permit fees collected by the U.S. Capitol Police (USCP) to cover costs incurred by AOC as a result of commercial activity that is conducted in the area known as Union Square. Funds in this

account are available for maintenance, improvements, and other Union Square projects subject to the approval of the Committees of the House of Representatives and Senate.

#### **Revolving Funds**

The AOC has stewardship responsibility for seven revolving funds to account for various programs and operations. Each of these funds is a distinct fiscal and accounting entity that accounts for cash and other financial resources together with all related liabilities and equities. These revolving funds are:

- House (of Representatives) Gymnasium Revolving Fund
- Senate Health and Fitness Facility Revolving Fund
- Senate Restaurant Revolving Fund
- Judiciary Office Building Development and Operations Fund
- CVC Revolving Fund
- Recyclable Materials Revolving Fund
- Flag Office Revolving Fund

The House (of Representatives) Gymnasium Revolving Fund was established in the Treasury for AOC to deposit dues paid by members and other authorized users of the House of Representatives Wellness Center. The AOC may expend fund amounts to pay for the operation of the facility.

The Senate Health and Fitness Facility Revolving Fund was established to deposit membership dues collected from authorized users of the Senate Health and Fitness Facility and proceeds from AOC's Senate recycling program. The AOC, subject to the approval of the Senate Committee on Appropriations, may expend fund amounts to pay for the preservation and maintenance of the facility.

The Senate Restaurant Revolving Fund was established in 1961 for the operation of the Senate restaurants. In 2008, control of the Senate restaurants was transferred to a private vendor and AOC took over its accounting functions. Following the transfer, the revolving fund is no longer used for the operation of the restaurants, but the account still exists for activities resulting from the conversion and continuing maintenance of the restaurants. Upon approval by the Senate Committee on Rules and Administration, available balances may be increased via transfers in from the U.S. Senate to AOC, as needed.

The Judiciary Office Building Development and Operations Fund is used to pay expenses related to the structural, mechanical, and domestic care, maintenance, operation, and utilities of the Thurgood Marshall Building. The fund includes an investment that is held outside Treasury with The Bank of New York Mellon, via a Trust Agreement established to finance the construction of the Thurgood Marshall Building.

The CVC Revolving Fund is used to administer funds from the sale of Gift Shop inventory, the deposit of miscellaneous



Gift Shop receipts, commissions paid to the CVC for food service operations and any fees collected from other functions within the CVC facility. This business-type revolving fund is invested in government securities through the Bureau of the Fiscal Service.

The Recyclable Materials Revolving Fund was established to collect the proceeds from the sale of recyclable materials from across AOC (excluding the Senate, which deposits such funds in the Senate Health and Fitness Facility Revolving Fund). Available funds in this account may be used to carry out recycling programs or other programs that promote energy savings at AOC.

The Flag Office Revolving Fund was established pursuant to P.L. 115-31 for services provided by AOC Flag Office. This fund consists of flag fees collected by the Flag Office and is available for the Flag Office's expenses, including:

- supplies, inventories, equipment, and other expenses
- reimbursement of any applicable appropriations account for amounts used from such appropriations account to pay the salaries of employees of the Flag Office
- amounts necessary to carry out the authorized levels in the *Fallen Heroes Flag Act of 2016*

#### Funds from Dedicated Collections

Statements of Federal Financial Accounting Standards (SFFAS) No. 27, Identifying and Reporting Funds from Dedicated Collections, as amended by SFFAS No. 43, Dedicated Collections: Amending SFFAS No. 27, Identifying and Reporting Funds, defines funds from dedicated collections as financed by specifically identified revenues, provided to the government by nonfederal sources, often supplemented by other financing sources, which remain available over time. These specifically identified revenues and other financing sources are required by statute to be used for designated activities, benefits, or purposes, and must be accounted for separately from the government's general revenues. As of the current reporting period, there are no AOC funds that meet the criteria for funds from dedicated collections.

#### G. Recognition of Financing Sources

The AOC receives funding to support its programs through appropriations and offsetting collections authorized by Congress. Funding for operating and capital expenditures is received as annual, multi-year and no-year appropriations. This includes funding provided in the *Coronavirus Aid, Relief, and Economic Security (CARES) Act*, under the Capital Construction and Operations account.

The appropriations that AOC manages are listed. Inactive funds are also included for full disclosure.

1. Capitol Building
  - Capitol Building
  - Flag Office Revolving Fund

2. Capitol Grounds and Arboretum
  - Capitol Grounds and Arboretum
  - West Central Front (inactive)
  - Capitol Trust Account (Union Square)
3. Capitol Police Buildings, Grounds and Security
  - Capitol Police Buildings, Grounds and Security
4. Capital Construction and Operations
  - Capital Construction and Operations
  - Recyclable Materials Revolving Fund
  - Americans with Disabilities Act (inactive)
  - Congressional Cemetery (inactive)
5. House Office Buildings
  - House Office Buildings
  - House Office Buildings Fund
  - House of Representatives Gymnasium Revolving Fund
  - House Historic Buildings Revitalization Trust Fund
6. Library Buildings and Grounds
  - Library Buildings and Grounds
7. Senate Office Buildings
  - Senate Office Buildings
  - Senate Health and Fitness Facility Revolving Fund
  - Senate Restaurant Revolving Fund
8. Capitol Power Plant
  - Capitol Power Plant
9. U.S. Botanic Garden
  - Botanic Garden
  - National Garden (inactive)
10. U.S. Capitol Visitor Center
  - U.S. Capitol Visitor Center
  - U.S. Capitol Visitor Center Revolving Fund
11. Supreme Court Building and Grounds
  - Supreme Court
  - Judiciary Office Building Development and Operations Fund

As a component of the governmentwide reporting entity, AOC is subject to the federal budget process, which involves appropriations that are provided annually and appropriations that are provided on a permanent basis. The financial transactions that are supported by budgetary resources, which include appropriations, are generally the same transactions reflected in agency and the governmentwide financial reports.

The AOC's budgetary resources reflect past congressional action that enable the entity to incur budgetary obligations in a given year. Budgetary obligations are legal obligations for goods, services, or amounts to be paid based on statutory provisions (e.g., employee benefits).

## H. Operating Materials and Supplies

The AOC's materials and supplies consist of tangible personal property consumed during normal operations. Per SFFAS No. 3, Accounting for Inventory and Related Property, operating materials and supplies are recorded using the purchases method. This method provides that operating materials and supplies be expensed when purchased. Operating materials and supplies are purchased using funds specifically appropriated to AOC's jurisdictions. Therefore, the related usage of those materials and supplies is intended for those specific jurisdictions making the purchases.

### I. Inventory

Inventory consists of retail goods purchased for resale at the CVC's Gift Shops. It is recorded at historical cost, using the weighted average valuation method, in accordance with SFFAS No. 3, Accounting for Inventory and Related Property. The recorded values may be adjusted based on the results of periodic physical inventory counts. Inventory purchased for resale may be categorized as follows: (1) purchased goods held for current sale, (2) purchased goods held in reserve for future sale and (3) slow-moving, excess or obsolete inventory. Examples of the retail goods included in inventory are books, apparel, ornaments and other souvenirs. The AOC may also record an allowance that is based on slow-moving, excess or obsolete and damaged inventory, or as a result of known restrictions on the sale or disposition of inventory (see Note 7).

### J. Public-Private Partnerships

In FY 2016, AOC entered into a contract with the Washington Gas Light Company to construct a cogeneration facility. Cogeneration, also known as combined steam and power, uses a single fuel source and simultaneously produces electricity and steam. This facility will provide heat and electricity for use by AOC and its jurisdictions and other federal agencies, with excess capacity being sold potentially to non-federal entities as well. The AOC has evaluated this arrangement against the disclosure requirements outlined in SFFAS No. 49, Public-Private Partnerships (P3), and determined that cogeneration does not meet the conclusive and suggestive characteristics of a P3 (see Notes 8, 11 and 14).

### K. General Property, Plant and Equipment, Net

The AOC records property at cost, in accordance with SFFAS 6, Accounting for Property, Plant, and Equipment. Real property and equipment are depreciated over their estimated useful lives, which range from three to 40 years, using the straight-line method. Depreciation is based on the half-year and full-month conventions for buildings and equipment, respectively. All property (real and personal) is in AOC's possession and there is nothing held by others (see Note 8).

The following table presents AOC's capitalization thresholds and related useful lives:

PROPERTY TYPE	USEFUL LIFE (YEARS)	CAPITALIZATION THRESHOLD
Real Property	40	\$500,000
Improvements	20	\$500,000
Equipment and Vehicles	3–15	\$25,000
Assets Under Capital Lease	Shorter of Lease Term or Useful Life of Property Type	See Related Property Type
Internal Use Software (Intellectual Property)	3	\$5,000,000

### L. Stewardship Property, Plant and Equipment

Stewardship land and heritage assets have physical properties that resemble those of General Property, Plant and Equipment (PP&E), which are traditionally capitalized in the financial statements. Due to the nature of stewardship assets, however, determining a monetary value would be difficult, and matching costs with specific periods may not be possible or meaningful. Heritage assets are PP&E that are unique and are generally expected to be preserved indefinitely. Heritage assets have historical or natural significance; are of cultural, educational, or artistic importance or have significant architectural characteristics. These assets are reported in terms of physical units rather than cost or other monetary values per SFFAS No. 29, Accounting for Heritage Assets and Stewardship Land. There are two types of heritage assets: collection, which are objects gathered and maintained for exhibition, such as museum and art collections; and noncollection, which are parks, memorials, monuments and buildings. The AOC holds both collection and noncollection heritage stewardship assets (see Note 9).

### M. Liabilities

Liabilities represent the amounts owed to others for goods or services received, claims against the agency, and other probable future outflows of resources as a result of past transactions or current conditions (e.g., debt or environmental cleanup liabilities). Some liabilities are funded while others are classified as "unfunded" because no liability may be paid without an enacted appropriation. For example, accrued unfunded annual leave and workers' compensation remain unfunded until future appropriations are enacted to cover these costs. The Balance Sheet includes, but is not limited to the following types of liabilities:

#### Accounts Payable

Accounts Payable are amounts owed by AOC to vendors, contractors and federal agencies for goods and services received but not yet paid at the end of the reporting period.

#### Advances from Others

Advances from Others consists of amounts advanced to AOC by other Federal trading partners for services provided under reimbursable agreements.

### Debt Held by the Public

The AOC recognizes a liability for the 30-year Coupon Certificates of Participation issued to finance the Thurgood Marshall Building construction. The liability is reduced by semi-annual payments of principal and interest. These payments are secured by the rent collected from the Administrative Office of the U.S. Courts (see Note 13).

### Contract Holdbacks

Contract Holdbacks (retainage) consists of a percentage of the contract price that is due to the vendor or contractor but is held by AOC to provide assurance that the service or project will be completed as required by the contract terms. The amount that is held-back is released to the vendor or contractor upon satisfactory completion of the service or project.

### Contingent and Environmental Liabilities

The AOC accounts for contingencies in accordance with SFFAS No. 5, Accounting for Liabilities of the Federal Government. This standard defines a contingency as an existing condition, situation, or set of circumstances involving uncertainty as to the possible gain or loss to an entity that will ultimately be resolved when one or more future events occur or fail to occur. Management recognizes a contingent liability for liabilities equal to or greater than \$100 thousand when a past transaction or event has occurred, a future outflow or other sacrifice of resources is probable and the related future outflow is measurable (see Note 14).

SFFAS No. 5 also provides criteria for recognizing a contingent liability for material amounts of environmental cleanup costs that are related to general and stewardship PP&E used in federal operations. In accordance with Technical Bulletin 2006-1, Recognition and Measurement of Asbestos-Related Cleanup Costs, AOC recognizes a liability and related expense for friable and nonfriable asbestos cleanup costs when it is both probable and reasonably estimable - consistent with SFFAS No. 5, SFFAS No. 6, and Technical Release No. 2 (see Note 14).

### N. Personnel Compensation and Benefits

#### Annual and Other Leave

Annual leave is recognized as an expense and a liability as it is earned. The liability is reduced as leave is taken. The accrued leave liability is principally long term in nature and is classified as unfunded. Other types of leave are expensed when taken and no future liability is recognized for these amounts (see Note 12).

#### Federal Employees' Compensation Act Benefits

The *Federal Employees' Compensation Act* (FECA) provides income and medical cost protection to covered federal civilian employees injured on the job, employees who have incurred a work-related occupational disease and beneficiaries of employees whose death is attributable to a job-related injury or occupational disease. The FECA program is administered by the U.S. Department of Labor (DOL), which initially pays valid claims and subsequently seeks reimbursement from the federal agencies employing the claimants. The DOL determines the actuarial liability

for claims outstanding at the end of each fiscal year. This liability includes the estimated future costs of death benefits, workers' compensation and medical and miscellaneous costs for approved compensation cases (see Note 12).

#### Pensions

Most employees of AOC participate in one of three defined-benefit retirement programs based on their employment start date. Employee and AOC contributions are made to the Civil Service Retirement System (CSRS), the CSRS Offset or the Federal Employees Retirement System (FERS) — all administered by the Office of Personnel Management (OPM). Employees may also participate in the Thrift Savings Plan (TSP), a defined contribution retirement savings and investment plan, as authorized by the *Federal Employees Retirement System Act of 1986*. The Federal Retirement Thrift Investment Board administers this plan. The AOC also withholds the necessary payroll deductions for employee contributions.

The AOC is not responsible for and does not report CSRS, FERS assets, accumulated plan benefits or liabilities applicable to its employees on its financial statements. The OPM is responsible to report these amounts. The AOC recognizes an imputed financing source for the difference between the estimated OPM service cost and the sum of participants' pension withholdings and agency contributions (see Note 17).

#### Health Benefits and Life Insurance

The AOC recognizes a current-period expense for the future cost of post-retirement health benefits and life insurance for its employees while they are actively employed. This amount is also considered imputed financing (see Note 17).

### O. Statement of Net Cost

The Statement of Net Cost (SNC) is presented by responsibility segment (which are AOC jurisdictions), in accordance with SFFAS No. 4, Managerial Cost Accounting Concepts and Standards for the Federal Government. The AOC believes the responsibility segment approach currently provides cost information to its stakeholders in a direct, informative, and succinct manner.

The 11 responsibility segments reported on the SNC are identified.

- Capital Construction and Operations
- Capitol Building
- Capitol Grounds and Arboretum
- Capitol Police Buildings, Grounds and Security
- Capitol Power Plant
- House Office Buildings
- Library Buildings and Grounds
- Senate Office Buildings

- Supreme Court Building and Grounds
- U.S. Botanic Garden
- U.S. Capitol Visitor Center

Revenues reported on the SNC are principally recorded on a direct cost recovery basis.

#### P. Use of Estimates

The preparation of financial statements in conformity with GAAP requires management to make certain estimates and assumptions. These estimates and assumptions affect the reported amounts of assets, liabilities (including contingent liabilities), revenues, financing sources, expenses and obligations incurred during the reporting period. These estimates are based on management's best knowledge of current events, historical experience and other assumptions that are believed to be reasonable under the circumstances. Estimates are subject to a wide range of variables, including assumptions on future economic and financial events. Accordingly, actual results may differ from those estimates.

#### Q. Classified Activities

Accounting standards require all reporting entities to disclose that accounting standards allow certain presentations and disclosures to be modified, if needed, to prevent the disclosure of classified information.

#### NOTE 2

#### NON-ENTITY ASSETS

Non-entity assets are those held by AOC but unavailable for use in its operations. Upon receipt, these funds are not available for AOC use and are transferred to Treasury. Activities that may give rise to non-entity assets include:

- Monocle Restaurant rent collections
- USBG palm tree rental proceeds
- Repayment of employees' debt, which was established in funds that are now canceled
- Steam and chilled water collections over the annual congressional cap (see Note 1D)

The AOC's non-entity assets as of September 30, 2020, and 2019, were as follows:

#### Dollars in Thousands

NON-ENTITY ASSETS	2020	2019
<b>With the Public</b>		
Accounts Receivable, Net (Note 6)	\$ 2	\$ 26
Total Non-Entity Assets	2	26
Total Entity Assets	3,498,736	3,384,413
<b>Total Assets</b>	<b>\$ 3,498,738</b>	<b>\$ 3,384,439</b>

#### NOTE 3

#### FUND BALANCE WITH TREASURY

FBWT is classified as Unobligated Balances Available, Unobligated Balances Unavailable, Obligated Balance not yet Disbursed or Non-Budgetary FBWT.

Unobligated Balance Available represents unexpired budget authority. The amount disclosed in this note as Unobligated Balance Available may not reconcile to the amount reported as Unobligated-Exempt from Apportionment on the Combined Statement of Budgetary Resources (SBR) due to anticipated collections (closed out at year end) and budgetary resources that do not affect FBWT such as investments (see Note 5). Additionally, any amounts in FBWT for which the related budgetary authority is restricted will not reconcile to the SBR. AOC has unobligated balances derived from offsetting collections for space rented in the O'Neill Building. These amounts are restricted to future use, pending Congressional appropriation.

Unobligated Balance Unavailable represents expired budget authority that is no longer available to incur new obligations unless authorized by Congress, such as FECA payments.

Obligated Balance not yet Disbursed includes undelivered orders or orders that have been received but not yet paid for.

Non-Budgetary FBWT (if applicable) includes unavailable miscellaneous receipts and suspense accounts that have no associated budget authority.

#### Dollars in Thousands

BALANCE TYPE	2020	2019
Unobligated Balance Available	\$ 444,677	\$ 574,909
Unobligated Balance Unavailable	22,952	19,978
Obligated Balance not yet Disbursed	547,149	499,265
<b>Total</b>	<b>\$ 1,014,778</b>	<b>\$ 1,094,152</b>

The decrease in Unobligated Balance Available is mainly due to a 2 percent decrease in appropriations received in FY 2020 compared to FY 2019. During the current year, AOC's disbursements also increased noticeably as a result of progress payments on the Cannon House Office Building renewal construction project as well as COVID-19-related spending, which are also reflected in the increase in Obligated Balance not yet Disbursed.

#### NOTE 4

#### CASH AND OTHER MONETARY ASSETS

Cash and Other Monetary Assets include change-making funds held in a bank outside Treasury for CVC Gift Shop operations and undeposited daily sales from the Gift Shops (if applicable). The CVC closed for public tours Thursday, March 12, at 4:30 p.m. due to public health concerns associated with COVID-19. As a result of the closing, there was no daily sales activity after that date and therefore no undeposited collections for the period ending September 30, 2020. There are no restrictions on cash.

The cash balances as of September 30, 2020, and 2019, are as follows:

**Dollars in Thousands**

<b>CASH AND OTHER MONETARY ASSETS</b>	<b>2020</b>	<b>2019</b>
Undeposited Collections	\$ —	\$ 31
Cash Imprest Funds	14	14
<b>Total</b>	<b>\$ 14</b>	<b>\$ 45</b>

**NOTE 5**

**INVESTMENTS**

The CVC's investments are comprised of proceeds from CVC Gift Shop sales and restaurant commissions. These amounts are invested with Treasury's Bureau of the Fiscal Service and are classified as intragovernmental. Investments

with the public comprise the investment of the residual Thurgood Marshall Building construction operating reserve funds with the Bank of New York Mellon.

The FY 2020 Intragovernmental Investments, Net decreased by \$4.2 million compared to FY 2019 due to decreased CVC Gift Shop sales and restaurant commissions as a result of the COVID-19 pandemic-related closures (see Note 4, Cash and Other Monetary Assets) and additional CVC spending related to the Exhibition Hall Renovation project.

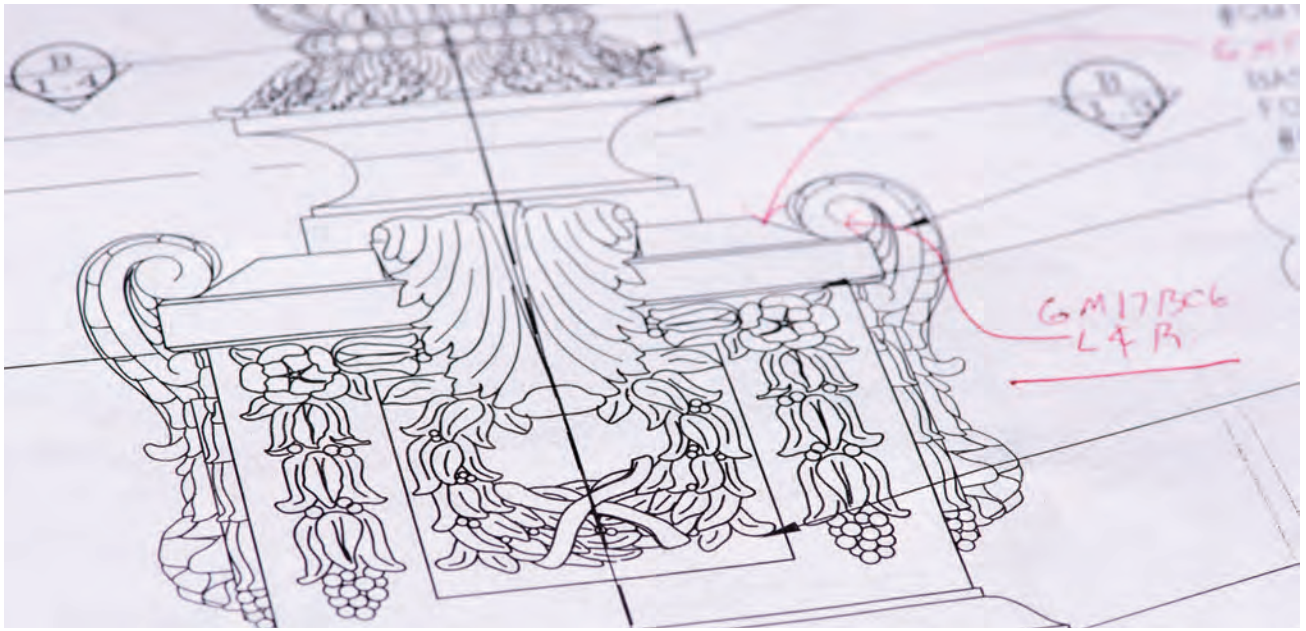
Also, the difference in the type of certificates (one-day, six-month, and one-year) reflects the maturity of previously held six-month and one-year securities. Upon maturity, the proceeds from six-month and one-year securities remain in one-day certificates until they are reinvested in longer-term certificates.

**At September 30, 2020, Dollars in Thousands**

<b>INVESTMENTS</b>	<b>SHARES/PAR</b>	<b>AMORTIZED PREM./ (NET OF DISC.)</b>	<b>INTEREST RECEIVABLE</b>	<b>INVESTMENTS, NET</b>	<b>MARKET VALUE</b>
<b>Intragovernmental, Nonmarketable:</b>					
Capitol Visitor Center Revolving Fund					
One Day Certificate, 0.07% Annual Yield Maturing 10/01/2020	\$ 11,325	\$ —	\$ —	\$ 11,325	\$ 11,325
Six Month Certificate, 0.125% Annual Yield Maturing 01/21/2021	5,003	(2)	—	5,001	5,002
One Year Certificate, 1.45% Annual Yield Maturing 01/28/2021	4,059	(19)	—	4,040	4,058
<b>Total Intragovernmental</b>	<b>\$ 20,387</b>	<b>\$ (21)</b>	<b>\$ —</b>	<b>\$ 20,366</b>	<b>\$ 20,385</b>
<b>With the Public, Held to Maturity:</b>					
The Bank of New York Mellon Operating Reserve Fund Serial Zero Coupon Certificates Maturing 08/15/2024					
	\$ 10,761	\$ —	\$ —	\$ 10,761	\$ 10,761
<b>Total With the Public</b>	<b>\$ 10,761</b>	<b>\$ —</b>	<b>\$ —</b>	<b>\$ 10,761</b>	<b>\$ 10,761</b>
<b>Total Investments</b>	<b>\$ 31,148</b>	<b>\$ (21)</b>	<b>\$ —</b>	<b>\$ 31,127</b>	<b>\$ 31,146</b>

**At September 30, 2019, Dollars in Thousands**

<b>INVESTMENTS</b>	<b>SHARES/PAR</b>	<b>AMORTIZED PREM./ (NET OF DISC.)</b>	<b>INTEREST RECEIVABLE</b>	<b>INVESTMENTS, NET</b>	<b>MARKET VALUE</b>
<b>Intragovernmental, Nonmarketable:</b>					
Capitol Visitor Center Revolving Fund					
One Day Certificate, 1.90% Annual Yield Maturing 10/01/2019	\$ 14,009	\$ —	\$ —	\$ 14,009	\$ 14,009
Six Month Certificate, 2.06% Annual Yield Maturing 01/23/2020	5,052	(33)	—	5,019	5,023
One Year Certificate, 2.52% Annual Yield Maturing 01/30/2020	4,095	(34)	—	4,061	4,070
One Year Certificate, 1.71% Annual Yield Maturing 08/31/2020	1,525	(23)	\$ —	1,502	1,501
<b>Total Intragovernmental</b>	<b>\$ 24,681</b>	<b>\$ (90)</b>	<b>\$ —</b>	<b>\$ 24,591</b>	<b>\$ 24,603</b>
<b>With the Public, Held to Maturity:</b>					
The Bank of New York Mellon Operating Reserve Fund Maturing 08/15/2024					
	\$ 10,673	\$ —	\$ —	\$ 10,673	\$ 10,673
<b>Total With the Public</b>	<b>\$ 10,673</b>	<b>\$ —</b>	<b>\$ —</b>	<b>\$ 10,673</b>	<b>\$ 10,673</b>
<b>Total Investments</b>	<b>\$ 35,354</b>	<b>\$ (90)</b>	<b>\$ —</b>	<b>\$ 35,264</b>	<b>\$ 35,276</b>



*Above* As part of the recently completed restoration of the Ulysses S. Grant Memorial, the AOC refabricated eight replica bronze lampposts and installed them on the memorial's marble pedestal.

#### NOTE 6

### ACCOUNTS RECEIVABLE, NET

The AOC's Accounts Receivable as of September 30, 2020, and 2019, are as follows:

Dollars in Thousands

ACCOUNTS RECEIVABLE	2020	2019
<b>Intragovernmental</b>		
Entity	\$ 607	\$ 1,857
<b>Total Intragovernmental</b>	<b>\$ 607</b>	<b>\$ 1,857</b>
<b>With the Public</b>		
Entity	\$ 355	\$ 850
Non-Entity	2	26
<b>Total With the Public</b>	<b>\$ 357</b>	<b>\$ 876</b>
<b>Total</b>	<b>\$ 964</b>	<b>\$ 2,733</b>

Based on analysis of historical collections and write-offs, all accounts are currently considered collectible and there is no allowance for doubtful accounts as of the current period.

The decrease in the total accounts receivables was due to multiple factors. First, steam and chilled water usage and billing were lower as a result of the COVID-19-related shutdown. Also, AOC transitioned to monthly billing and collections which reduced the amount outstanding at the end of the current reporting period. Additionally, CVC closed for public tours Thursday, March 12, at 4:30 p.m. due to public health concerns associated with COVID-19. As a result, there are no restaurant commissions due as of September 30, 2020.

#### NOTE 7

### INVENTORY AND RELATED PROPERTY, NET

Inventory consists of retail goods that were purchased for resale at the CVC's Gift Shops. The AOC may record an allowance which is based on slow-moving, excess or obsolete and damaged inventory, if applicable.

Inventory, as of September 30, 2020, and 2019, is as follows:

Dollars in Thousands

INVENTORY CATEGORY	2020	2019
Purchased Goods Held for Current Sale	\$ 1,185	\$ 624
<b>Total</b>	<b>\$ 1,185</b>	<b>\$ 624</b>

The FY 2020 inventory on hand is higher compared to FY 2019. This is due to a reduced inventory turnover in the current period due to the closing of the CVC Gift Shops on March 12 at 4:30 p.m. due to public health concerns associated with COVID-19.

Inventory on hand may include damaged items which consist of broken and/or stained merchandise that are no longer in saleable condition, such as display items. Discontinued or defective merchandise may also be restricted from future sales and carried as damaged inventory until disposed.

Based upon management's reviews and the most recent inventory count, all damaged inventory was disposed in accordance with normal operating practices. Therefore, there is no damaged or restricted inventory to report as of September 30, 2020.

## GENERAL PROPERTY, PLANT AND EQUIPMENT, NET

The AOC records property and equipment by distinct categories as shown (see also Note 1.K for AOC's capitalization thresholds and related useful lives).

The following chart represents AOC's real property and equipment values, by asset category, as of September 30, 2020, and 2019:

## At September 30, 2020, Dollars in Thousands

CLASS OF PROPERTY AND EQUIPMENT	ACQUISITION VALUE	ACCUMULATED DEPRECIATION	NET BOOK VALUE	%
Buildings	\$ 1,440,184	\$ 838,164	\$ 602,020	24.5%
Building Improvements	2,362,061	1,167,300	1,194,761	48.8%
Capital Leases (Real Property)	40,143	37,036	3,107	0.1%
Construction Work-in-Progress	425,090	—	425,090	17.3%
Equipment and Internal Use Software	21,686	17,636	4,050	0.2%
Land	169,231	—	169,231	6.9%
Land Improvements	164,010	118,590	45,420	1.9%
Leasehold Improvements	22,934	20,389	2,545	0.1%
Other Structures	9,289	5,057	4,232	0.2%
<b>Total</b>	<b>\$ 4,654,628</b>	<b>\$ 2,204,172</b>	<b>\$ 2,450,456</b>	<b>100%</b>

## At September 30, 2019, Dollars in Thousands

CLASS OF PROPERTY AND EQUIPMENT	ACQUISITION VALUE	ACCUMULATED DEPRECIATION	NET BOOK VALUE	%
Buildings	\$ 1,440,072	\$ 809,299	\$ 630,773	28.0%
Building Improvements	2,240,280	1,073,694	1,166,586	51.8%
Capital Leases (Real Property)	39,749	36,423	3,326	0.2%
Construction Work-in-Progress	221,016	—	221,016	9.8%
Equipment and Internal Use Software	20,822	17,216	3,606	0.2%
Land	169,231	—	169,231	7.5%
Land Improvements	159,483	110,841	48,642	2.2%
Leasehold Improvements	22,935	19,924	3,011	0.1%
Other Structures	9,288	4,696	4,592	0.2%
<b>Total</b>	<b>\$ 4,322,876</b>	<b>\$ 2,072,093</b>	<b>\$ 2,250,783</b>	<b>100%</b>

The increase in Construction Work-in-Progress is primarily due to work on various ongoing capital improvement projects such as the Cannon Renewal Project.

The AOC's current year PP&E activity is as follows:

CURRENT YEAR ACTIVITY NET PP&E	DOLLARS IN THOUSANDS
Balance at Beginning of year	\$ 2,250,783
Capitalized Acquisitions	332,208
Dispositions	(456)
Depreciation	(132,079)
<b>Balance at end of year</b>	<b>\$ 2,450,456</b>

The educational, artistic, architectural, and historical significance of many of AOC's buildings meet the FASAB criteria for heritage assets. Since these buildings are currently used for day-to-day business, they are further classified as multiuse heritage assets (see Note 9). As a result, they are depreciated in the same manner as if they were general purpose assets. Although the original assets are fully depreciated, subsequent improvements and betterments to the buildings are currently being depreciated in accordance with established policy. The AOC is responsible for reviewing and authorizing all structural and architectural changes to the buildings and grounds prior to any change occurring.

## NOTE 9

## STEWARDSHIP PP&amp;E

The AOC maintains and preserves stewardship PP&E related to its mission to serve Congress and the Supreme Court, preserve America's Capitol and inspire memorable experiences. Tracing its beginnings to the laying of the U.S. Capitol Building cornerstone in 1793, authority for AOC's care and maintenance of the U.S. Capitol was established by legislation in 1876. The agency maintains multiple categories of heritage assets, including historic buildings and structures, stewardship lands and cultural landscapes, artwork, architectural features, reference and library materials, and living botanical assets. The AOC shares stewardship responsibility for certain heritage assets with the curators for the U.S. Senate and the House of Representatives. These heritage assets are categorized as joint works of art and included in AOC's inventory. In addition, while AOC is responsible for the architectural fine art adorning the U.S. Supreme Court Building, the collectible fine art within the building is cared for by the curator of the Supreme Court of the United States.

The AOC's heritage asset management is guided by the Secretary of the Interior's Standards and Guidelines for Treatment of Historic Properties and Cultural Landscapes and by the Code of Ethics and Guidelines for Practice of the American Institute for Conservation of Historic and Artistic Works. The reference and library materials collection is guided by the National Archives and Records Administration preservation standards and the living botanical assets collection is guided by the standards for care of the American Alliance of Museums and Botanic Garden Conservation International. The AOC's stewardship PP&E is described more fully in the Required Supplementary Information (RSI). Deferred maintenance and repairs are separately disclosed as RSI.

**Historic Buildings and Structures**

The AOC maintains multiple historic buildings and structures, along with their historic fabric. These facilities include the U.S. Capitol Building, Russell Senate Office

Building, Dirksen Senate Office Building, Hart Senate Office Building, Senate Underground Garage, Daniel Webster Page Residence, Cannon House Office Building, Longworth House Office Building, Rayburn House Office Building, East and West House Underground Garages, Ford House Office Building, Thomas Jefferson Building, John Adams Building and James Madison Memorial Building. They also include the U.S. Botanic Garden (USBG) Conservatory, USBG Administration Building, Capitol Power Plant Main Boiler Building, Capitol Power Plant East Refrigeration Plant, Capitol Power Plant Old Generator Building, U.S. Supreme Court Building and Thurgood Marshall Federal Judiciary Building. All of these facilities are predominantly used in general government operations and are considered multiuse heritage assets. Multiuse heritage assets are shown at cost and presented as General Property, Plant and Equipment, Net on the Balance Sheet. Historic buildings and structures are added or withdrawn through congressional action.

**Stewardship Lands and Cultural Landscapes**

The AOC-administered stewardship lands encompass more than 570 acres of grounds. This includes the U.S. Capitol Grounds, the approximately 286 acres immediately surrounding the U.S. Capitol Building designed by noted American landscape architect Frederick Law Olmsted. In addition, the cultural landscapes include Senate Park, Senate office building sites and courtyards, House office building sites and courtyards, Botanic Garden and National Garden, Bartholdi Park, USBG Administration Building site, Union Square, Thomas Jefferson Building site, John Adams Building site, James Madison Memorial Building site, U.S. Supreme Court Building site, the Thurgood Marshall Building site and the memorial trees planted on the U.S. Capitol Grounds to honor distinguished citizens, groups and national events. In general, units of stewardship land are added or withdrawn through congressional action. Memorial trees are added through congressional action or donation.

An inventory of the memorial trees as of September 30, 2020, and 2019 follows:

DESCRIPTION	2019	ADDED	WITHDRAWN	OTHER ADJUSTMENTS	2020	CONDITION
Memorial Trees	145	2	(1)	4	150	Good



**Collectible Heritage Assets**

The AOC is the steward of collectible heritage assets. In general, collectible heritage assets are added or withdrawn through congressional action. Living botanical assets are added through congressional action or donation, and withdrawn due to plants dying or being composted/discarded due to disease or change in institutional need. Collectible heritage assets include:

**Artwork:** The AOC cares for artwork that is part of the Capitol campus. These include fine art, decorative art, architectural fine art and architectural decorative art.

**Architectural Features:** The Capitol campus is graced with many unique architectural features. These include outdoor sculptures, monuments and landscape features and fixtures.

**Reference and Library Materials:** The AOC's collections include art and reference files, art and reference library materials and archival records (both traditional and electronic). The traditional archival records include architectural and engineering drawings, manuscripts, paper records, small architectural models, photographs and conservation reports. The electronic archival records are heritage assets retained on electronic storage media including, but not limited to, architectural and engineering drawings and textual records.

**Living Botanical Assets:** The AOC accounts for the living botanical assets in the USBG collection. These include a variety of plants for exhibition, study and exchange with other institutions.

An inventory of AOC's collectible heritage assets as of September 30, 2020, and 2019 follows:

DESCRIPTION	2019	ACQUIRED	WITHDRAWN	OTHER ADJUSTMENTS	2020	CONDITION
Artwork	2,032	1	—	(80)	1,953	Poor to Excellent
Architectural Features	202	—	—	—	202	Fair to Excellent
Reference and Library Materials:						
Art and Reference Files (Drawers)	108	—	—	—	108	Good
Art and Reference Library Materials (Volumes)	1,216	3	—	—	1,219	Good
Other Traditional Archival Records	540,666	11,969	—	(586)*	552,049	Fair to Excellent
Electronic Archival Records (Megabytes)	5,417.57	7,966.50	—	(1,282.69)*	12,101.38	N/A
Living Botanical Assets (Accessions)	9,651	660	(386)	—	9,925	N/A

\*The AOC made the determination to exclude preaccessioned materials from their heritage assets inventory, although these materials will continue to be described in the RSI. Preaccessioned materials are records that have been transferred to the Records Management and Archives Branch, but not yet screened and registered as part of the official archival collection. As a result of this change, 586 items were removed from the Other Traditional Archival Records inventory and 1,282.69MB were removed from Electronic Archival Records inventory. These items appear in the Adjustments column in the summary above.

**NOTE 10****OTHER ASSETS**

As of September 30, 2020, Other Assets consist of the unliquidated balance on advance payments to other federal agencies for support work performed under interagency agreements. In FY 2019, Other Assets consisted of employee travel advances in addition to the federal agencies advances.

The decrease in Intragovernmental Advances to Others is attributed to the liquidation of the advance payments as services are rendered and costs are incurred under the interagency agreements.

**Dollars in Thousands**

OTHER ASSETS	2020	2019
<b>Intragovernmental</b>		
Advances to Others	\$ 214	\$ 834
<b>Total Intragovernmental</b>	<b>\$ 214</b>	<b>\$ 834</b>
<b>With the Public</b>		
Advances to Others	\$ —	\$ 4
<b>Total With the Public</b>	<b>\$ —</b>	<b>\$ 4</b>
<b>Total</b>	<b>\$ 214</b>	<b>\$ 838</b>

## NOTE 11

## LIABILITIES NOT COVERED BY BUDGETARY RESOURCES

The Balance Sheet as of September 30, 2020, and 2019, includes some liabilities not covered by current budgetary resources. Such liabilities require future Congressional action whereas liabilities covered by budgetary resources reflect prior congressional action. Regardless of when the congressional action occurs, when the liabilities are liquidated, Treasury will finance the liquidation in the same way that it finances all other disbursements, which is to borrow from the public if the government has a budget deficit (and to use current receipts if the government has a surplus). Liabilities that do not require the use of budgetary resources are miscellaneous receipts that are to be forwarded to Treasury.

The amount reported as Other in the following table represents the financed portion of the cogeneration project. While this amount is currently not covered by budgetary resources, the annual payment of principal and interest on the liability will be made from annual appropriations to the Capitol Power Plant (See Note 1 and Note 16).

Liabilities Covered and Not Covered by Budgetary Resources as of September 30, 2020, and 2019, are as follows:

## Dollars in Thousands

LIABILITIES	2020	2019
<b>Intragovernmental</b>		
Accrued Unfunded Worker's Compensation (See Note 12)	\$ 8,720	\$ 9,159
<b>Total Intragovernmental</b>	<b>\$ 8,720</b>	<b>\$ 9,159</b>
Debt Held by Public (See Note 13)	\$ 58,229	\$ 70,082
Actuarial Unfunded Worker's Compensation (See Note 12)	51,668	52,073
Environmental Liabilities – Unfunded (See Note 14)	79,062	79,243
Unfunded Accrued Annual Leave and Other (See Note 12)	18,611	12,626
Other (See Note 16)	49,307	58,031
Capital Lease	4,207	4,408
<b>Total Liabilities Not Covered by Budgetary Resources</b>	<b>\$ 269,804</b>	<b>\$ 285,622</b>
<b>Total Liabilities Covered by Budgetary Resources</b>	<b>133,925</b>	<b>123,775</b>
<b>Total Liabilities Not Requiring Budgetary Resources ( Note 16)</b>	<b>2</b>	<b>57</b>
<b>Total Liabilities</b>	<b>\$ 403,731</b>	<b>\$ 409,454</b>

## NOTE 12

## PAYROLL-RELATED LIABILITIES

Payroll-related liabilities include three accounts: Funded Accrued Payroll (payroll that has been earned but not paid), Unfunded Accrued Annual Leave (employee leave that has been earned but not taken in current year) and accrued liabilities for Workers' Compensation.

Accrued Payroll and Annual Leave, by type, as of September 30, 2020, and 2019, are as follows:

## Dollars in Thousands

ACCRUED ANNUAL LEAVE AND OTHER	2020	2019
Funded Accrued Payroll	\$ 14,001	\$ 10,982
Unfunded Accrued Annual Leave	18,611	12,626
<b>Total</b>	<b>\$ 32,612</b>	<b>\$ 23,608</b>

The increase in Funded Accrued Payroll was due to a longer accrued timeframe in FY 2020 (13 working days) compared to that of FY 2019 (11 working days). The increase in Unfunded Accrued Annual Leave is attributed to employees taking less leave compared to previous fiscal years, as a result of the COVID-19-related quarantine. Also, employees who were unable to continue working were allowed to use administrative leave.

Workers' Compensation is reported as required by FECA. The liability is presented in two parts: an annual accrued liability for billed costs (current portion) and a long-term, actuarially-calculated unfunded liability (see Note 1.M). The actuarial workers' compensation liability was calculated using a formula provided by the DOL.

Workers' Compensation, by type, as of September 30, 2020, and 2019, is as follows:

## Dollars in Thousands

WORKERS' COMPENSATION, BY TYPE	2020	2019
Unfunded Workers' Compensation (Current)	\$ 8,720	\$ 9,159
Actuarial Workers' Compensation (Long-Term)	51,668	52,073
<b>Total</b>	<b>\$ 60,388</b>	<b>\$ 61,232</b>

The change in the Actuarial Workers' Compensation liability is due to reduced claims during FY 2020 which lower the overall projection.

Estimated future costs have been actuarially determined and they are regarded as a liability to the public because neither the costs nor reimbursement have been recognized by DOL. Actuarial Workers' Compensation is included in Liabilities not covered by Budgetary Resources, as described in Note 11.

## DEBT HELD BY THE PUBLIC

Debt held by the public consists of federal debt and interest payable. The AOC is responsible for paying 30-year Serial Zero Coupon Certificates of Participation that were issued in 1989 for financing the construction of the Thurgood Marshall Building. The certificates were issued at \$125.4 million with a maturity value of \$525.5 million and are amortized using the effective interest rate of 9 percent (corresponding to the discount). Interest payable is accrued for the coupon certificates as well as the financed portion of the cogeneration project.

The balance of Debt Held by the Public, as of September 30, 2020, and 2019, is as follows:

## Dollars in Thousands

DEBT HELD BY THE PUBLIC, BY TYPE	2020	2019
Securities	\$ 68,920	\$ 86,150
Interest Payable	1,086	1,453
<b>Subtotal</b>	<b>\$70,006</b>	<b>\$ 87,603</b>
Discount on Securities	\$ (400,123)	\$ (400,123)
Less: Amortization of Discount	388,346	382,602
<b>Subtotal</b>	<b>\$ (11,777)</b>	<b>\$ (17,521)</b>
<b>Total</b>	<b>\$ 58,229</b>	<b>\$ 70,082</b>

Various judiciary offices and personnel occupy the Thurgood Marshall Building under an Interagency Agreement between AOC and the Administrative Office of the U.S. Courts. Base rent will not change over the initial 30 years and is set at \$17.2 million annually, which is the amount necessary to retire the debt in August 2024. This certificate is not subject to prepayment or acceleration under any circumstance, pursuant to the language in the certificate agreement.

## NOTE 14

## COMMITMENTS AND CONTINGENCIES

The AOC is party to various administrative proceedings, legal actions, and tort claims which may result in settlements or decisions adverse to the federal government. The AOC also has responsibility to remediate certain sites with environmental contamination hazards related to ongoing operations. Additionally, AOC has contractual agreements with various energy service providers which may require future financial obligations.

The AOC's accrued and potential liabilities for contingent and environmental cleanup costs, as of September 30, 2020, and 2019, are shown.

## At September 30, 2020, Dollars in Thousands

CONTINGENT AND ENVIRONMENTAL CLEANUP COST LIABILITIES	ACCRUED LIABILITIES	ESTIMATED RANGE OF LOSS	
		LOWER END	UPPER END
<b>Legal Liabilities</b>			
Reasonably Possible	—	—	\$ 2,800
<b>Environmental Cleanup Cost Liabilities</b>			
Probable	\$ 79,062	\$ 79,062	\$ 79,062
<b>Total</b>	<b>\$ 79,062</b>	<b>\$ 79,062</b>	<b>\$ 81,862</b>

## At September 30, 2019, Dollars in Thousands

CONTINGENT AND ENVIRONMENTAL CLEANUP COST LIABILITIES	ACCRUED LIABILITIES	ESTIMATED RANGE OF LOSS	
		LOWER END	UPPER END
<b>Legal Liabilities</b>			
Reasonably Possible	—	\$ 500	\$ 9,400
<b>Environmental Cleanup Cost Liabilities</b>			
Probable	\$ 79,243	\$ 79,243	\$ 79,243
<b>Total</b>	<b>\$ 79,243</b>	<b>\$ 79,743</b>	<b>\$ 88,643</b>

## Legal Liabilities

General contingent liabilities consist of claims filed against AOC which are awaiting adjudication. These liabilities typically relate to contracts, labor and equal employment opportunity issues, and personal and property damage.

For the purpose of estimating contingent liabilities for the financial statements, AOC conducted a review of existing claims for which the likelihood of loss to AOC is probable. Additionally, management and AOC's General Counsel evaluated the materiality of cases determined to have a reasonably possible chance of an adverse outcome. Liabilities are recognized herein for those cases that are determined to meet management's materiality threshold (see Note 1.M). No amounts are accrued in the financial records for claims where the estimated amount of potential loss is less than \$100 thousand or where the likelihood of an unfavorable outcome is less than probable. During the current and prior year reporting period there were no reported cases that met this criteria.

Additionally, management and AOC's General Counsel evaluated the materiality of cases determined to have a reasonably possible (less than probable but more than remote) chance of an adverse outcome. The ultimate outcomes in these matters cannot be predicted at this time; however, the lower and upper level estimate of these cases are shown in the chart above. Sufficient information is not currently available to determine if the ultimate resolution of

the proceedings, actions, and claims will materially affect AOC's financial position or results of operations. Based on the less than probable nature of these claims, an accounting entry for the estimate was not posted and there is no impact on the financial statements.

### Environmental Cleanup Cost Liabilities Related to Asbestos Cleanup

The AOC is responsible for managing and/or abating friable and non-friable asbestos-containing materials (ACM) in all Capitol complex buildings owned by the federal government. Pursuant to the FASAB Technical Bulletin 2006-1, Recognition and Measurement of Asbestos-related Cleanup Costs, AOC recognizes a liability for cleanup costs that are both probable and reasonably estimable. This liability is founded on "per square and linear foot" cost indexes (based on current industry guidance for asbestos cleanup projects) which are then applied to recorded quantities of ACM to derive a total estimated liability.

Actual cleanup costs may differ from the recorded estimate due to additional cost factors that are, at this time, not reasonably estimable. For example, there may be an additional difficulty factor associated with AOC projects due to the unique working conditions on Capitol Hill. Additionally, containment (room or area) for asbestos abatement is a required work element that is not reasonably estimable at this time. Due to the uniqueness of individual project requirements, there is not enough information to determine the type of, and how much containment would be required. The AOC has determined the lower level estimate of potential containment cost could be up to \$98.5 million.

### Fort George G. Meade, Maryland

In addition to the requirements of Technical Bulletin 2006-1, AOC is subject to various federal, state, and local environmental compliance and restoration laws. Applicable laws include the *Clean Air Act*, the *Clean Water Act*, the *Solid Waste Disposal Act*, the *Safe Drinking Water Act*, and the *Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA)*.

Management's review concluded that AOC is not responsible for the clean-up and remediation of previous environmental contamination on the approximately 100 acres of land at Fort George G. Meade, Maryland, which the U.S. Army transferred to AOC. The Army is responsible for the environmental clean-up of any previous contamination under CERCLA. The AOC understands that the Army is actively monitoring existing contamination on the entire site, including the land transferred to AOC, and is pursuing appropriate remediation of this contamination.

### Future Funded Energy Contracts

The *Energy Policy Act of 1992* authorized the use of private sector financing to implement energy conservation methods and energy-efficient technologies by federal entities. These contracts provide technical services and upfront project financing and allow federal agencies to pay off the project costs over a period not to exceed 25 years. Per Office of Management and Budget (OMB) Memoranda M-98-13 and

M-12-21, obligations, budget authority and outlays for these energy savings projects will be recognized on an annual basis when due, rather than recording the full obligation upfront.

With approval from Congress, AOC has partnered with private energy service providers for Energy Savings Performance Contracts (ESPCs) in the Capitol Building, House Office Buildings and Senate Office Buildings jurisdictions. In accordance with OMB guidance, the total capital costs for AOC's energy savings projects are obligated on an annual basis, as per the payment schedule specified in each individual contract. These projects play an important role in AOC's strategy to reduce energy consumption by 30 percent within 10 years.

The ESPCs have helped AOC complete conservation measures by way of:

- converting from pneumatic to direct digital heating, ventilation and air conditioning (HVAC) control and upgrading building automation
- retrofitting existing light fixtures with high-efficiency lamps, ballasts, controls and reflectors; installing LED lighting in hearing rooms and expanding the lighting control rooms
- upgrading transformers to high-efficiency models
- adding removable insulation covers to reduce heat loss from steam valves
- replacing aged air handling units with new energy efficient units
- replacing failing and defective steam traps and valves to eliminate steam loss and waste
- installing new motion/occupancy sensors in areas with infrequent and low occupancy levels

In FY 2019, AOC awarded an ESPC to install energy-efficient systems, lighting, HVAC control enhancements and water conservation improvements throughout the Library of Congress' facilities. This project is currently ongoing. Construction related to ESPCs in the Capitol Building, House Office Buildings and Senate Office Buildings jurisdictions is complete, and those projects have transitioned to their training, implementation and performance phases.

The AOC is liable for the full funding of its recently completed cogeneration plant, as follows:

DOLLARS IN MILLIONS	TOTAL
<b>Construction Costs</b>	
Appropriations	\$ 20
Long-Term Financing	67
<b>Total Construction Costs</b>	<b>\$ 87</b>
Interest On Financing	25
<b>Total Costs Over the Life of the Asset</b>	<b>\$ 112</b>

The AOC will pay off the total amount of government contract payments (including interest) in 20 annual installments ranging from \$3 million to \$5 million each year (and subject to prepayment penalties). Total payments over the term, including interest and prepayments, will be approximately \$92 million. The amount outstanding as of the current reporting period is approximately \$49 million (See Note 16, Other Liabilities). The AOC expects that these payments will be completed by May 2037 from utility savings and additional revenues that result from the operations of the cogeneration facility.

#### NOTE 15 LEASES

As of September 30, 2020, AOC is committed to various non-cancelable leases primarily covering administrative office space and storage facilities, motor vehicles, and office equipment. Many of these leases contain escalation clauses tied to inflationary and tax increases, and renewal options.

#### Capital Leases

The balance of Assets Under Capital Lease, as of September 30, 2020, and 2019, is as follows:

##### Dollars in Thousands

SUMMARY OF ASSETS UNDER CAPTIAL LEASE	2020	2019
Lands and Buildings	\$ 40,143	\$ 39,749
Accumulated Amortization	(37,036)	(36,423)
<b>Total Capital Leases</b>	<b>\$ 3,107</b>	<b>\$ 3,326</b>

Capital leases have initial or remaining non-cancelable lease terms in excess of one year. The capital lease liability is amortized over the term of the lease. At the end of the current reporting period, AOC had one non-federal capital lease for the Senate Sergeant at Arms Warehouse building in Landover, MD. This lease is active through FY 2025.

As of September 30, 2020, and 2019, the present value of the future minimum lease payments for this capital lease is as follows:

##### At September 30, 2020, Dollars in Thousands

FISCAL YEAR	TOTAL
2021	\$ 928
2022	938
2023	947
2024	956
2025	966
Thereafter	
<b>Total Minimum Future Lease Payment</b>	<b>\$ 4,735</b>
Less: Imputed Interest	(528)
<b>Net Capital Lease Liability</b>	<b>\$ 4,207</b>

##### At September 30, 2019, Dollars in Thousands

FISCAL YEAR	TOTAL
2020	\$ 845
2021	845
2022	845
2023	845
2024	845
Thereafter	845
<b>Total Minimum Future Lease Payment</b>	<b>\$ 5,070</b>
Less: Imputed Interest	(662)
<b>Net Capital Lease Liability</b>	<b>\$ 4,408</b>

The future lease payments and related capital lease liabilities as shown in the charts above are not covered by budgetary resources.

#### Operating Leases

The AOC has entered into various operating lease agreements for equipment, vehicles and commercial space. These lease agreements are held with various entities including the General Services Administration (GSA), Government Publishing Office (GPO) and other commercial vendors and expire on various dates between FY 2021 and FY 2025.

As of September 30, 2020, the aggregate of future payments due under non-cancelable federal and nonfederal operating leases and occupancy agreements are as follows:

##### At September 30, 2020, Dollars in Thousands

FISCAL YEAR	REAL PROPERTY		PERSONAL PROPERTY	TOTAL
	FEDERAL	NON-FEDERAL	NON-FEDERAL	
2021	\$ 6,826	\$ 9,834	\$ 9	\$ 16,669
2022	3,146	8,097		11,243
2023	—	6,896	—	6,896
2024	—	941	—	941
2025	—	675	—	675
Thereafter	—	—	—	—
<b>Total Future Leases</b>	<b>\$ 9,972</b>	<b>\$ 26,443</b>	<b>\$ 9</b>	<b>\$ 36,424</b>

#### NOTE 16

#### OTHER LIABILITIES

As of September 30, 2020, and 2019, these liabilities consist of long-term debt from the cogeneration financing, accrued accounts payable, undeposited CVC Gift Shops sales and miscellaneous receipts (intragovernmental custodial liabilities). Miscellaneous receipts include non-entity receipts that are to be forwarded to Treasury (See Note 2).

Other liabilities, as of September 30, 2020, and 2019, are as follows:

Dollars in Thousands		
OTHER LIABILITIES	2020	2019
<b>Intragovernmental</b>		
Custodial Liability (Current)	\$ 2	\$ 26
Liability for Deposit Funds, Clearing Accounts and Undeposited Collections (Current)	—	31
<b>Total Intragovernmental</b>	<b>\$ 2</b>	<b>\$ 57</b>
<b>With the Public</b>		
Other Accrued Liabilities (Current)	44,810	44,396
Other Liabilities (Non-Current)	49,307	58,031
<b>Total With the Public</b>	<b>94,117</b>	<b>102,427</b>
<b>Total</b>	<b>\$ 94,119</b>	<b>\$ 102,484</b>

As previously discussed, in FY 2020 there were no undeposited collections due to the closing of the CVC Gift Shops on March 12, 2020 at 4:30 p.m. due to public health concerns associated with COVID-19.

Other Accrued Liabilities (Current) consists of accrued accounts payable. In FY 2020, AOC accrued accounts payable for work performed on ongoing large capital projects and COVID-19 spending.

The change in Other Liabilities (Non-Current) is attributed to a prepayment in addition to the regular annual payment on the cogeneration long-term liability. This prepayment was made with funds from utility cost savings realized once the cogeneration equipment was placed in operation. The prepayment resulted in a three-year reduction of the loan term.

#### NOTE 17 IMPUTED FINANCING

Consistent with SFFAS No.4, AOC incorporates the full cost of goods and services received from other Federal entities in its SNC. Certain costs of the providing entity may not be fully reimbursed by AOC. The unreimbursed portion of these costs is recognized as imputed costs and are included in the operating amounts reported on the SNC. The imputed costs are offset by imputed financing sources and are reported on the face of the Statement of Changes in Net Position (SCNP).

Such imputed costs and financing sources include campus-wide capital infrastructure projects performed by another federal agency and Treasury Judgment Fund or Office of Congressional Workplace Rights (OCWR) Settlement and Award Fund payments, as applicable.

The AOC has activities with OPM that also require imputed costs and financing sources to be recognized. The OPM administers three earned benefit programs for civilian Federal employees: the Federal Employees Health Benefits (FEHB) Program, the Federal Employee Group Life

Insurance (FEGLI) Program, and the CSRS, CSRS Offset, and FERS Retirement Programs. The imputed costs and financing sources consist of the benefits for AOC employees that are paid on its behalf by OPM.

**CSRS:** According to PL 99-335, all employees hired prior to January 1, 1987, could elect CSRS or CSRS Offset. The CSRS provides a basic annuity and Medicare coverage. The CSRS fund covers most employees hired prior to January 1, 1984. The AOC and the employee contribute to Medicare at the rate prescribed by law. The AOC does not match TSP contributions for employees who participate in the CSRS retirement program.

**CSRS Offset:** CSRS Offset generally covers those employees who have had a break in their CSRS service of more than one and less than five years by the end of 1986. The AOC and the employee contribute to Social Security and Medicare at the rates prescribed by law. The AOC does not match TSP contributions for employees who participate in the CSRS Offset retirement program.

**FERS:** According to PL 99-335, employees with less than five years of creditable civilian service, as of the effective date in 1986, were automatically converted to FERS. In addition, during certain periods in 1987, 1988 and 1998, employees hired before January 1, 1984, could choose to participate in FERS. This system consists of Social Security, a basic annuity plan and the TSP.

The AOC and the employee contribute to Social Security and Medicare at rates prescribed by law. In addition, AOC is required to contribute to the TSP a minimum of 1 percent per year of the basic pay of employees covered by this system. The AOC also matches a voluntary employee contribution up to 3 percent dollar-for-dollar, and another 2 percent is matched 50 cents on the dollar.

Imputed Financing for the periods ending September 30, 2020, and 2019, is as follows:

Dollars in Thousands		
IMPUTED FINANCING, BY TYPE	2020	2019
<b>Pensions</b>		
CSRS	\$ 571	\$ 863
CSRS Offset	489	638
FERS	46,199	43,851
Less: Contributions	(45,042)	(35,336)
<b>Subtotal: Employee Pensions</b>	<b>\$ 2,217</b>	<b>\$ 10,016</b>
Health Insurance	\$ 15,722	\$ 14,085
Life Insurance	40	38
<b>Subtotal: All Employee Benefits</b>	<b>\$ 17,979</b>	<b>\$ 24,139</b>
Other Agency – Campus Infrastructure	\$ 3,315	\$ 2,124
OCWR Settlement and Awards Fund	681	379
<b>Total</b>	<b>\$ 21,975</b>	<b>\$ 26,642</b>

In FY 2020, the change in imputed financing costs for employee benefits are due to a variety of factors. These include mandatory rate increases for both FEHB and FERS agency contributions. Further, enrollment figures for both FEHB and FEGLI has historically fluctuated. Additionally, there was an increase in campus infrastructure costs and additional legal settlements that were paid out of the OCWR Settlement and Awards Fund.

**NOTE 18**  
**NET COST OF OPERATIONS RELATED TO PAYROLL**

Expenses for salaries and related benefits for the periods ending September 30, 2020, and 2019, are shown in the following table. These amounts were approximately 44 and 46 percent of the annual gross cost of operations for each respective year. This includes actual payroll and benefit expenses as well as other accrued expenses. Benefit expenses represent FECA (current year payment), Unemployment Compensation for Federal Employees (UCFE), and imputed costs paid by OPM. Other Accrued Expenses consist of payroll and benefit related accruals. Those costs do not include the unfunded accrued annual leave and long-term actuarial FECA.

Net Cost of Operations Related to Payroll for the periods ending September 30, 2020, and 2019, is as follows:

**Dollars in Thousands**

<b>EXPENSES FOR PAYROLL AND RELATED BENEFITS</b>	<b>2020</b>	<b>2019</b>
Payroll Expense	\$ 291,655	\$ 276,341
Benefit Expenses		
FECA and UCFE	4,202	4,189
Imputed Costs (Note 17)	17,979	24,139
Other Accrued Expenses	2,580	5,428
<b>Total Expenses for Payroll and Related Benefits</b>	<b>316,416</b>	<b>310,097</b>
<b>Total Gross Cost</b>	<b>\$ 714,005</b>	<b>\$ 678,578</b>
<b>Payroll Related Expenses to Gross Costs (%)</b>	<b>44%</b>	<b>46%</b>

In FY 2020, the change in payroll related expense is primarily due to an adjustment to the cost of living index, and increased spending related to COVID-19.

**NOTE 19**  
**RECONCILIATION OF SCNP APPROPRIATIONS TO SBR**

Amounts reported as Appropriations Received on the SCNP consist of funds congressionally appropriated to the agency within the current fiscal year. Amounts reported as Appropriations on the SBR consist of appropriations received and other new budget authority.

The reconciliation for the periods ending September 30, 2020, and 2019 is as follows:

**Dollars in Thousands**

<b>RECONCILIATION OF SCNP APPROPRIATIONS TO SBR</b>	<b>2020</b>	<b>2019</b>
<b>SCNP</b>		
Appropriations received	\$ 728,504	\$ 742,744
<b>Total SCNP Appropriations</b>	<b>\$ 728,504</b>	<b>742,744</b>
<b>SBR</b>		
Spending Authority Made Available	\$ —	\$ 7,000
Trust or Special Fund Receipts	27	59
<b>Total SBR Appropriations</b>	<b>\$ 728,531</b>	<b>\$ 749,803</b>

The appropriations on the SCNP for the periods ending September 30, 2020, and 2019, consist of \$728.5 million and \$742.7 million, respectively for appropriations received.

The difference in prior year Spending Authority Made Available is due to the prior year classification of amounts transferred in from restricted unavailable balances in the House Office Building Fund. The reduction in Trust or Special Fund Receipts is due to the cancellation of several commercial photography permits in Union Square as a result of COVID-19 restrictions. These cancellations resulted in reduced permit fee collections.

**NOTE 20**  
**UNDELIVERED ORDERS**

In accordance with OMB Circular A-136, Financial Reporting Requirements, the amount of budgetary resources obligated but not delivered must be disclosed separately. Amounts obligated comprise contracts with vendors for acquisitions of goods and services including contractual support, constructions projects and CVC inventory purchases.

Undelivered Orders for the periods ending September 30, 2020, and 2019, are as follows:

**Dollars in Thousands**

<b>UNDELIVERED ORDERS</b>	<b>2020</b>	<b>2019</b>
<b>Paid</b>		
Federal	\$ 214	\$ 834
Nonfederal	—	4
<b>Total Paid</b>	<b>\$ 214</b>	<b>\$ 838</b>
<b>Unpaid</b>		
Federal	\$ 18,162	\$ 34,846
Nonfederal	439,627	392,552
<b>Total Unpaid</b>	<b>\$ 457,789</b>	<b>\$ 427,398</b>

In FY 2020, the changes in the Unpaid Undelivered Orders balances are mainly due to capital improvement projects for the House Office Buildings. Vendor obligations for subsequent phases of the Cannon House Office Building renewal contributed to the increase in the Non-Federal Unpaid Undelivered Orders balance. Similarly, the Federal

Unpaid Undelivered Orders balance decreased mainly due to the Security Window Installation project as obligations to GSA were delivered and paid.

**NOTE 21**

### EXPLANATION OF DIFFERENCES BETWEEN THE COMBINED STATEMENT OF BUDGETARY RESOURCES AND THE BUDGET OF THE UNITED STATES GOVERNMENT

The FY 2020 Budget of the United States Government (President's Budget) presenting the actual amounts for the year ended September 30, 2019, was published in February 2020. The AOC's budget and spending is disclosed in the President's Budget, which can be found on the OMB website ([www.whitehouse.gov/omb/budget/](http://www.whitehouse.gov/omb/budget/)) under legislative branch. When available, the FY 2020 President's Budget is reconciled to AOC's September 2019 SBR to identify material differences.

The chart represents the FY 2020 President's Budget reconciliation.

**Dollars in Millions**

RECONCILIATION OF SBR TO BUDGET FY 2019	BUDGETARY RESOURCES	OBLIGATIONS INCURRED	NET OUTLAYS
<b>Combined Statement of Budgetary Resources (SBR)</b>	\$ 1,507	\$ 901	\$ 655
Items on SBR — Not on Budget:			
Expired Funds	(21)	—	—
Other	(58)	1	1
<b>Budget of the United States Government</b>	<b>\$ 1,428</b>	<b>\$ 902</b>	<b>\$ 656</b>

The Other difference between the FY 2019 comparative amounts presented on the SBR and the actual amounts published in the FY 2020 President's Budget are due to recoveries and unobligated balances brought forward, which are on the SBR but are not reported in the President's Budget. Additionally, audit adjustments and other rounding differences may be reflected on the SBR.

**NOTE 22**

### STATEMENT OF BUDGETARY RESOURCES — UNOBLIGATED BALANCE BROUGHT FORWARD, OCTOBER 1

There were no material adjustments during the current year to correct the Unobligated Balance Brought Forward, October 1. Components of the amount reported as Unobligated Balance from Prior Year Budget Authority, Net are disclosed.

**Dollars in Thousands**

NET ADJUSTMENTS TO UNOBLIGATED BALANCE BROUGHT FORWARD, OCTOBER 1	2020	2019
Unobligated Balance Brought Forward, October 1	\$ 606,617	\$ 656,095
<b>Net Adjustments</b>		
Cancelled Authority	(3,424)	(1,974)
Downward Adj PY Unpaid Unexpended Obligations	18,440	8,215
Downward Adj PY Unpaid Expended Authority	11,047	9,839
Downward Adj PY Paid Expended Authority Refunds Collected	9,934	22,747
<b>Total Net Adjustments</b>	<b>\$ 35,997</b>	<b>\$ 38,827</b>
<b>Unobligated Balance From Prior Year Budget Authority, Net</b>	<b>\$ 642,614</b>	<b>\$ 694,922</b>

**NOTE 23**

### RECONCILIATION OF NET COST TO NET OUTLAYS

Per SFFAS No. 7, FASAB requires a reconciliation of proprietary and budgetary information in a way that helps users relate the two. The objective is to provide an explanation for the differences between budgetary and financial (proprietary) accounting and is accomplished by reconciling budgetary outlays with related net cost of operations. SFFAS No. 2, Entity and Display, as amended by SFFAS No. 53, Budget and Accrual Reconciliation (BAR), provides concepts for reconciling budgetary and financial accounting. Effective FY 2019, AOC has adopted the requirement to present this reconciliation in the format prescribed by SFFAS No. 53.

Budgetary accounting information is used for planning and control purposes and relates to both the receipt and use of cash, as well as reporting the federal deficit. Financial accounting information is intended to provide a picture of the government's financial operations and financial position on an accrual basis. The accrual basis includes information about costs arising from the consumption of assets and the incurrence of liabilities. The reconciliation of net outlays, presented on a budgetary basis, and the net cost, presented on an accrual basis, provides an explanation of the relationship between budgetary and financial accounting information. The reconciliation serves not only to identify costs paid for in the past and those that will be paid in the future, but also to assure integrity between budgetary and financial accounting.

The reconciliation for the years ending September 30, 2020 and 2019 is as follows:



<b>RECONCILIATION OF NET OPERATING COST AND NET BUDGETARY OUTLAYS</b>	<b>INTRAGOVERNMENTAL</b>	<b>WITH THE PUBLIC</b>	<b>TOTAL</b>
<b>Net Operating Cost</b>	<b>\$ 35,303</b>	<b>\$ 591,949</b>	<b>\$ 627,252</b>
<b>Components of Net Operating Cost Not Part of the Budgetary Outlays</b>			
Property, Plant, and Equipment Depreciation	—	\$ (132,466)	\$ (132,466)
Property, Plant, and Equipment Disposal and Reevaluation	—	(75)	(75)
Other	—	(717)	(717)
<b>Increase/(Decrease) in Assets:</b>			
Accounts Receivable	(1,252)	(495)	(1,747)
Other Assets	—	(654)	(654)
Investments	47	—	47
<b>(Increase)/Decrease in Liabilities Not Affecting Budget Outlays:</b>			
Accounts Payable	(104)	(6,327)	(6,431)
Salaries and Benefits	—	(3,019)	(3,019)
Environmental and Disposal Liabilities	—	182	182
Other Liabilities	—	20,630	20,630
<b>Other Financing Sources:</b>			
Federal Employee Retirement Benefit Costs	(21,975)	—	(21,975)
Transfers Out/(In) Without Reimbursement	—	748	748
<b>Total Components of Net Operating Cost Not Part of the Budget Outlays</b>	<b>\$ (23,284)</b>	<b>\$ (122,192)</b>	<b>(145,476)</b>
<b>Components of the Budget Outlays That Are Not Part of Net Operating Cost</b>			
Acquisition of Capital Assets	—	\$ 332,642	\$ 332,642
Other	—	(17,319)	(17,319)
<b>Total Components of the Budgetary Outlays That Are Not Part of Net Operating Cost</b>			
<b>Net Outlays (Calculated Total)</b>	<b>—</b>	<b>315,323</b>	<b>315,213</b>
<b>Related Amounts on the Statement of Budgetary Resources</b>	<b>\$ 12,019</b>	<b>\$ 785,079</b>	<b>\$ 797,098</b>
Outlays, Net			\$ 797,098
<b>Agency Outlays, Net</b>			<b>\$ 797,098</b>

At September 30, 2019, Dollars in Thousands

RECONCILIATION OF NET OPERATING COST AND NET BUDGETARY OUTLAYS	INTRAGOVERNMENTAL	WITH THE PUBLIC	TOTAL
<b>Net Operating Cost</b>	\$ 11,081	\$ 598,428	\$ 609,509
<b>Components of Net Operating Cost Not Part of the Budgetary Outlays</b>			
Property, Plant, and Equipment Depreciation	—	(124,057)	(124,057)
Property, Plant, and Equipment Disposal and Reevaluation	—	41	41
Unrealized Valuation Loss/(Gain) on Investments in GSEs	—	(9)	(9)
Other	—	271,714	271,714
<b>Increase/(Decrease) in Assets:</b>			
Accounts Receivable	(374)	(478)	(852)
Other Assets	(93)	(3)	(96)
Investments	(41)	—	(41)
<b>(Increase)/Decrease in Liabilities Not Affecting Budget Outlays:</b>			
Accounts Payable	3,952	(2,291)	1,661
Salaries and Benefits	—	(1,221)	(1,221)
Environmental and Disposal Liabilities	—	(1,291)	(1,291)
Other Liabilities	4,857	(71,190)	(66,333)
<b>Other Financing Sources:</b>			
Federal Employee Retirement Benefit Costs Paid by OPM and Imputed to Agency	(26,641)	—	(26,641)
<b>Total Components of Net Operating Cost Not Part of the Budget Outlays</b>	<b>\$ (18,340)</b>	<b>\$ 71,215</b>	<b>\$ 52,875</b>
<b>Components of the Budget Outlays That Are Not Part of Net Operating Cost</b>			
Other	(7,703)	(102)	(7,805)
<b>Total Components of the Budgetary Outlays That Are Not Part of Net Operating Cost</b>			
<b>Net Outlays (Calculated Total)</b>	<b>\$ (7,703)</b>	<b>\$ (102)</b>	<b>\$ (7,805)</b>
<b>Related Amounts on the Statement of Budgetary Resources</b>	<b>\$ (14,962)</b>	<b>\$ 669,541</b>	<b>\$ 654,579</b>
Outlays, Net			\$654,579
<b>Agency Outlays, Net</b>			<b>\$654,579</b>

Components of Net Operating Cost Not a Part of the Budgetary Outlays reflects the budgetary resources used to finance AOC's activities, but not paid. The Net Operating Cost is reported net of any earned revenue and other financing sources (e.g., donated property or imputed costs). Components of the Budgetary Outlays Not Part of the Net Operating Cost includes resources used to finance the activities of the entity to account for items that were included in budgetary outlays but were not part of the SNC. This item includes budgetary outlays recognized in the current period that do not affect the net cost of operations (e.g., an acquisition of assets reflected in net obligations but not in SNC). The Reconciliation of Net Cost to Net Outlays explains the relationship between the entity's net outlays on a budgetary basis and the net cost of operations during the reporting period.



*Above* A view of the carved relief work and ceiling frescoes painted by artist Constantino Brumidi. The artwork adorns the south ceiling of Room S-213, the Senate Reception Room, in the U.S. Capitol.

#### NOTE 24 COVID-19 ACTIVITY

During FY 2020, AOC received supplemental appropriations totaling \$25 million as part of the *Coronavirus Aid, Relief, and Economic Security (CARES) Act*. Additionally, and in accordance with AOC's general transfer authority under 2 U.S.C. § 1862 and 31 U.S.C. § 1532, AOC received approval from the Senate Appropriations Committee to transfer up to \$2 million from other appropriations to the CCO account. This transfer was requested to allow AOC to continue funding contractor reimbursements pursuant to Section 3610 of the CARES Act. As of the current reporting period, AOC has transferred \$1 million from the Senate Office Building account for this purpose.

Supplemental CARES Act funding provided additional cleaning supplies and services, COVID-19-related overtime, temporary employee hires and authorized payments to AOC service contractors made in accordance with Section 19005(a) of the CARES Act.

The table below depicts available funding and spending by program activity. COVID-19-related spending within the jurisdictions' current appropriations as part of their operational expenses are separately presented herein.

As of September 30, 2020, Dollars in Thousands

BUDGET AUTHORITY	CARES ACT	TRANSFERS	TOTAL AUTHORITY
	\$25,000	\$1,000	\$26,000
CARES ACT SPENDING	OBLIGATIONS	EXPENDITURES	TOTAL SPENDING
Supplies and Services	\$3,187	\$12,998	\$16,185
Payroll	-	3,759	3,759
Contract Payments	564	2,804	3,368
<b>Total CARES Act Spending</b>	<b>\$3,751</b>	<b>\$19,561</b>	<b>\$23,312</b>
		<b>CARES Act Funds Available</b>	<b>\$2,688</b>
JURISDICTION SPENDING FROM CURRENT APPROPRIATIONS			
<b>Additional Jurisdiction Spending for COVID-19-Related Costs</b>			<b>\$5,884</b>
<b>Total COVID-19 Spending</b>			<b>\$29,196</b>

The CVC closed for public tours Thursday, March 12, at 4:30 p.m. due to public health concerns associated with COVID-19. Accordingly, AOC recorded no sales from the CVC gift shops and no outstanding restaurant commissions from March 2020 to date, resulting in a decrease of CVC's earned revenues. The COVID-19-related Gift Shop closures also caused large fluctuations in Cash and Other Monetary Assets, Investments, and in Inventory and Related Property, as reported in Notes 4, 5, and 7, respectively.

Additional footnotes discussing COVID-19-related impacts are Note 3 - Fund Balance with Treasury, Note 16 - Other Liabilities, Note 12 - Payroll-Related Liabilities, Note 18 - Net Cost of Operations Related to Payroll, and Note 19 - Reconciliation of SCNP Appropriations to SBR.

## A. Combining Schedule of Budgetary Resources

For the Years Ending September 30, 2020 and 2019 (\$ in Thousands)

	TOTAL	CAPITAL CONSTRUCTION AND OPERATIONS	CAPITOL BUILDING	CAPITOL GROUNDS AND ARBORETUM
<b>For the Year Ending September 30, 2020 (\$ in Thousands):</b>				
<b>Budgetary Resources</b>				
Unobligated Balances from Prior Year Budget Authority, Net (Note 22)	\$ 642,614	\$ 13,931	\$ 33,413	\$ 15,957
Appropriations (Note 19)	728,531	146,000	68,878	15,051
Borrowing Authority	5,662	—	—	—
Spending Authority from Offsetting Collections	59,990	657	428	—
<b>Total Budgetary Resources</b>	<b>\$1,436,797</b>	<b>\$ 160,588</b>	<b>\$ 102,719</b>	<b>\$ 31,008</b>
<b>Status of Budgetary Resources</b>				
New Obligations and Upward Adjustments (Total)	\$ 964,489	\$ 150,296	\$ 44,659	\$ 16,053
Unobligated Balance, End of Year:				
Exempt from Apportionment	449,356	4,409	57,439	14,157
Unexpired Unobligated Balance, End of Year	449,356	4,409	57,439	14,157
Expired Unobligated Balance, End of Year (Note 3)	22,952	5,883	621	798
Unobligated Balance, End of Year (Total)	472,308	10,292	58,060	14,955
<b>Total Budgetary Resources</b>	<b>\$1,436,797</b>	<b>\$ 160,588</b>	<b>\$ 102,719</b>	<b>\$ 31,008</b>
<b>Outlays, Net</b>				
Outlays, Net (Total) (Discretionary and Mandatory)	797,098	134,073	41,490	14,268
<b>Agency Outlays, Net (Note 23)</b>	<b>\$ 797,098</b>	<b>\$ 134,073</b>	<b>\$ 41,490</b>	<b>\$ 14,268</b>
<b>For the Year Ending September 30, 2019 (\$ in Thousands):</b>				
<b>Budgetary Resources</b>				
Unobligated Balances from Prior Year Budget Authority, Net (Note 22)	\$ 694,922	\$ 15,379	\$ 30,444	\$ 13,319
Appropriations (Note 19)	749,803	103,962	43,992	16,820
Borrowing Authority	6,608	—	—	—
Spending Authority from Offsetting Collections	55,746	774	515	—
<b>Total Budgetary Resources</b>	<b>\$1,507,079</b>	<b>\$ 120,115</b>	<b>\$ 74,951</b>	<b>\$ 30,139</b>
<b>Status of Budgetary Resources</b>				
New Obligations and Upward Adjustments (Total)	\$ 901,105	\$ 110,334	\$ 43,165	\$ 15,684
Unobligated Balance, End of Year:				
Exempt from Apportionment	585,996	4,722	30,772	13,837
Unexpired Unobligated Balance, End of Year	585,996	4,722	30,772	13,837
Expired Unobligated Balance, End of Year	19,978	5,059	1,014	618
Unobligated Balance, End of Year (Total)	605,974	9,781	31,786	14,455
<b>Total Budgetary Resources</b>	<b>\$1,507,079</b>	<b>\$ 120,115</b>	<b>\$ 74,951</b>	<b>\$ 30,139</b>
<b>Outlays, Net</b>				
Outlays, Net (Total) (Discretionary and Mandatory)	654,579	97,408	50,074	12,721
<b>Agency Outlays, Net (Note 23)</b>	<b>\$ 654,579</b>	<b>\$ 97,408</b>	<b>\$ 50,074</b>	<b>\$ 12,721</b>

CAPITOL POLICE BUILDINGS, GROUNDS AND SECURITY	CAPITOL POWER PLANT	HOUSE OFFICE BUILDINGS	LIBRARY BUILDINGS AND GROUNDS	SENATE OFFICE BUILDINGS	SUPREME COURT BUILDING AND GROUNDS	U.S. BOTANIC GARDEN	U.S. CAPITOL VISITOR CENTER
\$ 43,990	\$ 67,479	\$ 259,871	\$ 76,738	\$ 72,763	\$ 27,606	\$ 7,532	\$ 23,334
55,216	98,957	145,273	55,746	87,424	15,571	16,094	24,321
—	—	—	—	—	5,662	—	—
—	7,289	8,067	11,112	348	29,838	—	2,251
<b>\$ 99,206</b>	<b>\$ 173,725</b>	<b>\$ 413,211</b>	<b>\$ 143,596</b>	<b>\$ 160,535</b>	<b>\$ 78,677</b>	<b>\$ 23,626</b>	<b>\$ 49,906</b>
\$ 34,291	\$ 125,792	\$ 302,496	\$ 70,907	\$ 112,890	\$ 48,833	\$ 15,654	\$ 42,618
63,870	39,803	107,585	71,472	46,387	29,844	7,617	6,773
63,870	39,803	107,585	71,472	46,387	29,844	7,617	6,773
1,045	8,130	3,130	1,217	1,258	—	355	515
64,915	47,933	110,715	72,689	47,645	29,844	7,972	7,288
<b>\$ 99,206</b>	<b>\$ 173,725</b>	<b>\$ 413,211</b>	<b>\$ 143,596</b>	<b>\$ 160,535</b>	<b>\$ 78,677</b>	<b>\$ 23,626</b>	<b>\$ 49,906</b>
33,209	111,133	245,338	60,744	105,835	9,268	13,844	27,896
<b>\$ 33,209</b>	<b>\$ 111,133</b>	<b>\$ 245,338</b>	<b>\$ 60,744</b>	<b>\$ 105,835</b>	<b>\$ 9,268</b>	<b>\$ 13,844</b>	<b>\$ 27,896</b>
\$ 17,346	\$ 44,395	\$ 341,610	\$ 74,806	\$ 73,896	\$ 54,638	\$ 7,673	\$ 21,416
57,714	114,050	197,098	68,525	93,562	15,999	14,759	23,322
—	—	—	—	—	6,608	—	—
—	11,336	1,245	9,465	586	25,510	—	6,315
<b>\$ 75,060</b>	<b>\$ 169,781</b>	<b>\$ 539,953</b>	<b>\$ 152,796</b>	<b>\$ 168,044</b>	<b>\$ 102,755</b>	<b>\$ 22,432</b>	<b>\$ 51,053</b>
\$ 33,426	\$ 107,670	\$ 286,695	\$ 79,425	\$ 100,020	\$ 79,623	\$ 15,559	\$ 29,504
41,472	54,059	251,031	72,290	66,910	23,132	6,424	21,347
41,472	54,059	251,031	72,290	66,910	23,132	6,424	21,347
162	8,052	2,227	1,081	1,114	—	449	202
41,634	62,111	253,258	73,371	68,024	23,132	6,873	21,549
<b>\$ 75,060</b>	<b>\$ 169,781</b>	<b>\$ 539,953</b>	<b>\$ 152,796</b>	<b>\$ 168,044</b>	<b>\$ 102,755</b>	<b>\$ 22,432</b>	<b>\$ 51,053</b>
34,317	90,505	180,268	36,331	103,967	12,093	16,054	20,841
<b>\$ 34,317</b>	<b>\$ 90,505</b>	<b>\$ 180,268</b>	<b>\$ 36,331</b>	<b>\$ 103,967</b>	<b>\$ 12,093</b>	<b>\$ 16,054</b>	<b>\$ 20,841</b>

## B. DEFERRED MAINTENANCE AND REPAIRS

The AOC oversees more than 18.4 million square feet of facilities and more than 570 acres of grounds. The agency is responsible for ensuring that the historic facilities and grounds entrusted to its care remain in a safe and suitable condition for the current and future needs of Congress, the Supreme Court and the American public.

FASAB's *Statement of Federal Financial Accounting Standards 42, Deferred Maintenance and Repairs* defines deferred maintenance and repairs (DM&R) as maintenance and repairs that were not performed when they should have been, or were scheduled, and are delayed for a future period. This standard requires federal entities to discuss: (1) maintenance and repairs policies, (2) how maintenance and repairs activities are ranked and prioritized, (3) factors considered in determining acceptable condition standards, (4) whether DM&R relate solely to capitalized general property, plant and equipment (PP&E) and stewardship PP&E or also to noncapitalized or fully depreciated general PP&E, (5) PP&E for which management does not measure and/or report DM&R and the rationale, (6) beginning and ending DM&R balances by category, and (7) significant changes from the prior year.

To meet this standard, the AOC tracks DM&R for four categories of capitalized assets: buildings and other structures, grounds (i.e., stewardship land), heritage assets and capitalized equipment. Noncapitalized, if possible and fully depreciated PP&E are excluded from the DM&R estimate. While the AOC tracks DM&R on capitalized equipment, the value of these deferred activities is often immaterial. In FY 2020, there was no material DM&R to be reported for capitalized equipment.

The AOC defines its acceptable level of condition to be "good to very good" based on the Facility Condition Index. The index is based upon the facility replacement values, which the AOC updates annually, and identified deferred maintenance and repairs.

The AOC uses facility condition assessments (FCAs) to evaluate the assets' condition and to identify deferred maintenance, capital renewal, capital improvements and

capital construction work elements. The FCA tracks maintenance and repairs activities as work elements that are scheduled for completion. Rank and prioritization for the work elements are based on the scheduled year and project risk (which is scored as low, medium, high and critical). The FCA cost models are considered early planning estimates to identify liabilities. The focus of this disclosure is solely deferred maintenance and repairs, as identified through the FCAs, and excludes capital renewal, capital improvements and capital construction work elements. Nonetheless, the AOC monitors capital renewal work elements that, if not funded, could become deferred maintenance in the near future. Capital renewal work elements, identified within a five-year period, are combined with deferred maintenance and repairs. This figure is referred to as "backlog" at the AOC. The AOC completed an initial FCA on most buildings and grounds under its stewardship, with some exceptions (identified in the note to the table below). The AOC continues to complete and update the FCAs for all of its facilities. As a result, the FCAs for some of these facilities are underway or in the planning stages.

The AOC's estimate of the amount of deferred maintenance and repairs work required to bring facilities to a "good" condition, based on the Facility Condition Index, was \$831 million for the fiscal year ending September 30, 2020.<sup>11</sup> The increase over the prior year is mostly related to additional deferred maintenance identified during new assessments of the pedestrian tunnels. The reassessments of the James Madison Memorial Building, John Adams Building and the Construction Division Shop building also contributed to the deferred maintenance increase.

<sup>11</sup> The AOC aims to maintain its assets in at least good condition. Condition is defined by the Facility Condition Index, which is calculated as the cost of deferred maintenance divided by the current replacement value. A ratio of less than 0.02 is considered very good, 0.02 to 0.05 is judged good, 0.05 to 0.10 is deemed fair and more than 0.10 is considered poor. The AOC's goal is to attain a ratio of less than 0.05 (or good condition) for its assets. Although an asset may be rated as being in good condition, individual systems within that asset may require deferred maintenance and repairs to return the system to an acceptable operating condition.

### Deferred Maintenance and Repairs (\$ in Thousands required to achieve "good" condition)

CATEGORY	AS OF 10/1/19	AS OF 9/30/20	CHANGE
Buildings and Other Structures	\$579,564	\$814,536	\$234,972
Grounds	\$12,646	\$16,520	\$3,874
Heritage Assets	\$356	\$—	(\$356)
Capitalized Equipment	\$—	\$—	\$—
<b>Total</b>	<b>\$592,566</b>	<b>\$831,056</b>	<b>\$238,490</b>

\* The September 30, 2020 figure excludes the U.S. Capitol Police Courier Acceptance Facility, Production Facility Storage Building, U.S. Supreme Court Building and the Thurgood Marshall Federal Judiciary Building. Pedestrian tunnels, 42 I Street S.E. and 14 E Street S.E. facility values are included but are being finalized. Deferred maintenance calculations are based on FY 2019 AOC replacement values, updated in April 2020.



*Above* The AOC is the steward of heritage assets located within the U.S. Capitol Building and across the Capitol campus. In addition to the buildings and landscape, these assets include fine and decorative art, architectural features, photographic records and archival material.

## C. HERITAGE ASSETS

### Introduction

The AOC is the steward of heritage assets located throughout the Capitol campus. In addition to the buildings and landscape, these assets include fine and decorative art, architectural features, outdoor sculpture, landscape features and fixtures, living botanical assets, memorial trees, archival records and reference material. Many of these assets are national treasures.

The AOC Curator Division manages the resources provided by Congress for the conservation of art and the preservation of other heritage assets such as architectural drawings and photographs. The AOC follows professional standards established by the American Institute for Conservation and the National Archives and Records Administration. The curator prepares recommendations to the Joint Committee of Congress on the Library regarding acquisition and placement of works of art and shares responsibility with the Senate and House curators for the care of collectible fine and decorative art.

The curator also provides advice to the jurisdictions on projects and contracts that involve heritage assets or preservation issues. Curator Division staff members support AOC projects by conducting historical research and providing reproductions of photographs, architectural and engineering drawings, records, specifications and reports. The AOC's historic preservation officer is responsible for preserving the architectural features of the historic buildings

maintained by the AOC. The historic preservation officer works closely with the curator in documenting, researching and providing information about buildings, architectural features and architectural decorative art, reviewing projects, developing specifications, and developing and implementing the AOC's preservation policy. When conservation work is required, the AOC contracts with professional fine art conservators for needed repairs or treatments. All conservation efforts are fully documented in reports maintained by the curator.

The curator maintains detailed records for each work of art and manages computerized inventories of heritage assets.<sup>12</sup> Within the Curator Division, the Records Management and Archives Branch preserves historic architectural and engineering drawings and textual records, and also creates records policies. The Photography Branch documents facilities and projects, heritage assets and congressional events, and also manages and preserves the AOC's photographic records archive. Records are maintained on the Capitol campus when appropriate, while more fragile records, including microfilm and photographic negatives, are stored off-site in stable and secure conditions.

### Historic Buildings and Structures

The AOC is responsible for maintaining the historic buildings and structures on the Capitol campus. **Appendix B** lists the major facilities under the AOC's stewardship. Many of these facilities, which are multipurpose heritage

<sup>12</sup> The AOC uses The Museum System collection management software to maintain an accurate inventory of heritage assets.



*Above* Many trees throughout the U.S. Capitol Grounds have historic or memorial associations. These memorial trees commemorate members of Congress and other notable citizens, national organizations and special events.

assets, are assigned a cost on the Balance Sheet and presented Under General Property, Plant and Equipment, Net. In general, historic buildings and structures are only added or withdrawn from the AOC's portfolio through congressional action.

### Stewardship Lands and Cultural Landscapes

The AOC-administered stewardship lands encompass more than 570 acres of grounds. This includes Capitol Square, the approximately 295 acres of grounds immediately surrounding the U.S. Capitol Building, designed by noted American landscape architect Frederick Law Olmsted. In addition, the AOC's cultural landscapes include the Summerhouse, Senate Park (Squares 632, 633, 634, 680, 681, 682, 683, 684, 685, 722 and 723), Senate office building sites and courtyards (Squares 686 and 725), House office building sites and courtyards (Squares 581, 635, 689 and 690), East and West House Underground Garages (Squares 637 and 691), Botanic Garden and National Garden (Square 576), Bartholdi Gardens (Square 578), USBG Administration Building site (Square 578), Union Square, Thomas Jefferson Building site (Square 730), John Adams Building site (Square 761), James Madison Memorial Building site (Square 732), Supreme Court of the United States site (Square 728), Thurgood Marshall Building site (Square 722) and memorial trees planted on the U.S. Capitol Grounds. In general, units of stewardship land are added or withdrawn from the AOC's portfolio through congressional action.

Memorial trees are living heritage assets planted to honor distinguished citizens, groups and national events. Memorial trees are added through congressional action. For more information about the AOC's memorial trees see [www.aoc.gov/explore-capitol-campus/buildings-grounds/capitol-building/capitol-grounds/trees](http://www.aoc.gov/explore-capitol-campus/buildings-grounds/capitol-building/capitol-grounds/trees). An inventory of the memorial trees as of September 30, 2020 and 2019 follows:

MEMORIAL TREES	AS OF 10/01/19	AS OF 9/30/20	CHANGE	GENERAL CONDITION
Memorial Trees	145	150	5 <sup>1</sup>	Good

<sup>1</sup> In FY 2020, memorial trees were planted to commemorate Speaker Joseph Cannon (replanted January 13, 2020) and The People of New Hampshire (January 27, 2020). The tree commemorating Speaker Joseph W. Martin, Jr. was removed. After a recent inventory, the total number of memorial trees was adjusted upward by four trees.

### General Condition Standards

The AOC has defined condition standards based on principles and guidance used by members of the American Institute for Conservation (AIC). The AOC performs periodic condition surveys to document and preserve heritage assets for future generations. Because many of the AOC's heritage assets are located in working offices and public spaces rather than in a museum setting, the AOC must closely monitor the assets to prevent damage. Outdoor sculptures and fixtures exposed to weather and pollutants require regular conservation, follow-up inspections and periodic maintenance treatments. The table, **Heritage Assets Condition Rating Scales**, summarizes the condition survey rating scales used by the AOC.

### Collectible Heritage Assets

In the following tables, footnotes explain changes in condition or inventory count.

#### 1. U.S. Capitol Building

The U.S. Capitol Building is an important example of 19th-century neoclassical architecture. While a working building, the U.S. Capitol Building is also considered a museum of American art and history with millions of visitors each year.

##### 1.1. Fine Art

This collection includes unique works of art that are not permanently attached to or designed for the structure (i.e., collectible). They are separated into (a) works that are under the jurisdiction of the Joint Committee of Congress on the Library and cared for by the AOC ("joint art"), and (b) those that were originally accepted by the Joint Committee of Congress on the Library and are joint in subject matter or acquisition ("possibly joint"). The possibly joint assets are in the Senate and House wings of the U.S. Capitol Building and, in many cases, are part of the Senate or House collections and cared for by the Senate and House curators.

##### 1.1.1. Interior Sculpture

These artworks consist primarily of bronze and marble statues in the National Statuary Hall Collection. This collection (comprised of 100 statues — two from each state)



## Heritage Assets Condition Rating Scales

CONDITION RATING SCALE	DEFINITION	PRIORITY
<b>Heritage Assets</b>		
Poor	Asset exhibits or is in danger of structural damage or loss. Requires major conservation or repair to achieve structural and aesthetic integrity.	High
Fair	Asset is structurally sound but requires major conservation to improve aesthetic integrity.	Medium
Good	Asset is structurally sound and retains aesthetic integrity. Requires routine maintenance or minor conservation.	Low
Excellent	Asset is new or has been conserved as close to its original condition and appearance as possible, or a conservator has determined that no conservation treatment is needed.	No Treatment Needed
<b>Historic Paper Records</b>		
Poor	Records are not yet stored in archives or their preservation is endangered.	High
Fair	Records are preserved in secure and stable conditions in archives.	Medium
Good	Records are accessioned and placed in acid-free containers.	Low
Excellent	Records are fully processed and stored in archival folders with all major preservation problems addressed.	No Treatment Needed
<b>Photographic Records</b>		
Poor	Film photographs are not in secure storage or digital files are not identified, readable or backed up.	High
Fair	Records are in secure storage, subject is identified and image is backed up.	Medium
Good	Negatives are properly housed and inventoried or digital files are batch captioned and backed up in multiple locations	Low
Excellent	Negatives are stored off-site in archival conditions or digital files are fully captioned with images backed up in multiple locations with routine data migration.	No Treatment Needed

was established in 1864 and completed in 2005. In FY 2011, a long-range annual conservation maintenance contract for sculpture was implemented. By the end of FY 2020, all of the statues have received at least one round of maintenance — most have been maintained multiple times and are in excellent condition.

SCULPTURE	AS OF 10/01/19	AS OF 9/30/20	CHANGE	GENERAL CONDITION
1.1.1.1 National Statuary Hall Statues	100	100	—	Excellent
1.1.1.2 Other Statues <sup>1</sup>	10	10	—	Excellent
1.1.1.3 Possibly Joint Statues	3	3	—	Good
1.1.1.4 Busts	16	16	—	Fair to Excellent
1.1.1.5 Possibly Joint Busts	21	21	—	Good
1.1.1.6 Other (Maquettes, etc.)	30	31	1 <sup>2</sup>	Poor to Excellent

<sup>1</sup> The Magna Carta display, located in the Crypt, is included in this category.

<sup>2</sup> A maquette of Architect Benjamin Henry Latrobe was approved for acquisition in FY 2020 and is currently off-site.

### 1.1.2. Framed Oil Paintings

Framed oil paintings under the AOC's stewardship include portraits of former Architects of the Capitol and other paintings. Many of the frames for these paintings are also heritage assets.

PAINTINGS	AS OF 10/01/19	AS OF 9/30/20	CHANGE	GENERAL CONDITION
1.1.2.1 Portraits	19	19	—	Good to Excellent
1.1.2.2 Possibly Joint Portraits	26	26	—	Fair to Excellent
1.1.2.3 Paintings Other Than Portraits	12	12	—	Good to Excellent
1.1.2.4 Possibly Joint Paintings	23	23	—	Excellent



*Above* A paint conservator at work on the North Wall of the U.S. Capitol Building's richly decorated Senate Reception Room S-213. This room was originally decorated by the accomplished Italian painter Constantino Brumidi and others.

### 1.1.3. Works of Art on Paper

The AOC is the steward of works on paper primarily related to the U.S. Capitol Building. This collection is used for research and reference purposes and is generally not on display.

WORKS OF ART ON PAPER	AS OF 10/01/19	AS OF 9/30/20	CHANGE	GENERAL CONDITION
1.1.3.1 Watercolors	6	6	—	Good
1.1.3.2 Prints and Drawings	72	72	—	Poor to Excellent
1.1.3.3 Sketches for Murals	Approx. 232	Approx. 232	—	Fair to Excellent

### 1.2. Decorative Art

Decorative art ranges from objects of great craftsmanship and historical importance to mass-produced objects. Often the name of the designer or maker is unknown. Conservation treatment may be appropriate for the highest level of decorative art.

DECORATIVE ART	AS OF 10/01/19	AS OF 9/30/20	CHANGE	GENERAL CONDITION
1.2.1 Gilded Mirror Frames <sup>1</sup>	91	91	—	Poor to Excellent
1.2.2 Historic Furniture	39	39	—	Fair to Good
1.2.3 Antique Clocks	10	10	—	Good to Excellent
1.2.4 Textiles	2	2	—	Good

<sup>1</sup> This number primarily includes frames in the House side of the Capitol. The Senate curator assumed responsibility for inventory and conservation of Senate mirror frames.

### 1.3. Architectural Fine Art

This category of fine art is part of the fabric of a structure, permanently attached to a structure or building systems, or designed as part of an architectural space.

ARCHITECTURAL FINE ART	AS OF 10/01/19	AS OF 9/30/20	CHANGE	GENERAL CONDITION
1.3.1 Pediments (exterior)	3	3	—	Fair to Excellent <sup>1</sup>
1.3.2 Statues (interior and exterior)	6	6	—	Good to Excellent
1.3.3 Plaster Model of Sculpture	3	3	—	Excellent
1.3.4 Sculptured Stair Railings	4	4	—	Excellent
1.3.5 Reliefs	39	39	—	Good
1.3.6 Sculptured Bronze Doors (sets) (interior and exterior)	4	4	—	Excellent
1.3.7 Plaques	31	31	—	Fair to Excellent
1.3.8 Stained Glass	16	16	—	Poor to Good
1.3.9 Rotunda Paintings	8	8	—	Fair <sup>2</sup> to Excellent
1.3.10 Rooms or Spaces with Fine Art Murals	84	84 <sup>3</sup>	—	Fair to Excellent

<sup>1</sup> The AOC conserved the House Pediment, Apotheosis of Democracy, in FY 2020.

<sup>2</sup> Air pockets have continued to increase in size on the painting "Landing of Columbus," which will require de-installation for structural and cosmetic treatment. Conservation planning is in progress.

<sup>3</sup> Each room or space may contain multiple sections of murals in vaults and lunettes with individual mural scenes or figures. There are hundreds of images painted on the U.S. Capitol Building's walls. Mural conservation has been ongoing since 1981 and most murals are in at least "good" condition.

### 1.4. Architectural Decorative Art

Architectural decorative art is part of the fabric of a structure, permanently attached to a structure or building systems or designed as part of an architectural space. Decorative art ranges from objects of great craftsmanship and historical importance to mass-produced objects. Often the name of the designer or maker is unknown. Conservation treatment may be appropriate for the highest level of decorative art. Approximate numbers are based on the Capitol Building superintendent's inventory. Only about a third of the lighting fixtures are historic heritage assets appropriate for restoration. The more utilitarian fixtures are at times moved or replaced.

ARCHITECTURAL DECORATIVE ART	AS OF 10/01/19	AS OF 9/30/20	CHANGE	GENERAL CONDITION
1.4.1. Mantels	Approx. 167	Approx. 167	—	Good
1.4.2. Chandeliers <sup>1</sup>	Approx. 250	Approx. 285	35 <sup>2</sup>	Good to Excellent
1.4.3. Pendant Lights	Approx. 270	Approx. 155	(115) <sup>3</sup>	Good
1.4.4. Sconces	Approx. 100	Approx. 100	—	Good
1.4.5. Rooms or Spaces with Decorative Murals	48	48	—	Fair to Excellent

<sup>1</sup> The category "Chandeliers" refers to crystal chandeliers in the U.S. Capitol.

<sup>2</sup> Recent inventories identified 285 crystal chandeliers.

<sup>3</sup> Recent inventories identified 155 pendant lights.

### 1.5. Architectural Features

Historic architectural features include woodwork, shutters, columns, capitals, brackets, historic floors (e.g., the U.S. Capitol Building's Minton tile floors) and special architectural surfaces (e.g., marble and scagliola). The Capitol Building superintendent or the Senate Sergeant at Arms maintains these assets. While an accurate count of these features does not exist, the numbers are large. For example, there are at least 450 interior columns and pilasters with carved capitals. In recent years, special attention has been paid to the restoration of historic scagliola.

## 2. U.S. Capitol Grounds and Arboretum

The U.S. Capitol Grounds and Arboretum cover approximately 286 acres on which the U.S. Capitol Building, Senate and House office buildings and Capitol Power Plant reside. The grounds include sculpture, monuments and living assets such as trees and plantings. Heritage assets include ornamental fountains, drinking fountains, outdoor seating, stone retaining walls and light fixtures.

### 2.1. Outdoor Sculpture

OUTDOOR SCULPTURE	AS OF 10/01/19	AS OF 9/30/20	CHANGE	GENERAL CONDITION
2.1.1 Monuments/ Statues	4	4	—	Excellent
2.1.2 Fountains with Sculpture	1	1	—	Good
2.1.3 Plaques	5	5	—	Good

### 2.2. Landscape Features and Fixtures (including fixtures on the exterior of the U.S. Capitol Building)

LANDSCAPE FEATURES AND FIXTURES	AS OF 10/01/19	AS OF 9/30/20	CHANGE	GENERAL CONDITION
2.2.1 Urns	20	20 <sup>1</sup>	—	Good
2.2.2 Lighting Fixtures	Approx. 166	Approx. 166	—	Fair to Excellent
2.2.3 Basins (with fountains)	2	2	—	Excellent

<sup>1</sup> The AOC relocated the bronze urns from the U.S. Capitol West Front to storage in preparation for stone preservation work on the lower Olmsted Terrace in FY 2020.

## 3. House Office Buildings

There are three major office buildings (the Cannon, Longworth and Rayburn House office buildings) and two annex buildings for the House of Representatives.

ARCHITECTURAL FINE ART	AS OF 10/01/19	AS OF 9/30/20	CHANGE	GENERAL CONDITION
3.1 Pediments (exterior)	1	1	—	Good
3.2 Sculpture (exterior)	8	8	—	Fair
3.3 Plaster Models of Sculpture	25	25	—	Good
3.4 Architectural Models on Display	1	1 <sup>1</sup>	—	Excellent
3.5 Reliefs	1	1	—	Good
3.6 Murals	1	1	—	Good
3.7 Plaques	1	1	—	Good
3.8 Monuments/ Statues	2	2	—	Good
3.9 Maquettes, etc.	1	1	—	Excellent

<sup>1</sup> The AOC conserved the plaster model of the East Front Extension of the U.S. Capitol, by Emile Garey, and placed in off-site storage in FY 2020.

## 4. Senate Office Buildings

There are three major office buildings for the United States Senate: the Russell, Dirksen and Hart Senate office buildings.

ARCHITECTURAL FINE ART	AS OF 10/01/19	AS OF 9/30/20	CHANGE	GENERAL CONDITION
4.1 Pediments (exterior)	1	1	—	Fair
4.2 Sculpture	1	1	—	Poor
4.3 Plaster Models of Sculpture	6	6	—	Good
4.4 Architectural Models on Display	4	4	—	Excellent
4.5 Maquettes, etc.	1	1	—	Good
4.6 Reliefs (exterior)	51	51	—	Good
4.7 Murals (rooms with)	1	1	—	Excellent

## 5. Library Buildings and Grounds

The Library of Congress's 1897 Thomas Jefferson Building contains large areas of decorative painting, relief plaster, woodwork, stonework and mosaic ceilings. Additional facilities include the John Adams Building, which is embellished with art deco-style decorative metal and relief stonework, and the modern James Madison Memorial Building.

ARCHITECTURAL FINE ART	AS OF 10/01/19	AS OF 9/30/20	CHANGE	GENERAL CONDITION
5.1. Statues	27	27	—	Good to Excellent
5.2. Sculptured Stair Railings	2	2	—	Good
5.3. Reliefs (interior)	73	73	—	Good
5.4. Sculptured Bronze Doors (sets) (exterior)	17	17	—	Excellent
5.5. Stained Glass/ Mosaics	17	17	—	Fair to Good
5.6. Rooms or Spaces with Fine Art Murals	32	32	—	Fair to Excellent
5.7. Fountains with Sculpture (exterior)	3	3	—	Poor to Excellent
5.8. Sculptural Clock	1	1	—	Excellent
5.9. Exterior Sculpture	1	1	—	Fair

## 6. Supreme Court Building and Grounds

The Supreme Court of the United States is richly adorned with decorative carvings in marble and wood, decorative metal and plaster work and decorative painting.<sup>13</sup>

ARCHITECTURAL FINE ART	AS OF 10/01/19	AS OF 9/30/20	CHANGE	GENERAL CONDITION
6.1. Pediments (exterior)	2	2	—	Excellent
6.2. Sculpture (exterior)	2	2	—	Excellent
6.3. Reliefs	4	4	—	Good
6.4. Light Posts with Reliefs (exterior)	2	2	—	Poor to Fair
6.5. Bronze Door (set) (exterior)	1	1	—	Good

## 7. U.S. Botanic Garden

The U.S. Botanic Garden (USBG) maintains a collection of living plants used to fulfill the mission of the institution. The collection is categorized as follows:

- Plants of historical or current institutional significance (e.g., individuals or descendants from the Wilkes Expedition, commemorative gifts from foreign governments and descendants of plants of American historical significance)
- Plants appearing on approved permanent landscape planting plans for the Conservatory, outside gardens, Bartholdi Gardens and the Production Facility
- Plants listed for rotation into permanent exhibits in the Conservatory, outside gardens or Bartholdi Gardens
- Plants used in ongoing education programs
- Plants needed to support future exhibits or programs and whose quality or relative unavailability in the commercial trade justifies inclusion in the permanent collection
- Orchid species and selected orchid cultivars
- Listed rare and endangered species received under the Convention on International Trade in Endangered Species of Flora and Fauna repository agreement, through interagency transfer or by other means
- Medicinal plants whose quality or relative unavailability in the commercial trade justifies inclusion in the permanent collection
- Plants used for accent and horticultural propagation stock, including those obtained for trial performance under local conditions

The USBG uses the living, documented and databased plant collection for exhibition, study and exchange with other institutions. Noteworthy plants include economically significant plants, medicinal plants, orchids, cacti and succulents, bromeliads, cycads and plants from Mediterranean regions. The USBG's gardens and living collections are important resources and are made available for the study of threatened plants and their conservation. The USBG maintains extensive databased records of the plant collections, which track the location, condition and provenance of each plant. This information is available to the public on the USBG website, [www.usbg.gov/plant-collections](http://www.usbg.gov/plant-collections). The collection is continually reviewed for accuracy in identification.

### 7.1 Architectural Feature

OUTDOOR SCULPTURE	AS OF 10/01/19	AS OF 9/30/20	CHANGE	GENERAL CONDITION
7.1 Fountains with Sculpture	1	1	-	Good

### 7.2 Living Botanical Assets

The table identifies the USBG's inventory of living botanical assets. Plant inventories for FY 2020 and the prior five years are provided to facilitate comparison. At the end of FY 2020, the USBG held more than 9,000 accessions including more than 57,000 individual plants at the Conservatory and the Blue Plains Production Facility in southwest

<sup>13</sup> The collectible fine art within the Supreme Court does not fall under the AOC's jurisdiction and is cared for by the curator of the Supreme Court.

Washington, D.C. The USBG maintains more than 6,000 unique taxa in its collections.

ALL PLANTS (INCLUDING ORCHID COLLECTION)				
FY	ACCESSIONS <sup>1</sup>	NAMES (TAXA) <sup>2</sup>	INDIVIDUALS <sup>3</sup>	DEACCESSIONS <sup>4</sup>
2015	11,626	7,610	60,574	639
2016	10,423	6,803	47,564	1,958
2017	9,468	6,227	44,026	707
2018	9,105	6,041	41,470	1,017
2019	9,651	6,282	43,523	1,531
2020	9,925	6,231	57,576	386

<sup>1</sup> Current number of accessions assigned to living plants. An individual accession number might include multiple lots (divisions) that might include multiple individual plants.

<sup>2</sup> Number of names for living plants in our database. This includes species names, cultivars, varieties, etc., and is restricted to only the names for plants that are living at the Garden. In many cases, the USBG has numerous accessions (from different times, sources, etc.) of the same named plant.

<sup>3</sup> This number captures individual plant counts and is thus higher than the number of accessions due to accessions that have multiple individuals (note: this number has a high degree of inaccuracy).

<sup>4</sup> Number of deaccessions year-to-date. This is due to plants dying or being composted/discarded due to disease or change in institutional need.

### 7.3 Orchid Collection

The USBG's orchid collection contains more than 2,300 accessions and 4,800 individual orchids — the largest component of the USBG's plant inventory.

ORCHID COLLECTION				
FY	ACCESSIONS	NAMES (TAXA)	INDIVIDUALS	DEACCESSIONS
2015	3,444	1,876	N/A	208
2016	3,201	1,795	4,330	415
2017	3,017	1,795	4,230	395
2018	3,110	1,324	3,513	611
2019	2,259	1,287	3,464	983
2020	2,368	1,336	4,830	—

## 8. Architectural and Engineering Artifacts

The AOC maintains an inventory of small architectural and engineering artifacts and models for research or exhibition. The AOC also maintains an inventory of large artifacts, such as pieces of stone removed from buildings or plaster models, for possible reuse or repairs. The AOC maintains more than 150 tons of sculpture and stone removed from the East Front of the U.S. Capitol Building during its 1958 extension in a secure facility at Fort Meade, Maryland. The AOC curator tracks these artifacts and maintains lists of the objects in storage. It is not possible to provide a meaningful count as some crates hold multiple pieces and some items are stored in pieces in multiple crates.

## 9. Historical Records and Reference Materials

The Records Management and Archives Branch (RMAB) manages the historical materials that comprise the AOC archival collection and creates records schedules based

on archival appraisal and records surveys. The RMAB maintains the architectural and engineering drawings, textual records and electronic records in accordance with archival principles to facilitate ongoing preservation, access, reference and research. Traditional architectural and engineering drawings and manuscripts require special archival storage and handling because of their physical attributes. The RMAB maintains stable temperature and humidity conditions, controls access and provides security for the records. Microfilmed backups of many drawings are stored off-site for protection. Digital scans of drawings are also important backups for the original drawings.

### 9.1. Accessioned Materials

Accessioned materials represent the permanent records that have been accepted into the archival collection. Once accessioned, these materials receive archival holdings maintenance and archival description. Holdings maintenance enables ongoing preservation and includes rehousing in acid-free folders and storage boxes and digitizing into archival electronic formats. Archival description facilitates reference and research and includes updating finding aids, enhancing cross-references and cataloging in the archival databases.

#### 9.1.1. Architectural and Engineering Drawings

Beginning with plans for the construction of the U.S. Capitol Building in the early 1800s, and with primary holdings from the 1850s on, the architectural and engineering drawings in the archival collection document a wide range of subjects in various formats (e.g., pencil renderings, finely detailed ink and watercolor working drawings, polished presentation pieces, blueprints and modern computer-aided design drawings). These drawings are vital for current construction and maintenance projects, as well as for historic research. The files on previous projects aid the planning and development of new projects.

The AOC Archives contain more than 190,000 architectural and engineering drawings with new materials added each year. The AOC has digitized approximately 60 percent of these drawings and indexed them in a web-based database to facilitate search and retrieval. The archival staff performs maintenance and basic preservation on the drawings, with specialized work on fragile and historic drawings performed by contracted experts.

#### 9.1.2. Specifications and Other Textual Records

The AOC Archives maintain administrative and project records that document the AOC's history, as well as the construction history of the buildings on the Capitol campus. These holdings date from the U.S. Capitol extension project in the 1850s and continue through the present. Of special value are the letters from artists and architects dating to the 1850s.

#### 9.1.3. Electronic Archival Records

Electronic records are generated throughout the agency. The records schedules are media-neutral, meaning that they apply to both paper and electronic records. The RMAB continues to promote the transfer of permanent electronic records to the archival collection where they may be preserved as heritage assets.



### *Capitol Highlights*

## USING PHOTOGRAPHY FOR HISTORIC PRESERVATION

Photography is an important part of the AOC's stewardship and preservation mission. From its inception, the AOC Photography Branch mission has been guided by the principle that photography is integral to a complete and fully descriptive record of the agency's programs and projects. The agency's photographic record is a reliable source of historic information, which has proven itself fundamental to the AOC's stewardship mission.

The photographs included throughout this annual report provide an important narrative function and supplement the AOC's performance and financial information by bringing complex projects and ideas to life. The agency uses photography to record the details of its restoration projects, which support the life-cycle maintenance of its heritage assets. Such photographs — with an emphasis on images of maximum clarity, descriptiveness, accuracy and integrity — highlight the contributions of the diverse and talented people who oversee the agency's capital projects, as well as provide visual evidence of the momentous events that take place on the Capitol campus.

The AOC's photography collection contains more than 340,000 unique photographic objects and files. This collection of photographic material ranges from glass-plate negatives from the 19th and early-20th century, to film-based images from the 20th century, to contemporary digital photography. Photographic preservation techniques range from careful cleaning, digitization or cold storage for older photo materials, to running analytics that assess the condition of digital photo files.

Photography also brings a measure of accountability to existing assets, project design and project execution. For example, the glass-plate image above shows the completed Cannon House Office Building — the oldest congressional office building on the Capitol campus — soon after it was constructed. Today, this photograph can assist in the preservation of the building's historic character.

## 9.2. Preaccessioned Materials

Preaccessioned materials account for all incoming materials that are transferred to the RMAB for the year and are categorized as Architectural and Engineering Drawings, Specifications and Other Textual Records or Electronic Archival Records. This is an important initial quality control step where the materials are screened before the RMAB formally registers the transfer as part of the archival collection. The screening process identifies temporary, duplicative or otherwise nonrecord materials that are not appropriate for accessioning into the archival collection. The process also identifies issues that may require resolution before the transfer, such as incomplete transfer documentation, unarranged or partial materials and archival preservation issues.

## 9.3. Small Architectural Models

The AOC preserves a small number of display models as part of the architectural record for study and possible future exhibit purposes.

## 9.4. Photographs

The Photography Branch produces photographs relating to architectural design, construction, renovation and restoration of the historic buildings and grounds under the AOC's care. The Photography Branch also documents major ceremonial events, works of art and conservation projects and produces graphic slides, displays and videos for the AOC and congressional use.

The AOC has an archive of more than 340,000 photographic images dating to the 1850s. The collection includes approximately 4,000 glass plates, in addition to hundreds of thousands of images in negative, print and digital format. Each unique image has a control number (one image may exist in multiple formats). The AOC stores most of the glass and film negatives off-site for long-term preservation. Digital files are systematically backed up and copied.

## 9.5, 9.6 and 9.7. Reference Files, Library Materials and Conservation Reports

One of the largest curatorial functions the AOC performs is maintaining the inventory and files for art and historical objects. The curator maintains a file on each work of art, artist and room in the U.S. Capitol Building, as well as files on the buildings and architectural subjects. The curator also keeps records on major ceremonies, such as joint sessions of Congress and inaugurations. The AOC uses these files to answer questions from the AOC staff and contractors, members of Congress and their staff, the public and to provide information for written fact sheets and publications. The U.S. Capitol Historical Society Fellowship, managed by the curator, continually adds to the knowledge of the art and architecture of the U.S. Capitol Building.

RECORDS AND REFERENCE	AS OF 10/01/19		AS OF 9/30/20		CHANGE		GENERAL CONDITION	
	Traditional Records	Electronic Records	Traditional Records	Electronic Records	Traditional Records	Electronic Records	Traditional Records	Electronic Records
<b>9.1 Accessioned Materials</b>								
9.1.1. Architectural and Engineering Drawings	Approx. 192,087	—	Approx. 193,987	—	1,900	—	Fair to Excellent	N/A
9.1.2. Specifications and Other Textual Records (linear feet)	Approx. 9,130	—	Approx. 9,179.25	—	49.75	—	Fair to Excellent	N/A
9.1.3. Electronic Records (megabytes)	—	4,134.88MB	—	12,101.38MB	—	7,966.50MB	N/A	N/A
<b>9.2. Preaccessioned Materials<sup>1</sup></b>								
9.2.1. Architectural and Engineering Drawings	—	—	Rolls, small: 8; Rolls, medium: 20	—	—	N/A	N/A	N/A
9.2.2. Specifications and Other Textual Records	—	—	Boxes, small: 2; Boxes, medium: 88	—	—	N/A	N/A	N/A
9.2.3. Electronic Records	—	—	—	266.00MB	N/A	—	N/A	N/A
<b>9.3. Small Architectural Models</b>	18	—	18	—	—	—	Fair	N/A
<b>9.4. Photographs</b>	338,390	—	348,400	—	10,010	—	Good to Excellent	N/A
<b>9.5. Art and Reference Files (Drawers)</b>	108	—	108	—	—	—	Good	N/A
<b>9.6. Art and Reference Library (Volumes)</b>	1,216	—	1,219	—	3	—	Good	N/A
<b>9.7. Conservation Reports (Notebooks)</b>	455	—	465	—	10	—	Good	N/A

<sup>1</sup> This fiscal year, the AOC's Records Management and Archives Branch began to record their preaccessioned materials differently. The Architectural and Engineering Drawings (9.2.1) are now recorded as small and medium rolls and the Specifications and Other Textual Records (9.2.2) are now recorded as small and medium boxes.

## Summary of Heritage Assets

This consolidating schedule reports the heritage assets by jurisdiction and AOC-wide.

	SEPTEMBER 30, 2020									SEPTEMBER 30, 2019								
	AOC JURISDICTION									AOC JURISDICTION								
	Capital Construction & Operations	Capitol Building	Capitol Grounds and Arboretum	House Office Buildings	Library Buildings & Grounds	Senate Office Buildings	Supreme Court Building & Grounds	U.S. Botanic Garden	Total	Capital Construction & Operations	Capitol Building	Capitol Grounds and Arboretum	House Office Buildings	Library Buildings & Grounds	Senate Office Buildings	Supreme Court Building & Grounds	U.S. Botanic Garden	Total
Memorial Trees	—	—	150	—	—	—	—	—	150	—	—	145	—	—	—	—	—	145
<b>Artwork</b>																		
<b>Fine Art</b>																		
<b>Interior Sculpture</b>																		
National Statuary Hall Statues	—	100	—	—	—	—	—	—	100	—	100	—	—	—	—	—	—	100
Other Statues	—	10	—	—	—	—	—	—	10	—	10	—	—	—	—	—	—	10
Possibly Joint Statues	—	3	—	—	—	—	—	—	3	—	3	—	—	—	—	—	—	3
Busts	—	16	—	—	—	—	—	—	16	—	16	—	—	—	—	—	—	16
Possibly Joint Busts	—	21	—	—	—	—	—	—	21	—	21	—	—	—	—	—	—	21
Other (Maquettes, etc.)	—	31	—	—	—	—	—	—	31	—	30	—	—	—	—	—	—	30
Subtotal	—	181	—	—	—	—	—	—	181	—	180	—	—	—	—	—	—	180
<b>Framed Oil Paintings</b>																		
Portraits	—	19	—	—	—	—	—	—	19	—	19	—	—	—	—	—	—	19
Possibly Joint Portraits	—	26	—	—	—	—	—	—	26	—	26	—	—	—	—	—	—	26
Paintings Other Than Portraits	—	12	—	—	—	—	—	—	12	—	12	—	—	—	—	—	—	12
Possibly Joint Paintings	—	23	—	—	—	—	—	—	23	—	23	—	—	—	—	—	—	23
Subtotal	—	80	—	—	—	—	—	—	80	—	80	—	—	—	—	—	—	80
<b>Works of Art on Paper</b>																		
Watercolors	—	6	—	—	—	—	—	—	6	—	6	—	—	—	—	—	—	6
Prints and Drawings	—	72	—	—	—	—	—	—	72	—	72	—	—	—	—	—	—	72
Sketches for Murals	—	232	—	—	—	—	—	—	232	—	232	—	—	—	—	—	—	232
Subtotal	—	310	—	—	—	—	—	—	310	—	310	—	—	—	—	—	—	310
Subtotal: Fine Art	—	571	—	—	—	—	—	—	571	—	570	—	—	—	—	—	—	570
<b>Decorative Art</b>																		
Gilded Mirror Frames	—	91	—	—	—	—	—	—	91	—	91	—	—	—	—	—	—	91
Historic Furniture	—	39	—	—	—	—	—	—	39	—	39	—	—	—	—	—	—	39
Antique Clocks	—	10	—	—	—	—	—	—	10	—	10	—	—	—	—	—	—	10
Textiles	—	2	—	—	—	—	—	—	2	—	2	—	—	—	—	—	—	2
Subtotal	—	142	—	—	—	—	—	—	142	—	142	—	—	—	—	—	—	142
<b>Architectural Fine Art</b>																		
Pediments (Exterior)	—	3	—	1	—	1	2	—	7	—	3	—	1	—	1	2	—	7
Statues/Sculpture	—	6	—	8	27	1	2	—	44	—	6	—	8	27	1	2	—	44
Plaster Models of Sculpture	—	3	—	25	—	6	—	—	34	—	3	—	25	—	6	—	—	34
Sculptured Stair Railings	—	4	—	—	2	—	—	—	6	—	4	—	—	2	—	—	—	6
Architectural Models	—	—	—	1	—	4	—	—	5	—	—	—	1	—	4	—	—	5
Reliefs	—	39	—	1	73	51	4	—	168	—	39	—	1	73	51	4	—	168
Light Posts with Reliefs (Exterior)	—	—	—	—	—	—	2	—	2	—	—	—	—	—	—	2	—	2
Bronze Doors (Sets)	—	4	—	—	17	—	1	—	22	—	4	—	—	17	—	1	—	22
Plaques	—	31	—	1	—	—	—	—	32	—	31	—	1	—	—	—	—	32
Monuments/Statues	—	—	—	2	—	—	—	—	2	—	—	—	2	—	—	—	—	2
Stained Glass/Mosaics	—	16	—	—	17	—	—	—	33	—	16	—	—	17	—	—	—	33
Rotunda Paintings	—	8	—	—	—	—	—	—	8	—	8	—	—	—	—	—	—	8
Rooms or Spaces with Fine Art Murals	—	84	—	1	32	1	—	—	118	—	84	—	1	32	1	—	—	118
Maquettes	—	—	—	1	—	1	—	—	2	—	—	—	1	—	1	—	—	2
Sculptural Clock	—	—	—	—	1	—	—	—	1	—	—	—	—	1	—	—	—	1
Exterior Sculpture	—	—	—	—	1	—	—	—	1	—	—	—	—	1	—	—	—	1
Subtotal	—	198	—	41	170	65	11	—	485	—	198	—	41	170	65	11	—	485



	SEPTEMBER 30, 2020									SEPTEMBER 30, 2019								
	AOC JURISDICTION									AOC JURISDICTION								
	Capital Construction & Operations	Capitol Building	Capitol Grounds and Arboretum	House Office Buildings	Library Buildings & Grounds	Senate Office Buildings	Supreme Court Building & Grounds	U.S. Botanic Garden	Total	Capital Construction & Operations	Capitol Building	Capitol Grounds and Arboretum	House Office Buildings	Library Buildings & Grounds	Senate Office Buildings	Supreme Court Building & Grounds	U.S. Botanic Garden	Total
<b>Architectural Decorative Art</b>																		
Mantels	—	167	—	—	—	—	—	—	167	—	167	—	—	—	—	—	—	167
Chandeliers	—	250	—	—	—	—	—	—	285	—	250	—	—	—	—	—	—	250
Pendant Lights	—	270	—	—	—	—	—	—	155	—	270	—	—	—	—	—	—	270
Sconces	—	100	—	—	—	—	—	—	100	—	100	—	—	—	—	—	—	100
Rooms/Spaces with Decorative Murals	—	48	—	—	—	—	—	—	48	—	48	—	—	—	—	—	—	48
Subtotal	—	835	—	—	—	—	—	—	755	—	835	—	—	—	—	—	—	835
<b>TOTAL</b>	<b>—</b>	<b>1,745</b>	<b>—</b>	<b>41</b>	<b>170</b>	<b>65</b>	<b>11</b>	<b>—</b>	<b>1,953</b>	<b>—</b>	<b>1,745</b>	<b>—</b>	<b>41</b>	<b>170</b>	<b>65</b>	<b>11</b>	<b>—</b>	<b>2,032</b>
<b>Architectural Features</b>																		
<b>Outdoor Sculptures</b>																		
Monuments/Statues	—	—	4	—	—	—	—	—	4	—	—	4	—	—	—	—	—	4
Fountains with Sculpture	—	—	1	—	3	—	—	1	5	—	—	1	—	3	—	—	1	5
Plaques	—	—	5	—	—	—	—	—	5	—	—	5	—	—	—	—	—	5
Subtotal	—	—	10	—	3	—	—	1	14	—	—	10	—	3	—	—	1	14
<b>Landscape Features and Fixtures</b>																		
Urns	—	—	20	—	—	—	—	—	20	—	—	20	—	—	—	—	—	20
Lighting Fixtures	—	—	166	—	—	—	—	—	166	—	—	166	—	—	—	—	—	166
Basins	—	—	2	—	—	—	—	—	2	—	—	2	—	—	—	—	—	2
Subtotal	—	—	188	—	—	—	—	—	188	—	—	188	—	—	—	—	—	188
<b>TOTAL</b>	<b>—</b>	<b>—</b>	<b>198</b>	<b>—</b>	<b>3</b>	<b>—</b>	<b>—</b>	<b>1</b>	<b>202</b>	<b>—</b>	<b>—</b>	<b>198</b>	<b>—</b>	<b>3</b>	<b>—</b>	<b>—</b>	<b>1</b>	<b>202</b>
<b>Reference and Library Materials</b>																		
Art and Reference Files (Drawers)	108	—	—	—	—	—	—	—	108	108	—	—	—	—	—	—	—	108
Art and Reference Library (Volumes)	1,219	—	—	—	—	—	—	—	1,219	1,216	—	—	—	—	—	—	—	1,216
<b>TOTAL</b>	<b>1,327</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>1,327</b>	<b>1,324</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>1,324</b>
<b>Archival Records</b>																		
Architectural and Engineering Drawings (Accessioned)	193,987	—	—	—	—	—	—	—	193,987	192,087	—	—	—	—	—	—	—	192,087
Specifications and Other Textual Records (Accessioned)	9,179.25	—	—	—	—	—	—	—	9,179.25	9,130	—	—	—	—	—	—	—	9,130
Small Architectural Models	18	—	—	—	—	—	—	—	18	18	—	—	—	—	—	—	—	18
Conservation Reports	465	—	—	—	—	—	—	—	465	455	—	—	—	—	—	—	—	455
Photographs	348,400	—	—	—	—	—	—	—	348,400	338,390	—	—	—	—	—	—	—	338,390
<b>TOTAL</b>	<b>552,049</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>552,049</b>	<b>540,080</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>540,080</b>
<b>Electronic Archival Records (Megabytes)</b>																		
Materials (Accessioned)	12,101.38	—	—	—	—	—	—	—	12,101.38	4,134.88	—	—	—	—	—	—	—	4,134.88
<b>TOTAL</b>	<b>12,101.38</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>12,101.38</b>	<b>4,134.88</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>4,134.88</b>
<b>Living Botanical Assets (Accessions)</b>																		
	—	—	—	—	—	—	—	9,925	9,925	—	—	—	—	—	—	—	9,651	9,651

**Note:** The table does not display preaccessioned materials. These materials have been transferred to the Records Management and Archives Branch but are not yet screened and registered as part of the archival collection.

SECTION

# 04



# Other Information

## OVERVIEW

This section presents required financial, operational, stewardship and performance information that supplements the previous sections of this report. A summary of each subsection is provided below.

**The Inspector General’s Statement of Management Opportunities and Performance Challenges** presents the AOC OIG assessment of the agency’s most critical management and performance challenges and its progress in addressing those challenges. This section is provided in accordance with the *Reports Consolidation Act of 2000*.

**Summary of Financial Statement Audit and Management Assurances** includes tables of audit results, material weaknesses in internal controls and financial system nonconformances. The information is a summary of the independent auditor’s financial statement audit, management’s evaluation of internal controls using the *Federal Managers’ Financial Integrity Act of 1982* (FMFIA) and guidance from the Office of Management and Budget (OMB) Circular A-123. Additional information comes from management’s evaluation of financial systems’ conformance with financial management system requirements, referencing FMFIA and the *Federal Financial Management Improvement Act* (FFMIA).

**Payment Integrity** provides an overview of the AOC’s efforts to identify programs where significant improper payments may have occurred and how the AOC’s invoice payment process incorporates Treasury’s Do Not Pay capability. This subsection also addresses the *Fraud Reduction and Data Analytics Act*.

**Real Property Capital Planning:** An overview of the AOC’s real property square footage for the current fiscal year and baseline year.

**Energy and Sustainability Performance Management Report** contains a summary of the AOC’s notable energy and sustainability program achievements, in accordance with the *Energy Independence and Security Act of 2007*.

**Small Business Accomplishments Report** provides information on the AOC’s small business set-aside program efforts and results, in accordance with congressional reporting requirements.

**Human Capital Management Report** summarizes the AOC’s personnel management system. The *Architect of the Capitol Human Resources Act* requires the AOC to develop human resources management programs consistent with common practices within the federal government and private sector organizations.

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*Left* Tracing its beginnings to the laying of the Capitol cornerstone in 1793, the AOC serves as steward for the Capitol campus, which encompasses more than 18.4 million square feet of facility space, more than 570 acres of grounds and thousands of works of art.

# THE INSPECTOR GENERAL'S STATEMENT OF MANAGEMENT OPPORTUNITIES AND PERFORMANCE CHALLENGES




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United States Government

## MEMORANDUM

DATE: October 7, 2020

TO: J. Brett Blanton  
 Architect of the Capitol

FROM: Christopher P. Failla, CIG   
 Inspector General

SUBJECT: Statement of Management Opportunities and Performance Challenges

I am pleased to present the Statement of Management Opportunities and Performance Challenges (Statement) for the Fiscal Year ending September 30, 2020. This Statement, prepared pursuant to your request, identifies and assesses the most serious challenges facing the Architect of the Capitol (AOC) from the Office of Inspector General's perspective, and the AOC's progress in addressing challenges from prior year Statements.

We look forward to working with you and our colleagues on the entire AOC team in the coming year to help AOC achieve its strategic vision to build a culture of accountability and responsibility and to improve efficiency and effectiveness throughout the AOC. Collectively, we can work to prevent and eliminate fraud, waste and abuse.

If you have any questions, please contact me at 202.593.0260 or christopher.failla@aoc.gov.

### Distribution List:

Thomas J. Carroll III, Assistant to the Architect  
 Peter Bahm, Chief of Staff  
 Mary Jean Pajak, Senior Advisor



## Office of Inspector General Statement of Management Opportunities and Performance Challenges 2020

### Introduction

As part of our agency's Performance and Accountability Report (PAR) for fiscal year (FY) 2020, the Architect of the Capitol (AOC) J. Brett Blanton requested the Office of Inspector General's (OIG) Statement of Management Opportunities and Performance Challenges (Statement). As with every AOC PAR since FY 2010, the OIG provides this statement for information and inclusion in the upcoming PAR. This statement identifies the AOC's most significant challenges and opportunities for improvement. The Statement is based on our observations, audits, inspections and evaluations, and investigative efforts, as well as the AOC-contracted Financial Statements Audit. We appreciate this opportunity to provide the AOC with our unique perspective on areas that need increased management attention and decisive action.

The OIG exists to identify efficiencies and economies as well as to prevent and report fraud, waste and abuse through audits, inspections and evaluations, and investigations. In addition, we are a key tool for the AOC as we offer objective recommendations to better use resources and report deficiencies that may hinder the AOC's mission. Since the last PAR, the OIG has made several key efforts to streamline our operations. These included: 1) creating a full-time Counsel to the Inspector General and Assistant Inspector General for Operations position to advise the Inspector General and direct OIG administrative and management processes; 2) implementing education and outreach strategies (e.g., social media); and 3) continuing to work with an independent accounting firm to conduct construction audits for one of the AOC's largest and most complex construction projects, the Cannon House Office Building Renewal (CHOB) Project, all in order to target our resources to better assist the AOC in achieving its mission.

The OIG believes that focusing senior leadership's attention to the Statement will help improve service delivery, promote economy and efficiency, and reduce the potential for fraud, waste and abuse in the AOC's programs and operations.

While recognizing the AOC's accomplishments in executing its core mission amid fiscal uncertainty and constraints, to include the COVID-19 pandemic response, the AOC must continue to monitor the management and performance challenges identified in the previous year's PAR. In particular, eight management and performance challenges cited in the OIG's Statement from the previous FY should remain on this list. These include:

- 1) Human Capital Management;
- 2) Auditability and Documentation to Support Decisions;
- 3) Management of Concurrent Construction Projects;
- 4) Cyber Security;
- 5) Lack of a Whistleblower Protection;

## THE INSPECTOR GENERAL'S STATEMENT OF MANAGEMENT OPPORTUNITIES AND PERFORMANCE CHALLENGES *(continued)*

- 6) Property Accountability and Surplus Property Disposal;
- 7) Balancing Safety and Security with Preservation and Heritage; and
- 8) Duplication of Effort without a Working Capital Fund.

In the OIG's assessment, each of these challenges remain critical issues facing the agency. We do not repeat our summary of these challenges.

To date, the AOC has made considerable progress to improve and eliminate the previously OIG-identified management challenges. Due to the emphasis the AOC has placed on continued improvement of prior years' management challenges, we will not include challenges relative to the management of user-requested changes for the current FY since the OIG has observed improvements and non-recurring issues in these areas during recent reviews of AOC programs and construction projects.

### **Additional OIG Management and Performance Challenges**

The OIG has identified two additional management challenges that impact the AOC; they are:

- 9) Identifying and Managing Waste and Holding Personnel Accountable for Waste;  
and
- 10) Records Retention and Access.

#### **Identifying and Managing Waste and Holding Personnel Accountable for Waste**

In the course of our work during this and previous FYs, the OIG has identified ambiguous language and directives in AOC orders and policies. The ambiguities reflect a vague definition of waste, a lack of well-defined or required roles and responsibilities, and inconsistent record keeping practices. The AOC orders and policies also lack comprehensive accountability standards pertaining to the wasteful use of government resources. In multiple instances, the OIG has identified substantiated cases of wasteful actions and behaviors that occur without the appropriate consequence according to AOC policy.

The OIG has observed some inconsistencies in holding staff accountable for their actions that have the potential to create an agency culture where recurrent instances of waste of government resources could become commonplace. Some recent examples the OIG has encountered include actions that have gone without consequence such as the expenditure of end-of-year funds on unnecessary or unusable supplies that do not meet office requirements, and ordering equipment when a contract is already in place for that equipment instead of renegotiating the original contract. These examples give the appearance of stock piling, hoarding and waste, and positions the AOC for increased risk and financial loss if not properly addressed through policy, internal controls and setting the tone at the top with senior AOC leaders acknowledging and addressing waste.

## THE INSPECTOR GENERAL'S STATEMENT OF MANAGEMENT OPPORTUNITIES AND PERFORMANCE CHALLENGES *(continued)*

### **Records Retention and Access**

Though related to the identified management challenge of auditability and documentation to support decisions, the separate management challenge of records retention and access is distinct enough that it bears discussion.

As a best practice, many government agencies retain records according to the National Archives and Records Administration and Office of Personnel Management guidance even when not specifically required. The AOC's retention of and access to records is a matter of efficiency for the OIG and other jurisdictional operations, and is necessary for effective preservation of institutional knowledge. From the OIG's perspective, retention of and access to records, including employee emails and historical AOC orders and policies, is a challenge and should become a priority for the AOC.

Through the course of its work, the OIG has identified instances when the AOC has not retained specific records, which creates inefficiencies and diminishes integrity in the preservation of AOC historical records. The AOC makes the most recent orders and policies transparent by posting them to their intranet; however, preceding policies are more difficult to ascertain. The OIG makes reasonable effort to consider the most current orders and policies in place for all audits, inspections and evaluations, and investigations, though some events occur prior to the most recent or published order or policy and, thus, the preceding order or policy must be consulted. The AOC does not adequately maintain or provide accessible, cataloged preceding orders or policies for consultation, which leads to gaps in OIG activities, and inconsistencies in AOC operations and internal controls. Similarly, the AOC does not consistently or reliably retain or catalog for retention pertinent employees' emails. The OIG has identified instances when the AOC's retention of emails could further identify and/or support substantiation of instances of fraud, waste and abuse to include harassment and sexual harassment.

This challenge to the AOC creates opportunity for fraudsters and corrupt actors to take advantage of this records gap. To this end, a practice and policy supporting email retention could thwart corruption and a culture of harassment and help in diminishing this challenge for management. Records management to include email retention and policy cataloging should support transparency in oversight practices, promote integrity, and uphold a desire for informed continuity. By creating a sound records management and retention policy, the AOC would ensure that there are policies and procedures for managing all records, accounting and protecting valuable documents and records, and ensuring safe and thorough disposition of these records that could thereby be used as support for future decision-making, lessons learned, auditability and OIG activities.

### **Conclusion**

All federal agencies have areas in which improvements are needed. This Statement, is written from the OIG's perspective and should be taken in that context. The AOC has much to be proud of as it has worked to reduce or eliminate elements of the previous years' challenges. The progress made on these challenges is very encouraging and the two new management challenges

THE INSPECTOR GENERAL'S STATEMENT OF MANAGEMENT OPPORTUNITIES  
AND PERFORMANCE CHALLENGES *(continued)*

included above will serve to improve the AOC's efforts to prevent and detect fraud, waste and abuse, as well as improve the effectiveness and efficiency of its programs and operations.

As the OIG finds additional specific challenges, we will inform management with findings and recommendations via audits, inspections and evaluations, investigations, and management advisories. The intent of these findings and recommendations is to improve the AOC's operations to meet its overall mission to "Serve, Preserve and Inspire" and to support the AOC by decreasing the potential for fraud, waste, abuse and mismanagement.



# SUMMARY OF FINANCIAL STATEMENT AUDIT AND MANAGEMENT ASSURANCES

The AOC tracks audit material weaknesses, as well as other requirements of the *Federal Managers' Financial Integrity Act of 1982* (FMFIA). **Tables 16** and **17** below present management's summary of these matters, as required by OMB Circular A-136, Financial Reporting Requirements, revised.

**Table 16**  
Summary of Financial Statement Audit

<b>AUDIT OPINION TYPE</b>	Unmodified				
<b>RESTATEMENT (YES/NO)</b>	No				
<b>MATERIAL WEAKNESSES</b>	<b>BEGINNING BALANCE</b>	<b>NEW</b>	<b>RESOLVED</b>	<b>CONSOLIDATED/ REASSESSED</b>	<b>ENDING BALANCE</b>
	0	0	0	0	0
<b>Total Material Weaknesses</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

**Table 17**  
Summary of Management Assurances

<b>EFFECTIVENESS OF INTERNAL CONTROL OVER FINANCIAL REPORTING (FMFIA, PARA. 2)</b>					
<b>STATEMENT OF ASSURANCE</b>	Unmodified				
<b>MATERIAL WEAKNESSES</b>	<b>BEGINNING BALANCE</b>	<b>NEW</b>	<b>RESOLVED</b>	<b>CONSOLIDATED/ REASSESSED</b>	<b>ENDING BALANCE</b>
	0	0	0	0	0
<b>Total Material Weaknesses</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

<b>EFFECTIVENESS OF INTERNAL CONTROL OVER OPERATIONS (FMFIA, PARA. 2)</b>					
<b>STATEMENT OF ASSURANCE</b>	Unmodified				
<b>MATERIAL WEAKNESSES</b>	<b>BEGINNING BALANCE</b>	<b>NEW</b>	<b>RESOLVED</b>	<b>CONSOLIDATED/ REASSESSED</b>	<b>ENDING BALANCE</b>
	0	0	0	0	0
<b>Total Material Weaknesses</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

<b>COMPLIANCE WITH FEDERAL FINANCIAL MANAGEMENT SYSTEM REQUIREMENTS (FMFIA, PARA. 4)</b>					
<b>STATEMENT OF ASSURANCE</b>	Federal systems comply to financial system management requirements				
<b>NONCONFORMANCES</b>	<b>BEGINNING BALANCE</b>	<b>NEW</b>	<b>RESOLVED</b>	<b>CONSOLIDATED/ REASSESSED</b>	<b>ENDING BALANCE</b>
	0	0	0	0	0
<b>Total Nonconformances</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

<b>COMPLIANCE WITH FEDERAL FINANCIAL MANAGEMENT IMPROVEMENT ACT (FFMIA)</b>					
		<b>AGENCY</b>		<b>AUDITOR</b>	
1. System Requirements		No lack of compliance noted		No lack of compliance noted	
2. Accounting Standards		No lack of compliance noted		No lack of compliance noted	
3. U.S. Standard General Ledger at Transaction Level		No lack of compliance noted		No lack of compliance noted	

### Improper Payments

The *Payment Integrity Information Act of 2019* (PIIA) requires federal agencies to reduce improper and erroneous payments. OMB Circular A-123, Appendix C, Requirements for Payment Integrity Improvement, also provides improper payment reporting guidance. As a legislative branch agency, the AOC is not subject to PIIA, nor to the related OMB guidance, and does not have a formal improper payments program. Therefore, the AOC does not provide payment accuracy data to OMB for display on its website. Nonetheless, as part of its internal control and risk assessment program, the AOC has an internal control plan in place to monitor payment accuracy. As part of this effort, the AOC refers to PIIA and OMB Circular A-123, Appendix C for guidance.

In FY 2020, the AOC Office of Inspector General (OIG) completed four audits of construction project modifications. Three audits included examinations of the projects' internal controls associated with the review and approval processes for the award of contract modifications: the Cannon Renewal Project, the Senate Underground Garage and Landscape Restoration Project and the Russell Exterior Envelope Project. The fourth audit addressed internal controls associated with the payment of selected invoices for the Cannon Renewal Project. The OIG found that the internal controls over the contract modification and pay application review and approval processes were adequate and effective. However, the audits revealed that the AOC approved unallowable costs for contract modifications to the Cannon Renewal and Senate Underground Garage and Landscape Restoration projects. These amounted to \$102,189 for the Cannon Renewal Project and \$49,112 for the Senate Underground Garage and Landscape Restoration Project. In both cases, the unallowable costs were a small percentage of the modifications' values. The audits of the Russell Exterior Envelope Project modification and Cannon Renewal Project invoices did not reveal unallowable costs. The AOC has planned or taken actions to implement the OIG's recommendations aimed at preventing unallowable costs in the future. In addition, the AOC has recovered the unallowable costs from the Cannon Renewal Project construction contractor and is considering how best to recover the costs from the Senate Underground Garage vendor.

In addition, by agency policy, the AOC conducts quarterly financial reviews (QFR) of its jurisdiction-level program obligations and spending. These reviews have improved the reliability of the AOC's financial statements and budget

execution reports. As part of this policy, the AOC's Chief Financial Officer manages the reviews and uses them to identify inaccurate payments and determine the effectiveness of controls over obligation and payment processes. This fiscal year, the AOC modified its QFR process to specifically address the untimely de-obligation of unliquidated obligations. The AOC developed a new application, as well as provided related policy guidance and training, to automate the validation of open obligations.

The AOC does not administer grant, benefit or loan programs. The AOC's most significant expenses are payroll and benefits for its employees, which are administered by the U.S. Department of Agriculture's shared service provider, the National Finance Center. The AOC's most substantial nonpayroll expenses are its payments to vendors for construction efforts, professional services and goods procured during the course of normal operations. More information on the AOC's monitoring efforts is included in **Section I: Management's Discussion and Analysis** under Management Assurances and Other Financial Compliances.

### Do Not Pay Initiative

Treasury's Do Not Pay Initiative provides resources for agencies to review payment eligibility for purposes of identifying and preventing improper payments to vendors. The AOC uses Treasury's IPP, a secure online platform, to centralize its invoice payment process. The IPP partners with Treasury's Do Not Pay business center to help prevent and reduce improper payments in a cost-effective manner. As such, through its IPP deployment, the AOC improves its payment accuracy with the Do Not Pay Initiative.

### Fraud Reduction and Data Analytics Act of 2015

The *Fraud Reduction and Data Analytics Act of 2015* requires executive branch agencies to identify and assess fraud risks, as well as to design and implement control activities to prevent, detect and respond to fraud. As a legislative branch agency, the AOC is statutorily excluded from the *Fraud Reduction and Data Analytics Act of 2015* and has not formally incorporated this law into its policy.

### Grants Oversight and New Efficiency Act

The *Grants Oversight and New Efficiency Act* requires all federal agencies to report a listing of federal grants awarded and the closeout status of each awarded grant. The AOC does not administer any federal grant programs.



*Above* The AOC cares for more than 18.4 million square feet of facilities, including a variety of real property that reflects its wide-ranging mission: congressional committee rooms, legislative chambers, a botanic conservatory, plant production facilities, a visitor center, a power plant and utility tunnels, office and inventory storage facilities and the U.S. Capitol Building.

## REAL PROPERTY CAPITAL PLANNING

The OMB provides guidance on capital planning for federal real property. The updated federal reporting guidelines for FY 2020 require agencies to submit an annual document that outlines their capital planning process to the Federal Real Property Council. This document replaces the former Reduce the Footprint requirements. As a legislative branch agency, the AOC is not subject to this requirement. Therefore, the AOC continues to provide real property information in its annual Performance and Accountability Report.

The AOC's mission includes the responsibility for a unique real estate portfolio. As a best practice and in the interest of transparency, the AOC presents its total managed square footage for the current fiscal year as compared to the FY 2015 baseline in **Table 18**. The total square footage reported includes all real property under the AOC's care. In addition to office and inventory storage facilities, the real property portfolio includes a variety of property that is distinct to the AOC and its wide-ranging mission: congressional committee rooms, legislative chambers, a court chamber, exhibition space, a botanic conservatory, plant production facilities, a

visitor center, gift shops, restaurants, a power plant, utility tunnels, book storage modules and other sites. As shown, the total square footage increased over the FY 2015 baseline. This is primarily due to the 2017 transfer of the O'Neill House Office Building to the AOC's portfolio from the GSA. This space supports the U.S. House of Representatives and serves as swing space during the Cannon Renewal Project.

As the AOC's real property needs are mission-driven, its footprint has increased to meet the needs of its congressional stakeholders and those who work within and visit the Capitol campus. The agency commits to using its facilities as efficiently as possible. This includes workplace strategies such as supporting the maximum use of telework. To reduce the operations and maintenance costs associated with its real property portfolio, the AOC implemented a number of efficiency improvements. These included enhancing building system controls and performance monitoring capabilities to reduce energy and water usage, implementing cogeneration technology at the Capitol Power Plant and using energy savings performance contracts to fund energy savings improvements on the Capitol campus.

**Table 18**  
Real Property Baseline Comparison

	FY 2015 BASELINE (ROUNDED)	FY 2020 (ROUNDED)	CHANGE FROM BASELINE
Total Square Footage (in Millions)	More than 17.4	More than 18.4	More than 18.4



*Above* Major energy and sustainability infrastructure improvements at the AOC have been funded through public-private partnerships, including a utility energy service contract to fund the Capitol Power Plant’s cogeneration system.

## ENERGY AND SUSTAINABILITY PROGRAM MANAGEMENT REPORT

As stewards of the Capitol campus and its off-site facilities, the AOC is required to meet annual reductions in energy consumption under the *Energy Policy Act of 2005* and the *Energy Independence and Security Act of 2007*. This report was created to inform Congress and the public of the AOC’s progress on meeting its efficiency goals as well as its future commitments to sustainability and water efficiency. It includes details on the AOC’s energy expenditures and savings estimates, energy management and conservation projects and future priorities.

FY 2020 was a significant and rewarding year for the AOC’s energy and sustainability efforts. The AOC is four years into its ambitious performance requirements and trending ahead of its FY 2025 key energy reduction goal. As shown in **Figure 47**, the AOC reduced energy consumption by 50.8 percent from its FY 2003 baseline, a major achievement. The AOC sustainability strategy focuses on energy, water, high-performance buildings and sustainable waste management. Performance highlights included:

**Figure 47**  
The AOC’s Energy Reduction Results FY 2008–FY 2020

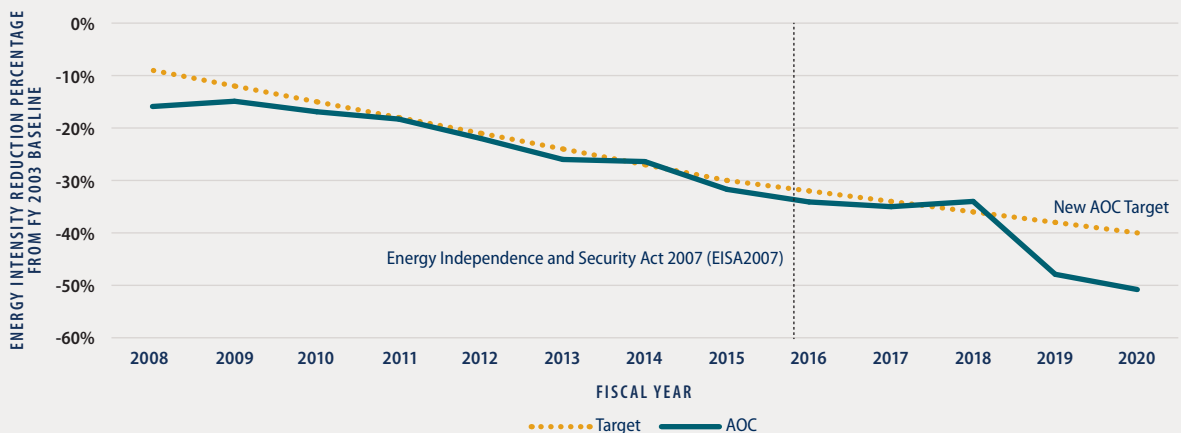


Table 19

## FY 2020 Investments in Energy and Water Management

SOURCES OF INVESTMENT	DIRECT APPROPRIATIONS	FY 2020 ANNUAL GOAL-SUBJECT ENERGY SAVINGS (MMBTU)	
Energy and Sustainability Program Expenditures	\$998,857	70,839	
ESPC/UESC EXPENDITURES	FY 2020 ANNUAL PAYMENTS	GUARANTEED ANNUAL COST SAVINGS	FINAL PAYMENT
House Office Buildings ESPC	\$4,370,162	\$4,401,122	FY 2027
Senate Office Buildings ESPC	\$4,261,830	\$4,360,387	FY 2027
U.S. Capitol Building ESPC	\$2,327,616	\$2,237,617	FY 2022
Capitol Power Plant Cogeneration UESC	\$2,933,575	\$2,933,574	FY 2037
Library of Congress ESPC (project management only)	\$2,507,200	\$1,410,970	FY 2039
<b>FY 2020 Annual Payment Total</b>	<b>\$16,400,383</b>	<b>\$15,343,670</b>	

Note: Table includes corrections for calculation errors, excess project energy, baselining new buildings and cogeneration site versus source credit. Annual consumption and cost figures do not reflect final FY 2020 expenditures. Energy savings are measured in million British Thermal Units (MMBTU), the measure of energy content in fuel.

- Added 3 percent new energy savings in FY 2020 by focusing on building thermal energy performance
- Completed monthly in-depth building performance analysis on select buildings using the agency's performance monitoring system and retro-commissioning experts
- Began ESPC design and installation of energy conservation measures (ECM) in the Library Buildings and Grounds jurisdiction
- Completed a study of water consumption throughout the campus to support an increased focus on water use savings
- Reduced greenhouse gas by 39.8 percent from the FY 2008 baseline

### Energy Expenditures and Savings Estimates

The agency's implementation of multiple ESPCs, a utility energy service contract (UESC) and other infrastructure investments have saved the AOC more than \$176 million in cost avoidance and reduced the agency's long-term energy demand. From FY 2015 to FY 2020, the AOC voluntarily continued its partnership with stakeholders to manage one of the federal government's most effective energy and sustainability programs. In FY 2020, the most impactful energy savings efforts included infrastructure and performance improvements. As detailed in **Table 19**, the AOC used approximately \$1.0 million in direct appropriations toward efficiency improvements at the Capitol Power Plant and performance improvements such as building automation and lighting upgrades. Furthermore, the ESPCs implemented at the U.S. Capitol Building and the House and Senate office buildings during previous years continue to generate savings.

### Energy Management and Conservation Projects

The AOC's four principal program areas are to reduce resource risks through agile fiscal and resource management, transform the AOC's culture, protect and reinvest in the

environment and minimize the agency's total life-cycle ownership costs of its facilities.

The AOC promotes energy, water and sustainability initiatives, with a focus on performance metrics, metering, commissioning, building automation, recycling and integrated design. The agency's FY 2020 targets included:

- 40 percent energy reduction (from FY 2003 baseline); goal met
- 42 percent greenhouse gas reduction; goal met
- 26 percent water use reduction (from FY 2008 baseline); goal met
- 48 percent diversion of building occupant waste; goal not met
- 90 percent diversion of construction and demolition debris; goal met
- 8 percent of waste compostable by the end of FY 2021; goal met
- Enhanced energy and sustainability communications toward improved conservation, sustainable practices and health and wellness

Improving energy and sustainability performance provides:

- Financial payoffs due to reduced operating costs
- Customer service payoffs from increased client satisfaction and improved reputation
- Agency payoffs from reduced staff risks and increased satisfaction

FY 2020 program highlights included:

- **Employed cost-effective strategies to meet sustainability targets:** The AOC focused attention on

low-flow water fixtures, sustainability scorecards and sharing best practices across jurisdictions to reduce operating costs and conserve resources

- **Utilized public-private partnerships:** Some major energy and sustainability improvements at the AOC have been funded through public-private partnerships, such as multiple ESPCs and a UESC
- **Implemented “Gold Days”:** The AOC focused on peak electricity grid consumption days. This was supported by a robust lighting program to implement lighting retrofits and upgrades
- **Continued retro-commissioning:** The AOC employed retro-commissioning to address malfunctioning equipment, automation and control logic deviations
- **Improved water efficiency:** Strategies for improved water efficiency included the installation of drought-tolerant native landscaping, efficient irrigation and aggressive monitoring to find and repair water leaks

### Future Priorities to Ensure Compliance

The AOC will continue to identify life-cycle, cost-effective opportunities to improve energy and water performance, reliability and environmental conditions in its buildings. In FY 2020, modifications were made to building ventilation

systems in response to the COVID-19 pandemic. These modifications added to the AOC’s energy consumption although this is expected to be a temporary increase that will be recovered when the pandemic ends. Projects such as the Library of Congress ESPC and the Cannon Renewal Project will ensure that the AOC maintains the energy reduction. The cornerstones of the energy and sustainability program are to maintain and optimize existing building performance through operational improvements and control strategies, to make incremental improvements through small-scale retrofits and equipment replacements, to continue long-term and interim building performance metrics and track them through metering and data analytics and to ensure operations and maintenance staff receive appropriate training. Additional priorities include workforce development, assessments and automated tracking and reporting.

### Data Tables

The data tables (Tables 19, 20 and 21) provide a summary of the AOC’s progress in meeting its requirements under the *Energy Policy Act of 2005* and the *Energy Independence and Security Act of 2007*. The data presented in these tables include corrections for calculation errors, excess project energy, baselining new buildings and the cogeneration site versus source credit. Annual consumption and cost figures do not reflect final FY 2020 expenditures.

**Table 20**  
EPAct Goal Subject Buildings

UTILITY TYPE	CONSUMPTION UNITS	ANNUAL CONSUMPTION	ANNUAL COST (\$ IN THOUSANDS)	UNIT COST (\$)	UNIT OF MEASURE	SITE DELIVERED BBTU	ESTIMATED SOURCE BBTU
Electric	MWh	167,127.3	\$16,214.6	\$0.10	/kWh	570.2	1,790.5
Fuel Oil	KGal	116.0	\$240.5	\$2.07	/Gallon	16.2	16.2
Natural Gas	KCF	1,374,823.4	\$8,915.6	\$6.48	/KCF	1,374.8	1,443.6
Coal	Short Ton	0.0	\$0.0	\$0.00	/Short Ton	0.0	0.0
Purchased Steam	BBTU	21.0	\$104.8	\$5.00	/MMBTU	21.0	46.6
Site/Source Credit*	BBTU	(495.8)			/MMBTU	(495.8)	
Excluded Steam	BBTU	(161.5)	(\$6,416.2)	\$39.73	/MMBTU	(161.5)	(230.7)
Excluded CHW	BBTU	(27.7)	(\$538.0)	\$19.39	/MMBTU	(27.7)	(35.2)
Excluded Security	BBTU	(34.6)	(\$447.1)	\$12.92	/MMBTU	(34.6)	(108.7)
<b>PURCHASED RENEWABLE</b>							
Electric	MWh	34,440.4	\$3,341.4	\$0.10	/kWh	117.5	0.0
Other	BBTU				/MMBTU		
<b>Totals</b>	<b>BBTU</b>	<b>1,380.1</b>	<b>\$21,415.7</b>			<b>1,380.1</b>	<b>2,922.3</b>
<b>FY 2020 Goal Subject Buildings Gross Square Feet (Thousands)</b>		<b>16,810.0</b>	<b>FY 2020 Goal Subject Buildings Actual KBTU/GSF</b>			<b>82.1</b>	<b>173.8</b>

\*Site/Source credit accounts for displaced grid electricity per DOE guidance.

#### KEY FOR ENERGY TABLES:

BBTU Billion British Thermal Units  
CHW Chilled Water  
GSF Gross Square Feet

KBTU Thousand British Thermal Units  
KCF Thousand Cubic Feet  
KGal Kilogallons  
kWh Kilowatt Hours  
MMBTU Metric Million British Thermal Units

MWh Megawatt Hours  
Short Ton A unit of weight equal to 2,000 pounds

Table 21

## EPA Act Goal Excluded Buildings

UTILITY TYPE	CONSUMPTION UNITS	ANNUAL CONSUMPTION	ANNUAL COST (\$K)	UNIT COST (\$)	UNIT OF MEASURE	SITE-DELIVERED BBTU	ESTIMATED SOURCE BBTU
Electric	MWh	40,238.9	\$3,904.0	\$0.10	/kWh	137.3	431.1
Fuel Oil	KGal	374.7	\$777.0	\$2.07	/Gallon	52.5	52.5
Natural Gas	KCF	33,919.6	\$220.0	\$0.01	/KCF	33.9	35.6
Coal							
Purchased Steam							
Excluded Steam	BBTU	161.5	\$6,416.2	\$39.73	/MMBTU	161.5	230.7
Excluded CHW	BBTU	27.7	\$538.0	\$19.39	/MMBTU	27.7	35.2
Excluded Security	BBTU	34.6	\$447.1	\$12.92	/MMBTU	34.6	108.7
<b>Purchased Renewable</b>							
Electric							
Other							
<b>Totals</b>	<b>BBTU</b>	<b>447.5</b>	<b>\$12,302.1</b>			<b>447.5</b>	<b>893.8</b>
<b>FY 2020 Goal Excluded Buildings Gross Square Feet (Thousands)</b>		<b>1,083.3</b>		<b>FY 2020 Goal Excluded Buildings Actual KBTU/GSF</b>		<b>207.5</b>	<b>414.4</b>

Table 22  
Goal Performance

ENERGY MANAGEMENT REQUIREMENT	FY 2003 KBTU/GSF	FY 2020 KBTU/GSF	PERCENT CHANGE FY 2003-FY 2020	FY 2020 GOAL TARGET	
Reduction in Energy Intensity in Facilities Subject to EPA Act Goals	166.930	82.102	-50.8%	-40.0%	
RENEWABLE ENERGY REQUIREMENT	RENEWABLE ELECTRICITY USE (MWH)	TOTAL ELECTRICITY USE (MWH)	PERCENTAGE		
Eligible Renewable Electricity Use as a Percentage of Total Electricity Use	34,440	241,807	14.2%		
WATER INTENSITY REDUCTION GOAL	FY 2007 GALLONS/GSF	FY 2020 GALLON/GSF	PERCENT CHANGE FY 2007-FY 2020	FY 2020 GOAL TARGET	
Reduction in Potable Water Consumption Intensity	28.2	20.1	-28.8%	-26.0%	
SUSTAINABLE WASTE MANAGEMENT	PERFORMANCE METRIC	FY2016 GOAL	FY2016 ACTUAL	FY2020 GOAL	FY2020 ACTUAL
Divert Building Occupant Waste	Waste Diverted/ Total Occupant Waste	44.0%	40.0%	44.0%	38.0%
Reduce, Reuse and Recycle Construction and Demolition Debris	Waste Diverted/ Total Construction Waste	90.0%	80.0%	90.0%	98.0%
Compost Nonconstruction Waste	Waste Diverted/ Total Occupant Waste	NA	NA	8.0%	8.3%

## OTHER ENERGY AND WATER INFORMATION

UTILITY METERING	NUMBER OF BUILDINGS METERED	METERED AREA (GSF)	PERCENT OF BUILDINGS METERED	PERCENT OF ADVANCED METERING
Electric	76	18,058,069	100%	91%
Steam	27	19,514,362	99%	99%
Natural Gas	21	1,768,311	100%	0%
Chilled Water	25	16,251,351	99%	99%
Potable Water	29 Buildings 8 Other	17,381,130	99% w/meters 68% estimated	65%
COGENERATION	OPERATIONAL PERIOD	OPERATIONAL DAYS	SITE VS. SOURCE CREDIT (BBTU)	TOTAL MHH PRODUCED
Capitol Power Plant Combined Heat and Power	Oct 2019 thru Sep 2020	344	495.8	62,099.5

Note: Tables 19–22 are issued with data as of November 10, 2020.



In FY 2020, the AOC awarded contracts in excess of \$31.7 million to small businesses.

## SMALL BUSINESS ACCOMPLISHMENTS REPORT

As a best practice, the AOC voluntarily reports the agency's performance against its small business procurement goals. The AOC procurement authority is separate from the *Competition in Contracting Act* and other laws affecting the executive branch, and the AOC is not authorized by law to use the *Small Business Act* for set-aside programs or subcontracting plans. However, the AOC's procurement authority does provide discretion in the level of competition required when using small purchase procedures for open market purchases. To direct more business opportunities to the small business community, the AOC created a small business subcontracting program and a small business set-aside program for small purchases of \$250,000 or less. The agency also works collaboratively with the U.S. Small Business Administration to implement and operate small business programs at the AOC.

The AOC established socioeconomic goals through its small business programs for prime contract awards to small businesses, small disadvantaged businesses, women-owned small businesses, veteran-owned small businesses, service-disabled veteran-owned small businesses, and Historically Underutilized Business Zone (HUBZone) small business concerns. In FY 2020, as shown in **Table 23**, a goal of 65 percent of all agency contract awards were to go to small businesses. The percentage of awards to the various small business categories within this goal is also shown. The AOC exceeded the goals for every category of small business concerns through increased visibility in the small business community, consultations with small business concerns seeking information regarding the AOC's procurements, ongoing data collection efforts on the types of businesses that the AOC uses, and actively seeking small business concerns for small purchases.

**Table 23**  
Small Business Program Accomplishments, October 1, 2019 to September 30, 2020

CATEGORY	GOAL	ACHIEVEMENTS*	GOAL MET?
Small Business	65%	83.4%	Yes
Small Disadvantaged Business	8%	19.5%	Yes
Women-Owned Small Business	11%	17.8%	Yes
Veteran-Owned Small Business	4%	5.9%	Yes
Service-Disabled Veteran-Owned Small Business	1%	2.1%	Yes
HUBZone Small Business	1%	2.4%	Yes

\*Contract awards may fall under more than one category.



## HUMAN CAPITAL MANAGEMENT REPORT

The *Architect of the Capitol Human Resources Act*, 2 U.S.C. §1831 (HR Act) requires the AOC to evaluate its personnel management system for compliance with the HR Act and all other relevant laws, rules and regulations. The AOC provides the results of this evaluation on an annual basis to the speaker of the house, the House Office Building Commission, the Senate Committee on Rules and Administration and the Joint Committee of Congress on the Library. The AOC's personnel management system includes:

- Fair employment system
- Equal employment opportunity/affirmative action programs
- Classification of positions
- Employee training and development
- Performance appraisal system
- Fair and equitable system to address misconduct and performance
- Employee assistance program
- Absence and leave

### Fair Employment System

The HR Act requires the AOC to have a human resources system that ensures the agency appoints, promotes and assigns employees and applicants for employment based on merit and fitness, following fair and equitable consideration of all candidates through open competition. The AOC promotes fairness in hiring and promotion actions through policies and procedures that ensure equal employment opportunity to achieve a diverse workforce. Selection and advancement is determined based on operational requirements and the knowledge, skills and abilities of the candidates. The agency's Order 335, Career Staffing Plan policy, provides uniformity in conducting and documenting the recruitment and hiring process. This policy supports the AOC's mission and functions consistent with best practices in the federal government and the private sector.

#### Program Highlights:

**Integrated Talent Management.** During FY 2020, the AOC finalized comprehensive talent management plans to address the workforce needs identified in the prior year. These plans prioritize workforce needs, training requirements and succession planning strategies. Strategic talent management efforts included expanding and engaging diverse channels of specialized recruiting networks for hard-to-fill and mission critical positions, as well as developing an internal talent pipeline through Architect's Mobility Program opportunities, temporary promotions, detail opportunities and career ladders.

**Strategic Talent Acquisition.** To attract and retain talent in FY 2020, the AOC participated in recruitment events targeting skilled trades, veterans, professional associations and university and community college populations. These efforts included visits to initiate relationships with the Pennsylvania College of Technology, Tulane University and the University of Alabama to identify talent for hard-to-fill and mission critical positions. The AOC also leveraged recruitment incentives, the student loan repayment program and negotiated salaries to attract sought-after job candidates and remain competitive with the private industry. Further, the AOC continued to build and promote its employer brand awareness through its online and social media presence as an "employer of choice." The agency also increased its investments in advertising throughout recruitment sources and utilized online recruiting channels to attract, identify and engage with prospective employees.

### Equal Employment Opportunity/Affirmative Action Programs

The HR Act requires the AOC to have an equal employment opportunity program that includes an affirmative employment program (AEP) for employees and applicants. The HR Act also requires that the AOC has procedures for monitoring its progress in ensuring a diverse workforce. The AOC's Diversity, Inclusion and Dispute Resolution (DI/DR) office carries out the agency's Equal Employment Opportunity Program, outlined in Policy Memorandum 24-3: Workforce Diversity, Inclusion and Equal Employment Opportunity. The AOC hires and advances individuals based on merit without regard to race, color, sex, religion, age, national origin, sexual orientation, gender identity, genetic information or disability. The DI/DR office monitors employment data to promote affirmative employment, assists employees in addressing and resolving concerns and upholds the AOC's commitment to a diverse and respectful work environment free of harassment, discrimination and retaliation. The DI/DR office also promotes full access and integration of qualified individuals with disabilities into the workforce through the AOC's Reasonable Accommodation Program. The agency remains focused on ensuring an integrated strategy for a healthy workforce culture with clear goals and accountability.

#### Program Highlights:

**AOC Chooses Civility Initiative.** The civility initiative is the cornerstone of the AOC's diversity and inclusion program and is aimed at promoting the importance of inclusiveness and respect in the workplace. The initiative focuses on how employees interact with others and delivers civility training to senior leaders, supervisors and employees. It also provides toolkits to senior leaders and distributes program information to employees and offices across the agency.

**Prevention of Sexual Harassment Training.** In FY 2020, the AOC developed a web-based curriculum for prevention of sexual harassment training, based on existing training that the agency developed in FY 2019 with the Office of Congressional Workplace Rights.

**New Workplace Anti-Harassment Policy Issued.** In keeping with industry standards, the AOC issued a revised and expanded anti-harassment policy to replace its existing sexual harassment policy. The new policy addresses all forms of harassment, providing the agency with a more thoughtful and comprehensive anti-harassment plan.

**Affirmative Employment Program.** In FY 2020, the AOC continued to update its AEP. Updates included statistical analysis of female and minority employment utilization levels and hiring, promotion and termination patterns and equity analyses of employee gift rates, gift values and compensation levels. These analyses will identify target areas for further investigations of current employment practices. The AOC expects to complete the update by the end of calendar year 2020.

**New Reporting Hotline.** The DI/DR office now provides agency employees with a hotline to report any equal employment or harassment concerns. The service is available 24/7 and callers speak with a live consultant.

### Classification of Positions

The HR Act requires the AOC to have a system for the classification of positions that considers the difficulty, responsibility and qualification requirements of the work performed, and which conforms to the principle of equal pay for substantially equal work. The AOC classification system fosters internal equity for employees with comparable qualifications and responsibilities for their respective occupations. The agency uses federal guidelines for the classification of General Schedule (GS) and wage-grade positions and to determine duties, responsibilities, qualification requirements, position titles, series and grade levels.<sup>13</sup> The AOC pays prevailing rates to employees in recognized trades or in unskilled or skilled manual labor occupations, as well as work leaders or supervisors. The AOC also has exempt personnel positions that are Senior Rated (SR). Employees in these positions serve at the pleasure of the Architect of the Capitol. The classification program also seeks equity with similar positions in the external nonfederal sector. The AOC Order 532, Pay Under the Architect's Wage System, provides agency policy on position classifications and employee compensation determinations. **Section I: Management's Discussion and Analysis** depicts the AOC's organizational structure as well as the number of positions in each jurisdiction.

#### Program Highlight:

**Positions Classification Study.** The AOC classification program uses trades studies to track and prioritize occupations for review and update. During FY 2020, the AOC completed classification studies for forklift operators, administrative support positions and staff assistant positions. As a result, as well as those conducted in FY 2019, the AOC

created career ladders and promoted 37 employees. The AOC also reviewed and completed 314 position descriptions for SR, supervisory, nonsupervisory, career ladder GS, single-grade GS, wage grade, summer intern and Architect's Mobility Program positions.

### Employee Training and Development

The HR Act requires the AOC to have an employee training program that has among its goals improved employee performance and opportunities for employee advancement. The agency's training and development program provides training to employees to develop desired behaviors, job-related knowledge, new skills and familiarity with industry standards. Employees receive training and development in accordance with the duties of their position, resulting in stronger technical competency and desired workplace behaviors. The AOC Order 410-1, Training and Employee Development, provides agency policy for the training and development of employees.

#### Program Highlights:

**AOC Supervisory Symposium.** The Human Capital Management Division (HCMD) Training and Employee Development Branch developed and executed the Supervisory Leadership Symposium in November 2019. Over 140 supervisors engaged with colleagues in innovative learning methods to renew, refresh and enrich their leadership abilities and competencies.

**AOC's Learning Management System.** The AOC launched an online learning management system in FY 2020. "AOC Learn" provides users access to a searchable listing of online courses with detailed descriptions and online registration. The portal will track completion of mandatory training and send reminder emails that automatically notify users and their supervisors of incomplete training requirements. In FY 2020, the AOC completed the first launch phase, which included the AOC's standards of conduct training. Future phases will modify the individualized training plans to include all mandatory training requirements (instructor-led and webinars) and enhance the tracking function so that training managers can individualize training requirements and set mandatory completion dates. **Table 24** summarizes the most completed agency-sponsored training initiatives in FY 2020.

### Performance Appraisal System

The HR Act requires the AOC to have a formal performance appraisal system that will permit the accurate evaluation of job performance based on objective criteria for all agency employees. The AOC's Performance Communication and Evaluation System (PCES) is based on OPM's Performance Management System but is tailored to the AOC's unique mission. The PCES links individual work elements to the AOC's Strategic Plan, strengthens communication between supervisors and employees, improves individual and organizational performance, provides recognition and rewards and addresses unmet performance requirements. The AOC Order 430-1, Performance, Communication and Evaluation System, provides the agency's performance management system policy. The AOC Order 430-2,

<sup>13</sup> Title 5 U.S.C. §5349 requires that rates for employees of the AOC be fixed and adjusted consistent with the public interest and in accordance with prevailing rates. OPM Position Classification Standards provide information on the occupational series, title, grade and pay system for positions performing white collar work in the federal government.

Performance Management for Exempt Personnel, provides the performance review policy for SR personnel.

#### Program Highlight:

##### Performance Management Program Enhancements.

The AOC's cross-jurisdictional PCES working group continued to enhance the performance management program. These enhancements will increase accountability, fairness and communication between supervisors and employees and reduce the administrative burden of the performance appraisal process. Specific enhancements include: transitioning the agency to one performance cycle;

implementing performance-related supervisory training; streamlining the mid-year review process to focus on regular performance discussions between supervisors and employees; restructuring the performance rating system; updating performance evaluation documents to improve user friendliness; and procuring an online performance management system. The AOC expects to implement the new performance management program and online performance management system in FY 2021.

##### Fair and Equitable System to Address Misconduct and Performance

The HR Act requires the AOC to have a fair and equitable system in place to address unacceptable conduct and performance by AOC employees, including a general statement of violations, sanctions and procedures, as well as a formal grievance system. The AOC has a progressive discipline policy that aligns with OPM's Managing Federal Employees' Performance Issues or Misconduct reference materials but is tailored to the AOC's unique mission. The AOC Order 752-1, Discipline, as well as applicable collective bargaining agreements (CBAs) specify uniform procedures for disciplinary actions designed to address and correct inappropriate conduct of employees.<sup>14</sup> The AOC Order 430-1, Performance, Communication and Evaluation System, provides the agency's policy to address unacceptable performance. Like the discipline policy, applicable CBAs include the AOC's policy for unacceptable performance. All agency employees have access to the AOC's Human Resources policy manual via the agency's intranet.

The AOC Order 752-1, Discipline, provides a table of typical penalties for infractions. The AOC evaluates each instance of misconduct against the "Douglas Factors"<sup>15</sup> established by OPM to ensure that agencies impose an appropriate penalty for employee misconduct. The AOC also reviews comparable disciplinary cases to ensure consistency. Likewise, the AOC is consistent in its handling of performance deficiencies. Regular reporting to the Architect of the Capitol and other appropriate management officials ensures further consistency. Appropriate coaching and accountability are important principles in addressing misconduct and performance issues.

A formal grievance procedure is available to all employees. If a union represents an employee, then the AOC affords the employee formal grievance procedures under the appropriate CBA. Otherwise, the AOC affords the

**Table 24**  
Most Completed Agency-Sponsored Training in FY 2020

COURSE DESCRIPTION	COMPLETIONS
Recognizing and Preventing Sexual Harassment in the Workplace	2,533
Computer Security Awareness	2,284
COVID-19 Pandemic Operations Video	2,075
Annual Ethics	1,413
Standards of Conduct	1,299
AOC Fraud Awareness	495
Spills and Skills: Non-Emergency Hazardous Material Spill Response	272
U.S. Capitol Visitor Center (CVC) Bomb Threats	241
Mandatory Drug-Free Workplace Employee Education	238
CVC Suspicious Items	203
CVC Summer Weather	201
CVC Workplace Duress	197
Ethics for New Employees	187
Asbestos Operations and Maintenance Review	174
AOC Supervisory Symposium	146
Security of Controlled Unclassified Information Training and Awareness	143

Note: Completions indicate the total number of employees trained in FY 2020, which may include those that have separated from the agency and are no longer active employees.

<sup>14</sup> The AOC's current CBAs include: American Federation of State, County and Municipal Employees (AFSCME) Council 20, Local 626; AFSCME Council 20, Local 658; International Brotherhood of Electrical Workers (IBEW), Local 121; Sheet Metal, Air, Rail and Transportation (SMART) Workers, Local 100; United Association of Journeymen and Apprentices of the Plumbing and Pipefitting Industry of the United States and Canada ("Plumbers"), Local 5.

<sup>15</sup> The Merit Systems Protection Board, in its landmark decision, *Douglas vs. Veterans Administration*, 5 M.S.P.R. 280 (1981), established criteria that supervisors must consider in determining an appropriate penalty to impose for an act of employee misconduct. The following relevant factors must be considered: the nature and seriousness of the offense, the employee's job level and type of employment and the employee's past disciplinary and work record, among others.

employee formal grievance procedures under the AOC Order 771-1, Grievances.

### Program Highlights:

This fiscal year, the AOC procured, configured, tested and began implementing an employee and labor relations database that will improve lifecycle management of discipline cases. While discipline is proposed on a case-by-case basis, the cloud-based, FedRAMP-certified<sup>16</sup> database will assist the AOC in standardizing discipline in similar cases. The database provides an electronic platform to securely manage personally identifiable information, track discipline cases and identify and report trends and case outcomes. The database enhances transparency, provides real-time information and adds efficiencies to managing casework.

### Employee Assistance Program

The HR Act requires the AOC to provide services dealing with mental health, alcohol abuse, drug abuse and other employee problems, while ensuring employee confidentiality. The AOC Order 792-1, Employee Assistance Program (EAP), defines the agency's program to meet this requirement. The program helps employees define the problem, develop a plan of action, develop new or strengthen existing skills and identify resources for problem resolution. Program services include initial assessment, short-term problem resolution, consultation, referral to community services and follow-up services. Participation in the EAP is voluntary and the AOC provides the program to employees and their immediate families free of charge (although employees are responsible for outside services). The AOC maintains confidentiality for employee participants and does not share employee personal information without a signed release. The EAP seeks to address the whole person, as the AOC recognizes that employee wellness fosters a safe and healthy work environment.

### Program Highlights:

In addition to general prevention and awareness articles on stress management, mental health issues and monthly observances, the EAP also provided guidance, support, self-care recommendations and resources for individual, family and work issues related to the COVID-19 pandemic. The AOC provided articles and website links on the agency's intranet and directly to employees as a part of the daily coronavirus update. The EAP responded to management requests for consultations and workplace presentations, grief education and support, suicide awareness and prevention and stress management.

### Absence and Leave

The HR Act requires the AOC to have a formal policy statement regarding the use and accrual of sick and annual leave that the agency shall provide to all employees. The AOC provides comprehensive leave programs to maintain

a productive workforce and help employees meet their personal and family needs. The agency has included its formal statement regarding the use and accrual of sick and annual leave in the AOC Orders 630-1: Absence and Leave, 630-2: Family and Medical Leave and 610-1: Alternative Work Schedules. The policies cover the use and accrual of sick and annual leave, advanced annual and sick leave, compensatory time, leave without pay and other forms of leave. The policies also provide the procedures to ensure the uniform and consistent administration of leave programs. The AOC's policies comply with federal regulations and the Office of Congressional Workplace Rights' regulations on the *Family and Medical Leave Act* (FMLA). AOC employees receive these policies during onboarding and have access to the policies on the AOC intranet. Additionally, the AOC provides employees with the policies through an employee guide, policy memoranda and an extended absences brochure.

### Program Highlights:

**Family and Medical Leave Act.** This fiscal year, the AOC implemented administrative improvements to the FMLA program and appointed a central point of contact to provide guidance and ensure that the agency administers FMLA consistently.

**Paid Parental Leave.** The National Defense Authorization Act for FY 2020 includes the *Federal Employee Paid Leave Act*. Agency employees will be eligible for 12 weeks of job-protected paid parental leave for the birth, adoption or placement of a foster child with the AOC employee occurring on or after October 1, 2020. This fiscal year, in preparation for the implementation of the act, the agency revised its parental leave policies and published information about the policy on the AOC's intranet.

**Families First Coronavirus Response Act (FFCRA).** The FFCRA provides eligible AOC employees with up to 80 hours of emergency paid sick leave, and 10 additional weeks of partially paid expanded family and medical leave, for specified COVID-19 related reasons. The AOC developed and issued policy guidance, an application, a self-certification form and an internal checklist for the administration of FFCRA leave requests.

### COVID-19 Interactive Question and Answer Sessions.

In response to the COVID-19 pandemic, the AOC initiated recurring interactive "Office Hours" sessions to assist employees in navigating work-related issues. Subject matter experts from HCMD, Information Technology Division, Safety, Fire and Environmental Programs, Diversity Inclusion and Dispute Resolution and the Office of Attending Physician all participated in the sessions. Many of the sessions focused on the administration of leave during COVID-19. Leave flexibilities in the workplace were discussed — including the use of maximum telework, rotational schedules and relaxed core hours — and HCMD staff fielded questions. The AOC posted recorded audio versions of each session on the AOC intranet for employees to access on demand.

<sup>16</sup> The Federal Risk and Authorization Management Program (FedRAMP) is a governmentwide standardized program for monitoring cloud-based products and services.

## Oversight and Evaluation

The HR Act requires the AOC to develop a system of oversight and evaluation to ensure that the agency's personnel management system meets the requirements of the HR Act and complies with all other relevant laws, rules and regulations. The AOC has developed the following system of oversight and evaluation to meet these requirements:

**Chief Human Capital Officer.** The chief human capital officer has oversight responsibility for the agency's human capital programs, including talent acquisition, position classifications, employee training and development, performance appraisal system, fair and equitable system to address misconduct and performance, employee assistance and absence and leave.

**Director of Diversity, Inclusion and Dispute Resolution (DI/DR).** The director of DI/DR has oversight responsibility for the AOC's equal employment opportunity, affirmative employment, reasonable accommodation, diversity and inclusion and dispute resolution programs.

**Office of Inspector General (OIG).** The OIG provides independent oversight of the AOC by auditing and evaluating various human capital programs. This fiscal year, the OIG evaluated the AOC's compliance with its discipline order, which found that the AOC's discipline program was generally strong and identified recommendations for program improvements.

**Affirmative Employment Program Report.** The Affirmative Employment Program Report provides statistics on the diversity of the AOC's workforce, which measure the effectiveness of initiatives to ensure a diverse workforce. The report includes workforce data by jurisdiction and job group, personnel activity and compensation level. Affirmative employment data for FY 2016-FY 2018 was made available in FY 2020.

**Annual Review of Policies.** The AOC Order 4-1, Issuing Policy and Procedural Guidance, requires regular review of agency policies. The AOC reviews its human resources policies annually to ensure that the policies are compliant with federal statute and continue to meet evolving agency needs. This year, HCMD developed a hard-copy version of its Human Resources policy manual that sets forth policies and procedures to assist AOC leaders, managers and supervisors in carrying out their assigned responsibilities. The manual was also designed to help ensure and protect the rights and responsibilities of both the agency and its employees. The manual supplements individual policies by subject matter that were already available online.

See the **Infographic: Human Capital By the Numbers** for a snapshot of the AOC's workforce profile and related human capital statistics for FY 2020.

Infographic

# Human Capital by the Numbers

as of September 30, 2020

## WORKFORCE PROFILE

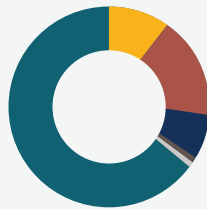
2,251 + 235 = 2,486

Permanent Employees      Temporary Employees      Total Employees



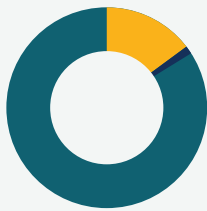
### GENDER

- Men, 1,851, 74%
- Women, 635, 26%



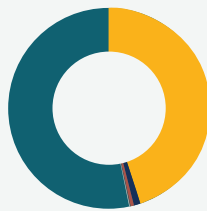
### JOB CATEGORIES

- Blue Collar, 60%
- Administrative, 13%
- Technical, 13%
- Professional, 11%
- Other, 2%
- Clerical, 1%



### SUPERVISORY RATIO

- Nonsupervisors, 1,978, 79%
- Supervisors, 412, 17%
- Leaders, 96, 4%



### RACE

- White, 45%
- Black or African American, 44%
- Hispanic or Latino, 6%
- Asian, 3%
- American Indian or Alaska Native, 1%
- Two or more, 1%

## ELECTRONIC OUTREACH

LinkedIn      Twitter@AOC Hiring      Glassdoor

48,826      510      13,330

Views on AOC Jobs      Engagements (June-November)      Views on AOC Employer Profile

## REWARDS AND RECOGNITION

454      4,365

Recognition Federal Service      Monetary Awards

## TALENT ACQUISITION

227      249      136

Promotions      Permanent Positions Filled      Temporary Appointments

## TRAINING AND EMPLOYEE DEVELOPMENT

159 courses / 288 sessions

Safety and Specific Trade or Skill Needs Training

16,326 Updated Records Involving Discretionary and Mandatory Training

## PAYROLL AND PROCESSING

11,656      7,451

Personnel Actions Processed      Payroll Documents Processed

## EMPLOYEE BENEFITS

233

Family and Medical Leave Recipients

92

Voluntary Leave Transfer Program Recipients

991

Transit Subsidy Recipients

68

New Workers' Compensation Claims

## ATTRITION RATE

6.64%

65

Retirements

53

Resignations

45

Transfers

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# Appendices

## APPENDIX A

### ARCHITECTS OF THE CAPITOL

The position of the Architect of the Capitol has a legacy rooted in the very beginnings of Washington, D.C., when President George Washington selected Dr. William Thornton's design for the U.S. Capitol Building. For his indelible impact on our national landscape, Dr. Thornton is honored as the first "Architect of the Capitol." However, it was not until 1867 that the title was first officially used. It was then, under the tenure of Edward Clark, that Congress changed the title from "Architect of the Capitol Extension" to "Architect of the Capitol," to reflect their expanded vision for the office. After Clark's death in 1902, Congress dropped the title when it appointed Elliot Woods as the

"Superintendent of the Capitol Buildings and Grounds" (this title was used because Woods was not a trained architect). In 1921, however, the title was resurrected and awarded to Woods for meritorious service. Ever since, "Architect of the Capitol" has remained the official title of both the head of the agency and the agency itself. On January 16, 2020, J. Brett Blanton was sworn into a 10-year term as the 12th Architect of the Capitol.

Each of the Architects of the Capitol are listed in **Table 25**, along with their dates of service and hyperlinks to their biography.

**Table 25**  
Architects of the Capitol

NAME	DATES OF SERVICE	BIOGRAPHY
Dr. William Thornton	1793	<a href="http://www.aoc.gov/about-us/history/architects-of-the-capitol/dr-william-thornton">www.aoc.gov/about-us/history/architects-of-the-capitol/dr-william-thornton</a>
Benjamin Henry Latrobe	1803–1811 1815–1817	<a href="http://www.aoc.gov/about-us/history/architects-of-the-capitol/benjamin-henry-latrobe">www.aoc.gov/about-us/history/architects-of-the-capitol/benjamin-henry-latrobe</a>
Charles Bulfinch	1818–1829	<a href="http://www.aoc.gov/about-us/history/architects-of-the-capitol/charles-bulfinch">www.aoc.gov/about-us/history/architects-of-the-capitol/charles-bulfinch</a>
Thomas Ustick Walter	1851–1865	<a href="http://www.aoc.gov/about-us/history/architects-of-the-capitol/thomas-ustick-walter">www.aoc.gov/about-us/history/architects-of-the-capitol/thomas-ustick-walter</a>
Edward Clark	1865–1902	<a href="http://www.aoc.gov/about-us/history/architects-of-the-capitol/edward-clark">www.aoc.gov/about-us/history/architects-of-the-capitol/edward-clark</a>
Elliott Woods	1902–1923	<a href="http://www.aoc.gov/about-us/history/architects-of-the-capitol/elliott-woods">www.aoc.gov/about-us/history/architects-of-the-capitol/elliott-woods</a>
David Lynn	1923–1954	<a href="http://www.aoc.gov/about-us/history/architects-of-the-capitol/david-lynn">www.aoc.gov/about-us/history/architects-of-the-capitol/david-lynn</a>
J. George Stewart	1954–1970	<a href="http://www.aoc.gov/about-us/history/architects-of-the-capitol/j-george-stewart">www.aoc.gov/about-us/history/architects-of-the-capitol/j-george-stewart</a>
George M. White, FAIA	1971–1995	<a href="http://www.aoc.gov/about-us/history/architects-of-the-capitol/george-m-white-faia">www.aoc.gov/about-us/history/architects-of-the-capitol/george-m-white-faia</a>
Alan M. Hantman, FAIA	1997–2007	<a href="http://www.aoc.gov/about-us/history/architects-of-the-capitol/alan-m-hantman-faia">www.aoc.gov/about-us/history/architects-of-the-capitol/alan-m-hantman-faia</a>
Stephen T. Ayers, FAIA, CCM, LEED AP	2010–2018	<a href="http://www.aoc.gov/about-us/history/architects-of-the-capitol/stephen-t-ayers-faia-leed-ap">www.aoc.gov/about-us/history/architects-of-the-capitol/stephen-t-ayers-faia-leed-ap</a>
J. Brett Blanton	2020–Present	<a href="http://www.aoc.gov/about-us/history/architects-of-the-capitol/j-brett-blanton">www.aoc.gov/about-us/history/architects-of-the-capitol/j-brett-blanton</a>

*Left* The AOC supported the lying in state ceremony for Congressman Elijah Cummings in October 2019.

## MAJOR FACILITIES UNDER THE AOC'S CARE

As the builder and steward of the landmark buildings and grounds of Capitol Hill, the AOC is responsible for many of the most iconic buildings of the federal, legislative and judicial branches. **Table 26** lists the major facilities under AOC stewardship.

**Table 26**  
Major AOC Facilities

FACILITY	LOCATION	YEAR BUILT OR ACQUIRED (if property was acquired after the year built, the AOC's acquisition date appears in parentheses)	ASSIGNED (A) OR LEASED (L)
<b>Capitol Building</b>			
U.S. Capitol Building	Washington, DC	Construction started in 1793, various other dates for multiple expansions	A
<b>Capital Construction and Operations</b>			
Construction Division Shops	Washington, DC	1982	A
Construction Division Warehouse	Landover, MD	2016	L
<b>Capitol Grounds and Arboretum</b>			
Summerhouse	Washington, DC	1880	A
Capitol Square	Washington, DC	1894	A
Union Square	Washington, DC	Transferred 2011	A
<b>Capitol Police Buildings, Grounds and Security</b>			
Eney, Chestnut, Gibson Memorial Building	Washington, DC	1930 (Transferred 1986)	A
Vehicle Maintenance Facility	Washington, DC	1930	A
Courier Acceptance Facility	Washington, DC	1980	A
Canine Facility	Washington, DC	1996 (Transferred 2004)	A
Fairchild Building	Washington, DC	2004	A/L
Interim Off-Site Delivery	Washington, DC	2006	A
Government Publishing Office	Washington, DC	2005	L
Verizon Building	Washington, DC	2011	L
<b>Capitol Power Plant</b>			
Generator Building	Washington, DC	1909	A
Main Boiler Plant	Washington, DC	1909	A
Cogeneration Building (formerly East Refrigeration Plant)	Washington, DC	1937	A
Administration Building	Washington, DC	1978	A
West Refrigeration Plant	Washington, DC	1978 and various dates for later expansions	A
Utility Tunnels	Washington, DC	Various dates	A
Coal Yard Facilities	Washington, DC	Various dates	A
<b>House Office Buildings</b>			
Cannon House Office Building	Washington, DC	1908	A
Longworth House Office Building	Washington, DC	1933	A
Rayburn House Office Building	Washington, DC	1965	A
East and West House Underground Garages	Washington, DC	1968	A
Ford House Office Building	Washington, DC	1939 (Transferred 1974)	A
House Page Dormitory	Washington, DC	1940 (Transferred 1986)	A
O'Neill House Office Building	Washington, DC	1963 (Transferred 2017)	A
<b>Library Buildings and Grounds</b>			
Thomas Jefferson Building	Washington, DC	1897 (Transferred 1922)	A
John Adams Building	Washington, DC	1938	A
James Madison Memorial Building	Washington, DC	1980	A

*Right* Construction of the U.S. Capitol Grounds' Summerhouse began in 1879 and was completed in 1881 by landscape architect Frederick Law Olmsted. The brick structure provides a quiet place for visitors to rest and enjoy the grounds.



**Table 26**  
**Major AOC Facilities (continued)**

Special Services Facilities Center	Washington, DC	1990 (Transferred 1991)	A
Congressional Campus, which includes:			
Fort Meade Warehouse Buildings	Columbia, MD	1942 (Transferred 1993)	A
Fort Meade Collection Storage Modules	Columbia, MD	Module 1: 2002, Module 2: 2005, Modules 3 and 4: 2009, Module 5: 2017	
Packard Campus for Audio-Visual Conservation	Culpeper, VA	2007	A
<b>Senate Office Buildings</b>			
Russell Senate Office Building	Washington, DC	1909	A
Senate Underground Garage	Washington, DC	1932	A
Dirksen Senate Office Building	Washington, DC	1958	A
Robert A. Taft Memorial and Carillon	Washington, DC	1959	A
Hart Senate Office Building	Washington, DC	1982	A
Daniel Webster Page Dormitory	Washington, DC	1930 (Transferred 1993)	A
Senate Employees' Child Care Center	Washington, DC	1998	A
Senate Mail Handling Facility	Landover, MD	2008	A
107 D Street, NE	Washington, DC	1885	A
Senate Storage Building	Washington, DC	1993	A
Senate Sergeant At Arms (SSAA)/Secretary of the Senate Warehouse Facility	Landover, MD	2005	L
SSAA Printing, Graphics & Direct Mail Facility	Landover, MD	2011	L
SSAA Office Support (Postal Square)	Washington, DC	1992	L
GPO — SSAA Cabinet	Washington, DC	2012	L
GPO — Senate Furniture/Refinishing	Washington, DC	2007	L
<b>Supreme Court Building and Grounds</b>			
U.S. Supreme Court Building	Washington, DC	1935	A
Thurgood Marshall Federal Judiciary Building	Washington, DC	1992	A
<b>U.S. Botanic Garden</b>			
Administration Building	Washington, DC	1931	A
Bartholdi Fountain and Gardens	Washington, DC	1932	A
Conservatory and surrounding gardens	Washington, DC	1933	A
Production Facility Greenhouse, Headhouse	Washington, DC	1993	A
Storage Facility	Washington, DC	2017	A
<b>U.S. Capitol Visitor Center</b>			
U.S. Capitol Visitor Center	Washington, DC	2008	A

## THE AOC JURISDICTIONS' KEY ACCOMPLISHMENTS AND PRIORITIES

The AOC is organized into 10 jurisdictions, each with distinct responsibilities for maintenance, operation, development and preservation of a specific area of the Capitol campus. The AOC receives a separate appropriation for each jurisdiction. In addition, the AOC receives appropriated funds for Capital Construction and Operations to provide shared program management and administrative support for the entire agency. **Table 27** identifies the AOC jurisdictions and their corresponding responsibilities.

This section supplements the major agency accomplishments described in the report's **Section I: Management's Discussion and Analysis**. These include preparing for the 2021 presidential inauguration, continuing work on Phase 2 of the Cannon Renewal Project, preserving the exterior stone on the U.S. Capitol Building and multiple other facilities and establishing the logistics for the AOC's COVID-19 response. Looking at the agency from the jurisdiction level, this appendix highlights additional achievements and priorities in support of the AOC's mission.

**Table 27**  
The AOC Jurisdictions and Central Office

**Capitol Building:** Responsible for the maintenance, care and stewardship of the U.S. Capitol, an iconic and historically significant building and the centerpiece of Capitol Hill, and for the care and maintenance of the U.S. Capitol Visitor Center.

**Capitol Grounds and Arboretum:** Responsible for preserving and maintaining 286 acres of historic landscape and grounds infrastructure across Capitol Hill.

**Capitol Police Buildings, Grounds and Security:** Responsible for AOC security operations and the maintenance, care and operations of the U.S. Capitol Police buildings and grounds.

**Capitol Power Plant:** Responsible for providing centralized utility services for Capitol Hill and maintaining and operating the Capitol Power Plant, which provides steam and chilled water to heat and cool the U.S. Capitol and 22 other facilities.

**House Office Buildings:** Responsible for the operation and maintenance of the facilities supporting the office and committee space for the members of the U.S. House of Representatives and their staff.

**Library Buildings and Grounds:** Responsible for the life-cycle maintenance, operations and care of the Library of Congress facilities and grounds.

**Senate Office Buildings:** Responsible for the operation and maintenance of the facilities supporting the office and committee space for United States senators and their staff.

**Supreme Court Building and Grounds:** Responsible for the operations and maintenance of the U.S. Supreme Court Building and the Thurgood Marshall Federal Judiciary Building.

**U.S. Botanic Garden:** Responsible for the maintenance, operation and care of the U.S. Botanic Garden Conservatory, the outside gardens, support facilities, the Bartholdi Fountain and Gardens, USBG's other heritage assets and plant collections.

**U.S. Capitol Visitor Center:** Responsible for visitor services and general operations at the U.S. Capitol Visitor Center, including informational exhibitions, a restaurant, two orientation theaters, a large auditorium and two gift shops.

**Capital Construction and Operations:** Responsible for providing direct support to the agency, including architectural and engineering design, construction management, project management, planning and development, safety monitoring, emergency operations, historic preservation, energy and water conservation, and other critical business services (including finance, human resources, information technology, legal and procurement).



Capitol Building

### Key Accomplishments in FY 2020

**Replaced Old Senate Chamber Lighting:** The jurisdiction replaced the lighting systems in the Old Senate Chamber, one of the Capitol Building's most historic rooms, with customized light fixtures that simulate those adorning the building's historic exterior. The new systems enhance the visual aesthetic of the room and improve light quality and energy efficiency.

**Fulfilled Environmental Requirements:** The jurisdiction completed its first annual reporting and inspection under

Title V of the *Clean Air Act*. As required by the permit program, the jurisdiction coordinated with the D.C. Department of Energy and Environment for its inspection under the new regulations, which it passed with no reportable violations or fines.

**Accomplished Sustainability Goals:** As part of the AOC's comprehensive waste reduction and recycling efforts, the jurisdiction participated in an agencywide working group to advocate for sustainability projects, track material submissions and ensure the receipt of its respective recycling credits from a federal program administered by the General Services Administration.

### What's Next? FY 2021 Priorities

**Support the Presidential Inaugural:** The jurisdiction will provide support for the 2021 presidential inaugural event, including the construction of the platform and special event planning in collaboration with the Joint Congressional Committee on Inaugural Ceremonies. Preparations include contingency plans to support a socially distanced event.

**Build a More Inclusive Workplace:** The jurisdiction will strive to exemplify the AOC's stated intention to make substantive changes in its workplace culture and to build a more inclusive, respectful and rewarding environment for all of its employees. ■



Capitol Grounds and Arboretum

### Key Accomplishments in FY 2020

**Expanded Sustainable Landscape Practices:** The jurisdiction used new methods to decrease the AOC's carbon footprint and improve air quality, stormwater management and native pollinator habitats. Efforts included increasing the planting and maintenance operations on green roofs atop the O'Neill House Office Building and Dirksen Senate Office Building, installing heat-tolerant native plant species throughout the campus and procuring battery-operated rechargeable lawnmowers and other outdoor equipment to reduce noise and pollutants.

**Enhanced Professional Development:** The jurisdiction deepened its involvement with professional organizations such as the Professional Grounds Management Society, the Irrigation Association and the American Public Gardens Association, allowing employees to build relationships within the industry. Additionally, the jurisdiction provided its staff opportunities to attend specialized training that furthered knowledge in horticulture and equipment mechanics.

**Improved Arboretum Management:** The jurisdiction provided critical maintenance to mature trees to mitigate soil compaction, encourage optimum root growth, protect against stressors like bacteria and fungi, and improve the overall health of trees on the Capitol campus. With more than 4,600 trees on the U.S. Capitol Grounds — including many with historic or memorial associations — arboretum management is an ongoing effort.

### What's Next? FY 2021 Priorities

**Continue Historic Landscape Preservation:** The jurisdiction will continue to preserve and maintain the historic landscape of the Capitol campus, which includes its lawns, trees and supporting decorative features such as fountains and boundary walls. Continued preservation efforts will focus on the Olmsted-designed light fixtures and drainage grates.

**Increase Opportunities for Professional Development:** The continued support of specialized employee training and the strengthening of its relationships with industry professional organizations will remain a key priority for the jurisdiction. ■



Capitol Police Buildings, Grounds and Security

### Key Accomplishments in FY 2020

**Upgraded Lighting:** The jurisdiction performed a series of lighting upgrades at the truck interdiction posts across the Capitol campus. In place of the temporary, diesel-powered light towers at the security kiosks, the jurisdiction constructed new light towers at the kiosks and designed and installed permanent, energy-efficient lighting systems.

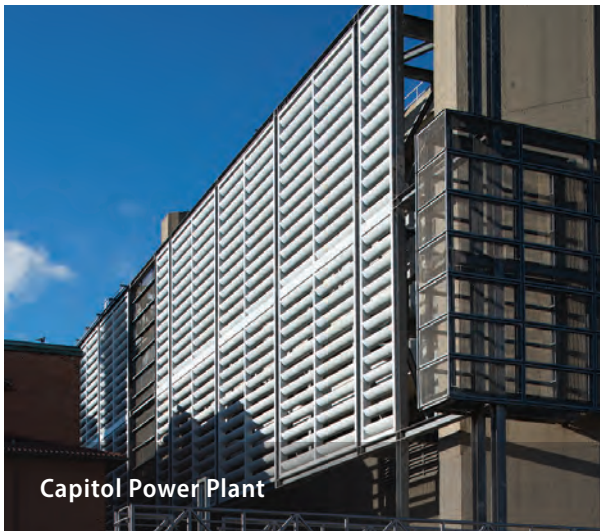
### Collaborated on New Security Standards for

**Construction Projects:** The jurisdiction worked closely with the AOC's Planning and Project Management team and the U.S. Capitol Police on establishing baseline security standards and procedures for construction projects on the Capitol campus. The jurisdiction's leadership established working groups to increase coordination, improve communication and strengthen relationships with stakeholders, which resulted in significant security improvements for critical projects.

**Implemented Security Improvements:** To enhance the security of the U.S. Capitol Building, the jurisdiction completed a study and the program requirements for the design of enhanced exterior screening vestibules at the building's north and south entrances. The jurisdiction developed a solution to replace the temporary light towers with new lighting along the facility's West Front.

### What's Next? FY 2021 Priorities

**Provide Presidential Inaugural Support:** The jurisdiction will provide security support for the 2021 presidential inauguration, including the installation of security elements across the Capitol campus and collaboration with multiagency command centers. ■



Capitol Power Plant

### Key Accomplishments in FY 2020

**Improved Chemical Treatment Program:** The jurisdiction made significant improvements to its chemical treatment program, implementing a new performance-based chemical supply contract and staffing a new position for a chemical treatment program manager. Additional improvements included the installation of new tanks, level controllers, pumps and a bulk delivery system, plus the redevelopment of standard operating procedures.

**Initiated Tunnel Repairs:** The jurisdiction initiated a comprehensive repair and waterproofing project for the

Capitol campus' interconnecting concrete utility service tunnels, which had begun deteriorating due to age and groundwater infiltration. The repairs use an innovative "curtain grouting" approach, which strengthens the tunnels and protects their foundations against groundwater seepage.

**Developed a Utility Master Plan:** The jurisdiction made meaningful progress in developing a comprehensive utility master plan to assess the condition of utility equipment and provide a road map for the AOC's future energy needs. The first two phases of the project were completed, which included reviewing and developing existing system data, measuring baseline performance and establishing AOC-wide master planning goals and objectives.

### What's Next? FY 2021 Priorities

**Enhance Training Opportunities:** The jurisdiction will continue to train and develop its staff through comprehensive qualification programs and new standard operating procedures for all aspects of plant operations. The training opportunities will be further developed by the creation and staffing of a new position for a training program manager.

**Refine the Utility Master Plan:** In phase three of the comprehensive utility master plan, the jurisdiction will meet with an advisory panel of national experts to screen various energy technologies, review system data and further develop AOC-wide master planning goals. ■



### Key Accomplishments in FY 2020

**Retro-Commissioned HVAC Systems:** The jurisdiction retro-commissioned various components of the plumbing and HVAC systems that control both chilled water and steam for cooling and heating in the House facilities. The effort identified and replaced nearly a dozen leaking control valves that were causing stress to air handling units, allowing the systems to operate more efficiently.

**Upgraded Stairwell Lighting:** During a period of low-occupancy due to COVID-19, the jurisdiction upgraded the

stairwell and escalator bank lighting in the Rayburn House Office Building. The newly installed LED lights provide for safe egress, while resulting in improved energy efficiency and a longer operating life.

#### Developed Safety Plans and Environmental Policies:

The jurisdiction developed 14 new safety plans, policies and procedures to maintain compliance with enhanced environmental requirements. As part of these coordinated efforts, project managers and shop personnel received safety training to comply with the regulations when generating and handling hazardous waste.

#### What's Next? FY 2021 Priorities

**Manage the 117th Congressional Transition:** The jurisdiction will support the transition of the new Congress and its associated office and committee moves. During the transition, the jurisdiction will oversee the room selection process, perform safety inspections, manage temporary staffing needs, execute the moves and collect space data to improve future plans.

**Support the Cannon Renewal Project:** The jurisdiction will complete Phase 2 and initiate Phase 3 of the Cannon Renewal Project, focusing on the east wing of the building. The project is a five-phased, 10-year effort to upgrade infrastructure systems and repair the exterior stone façade of the historic Cannon House Office Building. ■



### Key Accomplishments in FY 2020

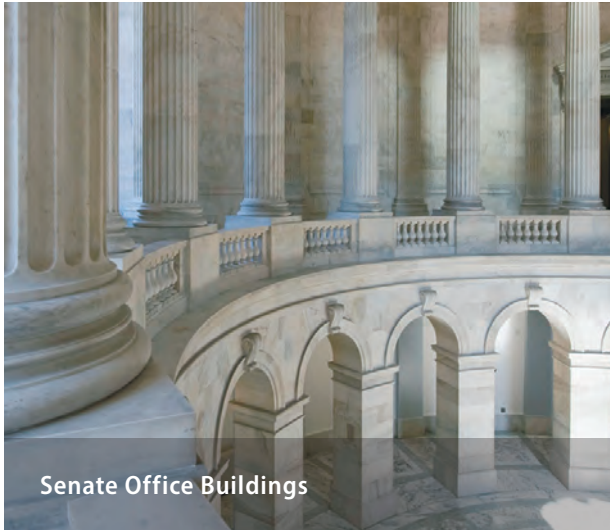
**Enhanced Visitor Experience:** The jurisdiction worked closely with the Library of Congress to begin implementation of its Visitor Experience Master Plan for the Thomas Jefferson Building. This fiscal year, the Library provided the first funds transfer to the AOC in support of the initial phase of design. The Master Plan's first phase will create a renewed visitor orientation experience, including the relocation of the Thomas Jefferson Library Collection. These efforts will continue into FY 2021.

**Conserved the Neptune Fountain:** The jurisdiction performed significant conservation and repair work on the Court of Neptune, the fountain and bronze statuary at the front of the Thomas Jefferson Building. Conservation specialists cleaned the fountain, removed stains and mineral buildup and applied a wax finish to preserve its luster.

**Updated Fort Meade Facility Requirements:** The jurisdiction completed a comprehensive update to the Fort Meade Master Plan to accurately reflect its current Library Collections Storage Modules future anticipated growth and support needs, as well as to comply with extensive stormwater management requirements. The jurisdiction worked with the AOC's Records Management Division to ensure their archive requirements were identified and incorporated. The jurisdiction also worked with other jurisdictions to identify current and future storage needs for the 100-acre site.

#### What's Next? FY 2021 Priorities

**Continue Implementation of Visitor Master Plan:** The jurisdiction will begin extensive design and construction efforts in support of the Library's Visitor Experience Master Plan, starting with its greeting and orientation components. When complete, this initiative will provide an enhanced experience for the visitors to the Library of Congress. ■



Senate Office Buildings

### Key Accomplishments in FY 2020

#### Executed Socially Distanced Hearing Room Layouts:

Following the outbreak of COVID-19, the jurisdiction rapidly developed and implemented new hearing room layouts to accommodate social distancing measures for members, staff and witnesses during Senate events and supported new audiovisual recording requirements. The project was completed in a short time frame during a recess, limiting interruptions to Senate activities.

**Replaced Senate Child Care Center Roof:** The jurisdiction replaced the 20-year-old rubber roofing system at the Senate

Employees' Child Care Center with a new polyvinyl chloride roofing system. The project was scheduled in coordination with the replacement of the building's air conditioning unit to minimize potential roof damage.

**Implemented Event Planning Software:** The jurisdiction implemented an event planning system that streamlines planning and coordination for hearing rooms and event spaces in the Senate office buildings. The technology allows clients to indicate their food, beverage, furniture setup and audiovisual preferences and special requests for upcoming events. Jurisdiction staff completed over 60 hours of training on the platform to maximize the technology's potential.

### What's Next? FY 2021 Priorities

**Oversee Office and Committee Moves:** The jurisdiction will coordinate the Senate office and committee moves to support the 117th Congress. The AOC has made further upgrades to the "Senate Suites" online suite selection tool to aid the move process. During this transition, the jurisdiction will coordinate deferred equipment maintenance and system infrastructure upgrades in the Senate office buildings.

**Execute Major Construction Projects:** The jurisdiction will complete the Senate Underground Garage and Landscape Restoration project and the third sequence of the Russell Exterior Envelope Project at the Russell Senate Office Building. ■



Supreme Court Building and Grounds

### Key Accomplishments in FY 2020

**Renovated Office Work Environments:** The jurisdiction renovated large office layouts throughout the entire Thurgood Marshall Federal Judiciary Building as part of a space realignment project. As a result of this capital improvement project, the reconfigured facility ensures a safe, comfortable and productive environment for its occupants.

**Upgraded Thurgood Marshall Building Elevators:** The jurisdiction completed an elevator modernization project

that included 18 elevators at the Thurgood Marshall Building. The project upgraded the traction and hydraulic transportation systems, including the replacement of the mechanical systems, and updated the cab finishes for 12 passenger elevators, one service elevator and five garage passenger elevators.

**Completed the 2020 Facilities Conditions Assessment:** The jurisdiction completed the 2020 FCA for the Supreme Court of the United States, resulting in a facility condition index rating of "very good." This assessment is the result of many years of capital improvements and a meticulous preventive maintenance program.

### What's Next? FY 2021 Priorities

**Advance Capital Improvement Initiatives:** The jurisdiction will develop a construction execution plan and strategies for its stakeholders to advance capital improvement initiatives.

**Establish New Memorandum of Agreement:** The jurisdiction plans to document financial and business engagement roles, responsibilities and rules with the Administrative Office of the U.S. Courts. The current memorandum of agreement (MOA) requires updating to reflect new process improvements that have been established for funds transfers. ■





U.S. Botanic Garden

### Key Accomplishments in FY 2020

**Installed Green Roof Monitoring System:** The jurisdiction installed an environmental monitoring system on the Conservatory's new green roof to better understand its performance and benefits. The project takes an experimental approach for assessing the efficacy of two distinct plant communities in capturing and mitigating stormwater.

**Renovated Conservatory Bridge:** The jurisdiction designed and installed a new bridge in the Conservatory using

environmentally friendly, low-maintenance materials. The new bridge addressed safety concerns and meets ADA requirements.

**Championed Urban Agriculture:** The jurisdiction partnered with the American Public Gardens Association to launch the Urban Agriculture Resilience Program, which helped sustain urban agriculture and community food growing efforts impacted by COVID-19. The program provides funding to 28 public gardens in 19 states and Washington, D.C. to help them grow and distribute produce, maintain and expand urban agriculture programs and promote wellness.

### What's Next? FY 2021 Priorities

**Renew Production Facility:** The jurisdiction will initiate the design phase and advance the program requirements for the production facility renewal project. The project will enhance the plant production facility by removing the aging 80,000 square-foot production greenhouse and replacing it with a new facility incorporating the latest in greenhouse technologies, building a new quarantine greenhouse to isolate incoming plants and constructing a new education center and urban farm.

**Expand Online Programming:** The jurisdiction will expand its national reach through online learning. This will include upgrading its on-site classroom with distance learning technology and producing online content for family, student and adult audiences on plant science. ■



U.S. Capitol Visitor Center

### Key Accomplishments in FY 2020

**Created an Online Gift Shop:** The U.S. Capitol Visitor Center (CVC) designed and developed an online gift shop to enhance customer service. The gift shop integrates internal systems with the point of sale system, while adhering to AOC security protocols. Scheduled to open in FY 2021, the online gift shop will feature new products tailored for online customers.

**Enhanced Visitor Experience:** The jurisdiction developed an interactive digital kiosk that helps visitors locate their representative and senators. For non-English speaking visitors,

the jurisdiction also piloted the use of translation devices in Spanish and Mandarin for guided tours.

**Expanded Program Offerings:** The jurisdiction added new programming to commemorate the centennial of the 19th Amendment, as well as to celebrate Native American Heritage Month. The CVC hosted its first Homeschool Day, which provided age-appropriate tours and interactive programs to more than 300 participants. The jurisdiction also developed two video tours — a general tour suitable for all audiences and a 20-minute tour for middle school students. A follow-along worksheet and quiz accompanied the middle school tour.

### What's Next? FY 2021 Priorities

**Complete Exhibition Hall Renovations:** The jurisdiction's comprehensive redesign of Exhibition Hall will continue in FY 2021. This redesign will create a more educational and interactive environment that will inform, engage and inspire visitors about the role of Congress in the democratic process. The redesigned Exhibition Hall will open in 2022.

**Provide Additional Online Engagement Opportunities:** The jurisdiction will develop additional ways to engage visitors online. These include a website redesign, an augmented reality app, web-based versions of successful on-site programs, a slate of new online school programs and the development of short videos spotlighting the National Statuary Hall Collection. ■



### Key Accomplishments in FY 2020

#### **Developed Online Emergency Management Training:**

The AOC developed a series of online emergency preparedness training for AOC staff. This effort began in advance and independent of the COVID-19 pandemic, but proved useful in continuing staff training once the agency implemented remote work policies during the pandemic.

**Implemented Talent Management Plans:** The AOC developed talent management plans for each jurisdiction. The effort outlined current and future workforce requirements that supported a comprehensive workforce analysis. The annual plans serve to build candidate pipelines, remediate talent gaps and ensure the agency meets succession planning needs, particularly involving hard-to-fill positions.

**Enhanced Central Service Capabilities:** The AOC added two planning and program managers dedicated to developing project charters. The charters provide a comprehensive, documented understanding of roles and responsibilities for construction and renovation work, leading to better outcomes. The charters document early project requirements (such as scope, schedule and funding), identify challenges, encourage stakeholder involvement and streamline work development. The agency implemented five formal project charters within the e-Builder project management system and two informal charters.

**Upgraded Financial Review Process:** The AOC developed a new, quarterly financial review SharePoint application. This web-based tool automates the process to validate open obligations, thus alleviating the administrative burden placed on the agency's small community of fund managers and reducing the likelihood of untimely fund de-obligations.

### What's Next? FY 2021 Priorities

**Implement New Management Systems:** The agency will complete the implementation of a project management information system, e-Builder, to manage major construction projects, while beginning to employ a new enterprise asset management program to more effectively track and manage assets agencywide. The AOC will also complete the introduction of Treasury's Budget Formulation and Execution Manager tool to standardize and improve budget processes.

**Develop a Human Capital Management Strategy:** The AOC will develop a five-year Human Capital Strategic Plan that supports the agency through strategic workforce planning and talent acquisition, talent management and employee engagement programs. ■



## MAJOR STONE REPAIR AND PRESERVATION PROJECTS

Stone preservation is a top priority for the AOC, as nearly every building across the Capitol campus is constructed of stone. Weather, age and insufficient maintenance have damaged many of the finer details of these historic stone edifices. If preservation work is not performed, water infiltration will result in building operational issues, pose safety risks and potentially damage the architectural features and the historic artwork within. This appendix summarizes the AOC's major stone repair and preservation projects.



### Cannon Renewal Project

**Project description:** The Cannon House Office Building — the oldest congressional office building other than the U.S. Capitol Building — is undergoing a complete renewal. Finished in 1908, more than a century of weather and continuous operation has led to the deterioration of the stone façade, as well as building and utility infrastructure. The systems are past the end of their useful lives and the risk of their failure jeopardizes the building's long-term functionality and safety. Other necessary work includes restoring the stone exterior and original wood windows, as well as demolishing and rebuilding a new fifth floor.



### Olmsted Terrace Preservation

**Project description:** Over the last 120 years, the condition of the Olmsted Terrace's stone and its metal fixtures has deteriorated due to insufficient maintenance. To properly restore the terrace, a multiphase project is underway to clean and repair the marble and granite on its walls and approaches. During each phase, the walls, pedestals, steps and curbing will be cleaned, repointed and repaired.



### Russell Exterior Envelope Project

**Project description:** The second of three phases of restoration to the exterior envelope of the Russell Senate Office Building is currently underway. Work includes: cleaning, pointing and repairing the marble, limestone and granite; restoration of the wood windows and doors; replacement and seismic upgrade of roof balustrades; and restoration and conservation of the highly ornamental bronze light fixtures, railings and gates.



## Thurgood Marshall Façade Repair Program

**Project description:** Work on a pilot project at the front entrance of Thurgood Marshall Federal Judiciary Building continues with the removal and replacement of granite panels at Columbus Circle Plaza. In FY 2020, the AOC completed Phase 1 — a pilot project that included forensic analysis to inform the design of follow-on phases — and began studies for targeted repairs for remaining areas of the façade.



## Grant Memorial Restoration

**Project description:** The AOC completed restoration of the Ulysses S. Grant Memorial. The four-year project addressed decades of corrosion, stained marble and damaged and missing bronze pieces. The AOC conserved the memorial by cleaning, repatinating and coating the bronze components, replacing missing bronze pieces and repointing and cleaning the marble pedestals.



## U.S. Capitol Exterior Stone and Metal Preservation Project

**Project description:** A multiphase exterior restoration of the U.S. Capitol Building will extend the life expectancy of deteriorated stone and replace missing architectural elements. Phase 2 of the project focuses on the stone and metalwork of the South House Extension and will conclude before the 2021 presidential inauguration. Planning for the next phase — which will focus on the building's west façade — is underway, and the restoration work will commence following the inauguration.

## MAJOR EXHIBITIONS AND PROGRAMS

The U.S. Botanic Garden (USBG) and U.S. Capitol Visitor Center (CVC) create and offer extraordinary exhibitions and programs for the visiting public. Their FY 2020 exhibitions and programs included:



### Patrick Dougherty Stickwork Sculpture Installation

October 2019–ongoing

In celebration of its bicentennial, the USBG installed a custom sculpture in collaboration with renowned artist Patrick Dougherty, whose installations are woven from plant materials. Volunteers and employees worked with Dougherty and his team over three weeks to create the unique, interactive piece of art, which is located on the lawn west of the Conservatory.



### Season's Greenings: America's Gardens

November 2019–January 2020

The annual holiday exhibition explored botanic gardens from around the United States and featured plant-based recreations of conservatories, fountains and sculptures. The USBG Conservatory was decorated with thousands of flowers, including a showcase of heirloom and newly developed poinsettia varieties. The USBG's collection of D.C. landmarks made from plant materials returned to fill the Garden Court, and the galleries featured a decorated tree and model trains.



### U.S. Botanic Garden at 200: Deeply Rooted, Branching Outward

February 2020–ongoing

For the yearlong celebration of the USBG's bicentennial, this exhibition invited the public to engage with the Garden's distinctive plant collection and unique place in American history. The exhibition provided historic images of the USBG, presented a history of plant exploration and shared the USBG's day-to-day operations. The exhibition also featured 3D images through original 19th century stereoscope photos, interactive children's programming that evoked 19th-century botanical exploration and a life-size bronze sculpture of the USBG's infamous corpse flower.



### Discover the World of Orchids

February 2020–March 2020

In partnership with Smithsonian Gardens, the USBG hosted an orchid show celebrating how advances in technology help us understand, conserve and grow orchids. The 25th annual orchid exhibition included thousands of blooming orchids from the USBG's and Smithsonian Gardens' specialty plant collections.



## Online Exhibitions and Programs

Due to COVID-19, both the USBG and CVC were closed to the visiting public in mid-March 2020 and remained closed at the end of the fiscal year. Both organizations adapted by moving many exhibitions, programs and events online.

The USBG launched a variety of free online content with “USBG at Home.” The website featured programs such as cooking demos, plant trivia nights, guided yoga practices and the online American Roots Concert Series. The website also offered virtual courses on a variety of topics and information about the USBG as a plant rescue center. The USBG’s social media platforms provided daily posts of activities, as well as photos and stories celebrating the USBG’s bicentennial. Activities for children and families included printable coloring books,

## Relocated U.S. Capitol Visitor Center Exhibitions

March 2019–ongoing

During the renovation-related closure of Exhibition Hall, several artifacts were moved to the lower level of the CVC for public display, including models of Capitol Square and the Lincoln Table. Banner exhibitions about women’s suffrage, the Constitution and the Bill of Rights were created in support of CVC student programs and the “We the People” partnership that serves students in Washington, D.C.

## CVC Special Programs and Encounters

The CVC offered three specialty tours: “Halls of the Senate,” showcasing the art in the Brumidi Corridors; “Freedom Fighters in the Capitol Collection,” spotlighting significant individuals who impacted civil rights; and “Votes for Women,” which shares the stories of women who fought for gender equality leading up to the ratification of the 19th Amendment. The jurisdiction offered a seasonal walking tour of the U.S. Capitol Grounds and Arboretum. In addition, family programs and “This Day in History” programs were held each month.

## Shaping History Podcast

The CVC introduced its premiere podcast, “Shaping History: Women in Capitol Art.” The podcast provides a rich narration featuring curators, historians, artists, descendants of honored subjects and eyewitnesses, providing insight into the women artists and subjects found in the National Statuary Hall Collection.

orchid-themed origami and at-home lessons. Virtual tours provided 360-degree views of the Conservatory and outdoor gardens.

The CVC unveiled website enhancements to showcase a robust roster of online exhibitions and educational offerings. These offerings included downloadable lesson plans for teachers, a middle school video tour, testing materials, student activity guides and essays. The CVC’s online archive allowed visitors to explore image galleries from previous exhibitions and learn about the history of Congress and the U.S. Capitol. The CVC education staff also led presentations during a virtual teacher workshop sponsored by the White House Visitor Center celebrating the centennial of the 19th Amendment.

Exhibitions and information are available online at: [www.usbg.gov/exhibits](http://www.usbg.gov/exhibits) and [www.visitthecapitol.gov/exhibitions](http://www.visitthecapitol.gov/exhibitions)

## U.S. CAPITOL CAMPUS VISITATION STATISTICS

**Table 28**  
Number of Visitors by Month, FY 2020  
(Rounded to the nearest 1,000)

MONTH	U.S. CAPITOL VISITOR CENTER	U.S. BOTANIC GARDEN	LIBRARY BUILDINGS AND GROUNDS
October 2019	202,000	56,000	149,000
November 2019	146,000	70,000	112,000
December 2019	110,000	182,000	96,000
January 2020	95,000	50,000	69,000
February 2020	106,000	50,000	79,000
March 2020	64,000	40,000	44,000
April–September 2020	—	—	—
<b>Monthly Average</b>	<b>121,000</b>	<b>75,000</b>	<b>92,000</b>
<b>Total</b>	<b>723,000</b>	<b>448,000</b>	<b>549,000</b>

Note: The monthly averages are based on the six months the Capitol campus was open to visitors.

**Table 29**  
Number of Visitors by Year, FY 2015–FY 2020  
(Rounded to the nearest 1,000)

FISCAL YEAR	U.S. CAPITOL VISITOR CENTER	U.S. BOTANIC GARDEN	LIBRARY BUILDINGS AND GROUNDS
2015	2,001,000	1,317,000	1,586,000
2016	2,205,000	1,184,000	1,429,000
2017	2,447,000	953,000	1,559,000
2018	2,376,000	952,000	1,605,000
2019	2,375,000	1,004,000	1,593,000
2020	723,000	448,000	549,000
<b>Total FY 2015–FY 2020</b>	<b>12,127,000</b>	<b>5,858,000</b>	<b>8,321,000</b>
<b>6-Year Average</b>	<b>2,021,000</b>	<b>976,000</b>	<b>1,387,000</b>

Note: Starting in mid-March 2020, the Capitol campus was temporarily closed to the public due to COVID-19 and remained closed at the end of the fiscal year.





## REIMBURSABLE ACCOUNTS SUMMARY

In limited circumstances, the AOC has the authority to provide reimbursable services. Depending on the reimbursable authority, the AOC either posts the collected funds to a specific AOC appropriation or transfers the reimbursements to Treasury. The AOC's audited financial statements include the assets, liabilities and transactions associated with the reimbursable accounts.

### AOC Reimbursements Collected and Posted to a Specific AOC Appropriation

**Battery Recharging Stations** (*2 U.S.C. § 2170, P.L. 112-167 [Senate]; 2 U.S.C. § 2171, P.L. 112-170 [House]; and 2 U.S.C. § 2171a, P.L. 114-113 [Library]*). The AOC operates battery recharging stations for privately owned vehicles used by members of Congress or covered employees in the parking areas managed by the Senate Office Buildings, the House Office Buildings and the Library Buildings and Grounds jurisdictions. These recharging stations operate at no net cost to the federal government. The AOC credits the appropriations account for the Capitol Power Plant with all fees or charges collected for the electricity provided by the recharging stations. Monies deposited are available for obligation in the fiscal year collected and the following fiscal year.

**Capitol Complex E85 Refueling Station** (*2 U.S.C. § 2169; P.L. 110-140, Title V, § 502*). The AOC operates a fuel tank and pumping system for E85 fuel. The pumping station is available for all E85 fuel-compatible vehicles used by the AOC and other legislative branch agencies. All other legislative branch agencies using the station to fuel their vehicles must reimburse the AOC for the cost of the fuel.

### Disposition of Surplus or Obsolete Personal Property

(*2 U.S.C. § 1817a; P.L. 111-68, Div. A, Title I, § 1301*).

The AOC has authority to dispose of surplus or obsolete personal property through interagency transfer, donation, sale, trade-in or discard. Any amounts the AOC receives for the disposition of personal property is available for the AOC's operations for the acquisition of the same or similar property. The funds are available for the fiscal year received and the following fiscal year.

### Utility Reimbursements for Steam and Chilled Water

(*P.L. 116-94; 40 U.S.C. § 6111(b)(1)(A)* [U.S. Supreme Court]; *40 U.S.C. § 6502(e)* [Thurgood Marshall Federal Judiciary Building]; *40 U.S.C. § 6909* [Union Station]; *91 Stat. 1374* [Folger Shakespeare Library]; and *42 Stat. 767* [Postal Square and the Government Publishing Office Building]). The Capitol Power Plant provides lighting, heating, power, water and sewer services for the Capitol campus and, on a reimbursable basis, for other public buildings designated by Congress. These reimbursable services include heating the Government Publishing Office and Washington City Post Office and heating and providing chilled water for air conditioning the Supreme Court of the United States, the Union Station complex, the Thurgood Marshall Building and the Folger Shakespeare Library. The Capitol Power Plant's appropriation is credited with up to \$10 million of reimbursable amounts collected during FY 2020. The AOC deposits any amounts collected in excess of \$10 million in the Treasury's general fund.

### AOC Reimbursements Collected and Transferred to the U.S. Department of Treasury

**Rent from The Monocle Restaurant** (*P.L. 91-382*). The AOC has authority to lease the lot where The Monocle Restaurant is located. The AOC deposits all receipts from this lease in Treasury's general fund.

## KEY PERFORMANCE INDICATORS

**Table 30**  
Key Performance Indicators Scheduled for FY 2020

KEY PERFORMANCE INDICATOR	IDENTIFIER
<b>Goal 1: Maintain Awe-Inspiring Facilities</b>	
<b>NEW!</b> Projects Delivered On Time, Within Budget and Safely	AIF KPIs 1, 2 and 3
Energy and Sustainability Targets	AIF KPI 4
<b>NEW!</b> Facility Condition Index	AIF KPI 5
<b>NEW!</b> Energy Reduction by Building	AIF KPI 6
<b>NEW!</b> Americans with Disabilities Act Remediation	AIF KPI 7
<b>Goal 2: Provide Extraordinary Services</b>	
Customer Satisfaction with Projects	ES KPI 1
<b>NEW!</b> Employees Trained on the AOC's Customer Service Philosophy	ES KPI 2
<b>NEW!</b> TripAdvisor Ratings	ES KPI 3
<b>NEW!</b> Adherence to Procurement Acquisition Lead Times	ES KPI 4
<b>Goal 3: Foster an Innovative and Empowered Workforce</b>	
Employee Nonmandatory Training	IEW KPI 1
<b>NEW!</b> Supervisors Trained in PCES	IEW KPI 2
<b>NEW!</b> Customer Service Performance Standards Developed	IEW KPI 3
Business Units with a Bureaucracy Reduction	IEW KPI 4
Nonselected Internal Candidates Offered Feedback	IEW KPI 5
<b>NEW!</b> Supervisors Trained in Fair Hiring Procedures	IEW KPI 6
Injuries and Illnesses Rate	IEW KPI 7
Injuries and Illnesses Rate (Rolling Five-Year Average)	IEW KPI 8
<b>NEW!</b> Workers' Compensation Cases	IEW KPI 9
Business Units That Have Reviewed Emergency Procedures Within the Fiscal Year	IEW KPI 10
Business Units That Conducted Emergency Exercises Within the Fiscal Year	IEW KPI 11
Jurisdictions That Completed All Routine Self-Inspections on Time	IEW KPI 12
External Safety and Environmental Inspection Findings	IEW KPI 13
Favorability Ratings for FEVS Development Dimension	IEW KPI 14
Favorability Ratings for FEVS Accountability Dimension	IEW KPI 15
Favorability Ratings for FEVS Coaching Dimension	IEW KPI 16
Best Places to Work Ranking	IEW KPI 17
Best Places to Work Favorability Score	IEW KPI 18
Favorability Ratings for FEVS Innovation Dimension	IEW KPI 19
Favorability Ratings for FEVS Rewards and Recognition Dimension	IEW KPI 20
Favorability Ratings for FEVS Hiring and Promotions Dimension	IEW KPI 21
Favorability Ratings for FEVS Safety Dimension	IEW KPI 22
Favorability Ratings for FEVS Security Dimension	IEW KPI 23
<b>Goal 4: Operate as One Team, Dedicated to One Mission</b>	
<b>NEW!</b> Number of Days to Fill a Position: Competitive / Direct Hire	OTOM KPI 1
Favorability Ratings for FEVS Collaboration Dimension	OTOM KPI 2
Favorability Ratings for FEVS Communication Dimension	OTOM KPI 3
Favorability Ratings for FEVS Alignment Dimension	OTOM KPI 4
<b>NEW!</b> Opportunities Provided (own jurisdiction)	OTOM KPI 5
<b>NEW!</b> Opportunities Provided (other jurisdictions)	OTOM KPI 6
<b>NEW!</b> Participated in Opportunities (own jurisdiction)	OTOM KPI 7
<b>NEW!</b> Participated in Opportunities (other jurisdictions)	OTOM KPI 8

**Table 31**  
**Key Performance Indicators Removed or Not Scheduled**

KEY PERFORMANCE INDICATOR	STRATEGIC OBJECTIVE	STATUS	EXPLANATION
Preventive Maintenance Work Order Timeliness	AIF 2.0	Removed	Removed from the Strategic Plan
Corrective Maintenance Work Order Timeliness	AIF 2.0	Removed	Removed from the Strategic Plan
Facility Management Standards for Emergency Generators and Switchgear	AIF 2.0	Removed	This was a one-time effort for FY 2019
Gardens and Grounds Standards Established	AIF 2.0	Removed	This was a one-time effort for FY 2019
Service Request Work Order Timeliness	ES 1.0	Removed	Removed from the Strategic Plan
Favorability Ratings for Peer Customer Satisfaction	ES 1.0	Not Scheduled	Measured on a biennial basis
Customer Experience Program	ES 1.0	Removed	This was a one-time effort for FY 2019
Peer Survey Favorability Rating for Competency Dimension	IEW 1.0	Not Scheduled	Measured on a biennial basis
Peer Survey Favorability Rating for Customer Service Dimension	IEW 1.0	Not Scheduled	Measured on a biennial basis
Continuous Process Improvement Program Established	IEW 2.0	Removed	This was a one-time effort for FY 2019
Business Units With Successfully Implemented Partnering Plans	OTOM 1.0	Removed	Removed from the Strategic Plan
Employees Placed in Cross-Organizational Opportunities	OTOM 1.0	Removed	Removed from the Strategic Plan
Cross-Organizational Employee Opportunities	OTOM 1.0	Removed	Removed from the Strategic Plan
Favorability Rating for AOC Peer Survey Collaboration Dimension	OTOM 1.0	Not Scheduled	Measured on a biennial basis
Favorability Rating for AOC Peer Survey Communication Dimension	OTOM 1.0	Not Scheduled	Measured on a biennial basis
Favorability Rating for AOC Peer Survey Alignment Dimension	OTOM 1.0	Not Scheduled	Measured on a biennial basis
Workforce Study Pilot of the Planning and Project Management Division and Present Findings	OTOM 2.0	Removed	This was a one-time effort for FY 2019
Adopt an Integrated Planning, Programming, Budgeting, Execution and Evaluation Framework	OTOM 2.0	Removed	This was a one-time effort for FY 2019
Develop Jurisdiction Talent Management Plans	OTOM 2.0	Removed	This was a one-time effort for FY 2019

## GLOSSARY

**Americans with Disabilities Act (ADA):** This federal law prohibits discrimination in employment, transportation, public accommodations, communications and government activities and guarantees people with disabilities equal opportunity.

**Architect of the Capitol Human Resources Act:** This act requires the AOC to establish, implement, maintain, evaluate and annually report to Congress on the agency's personnel management system. The act also requires that all personnel actions affecting AOC employees are free from any discrimination.

**Architect's Mobility Program (AMP):** This program offers opportunities for employees who lack qualifying experience to enter other fields. This program addresses the AOC's commitment to employee development, while providing continuity of talent and critical trade skills.

**Backlog:** The total deferred maintenance plus capital renewal projects that are expected to become deferred maintenance within a five-year window.

**Brumidi Corridors:** The vaulted, ornately decorated corridors on the first floor of the Senate wing in the U.S. Capitol Building. They are named in honor of Constantino Brumidi, the 19th-century Italian artist who designed the murals and other major elements.

**Capital Construction and Operations:** Appropriation providing the essential construction, central management, operational support and professional support in connection with the facilities under the AOC's care.

**Capital Improvements Plan:** Projects annual funding requirements and provides an evaluation of capital projects based on key criteria including regulatory compliance, security, mission accommodation, historic preservation, economic considerations, energy considerations and sustainability.

**Capitol Christmas Tree:** Since 1964, a Capitol Christmas Tree is erected and decorated on the West Front Lawn of the U.S. Capitol Building to celebrate the holiday season. The AOC's Capitol Grounds and Arboretum's director is responsible for overseeing the tree's selection, installation and decoration.

**Capitol Complex Master Plan (CCMP):** The comprehensive, long-range framework that guides the AOC in its mission to maintain, renovate and develop the Capitol campus.

**Chief Financial Officers Act of 1990 (CFO Act):** This act established a chief financial officer in each major executive branch agency, assigned OMB with the responsibility for setting accounting and financial reporting standards, increased internal controls, required annual independent financial statement audits for agencies and established financial management systems requirements.

**Cogeneration:** The Capitol Power Plant's cogeneration system uses natural gas in a combustion turbine to simultaneously generate electricity and steam.

**Congressional Gold Medal Ceremony:** This ceremony recognizes those who have been awarded the Congressional Gold Medal by the U.S. Congress. Awardees are chosen based on achievements that have impacted American history and culture.

**Congressional Office Moves:** The member and committee office moves and space reassignments are associated with the biennial November elections for the United States Senate and U.S. House of Representatives. Related activities include: managing the suite selection process; developing architectural layouts; moving furniture; painting offices; removing, relocating and installing partitions; and updating the electrical, data and telecommunications infrastructure.

**Construction Work-in-Progress (CWIP):** Construction work-in-progress is a general ledger account used to record both the direct costs and allocated indirect costs that are associated with constructing a fixed asset.

**Contact Tracing:** Contact tracing helps to slow or stop the spread of infectious diseases. With respect to COVID-19, contact tracing slows its spread by letting people know when they may have been exposed to the disease and should monitor their health for symptoms, helping people who may have been exposed to the disease get tested and asking people to self-isolate or self-quarantine, as appropriate.

**Coronavirus Aid, Relief, and Economic Security (CARES) Act:** The CARES Act was passed by the 116th Congress and signed into law in March 2020. This \$2.2 trillion economic stimulus relief package was passed to protect the American people from the health and economic impacts of the COVID-19 pandemic.

**Coronavirus Disease 2019 (COVID-19):** In February 2020, the World Health Organization announced an official name for the disease that is causing the 2019 novel coronavirus outbreak: "coronavirus disease 2019," abbreviated as COVID-19.

**Corrective Maintenance:** Corrective, or emergency, maintenance activities are those undertaken to identify, isolate and rectify an unscheduled deficiency of equipment or systems.

**Cox Corridors:** The three corridors located on the first floor of the U.S. Capitol Building's House wing were designed by renowned artist Allyn Cox. The Cox Corridors are decorated with wall and ceiling murals that depict the development and growth of the United States.

**Deferred Maintenance and Repairs (DM&R):** These are maintenance and repairs that were not performed when they should have been, or were scheduled to be, and are delayed to a future period.

**Emancipation Hall:** The U.S. Capitol Visitor Center's Emancipation Hall is a central gathering place for visitors to the U.S. Capitol Building. The hall was named to recognize the contributions of the enslaved laborers who helped build the U.S. Capitol.



**Energy Independence and Security Act of 2007 (EISA2007):** An act of Congress intended to move the U.S. toward greater energy independence and security, increase the production of renewable fuels, protect consumers, increase the efficiency of products, buildings and vehicles, promote research on and deploy greenhouse gas capture and storage, and improve the energy performance of the federal government.

**Energy Savings Performance Contract (ESPC):** These contracts represent public-private partnerships for financing energy savings construction projects. ESPCs were used by the AOC to finance needed energy preservation improvements for three of its jurisdictions (Capitol Building, House Office Buildings and Senate Office Buildings) and will be used for a fourth jurisdiction (Library Buildings and Grounds).

**Enterprise Risk Management (ERM):** The process by which management and leadership identify, assess and manage risks across an enterprise to make informed decisions toward risk reduction.

**Exchange of Critical Expertise and Learning (ExCEL):** A workforce program to improve organizational efficiencies and increase employee knowledge through the exchange of skills and knowledge across the AOC.

**Exhibition Hall:** The U.S. Capitol Visitor Center's Exhibition Hall is home to "E Pluribus Unum — Out of Many, One," the exhibition dedicated to telling the story of the U.S. Congress and the U.S. Capitol.

**Facility Condition Assessment (FCA):** A program that assesses the condition of building components, systems, remaining life and deferred maintenance requirements.

**Facility Condition Index (FCI):** An overall assessment of the condition of a facility. It is measured by the ratio of deferred maintenance costs to estimated building replacement costs.

**Federal Employee Viewpoint Survey (FEVS):** A U.S. Office of Personnel Management tool that measures employees' perceptions of whether, and to what extent,

conditions characterizing successful organizations are present in their agencies.

**Federal Financial Management Improvement Act of 1996 (FFMIA):** A statute that advanced federal financial management by ensuring that federal financial management systems provide accurate, reliable and timely financial information to the government's managers.

**Federal Managers' Financial Integrity Act of 1982 (FMFIA):** A statute amending the *Accounting and Auditing Act of 1950* and requiring the establishment of guidelines for evaluating agencies' systems of internal control with three objectives: operational effectiveness and efficiency, regulatory and statutory compliance and reliable financial reporting.

**Generally Accepted Accounting Principles (GAAP):** The accounting concepts and standards for the U.S. government, as prescribed by the Federal Accounting Standards Advisory Board.

**Government Performance and Results Act of 1993 (GPR):** A statute that provided for the establishment, testing and evaluation of strategic planning and performance measurement in the federal government. Later amended by GPRAMA.

**Government Performance and Results Modernization Act of 2010 (GPRAMA):** A statute that updated GPR to create a more defined performance framework, including the designation of cross-cutting federal priority goals and agency-level priority goals.

**Heritage Asset:** The buildings, structures, landscapes, fine art, architectural fine art, decorative art, architectural decorative art, monuments, memorials, archival records, photographic records, living botanical assets, views and vistas, archeological resources, and stored art and architectural materials in the care of the AOC that have historical, architectural, artistic, cultural or educational significance.

**Jurisdiction:** The AOC has oversight responsibility for several jurisdictions. Each jurisdiction is responsible for a designated geographic area and/or facility of the Capitol campus.

**Leadership in Energy and Environmental Design (LEED):** A green building certification program, sponsored by the U.S. Green Building Council, which recognizes best-in-class facility strategies and practices.

**Legislative Branch Financial Management System (LBFMS):** The consolidated shared service financial management system used for legislative branch financial operations.

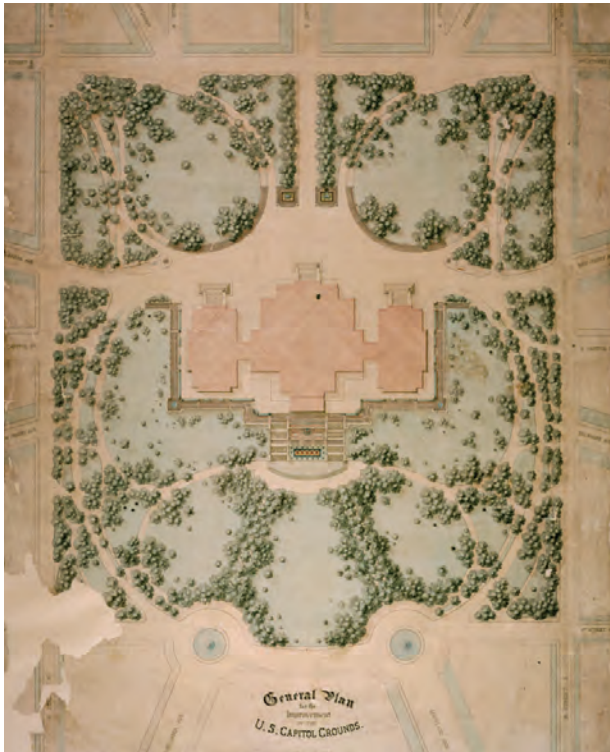
**Living Botanical Asset:** A plant specimen that should be granted preservation consideration. At the AOC, these typically (though not exclusively) fall into the categories of living accessions of the U.S. Botanic Garden, memorial trees and plants identified as significant in cultural landscape reports.

**Memorial Trees:** The living heritage assets planted to honor distinguished citizens, groups and national events. The AOC is responsible for the care of the memorial trees.

**National Finance Center (NFC):** The U.S. Department of Agriculture's shared services provider for financial management and human resources. The NFC administers the AOC's payroll and benefits.

**National Statuary Hall Collection:** This collection is comprised of statues donated by individual states to honor notable individuals in their history and is displayed throughout the U.S. Capitol Building and the U.S. Capitol Visitor Center. The AOC is responsible for the care and preservation of the entire collection, which consists of 100 statues contributed by 50 states (two statues each).

**Olmsted Plan:** A grand landscape architecture plan for the U.S. Capitol Grounds, it was designed between 1874 and 1892 by Frederick Law Olmsted, the father of landscape architecture in America.



**Presidential Inauguration:** The presidential inauguration is perhaps the most widely known of the ceremonies held at the U.S. Capitol Building. Every four years, the AOC is responsible for constructing the inaugural platform on the building's West Front, setting up the seating and fencing on the grounds and coordinating activities with the Joint Congressional Committee on Inaugural Ceremonies.

**Preventive Maintenance:** The recurring or scheduled care and servicing of equipment, systems and facilities to keep them in good operating condition by providing inspection, detection and correction of failures, either before they occur or before they develop major defects.

**Reimbursable Accounts:** The AOC has reimbursable budget authority provided by statute to establish certain reimbursable agreements. See **Appendix G: Reimbursable Accounts Summary**.

**Safety Observations and Reflections (SOAR):** The AOC safety training program for employees, supervisors and managers focusing on the behavioral aspects of individual safety performance.

**Short Ton:** A unit of weight equal to 2,000 pounds.

**State of the Union Address:** The State of the Union address is derived from the U.S. Constitution, which states: "He (the president) shall from time to time give to the Congress information of the State of the Union." The AOC works behind the scenes to ensure that everything is impeccable for this important event, including readying the House Chamber where the address occurs.

**Sustainable SITES Initiative® (SITES®):** A standards and certification system for sustainable landscape development and management created through a partnership of the American Society of Landscape Architects, the Lady Bird Johnson Wildflower Center at The University of Texas at Austin and the U.S. Botanic Garden.

**Statue of Freedom:** The bronze Statue of Freedom is the crowning feature of the U.S. Capitol Dome. The statue's plaster model is on display in the U.S. Capitol Visitor Center's Emancipation Hall.

**Union Square:** The 13-acre plaza to the west of the U.S. Capitol Building containing the Ulysses S. Grant Memorial and the Capitol Reflecting Pool. In 2011, the property was transferred from the National Park Service to the AOC.

**U.S. Capitol Dome:** The U.S. Capitol Dome, situated atop the U.S. Capitol Building, was designed by the fourth Architect of the Capitol, Thomas U. Walter. Construction of the 8.9 million pound cast-iron Dome began in 1855 and was finished in 1866.

**U.S. Capitol Grounds:** The U.S. Capitol Grounds are comprised of 286 acres of grounds that provide a park-like setting for the U.S. Capitol. The grounds were designed by noted American landscape architect Frederick Law Olmsted and designated an accredited arboretum in 2017.

**U.S. Capitol Rotunda:** The large, domed, circular room located in the center of the U.S. Capitol Building. The Rotunda is visited by thousands of people daily and is also used for ceremonial events.

**U.S. Capitol Visitor Center:** The U.S. Capitol Visitor Center, the newest addition to the U.S. Capitol Building, is located underground on the east side of the U.S. Capitol. Since opening in December 2008, more than 24 million visitors have entered the U.S. Capitol through the U.S. Capitol Visitor Center.

## ABBREVIATIONS AND ACRONYMS

<b>A</b>	
<b>ACBA</b>	American College of the Building Arts
<b>ACM</b>	Asbestos-Containing Materials
<b>ADA</b>	<i>Americans with Disabilities Act</i>
<b>AEP</b>	Affirmative Employment Program
<b>AFSCME</b>	American Federation of State, County and Municipal Employees
<b>AGA</b>	Association of Government Accountants
<b>AIA</b>	American Institute of Architects
<b>AIC</b>	American Institute for Conservation
<b>AICPA</b>	American Institute of Certified Public Accountants
<b>AIF</b>	Maintain Awe-Inspiring Facilities
<b>AMMD</b>	Acquisition and Material Management Division
<b>AMP</b>	Architect's Mobility Program
<b>AOC</b>	Architect of the Capitol
<b>B</b>	
<b>BAR</b>	Budget and Accrual Reconciliation
<b>BBTU</b>	Billion British Thermal Unit
<b>C</b>	
<b>CAO</b>	Chief Administrative Officer
<b>CAP</b>	Cross-Agency Priority goals
<b>CARES Act</b>	<i>Coronavirus Aid, Relief, and Economic Security Act</i>
<b>CBA</b>	Collective Bargaining Agreement
<b>CCM</b>	Certified Construction Manager
<b>CCMP</b>	Capitol Complex Master Plan
<b>CCO</b>	Capital Construction and Operations
<b>CCRC</b>	Central Contractor Registration Connector
<b>CDC</b>	Centers for Disease Control and Prevention
<b>CEAR</b>	Certificate of Excellence in Accountability Reporting
<b>CERCLA</b>	<i>Comprehensive Environmental Response, Compensation and Liability Act</i>
<b>CFM</b>	Certified Facilities Manager
<b>CFO</b>	Chief Financial Officer
<b>CFO Act</b>	<i>Chief Financial Officers Act</i>
<b>CGFM</b>	Certified Government Financial Manager
<b>CHW</b>	Chilled Water
<b>CIR</b>	Collections Information Repository
<b>COO</b>	Chief Operating Officer
<b>COTS</b>	Commercial Off-the-Shelf
<b>COVID-19</b>	Coronavirus Disease 2019
<b>CPA</b>	Certified Public Accountant
<b>CSRS</b>	Civil Service Retirement System
<b>CVC</b>	Capitol Visitor Center
<b>CVC POS</b>	Capitol Visitor Center Point of Sale System
<b>CWIP</b>	Construction Work-in-Progress
<b>CX</b>	Customer Experience
<b>D</b>	
<b>DATA Act</b>	<i>Digital Accountability and Transparency Act</i>
<b>DDC</b>	Direct Digital Controls
<b>DI/DR</b>	Diversity, Inclusion and Dispute Resolution
<b>DM&amp;R</b>	Deferred Maintenance and Repairs
<b>DOE</b>	U.S. Department of Energy
<b>DOL</b>	U.S. Department of Labor
<b>E</b>	
<b>EAP</b>	Employee Assistance Program
<b>ECM</b>	Energy Conservation Measures
<b>EISA2007</b>	<i>Energy Independence and Security Act of 2007</i>
<b>EPA</b>	U.S. Environmental Protection Agency
<b>EPAct</b>	<i>Energy Policy Act of 2005</i>
<b>ERM</b>	Enterprise Risk Management
<b>ES</b>	Provide Extraordinary Services
<b>ESPC</b>	Energy Savings Performance Contract
<b>EXCEL</b>	Exchange of Critical Expertise and Learning
<b>F</b>	
<b>FAIA</b>	Fellow, American Institute of Architects
<b>FASAB</b>	Federal Accounting Standards Advisory Board
<b>FBWT</b>	Fund Balance with Treasury
<b>FCA</b>	Facility Condition Assessment
<b>FCI</b>	Facility Condition Index
<b>FECA</b>	<i>Federal Employees Compensation Act</i>
<b>FedRAMP</b>	Federal Risk and Authorization Management Program
<b>FEGLI</b>	Federal Employees Group Life Insurance
<b>FEHB</b>	Federal Employees Health Benefits
<b>FEMA</b>	U.S. Federal Emergency Management Agency

<b>FERS</b>	Federal Employees Retirement System
<b>FEVS</b>	Federal Employee Viewpoints Survey
<b>FFCRA</b>	<i>Families First Coronavirus Response Act</i>
<b>FFMIA</b>	<i>Federal Financial Management Improvement Act</i>
<b>FISMA</b>	<i>Federal Information Security Management Act</i>
<b>FMFIA</b>	<i>Federal Managers' Financial Integrity Act of 1982</i>
<b>FMLA</b>	<i>Family and Medical Leave Act</i>
<b>FMS</b>	Financial Management System
<b>FY</b>	Fiscal Year

**G**

<b>GAAP</b>	Generally Accepted Accounting Principles
<b>GAO</b>	U.S. Government Accountability Office
<b>GPO</b>	U.S. Government Publishing Office
<b>GPRA</b>	<i>Government Performance and Results Act</i>
<b>GPRAMA</b>	<i>GPRAMA Modernization Act</i>
<b>GS</b>	General Schedule
<b>GSA</b>	U.S. General Services Administration
<b>GSF</b>	Gross Square Feet
<b>GTAS</b>	Governmentwide Treasury Account Symbol Adjusted Trial Balance System

**H**

<b>HCMD</b>	Human Capital Management Division
<b>HR Act</b>	<i>Architect of the Capitol Human Resources Act</i>
<b>HUBZone</b>	Historically Underutilized Business Zone
<b>HVAC</b>	Heating, Ventilation and Air Conditioning
<b>HVAC/R</b>	Heating, Ventilation, Air Conditioning and Refrigeration

**I**

<b>I&amp;I</b>	Injuries and Illnesses
<b>IBEW</b>	International Brotherhood of Electrical Workers
<b>ICS</b>	Inventory Control System
<b>IEW</b>	Foster an Innovative and Empowered Workforce
<b>IPAC</b>	Intragovernmental Payment and Collection
<b>IPP</b>	Invoice Processing Platform
<b>IRMD</b>	Integrated Risk Management Division
<b>ISMS</b>	Integrated Safety Management System
<b>IT</b>	Information Technology

**K**

<b>KBTU</b>	Thousand British Thermal Units
<b>KCF</b>	Thousand Cubic Feet
<b>KGal</b>	Kilogallons
<b>kWh</b>	Kilowatt Hours
<b>KPI</b>	Key Performance Indicator

**L**

<b>LBFMS</b>	Legislative Branch Financial Management System
<b>LED</b>	Light-Emitting Diode
<b>LEED AP</b>	Leadership in Energy and Environmental Design Accredited Professional
<b>LICP</b>	Line Item Construction Program

**M**

<b>MB</b>	Megabytes
<b>MD&amp;A</b>	Management's Discussion and Analysis
<b>MMBTU</b>	Metric Million British Thermal Units
<b>MOA</b>	Memorandum of Agreement
<b>MWh</b>	Megawatt Hours

**N**

<b>NFC</b>	National Financial Center
<b>NIST</b>	National Institute of Standards and Technology

**O**

<b>OAP</b>	Office of Attending Physician
<b>OCWR</b>	Office of Congressional Workplace Rights
<b>ODS</b>	Operational Data Store
<b>OIG</b>	Office of Inspector General
<b>OMB</b>	Office of Management and Budget
<b>OPM</b>	U.S. Office of Personnel Management
<b>OSHA</b>	Occupational Safety and Health Administration
<b>OTOM</b>	Operate as One Team, Dedicated to One Mission

**P**

<b>PAM</b>	Payment Automation Manager
<b>PAR</b>	Performance and Accountability Report
<b>PCES</b>	Performance, Communication and Evaluation System
<b>PE</b>	Professional Engineer



<b>PIAA</b>	<i>Payment Integrity Information Act of 2019</i>
<b>PIC</b>	Project Information Center
<b>PIID</b>	Procurement Instrument Identifier
<b>P.L.</b>	Public Law
<b>PMIS</b>	Project Management Information System
<b>PP&amp;E</b>	Property, Plant and Equipment
<b>PPE</b>	Personal Protective Equipment
<b>PPM</b>	Planning and Project Management
<b>PPS</b>	Partnership for Public Service
<b>PY</b>	Prior Year
<b>Q</b>	
<b>QFR</b>	Quarterly Financial Review
<b>R</b>	
<b>RACI</b>	Responsible, Accountable, Consulted and Informed Matrices
<b>RMAB</b>	Records Management and Archives Branch
<b>RSI</b>	Required Supplementary Information
<b>RSS</b>	Rich Site Summary
<b>S</b>	
<b>SAM</b>	System for Award Management
<b>SBR</b>	Combined Statement of Budgetary Resources
<b>SCNP</b>	Statement of Changes in Net Position
<b>SFEP</b>	Safety, Fire and Environmental Programs
<b>SFFAS</b>	Statement of Federal Financial

	Accounting Standards
<b>SIEM</b>	Security Information and Event Management
<b>SITES</b>	Sustainable SITES Initiative
<b>SMART</b>	Sheet Metal, Air, Rail and Transportation
<b>SNC</b>	Statement of Net Cost
<b>SOAR</b>	Safety Observations and Reflections
<b>SR</b>	Senior Rated
<b>SSAA</b>	Senate Sergeant At Arms

**T**

<b>TIPPS</b>	Teamwork, Integrity, Professionalism, Pride, Safety
<b>TSP</b>	Thrift Savings Plan
<b>Treasury</b>	U.S. Department of Treasury

**U**

<b>UCFE</b>	Unemployment Compensation for Federal Employees
<b>UESC</b>	Utility Energy Service Contract
<b>ULO</b>	Unliquidated Obligation
<b>USBG</b>	U.S. Botanic Garden
<b>U.S.C.</b>	United States Code
<b>USCP</b>	U.S. Capitol Police
<b>USSGL</b>	U.S. Standard General Ledger

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Copypedited by Joseph Peter and Darryl Williamson.

This report is issued with data as of November 23, 2020 unless otherwise noted.



*Above* The AOC continued work on the multi-year Senate Underground Garage and Landscape Restoration project. The project includes the rehabilitation of the garage, central fountain, reflecting pool, planters and surrounding pavement area. The AOC will complete this project in FY 2021.

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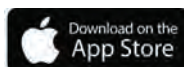
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