



PERFORMANCE & ACCOUNTABILITY REPORT

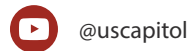
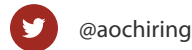
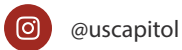
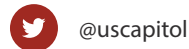
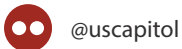
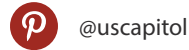
Architect of the Capitol • Fiscal Year 2021

SERVE | PRESERVE | INSPIRE

Websites and Media Platforms

Visit the Architect of the Capitol at www.aoc.gov

The Architect of the Capitol (AOC) maintains a social media presence on:



A full directory of the AOC's official social media accounts is available at www.aoc.gov/social-media-directory.

RELATED WEBSITES

U.S. Botanic Garden: www.usbg.gov

U.S. Capitol Visitor Center: www.visitthecapitol.gov

THOLOS MAGAZINE

Tholos, the AOC's quarterly digital employee magazine, provides stories that communicate the AOC's mission to serve, preserve and inspire. The magazine is available at: www.aoc.gov/what-we-do/publications/tholos-magazine.

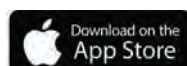


THE AOC ON MOBILE DEVICES

An e-reader mobile version of this Performance and Accountability Report will be available (for tablets only) in the Apple iTunes Store and the Android Google Play store.

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

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



FISCAL YEAR 2021

Performance and Accountability Highlights



About the Architect of the Capitol

Who We Are: The Architect of the Capitol (AOC) is responsible for the care and operation of the Capitol campus, which includes 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, online programming 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: 2,249 as of September 30, 2021

FY 2021 Budget Authority: \$1.008 billion (including \$321.9 million in emergency security supplemental funding)

Mission: Serve Congress and the Supreme Court, preserve America's Capitol and inspire memorable 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 Supreme Court of the United States, 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.

To learn more about the AOC, watch our video, "We Are AOC": www.aoc.gov/about-us/who-we-are.

FIGURE 1

Map of the U.S. Capitol Campus



Performance Results in Brief

In Fiscal Year (FY) 2021, the AOC tracked progress toward four strategic goals:

1. Maintain Awe-Inspiring Facilities
2. Provide Extraordinary Services
3. Foster an Innovative and Empowered Workforce
4. Operate as One Team, Dedicated to One Mission

Eight strategic objectives and 19 key performance indicators (KPI) support the goals. The high-level KPIs, summarized in **Table 1**, measure the agency's most critical actions taken in line with the Strategic Plan.

In October 2020, the AOC added seven additional initiatives to its FY 2021 Performance Plan. These new Architect's Strategic Initiatives (ASI) include:

- Reorganization: Building a structure to support the AOC's people and mission
- AOC University: Training for the future
- Building Official: Keeping agency staff and customers safe
- Cultural Behaviors Transformation: Strengthening the AOC's values
- Enterprise Asset Management: Providing the tools to track and maintain current assets and plan for future needs
- Human Capital Strategy: Attracting and incentivizing the best possible workforce
- Vision 2100 Master and Strategic Plans: Building a legacy



Strict adherence to pandemic safety protocols has allowed the agency to continue to meet its mission while ensuring the safety of its employees and the staff working on the Capitol campus.

View the AOC's FY 2021 Highlights video:
www.aoc.gov/PAR.

TABLE 1
 Summary of High-Level Key Performance Indicators

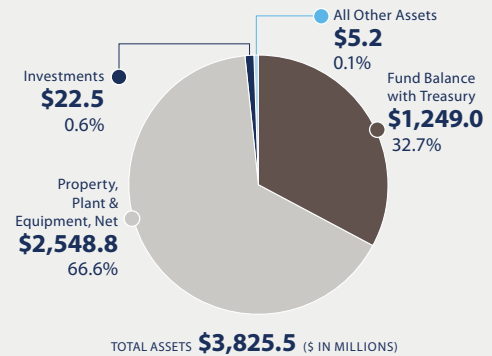
HIGH-LEVEL KEY PERFORMANCE INDICATOR	FY 2020 Target	FY 2020 Actual	FY 2020 Results	FY 2021 Target	FY 2021 Actual	FY 2021 Results
STRATEGIC GOAL: Maintain Awe-Inspiring Facilities						
Reduce Cumulative Energy Intensity Use. Decrease campuswide energy consumption through efficient utility usage.	≥ 40.0%	50.8%	Met	≥ 42.0%	48.8%	✔ Met
Facility Condition Index. Reduce the percent of the AOC major buildings in poor or fair condition.	≤ 44.4%	48.1%	Not Met	≤ 48.1%	55.6%	✘ Not Met
STRATEGIC GOAL: Provide Extraordinary Services						
Customer Satisfaction with Projects. Maintain high customer satisfaction with projects.	≥ 90.0%	95.0%	Met	≥ 90.0%	94.9%	✔ Met
Tenant Survey. Measure how well the AOC provides services to its facility occupants.	N/A	N/A	Not Applicable	≥ 90.0%	79.0%	✘ Not Met
STRATEGIC GOAL: Foster an Innovative and Empowered Workforce						
External Safety Inspection Findings. Reduce the safety findings identified by the Office of Congressional Workplace Rights.	< 1,162	1,492	Not Met	< 1,247	2,050	✘ Not Met
Injuries and Illnesses Rate. Reduce the annual injuries and illnesses rate.	≤ 2.23%	1.67%	Met	≤ 1.67%	1.62%	✔ Met
STRATEGIC GOAL: Operate as One Team, Dedicated to One Mission						
No FY 2021 KPIs are aligned with this strategic goal.						

Financial Results in Brief

As evidence of our commitment to financial accountability and transparency, in FY 2021 the AOC:

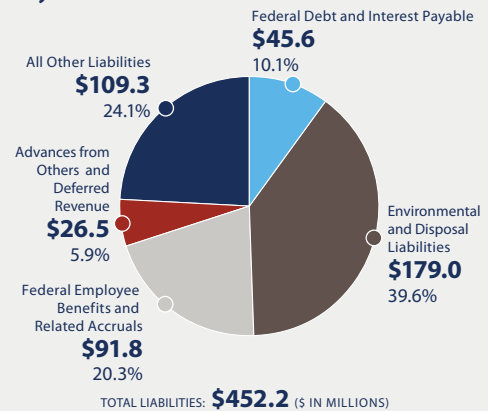
- Received its 17th consecutive unmodified (clean) audit opinion on its financial statements
- Received its 10th consecutive Certificate of Excellence in Accountability Reporting (CEAR) award from the Association of Government Accountants (AGA)
- Prioritized the AOC's COVID-19 mitigation efforts by ensuring funds were available for personal protective equipment and cleaning supplies, while supporting the development of COVID-19 impact reports and dashboards to facilitate *Coronavirus Aid, Relief, and Economic Security Act* (CARES Act) compliance
- Deployed multiple financial system updates, including the upgrade of its core financial management system (Momentum®) and its inventory management software (Maximo®); both the Momentum® and Maximo® systems migrated their data center to the Microsoft® Azure cloud

FIGURE 2
Summary of Total Assets



As of September 30, 2021, the AOC's property, plant and equipment (net of depreciation) represented two-thirds of the agency's total assets.

FIGURE 3
Summary of Total Liabilities



As of September 30, 2021, the AOC's environmental and disposal liabilities amounted to \$179 million (near 40 percent of total liabilities), an increase of \$100 million over FY 2020 due to increased asbestos abatement costs and agency estimation methodology changes.

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

	FY 2021	FY 2020	PERCENT CHANGE
Total Assets	\$3,825.5	\$3,498.7	9%
Total Liabilities	\$452.2	\$403.7	12%
Total Net Position	\$3,373.3	\$3,095.0	9%
Total Revenues	\$76.9	\$86.8	(11%)
Total Net Cost of Operations	\$755.7	\$627.3	20%
Total Appropriations (per Statement of Budgetary Resources)	\$1,007.6	\$728.5	38%
Facility Space Managed (square feet)	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	2,249	2,251	-%

TABLE 3
Independent Auditor's Internal Control Findings

CATEGORY	FY 2021	FY 2020
Material Weaknesses	Control Gap Identified for Retrospective Reviews of Estimates	None
Significant Deficiencies	None	None

FIGURE 4
Trend in Total Appropriations



In FY 2021, the AOC's appropriations included \$321.9 million of supplemental funding for security upgrades following the events of January 6, 2021, (\$300 million) and to respond to the COVID-19 pandemic (\$21.9 million).



The Russell Senate Office Building is undergoing a multiphase restoration to preserve the exterior stonework of the historic building. The AOC's backlog in deferred maintenance and capital renewal projects are among the most significant challenges identified in this year'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 2022 and beyond:

Backlog in Deferred Maintenance and Capital Renewal Projects:

Resource constraints have deferred maintenance and delayed important capital renewal work, causing increasing 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, 2021, the AOC estimated the backlog at \$2.05 billion.

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

Cybersecurity: The security of information systems and data is one of the largest challenges that federal agencies face. The AOC is not an exception and its various information systems are vital to the continuity of AOC operations.

Energy Stewardship and Sustainability: The AOC strives to maximize energy savings throughout the Capitol campus and in all its improvement projects. Although the AOC's facilities are largely composed of historic buildings that were not built to modern energy usage standards, the AOC has focused on improving their energy conservation capabilities.

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

Attracting, Developing and Retaining a Skilled and Engaged Workforce:

The AOC requires a skilled, specialized and engaged workforce to achieve its mission and deliver services to stakeholders. The AOC's Human Capital Strategy includes efforts to attract, develop 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 unique and challenging working conditions.

The AOC's Office of Inspector General (OIG) identified additional management opportunities and performance challenges facing the organization: auditability and records retention, whistleblower protections, working capital fund, and waste and accountability.

The AOC Performance and Accountability Highlights provides a summary of the AOC's FY 2021 Performance and Accountability Report, following the Citizen-Centric Reporting model established by the Association of Government Accountants (AGA). The full report is available online at: www.aoc.gov/par.

For more information about the AOC, visit our website at: www.aoc.gov.

This report is issued with data as of June 16, 2022.



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Message From the Architect of the Capitol



The Honorable J. Brett Blanton
Architect of the Capitol

I am pleased to present the Architect of the Capitol's (AOC) Fiscal Year (FY) 2021 Performance and Accountability Report (PAR). The AOC traces its origins to 1793 and serves as caretaker for the Capitol campus, which now includes 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, including the U.S. Capitol Building. The stewardship of these assets is at the core of the AOC's mission to serve Congress and the Supreme Court, preserve America's Capitol and inspire memorable experiences.

This report reflects the AOC's commitment to providing transparency and accountability for the public funds with which we are entrusted. The PAR also includes the results of this year's independent financial statement audit, assesses our agency's operational progress toward achieving our strategic goals and identifies our future opportunities and challenges.

This fiscal year was truly unprecedented. We continued our COVID-19 pandemic response and recovery, endured the breach of the U.S. Capitol on January 6, 2021, and supported two lying in honor ceremonies. This was also an election year in which we successfully facilitated the 59th Presidential Inauguration and the office moves for the 117th Congress.

The events of January 6 were difficult to witness and extremely hard for all of us on the Capitol campus to experience. On that day, our employees were preparing the grounds and the presidential inauguration platform. As crowds began to appear on the U.S. Capitol Grounds, we moved our staff indoors. Over the course of the day, the U.S. Capitol and the inauguration platform sustained

substantial damage. The crowds wrecked the platform, smashed windows, damaged and stole sound systems and photography equipment, and tracked wet paint through the historic hallways of the U.S. Capitol. During those harrowing hours, AOC personnel sheltered congressional staff in their workshops, raced to the roof to reverse building airflows to help clear the air of chemical irritants, and provided water and eye-wash stations to U.S. Capitol Police officers in need of assistance. Once security officials had cleared the building, AOC employees worked tirelessly to clean up and begin repair work. Carpenters covered windows and doors with plywood to secure the building, laborers removed glass and broken furniture to enable Congress to continue its work, and painters carefully repainted the inauguration platform. We ensured that the Electoral College certification process could continue and that the Capitol campus was prepared for the 59th Presidential Inauguration, signaling our nation's determination to support a peaceful transition of power. Over the remaining months of the fiscal year, the AOC received thousands of letters and emails from grateful citizens thanking the AOC and its employees for their service during these challenging times. These letters serve to remind us of the importance of the work we do at the AOC.

The AOC Strategic Plan

In our Strategic Plan, the agency's mission is broken out into four strategic goals. The first two strategic goals — (1) Maintain Awe-Inspiring Facilities and (2) Provide Extraordinary Services — keep us focused on our core mission. The next two goals — (3) Foster an Innovative and Empowered Workforce and (4) Operate as One Team, Dedicated to One Mission — support our new core values: Respect, Integrity, Safety and Empower. Together, the four goals chart a path that leverages our core competencies and affirms our vision as an exceptional team serving Congress and the Supreme Court. Our FY 2021 accomplishments, by strategic goal, include:

Maintain Awe-Inspiring Facilities

In FY 2021, the AOC made progress on a number of construction and renovation projects, despite the pandemic. The AOC completed Phase 2 and began work on Phase 3 of the Cannon Renewal, thanks to strict safety and social distancing protocols that allowed more than 450 project staff to work on-site. We also continued 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, Russell Senate Office Building, Senate Underground Garage and Senate Park. Other major projects included replacing incandescent and fluorescent lighting with LEDs throughout the House and Senate office buildings and installing variable speed drives at the Capitol Power Plant, both of which enhance energy efficiency. Additionally, the agency made progress on the restoration of the historic U.S. Capitol Grounds landscape.

Provide Extraordinary Services

The AOC had the honor of supporting the 59th Presidential Inauguration. For this special event, the AOC erects the inaugural platform on the U.S. Capitol's West Front, sets up the necessary seating and coordinates activities with the Joint Congressional Committee on Inaugural Ceremonies. Election years also require the AOC to execute House and Senate office moves and space reassignments. While the pandemic forced the agency to consider new ways of supporting our customers — including staffing, safety protocols, scheduling and technology — the AOC maintained vigilant cleanliness and safety protocols in all congressional offices and committee rooms. Together, we ensured the vital safety and protection of the Capitol campus, the congressional community and our staff. Despite the continued closure of the U.S. Capitol Visitor Center (CVC) and U.S. Botanic Garden Conservatory due to the pandemic, the AOC strived to engage with the public by expanding online programs with virtual lectures, student programs, video tours and new web-based content. This fiscal year, the AOC also opened an online CVC gift shop, offering made-in-the-USA products, books and other collectibles.

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

Following a six-month review, the AOC launched an organizational transformation in October 2020, designed to create greater alignment and cohesion within the agency. As part of the organizational transformation, we also introduced seven Architect's Strategic Initiatives (ASI) to address the most critical needs of the agency and the Capitol community. Under the Reorganization initiative, the Office of the Architect oversees a new C-suite — a group of executives with agencywide responsibility that is organized by function rather than by Capitol campus location, which better serves the AOC's stakeholders. These initiatives also include the development of an Enterprise Asset Management (EAM) system to improve facilities maintenance and the introduction of Vision 2100, a strategic outlook for the Capitol campus over the next 80 years. When complete, Vision 2100 will create a governance structure connecting a series of linked five-year plans to inform the next 20-year Capitol Complex Master Plan. Other initiatives include the establishment of a Building Official program to ensure code compliance, a Human Capital Strategy, an AOC University to facilitate employee development and training, and a Cultural Behaviors Transformation.

Looking to the Future

The AOC's most significant future challenges include our deferred maintenance backlog, cybersecurity and physical security. Our deferred maintenance backlog is estimated at \$2.05 billion

at FY 2021 year-end. We continue to use facility condition assessments to identify and prioritize facilities maintenance projects. Once established, the EAM program will further assist in this prioritization. Cybersecurity is an increasing concern for the agency, as a proliferation of debilitating cyberattacks continue to affect government and private entities. Our cybersecurity teams work diligently to ensure that our systems are updated with the most recent protective measures. Lastly, the events of January 6 highlighted the importance of physical security on the Capitol campus. In the aftermath of that day, we initiated a comprehensive facility security assessment that will serve as a prerequisite to any new security enhancements and will strengthen the security posture of the Capitol campus.

Despite the year's many challenges, I am proud to report that the AOC continued to achieve excellence in our financial management. Unfortunately, the transition of independent financial statement auditors delayed the start of our FY 2021 audit and, as a result, the audit was not completed until June 15, 2022. Nonetheless, the AOC received a "clean" opinion on our consolidated financial statements for the 17th consecutive year. The auditors identified one material weakness and no significant deficiencies. We pledge to develop a corrective action plan to address this matter timely.

Conclusion

The AOC takes pride in the stewardship of our public funds. This report provides a comprehensive overview of the AOC's work over the past fiscal year and the challenges we face going forward. As shown in the Statement of Assurance found in the report's **Management's Discussion and Analysis** (Page 40), I provide my assurance that, with the exception of the material weakness identified, the financial and performance data presented in this report is complete, reliable and accurate. We thank Congress for its trust, support and investment in our agency and mission. In the face of such a challenging year, our staff has continued to work tirelessly to care for the Capitol campus and provide exemplary support for Congress and the Supreme Court. We will continue to meet challenges as they arise and ensure that the U.S. Capitol remains a beacon of hope for the American people.



J. Brett Blanton
Architect of the Capitol
June 15, 2022

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’s (AOC) annual Performance and Accountability Report (PAR) provides financial management and program performance information to Congress and the American people. The Fiscal Year (FY) 2021 report describes 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.

The AOC is a legislative branch agency. Most federal financial management and reporting statutes apply exclusively to the executive branch. However, as a best practice, the AOC references the federal legislation and related guidance for its financial management practices. These include:

- *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 this report, Capitol Highlights spotlight major construction projects, important events and agency accomplishments. Infographics, charts, tables and photographs provide further insight. The report also includes links to online videos, websites and social media platforms for additional information. References to other report sections appear in bold font to improve readability. However, this bold text does not include hyperlinks to the section discussed.

Example:

For an in-depth discussion of the indicator results and strategy outcomes, see **Section 02: Performance Information**.

The report is available for download or online viewing in standard PDF and interactive versions on the AOC’s website at: www.aoc.gov/par. In addition, the AOC publishes the report for additional platforms to increase its reach and appeal. While the content of each report is identical, the digital versions offer unique interactive features for online and mobile users. The additional versions include:

- **PDF** — A Section 508-compliant PDF version that can be fully read by assistive devices to make the report accessible to individuals with disabilities
- **Interactive Report** — A reader-friendly navigable digital version for online readers
- **Tablet Report** — An innovative e-reader version for Apple and Android tablets

As a complement to the full report, a six-page citizen-centric highlights version (also Section 508-compliant) and a brief video highlights reel are available on the AOC’s website.

ABOUT THE COVER

Every four years, the AOC plays a crucial role in planning, managing and executing the construction and logistics for the presidential inaugural ceremony at the U.S. Capitol. For the official event, the AOC constructs the inaugural platform and coordinates other activities with the Joint Congressional Committee on Inaugural Ceremonies (JCCIC). For the 59th Presidential Inauguration, this included significant modifications to the seating to meet social distancing guidelines and repairs to damage caused to the platform on January 6. The JCCIC Chairman, Senator Roy Blunt, observed, “In a normal year, organizing an inauguration is a major undertaking, but when you add a pandemic and then you add the events of January 6, it was uniquely challenging.” Thanks to the hard work of the AOC employees, the event was safely held as Joseph Biden was sworn in as President on the U.S. Capitol Building’s West Front.



How This Report Is Organized

The FY 2021 PAR provides information on the AOC's financial and performance operations, accomplishments and challenges. The report covers the fiscal year beginning October 1, 2020, and ending September 30, 2021. The report begins with highlights of the agency's financial and performance results and a message from the Architect of the Capitol, which are followed by the four main sections of the report and its appendices.

Section 01: Management's Discussion and Analysis

The Management's Discussion and Analysis (MD&A) section presents an overview of the AOC's FY 2021 financial and performance achievements. The section includes information on the AOC's history, mission, organizational structure, financial management systems and the financial impact of the COVID-19 pandemic on the agency. The Architect's Statement of Assurance on internal controls and the agency's forward-looking information conclude the MD&A section.

Section 02: Performance Information

The Performance Information section includes the AOC's annual performance results. The section identifies the Strategic Plan framework, describes how the AOC verifies and measures performance data, and summarizes its goals, objectives and key performance indicators.

Section 03: Financial Information

The Financial Information section includes the message from the Chief Financial Officer, the agency's financial statements, the independent auditor's reports and required supplementary information.

Section 04: Other Information

The Other Information section presents the Inspector General's Statement of Management Opportunities and Performance Challenges, a summary of the AOC's financial statement audit, 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 about the agency, including a listing of the major facilities under the AOC's care, a summary of the accomplishments and priorities for the operational or frontline AOC jurisdictions, major exhibitions and visitor programs, and a glossary of key terms.

CERTIFICATE OF EXCELLENCE IN ACCOUNTABILITY REPORTING

In May 2021, the AOC received the AGA's prestigious Certificate of Excellence in Accountability Reporting (CEAR) for the FY 2020 PAR. This was the 10th consecutive year the AOC has received the award.

The AGA, in conjunction with the Chief Financial Officers Council and the 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 2020 Performance and Accountability Highlights. The AGA's Citizen-Centric Reporting initiative is designed to encourage governments at all levels to improve the way they present financial and performance information to taxpayers.





The AOC is the builder and steward of the landmark buildings and grounds on the Capitol campus. This responsibility includes caring for more than 570 acres of grounds, thousands of treasured works of art and more than 18.4 million square feet of buildings, including the U.S. Capitol.

MANAGEMENT'S DISCUSSION AND ANALYSIS

Overview

The Management's Discussion and Analysis (MD&A) section provides an overview of the PAR and includes the most important matters regarding the AOC's program and financial performance. This section contains:

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

Mission and Vision of the AOC — description of the mission, vision and core values

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

Performance Highlights — summary of the strategic planning framework and performance results

Financial Highlights — analysis of the AOC's financial results, position and condition

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 the AOC's financial management in support of the agency'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 received

Analysis of Systems, Control and Legal Compliance — management's assessment and assurance on internal controls under the *Federal Managers' Financial Integrity Act of 1982*, summary of climate-related financial risk and the AOC's compliance with applicable financial laws and regulations

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

Forward-Looking Information — highlights of the most significant challenges identified by management and the AOC's actions and plans to mitigate 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. Today he is credited as the first "Architect of the Capitol." 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 and Grounds, who was responsible for the care of the U.S. Capitol Building — which at the time housed Congress, the Library of Congress (Library), the Supreme Court of the United States, the district courts and other offices — and the U.S. Capitol 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 Grounds with those of 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.¹

1901-2000



The AOC's responsibilities and the size of the Capitol campus 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 the U.S. Botanic Garden. The AOC oversaw new construction on Capitol Hill to support the growing needs of Congress, the Supreme Court of the United States² and the Library of Congress. During this period, 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

- 1 **Appendix A** provides information on the 12 individuals who have served as Architect of the Capitol, beginning with Dr. Thornton.
- 2 The AOC shares facility management responsibilities with the Marshal of the Supreme Court.

building and main boiler plant, and various other support facilities. In 2000, a symbolic groundbreaking was held to start the CVC construction.

2001-Present

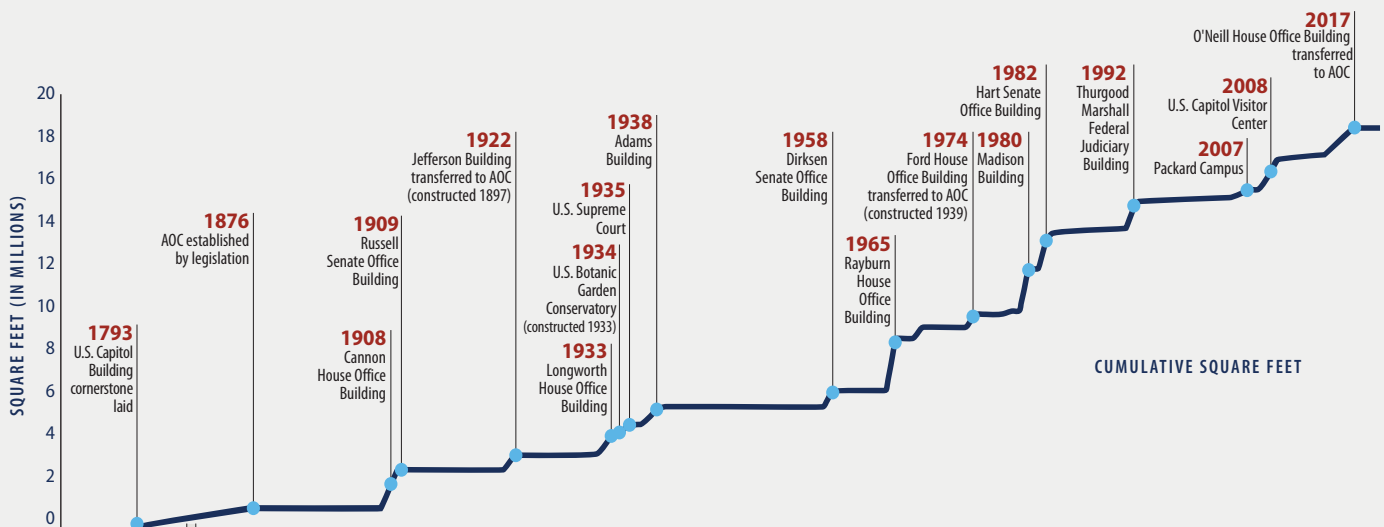


The 21st century began with the construction of the CVC (completed and opened to the public in 2008), the largest expansion to the U.S. Capitol Building in its history, to enhance the security, comfort and educational experience of visitors to the U.S. Capitol. In 2011, the AOC took responsibility for 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 2016, the AOC completed the U.S. Capitol Dome restoration and, 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 Plant at the Capitol Power Plant. Today, the AOC is in the middle of an approximately 10-year project to renew the Cannon Building. 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.³

Figure 1 (Page i) provides a map of the major facilities on the Capitol campus. **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.

- 3 For example, 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.

FIGURE 5
Growth in Major Facilities Under the AOC's Care



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



CAPITOL HIGHLIGHTS

JANUARY 6, 2021, AT THE U.S. CAPITOL

The breach of the U.S. Capitol Building on January 6, 2021, was a tragic event for the American people and for the AOC. That morning, AOC employees were working on the presidential inauguration platform when crowds overwhelmed the U.S. Capitol Grounds and broke through the doors and windows of the U.S. Capitol, tarnishing the building's historic corridors with wet paint and debris and damaging the inauguration platform and equipment.

As the day unfolded, AOC leadership rapidly accounted for its on-site employees and contractors, helped them shelter in place and protected them. Off-site staff coordinated food service logistics for those in lockdown and on-site staff provided legislators and congressional staffers with food and water while they were safely harbored. The agency worked with the U.S. Capitol Police (USCP), the Department of Defense and others to secure the building and minimize further damage. After the U.S. Capitol was cleared, the AOC worked to clean the House Chamber and set up an alternate Senate Chamber to maintain continuity of operations that allowed for the certification of the presidential election later that night.

In the immediate aftermath of the breach, the AOC worked to repair the damage done to the U.S. Capitol. The inauguration platform was repainted and repaired in time for the inauguration of President Joseph Biden on January 20. Fifty-six broken windows in the U.S.

Capitol were replaced and their surrounding areas repaired, which included abating hazardous elements and repainting doors, window frames and damaged walls. The AOC Curator conducted an immediate condition assessment of all artworks under the AOC's care and analyzed chemical residues on various artworks throughout the building with support from the Smithsonian Institution. The AOC hired conservators to remove large accretions of pepper spray from the murals that decorate the U.S. Capitol's Brumidi Corridors. Over the following weeks and months, the AOC ensured that all available security resources were used to support the emergency costs, including temporary fencing and support for the National Guard. By early July 2021, the last remaining security fence that had been erected after the breach was removed, reopening the U.S. Capitol Grounds to the public. Under the *Emergency Security Supplemental Appropriations Act, 2021* the agency received \$300 million to enhance safeguards for the Capitol campus, including funds for window and door upgrades and the installation of new security cameras.

"I have continually been impressed and inspired by the great work of this agency," said Architect of the Capitol J. Brett Blanton. "I am honored to lead a team whose extraordinary efforts on January 6, and the days that followed, helped Americans of all walks of life take solace in seeing order restored to the U.S. Capitol."



An inspection of a wall mural in the Brumidi Corridors by the AOC Curator after the January 6 breach of the U.S. Capitol. In FY 2021, the AOC redirected resources from ongoing projects to address the damage caused during the events of January 6.

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. This responsibility includes caring for more than 18.4 million square feet of buildings, more than 570 acres of grounds and thousands of treasured works of art. The AOC's offices are primarily based in Washington, D.C., with off-site support facilities in Maryland and Virginia.

The AOC's dedicated workforce includes more than 2,200 permanent employees, in addition to temporary and seasonal staff. The AOC team works tirelessly behind the scenes day and night to provide Congress and the Supreme Court with the facilities and infrastructure to conduct their business. The AOC staff includes architects, carpenters, custodians, electricians, engineers, gardeners, laborers, masons, mechanics, painters, plasterers, woodcrafters, planners, plumbers, sheet metal workers, upholsterers and other craftspeople. The 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 **Infographic: Architect of the Capitol Responsibilities** displays the major mission responsibilities of the agency.

A brief video on the AOC's workforce and their pride in working for the agency, "We Are AOC," may be viewed **here on YouTube**. For the distribution of the AOC's permanent employees by location, see **Figure 6**.

Mission

To serve Congress and the Supreme Court, preserve America's Capitol and inspire memorable experiences. The tag line "Serve, Preserve, Inspire" succinctly defines the agency's mission and appears on the cover of this Performance and Accountability Report.

Vision

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

Core Values

The AOC's shared workplace values influence the choices we make and actions we take to meet the agency's mission. These values allow the AOC's employees to RISE together.

RESPECT | We treat one another with civility and kindness, so that we honor the value and dignity of all people.

INTEGRITY | We demonstrate honesty, ethics and reliability, so that we earn trust and do what is right.

SAFETY | We are governed by the foundation of safety always, so that we can feel safe, make safe and be safe.

EMPOWER | We are one team seeking better ways to do our work, so that we all contribute to the success of the AOC.



INFOGRAPHIC

Architect of the Capitol Responsibilities

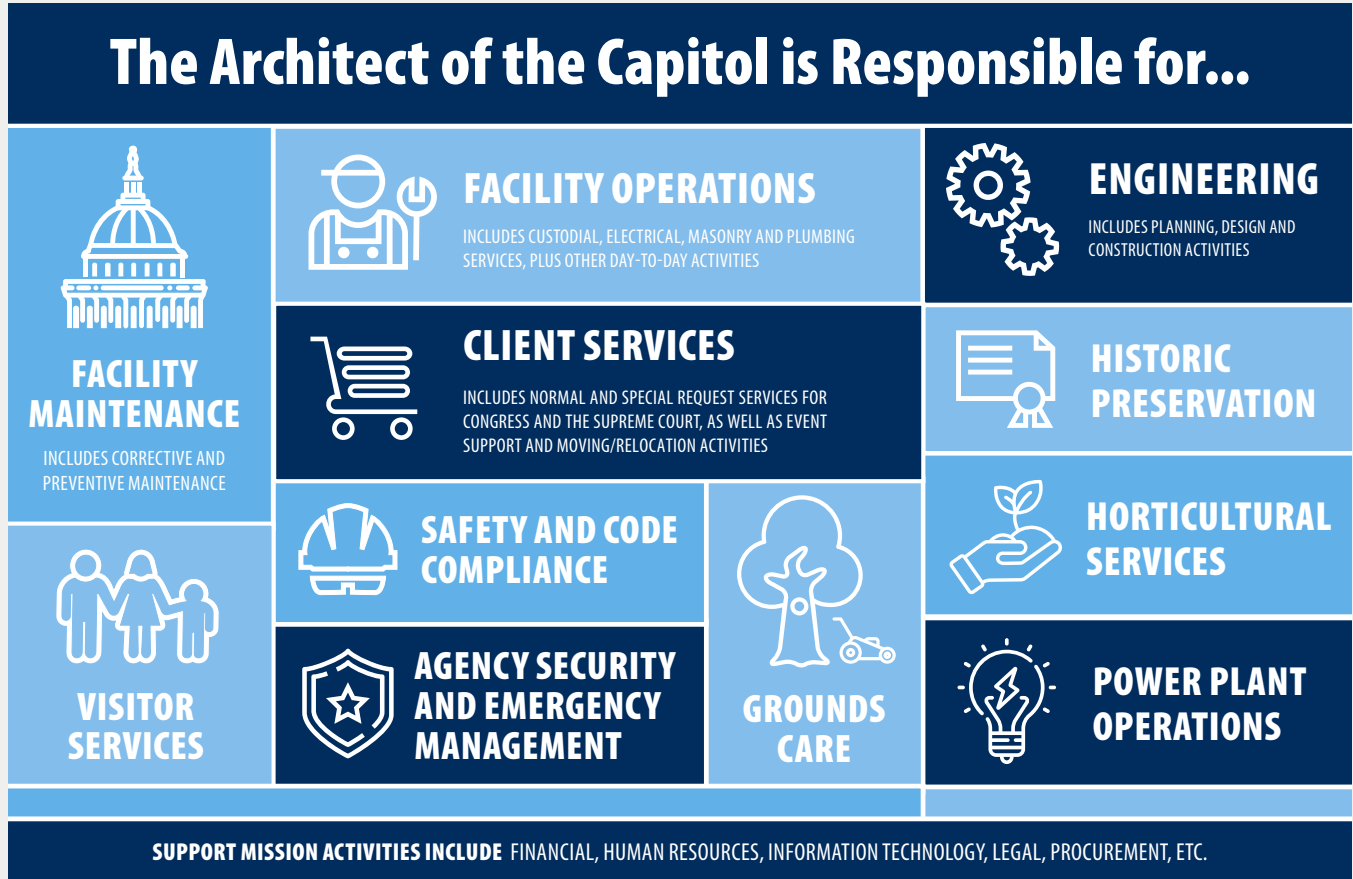
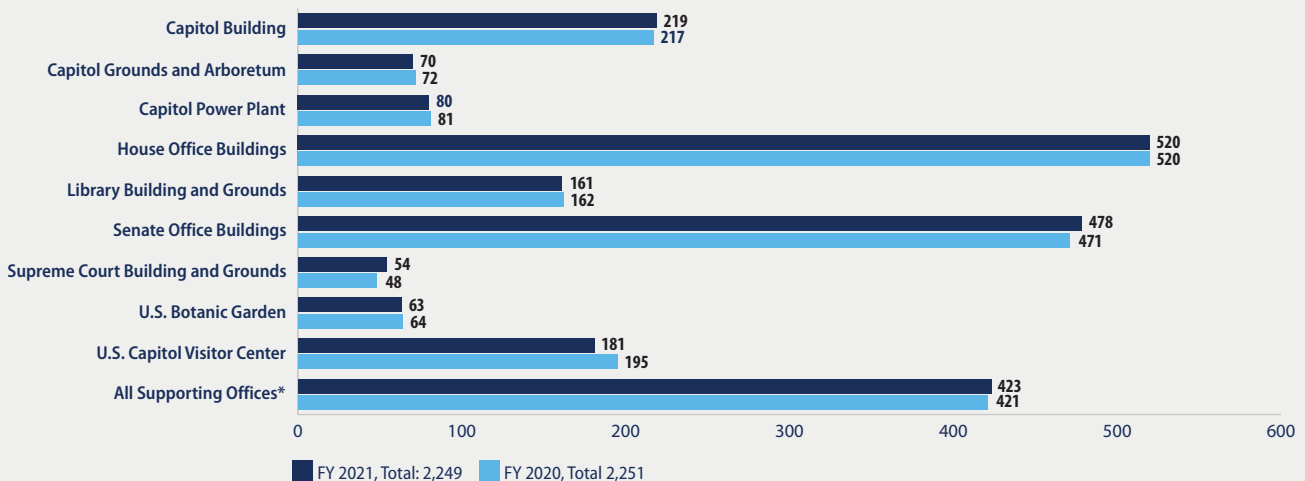


FIGURE 6

Permanent Employees by AOC Location



*All positions listed under the Office of the Chief Security Officer (formerly shown as Capitol Police Buildings, Grounds and Security) are included under the "All Supporting Offices" category. This figure represents the organizations supporting the AOC operating jurisdictions and also includes C-suite offices such as the Office of the Chief Engineer, the Office of the Chief Administrative Officer and others.

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 for the leader of the agency. The AOC's offices are primarily based in Washington, D.C., with off-site support facilities in Maryland and Virginia. In October 2020, the AOC reorganized to enhance its efficiency, decision-making and service delivery. The AOC is organized around the Office of the Architect, a C-suite of executives and other offices that provide directed assistance to the operational elements, or jurisdictions, that serve as the frontline providers of services to Congress and the Supreme Court. This updated organizational structure maximizes efficiencies and effectiveness and enables the agency to excel at meeting the mission to serve, preserve and inspire. **Figure 7** presents the AOC's organization chart as of September 30, 2021. The AOC's organizational directory is online at: www.aoc.gov/about-us/organizational-directory.

The Office of the Architect

The Office of the Architect provides a global perspective and vision for the agency and helps the AOC navigate the legal, political and regulatory landscapes for the C-suite. This office includes the Architect of the Capitol, the Deputy Architect of the Capitol, the Chief of Staff, the Legislative and Public Affairs Director, the General

DID YOU KNOW?

In FY 2021, the AOC underwent an internal reorganization to reinvigorate the agency and better serve Congress, the Supreme Court and visitors to the Capitol. Under the reorganization, the Office of the Architect oversees five new C-suite executives that have responsibility for agencywide policies within their areas of expertise.

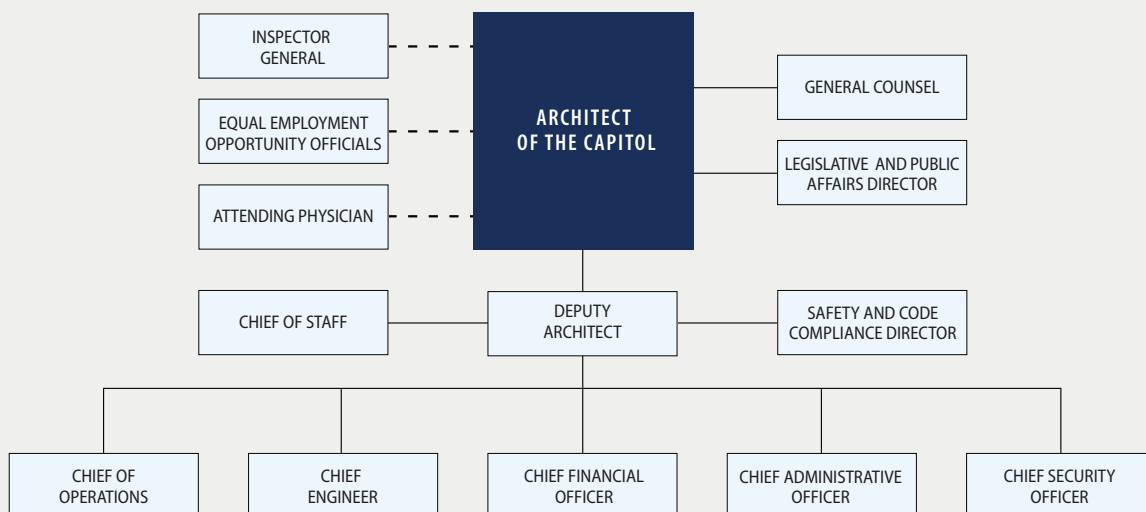
Counsel and the Safety and Code Compliance Director. The Equal Employment officials, the Inspector General and the Attending Physician also report directly to the Architect of the Capitol. The Office of the Architect is funded by the Capital Construction and Operations appropriation.

ARCHITECT OF THE CAPITOL

The AOC is led by the Architect of the Capitol.⁴ Appointed by the president and subject to Senate confirmation, the Architect of the Capitol serves a 10-year term. In addition to leading the agency, the Architect of the Capitol also serves as the acting director of the U.S. Botanic Garden, as a member of the Capitol Police Board and the Congressional Accessibility Services Board, and as an ex-officio

⁴ Throughout this report, the acronym "AOC" refers to the agency and not to the individual appointed to lead the agency.

FIGURE 7
The AOC Organization Chart



Note: The dashed lines on the chart identify three offices with split reporting relationships. While the Inspector General reports to and is under the general supervision of the Architect of the Capitol, the Office of Inspector General is an independent office and reports to Congress. The Equal Employment Opportunity officials are managed by the Deputy Architect of the Capitol and the Chief Administrative Officer, but they have a direct reporting relationship to the Architect of the Capitol. Although the AOC supports the Office of Attending Physician, it is an independent legislative branch office.

member for 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 Advisory Committee to the Washington Metropolitan Area Transit Authority and the National Institute for the Conservation of Cultural Property. **Appendix A** provides a list of the individuals who have served as the Architect of the Capitol.

The Deputy Architect of the Capitol assists the Architect of the Capitol in running the agency. The **Chief of Staff** provides executive support to the Architect of the Capitol and the Deputy Architect of the Capitol, as well as serving as the liaison with the Office of Inspector General and the U.S. Government Accountability Office (GAO).

The Office of Legislative and Public Affairs is responsible for strategic communication initiatives, legislative affairs, and media and community relations. The office oversees communications to Members of Congress and their staff, and 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.

The Office of General Counsel (OGC) provides legal guidance on matters involving construction and service contracts, occupational safety and health, labor management and employee relations, environmental issues, legislation, insurance and property management. The OGC serves as the AOC's supervising ethics office.

The Office of Safety and Code Compliance (SCC) is responsible for leading the AOC's 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, oversees code and industry standard compliance, 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.

The Equal Employment Opportunity (EEO) officials support the AOC's commitment to providing a work environment free of discrimination and harassment. The office oversees agency efforts to promote an inclusive, respectful and civil workplace and enables supervisors and employees to proactively deal with conflict resolution. The C-suite's Chief Administrative Officer is designated as the agency's Equal Employment Opportunity officer.

The Office of Inspector General (OIG) promotes the integrity, efficiency and effectiveness of agency operations and programs and was established by the *Architect of the Capitol Inspector General Act of 2007*. The OIG conducts independent audits and investigations, reviews existing and proposed legislation and regulations, and recommends policies to promote economy and efficiency or to detect and prevent fraud and abuse. The OIG issues the Semiannual Report to Congress. The OIG reports may be found at: www.oversight.gov.

The Office of Attending Physician (OAP) provides primary care, emergency, environmental and occupational health services in support of the congressional community, the Supreme Court, visiting dignitaries, pages, staff and tourists. The OAP operates multiple health units across the Capitol campus. The AOC provides administrative support to the OAP.

THE C-SUITE

The C-suite is comprised of five executives with agencywide responsibility and authority who focus on operational performance, ERM and accountability. The suite includes the Chief Administrative Officer, Chief Engineer, Chief Financial Officer, Chief of Operations and Chief Security Officer. Except for the Office of Chief Security Officer (OCSO), the C-suite is funded by the Capital Construction and Operations appropriation. The OCSO is funded through the Capitol Police Buildings, Grounds and Security appropriation.

The Office of the Chief Administrative Officer (OCAO) provides administrative and business support and includes the Curator Division; Diversity, Inclusion and Dispute Resolution (DI/DR) office; Human Capital Management Division (HCMD); Information Technology Division (ITD); Office Services Division; Policy and Special Programs Division; and Supplies, Services and Logistics Division. The Curator Division is responsible for the care and conservation of the architectural, fine and decorative arts under the AOC's stewardship and management of the agency's Photography and Technical Imaging Branch and the Records Management and Archives Branch. For more information: www.aoc.gov/about-us/organizational-structure/office-chief-administrative-officer.

The Office of the Chief Engineer (OCE) provides consolidated services to the AOC including long-range facility planning, architectural and engineering design, historic preservation, and project, program and construction management. The office conducts Capitol campus master planning, building performance audits, retro-commissioning and facility condition assessments (FCA). The office manages an energy and sustainability program, provides project-funded, in-house construction services, supports critical Capitol campus systems, and oversees the Enterprise Asset Management (EAM) and building automation systems. As part of the Reorganization, the Design and Construction Acquisition Division was added to assist with acquisitions and contracts. For more information: www.aoc.gov/about-us/organizational-structure/office-chief-engineer.

The Office of the Chief Financial Officer (OCFO) acquires and distributes resources that sustain the financial needs of the operational jurisdictions and central services of the AOC. The OCFO does this by executing the core supporting functions of budgeting, accounting, financial systems operations, ERM, program analysis and evaluation, and enterprise data management. The office provides real-time financial analysis and information that promotes economy, builds evidence-based requirements and maximizes performance. For more information: www.aoc.gov/about-us/organizational-structure/office-chief-financial-officer.

The Office of the Chief Security Officer (OCSO), which is funded by the AOC's Capitol Police Buildings, Grounds and Security appropriation, is responsible for the maintenance, care and operation of the buildings, grounds and physical security enhancements of the USCP and related campuswide infrastructure. The OCSO also manages the AOC's internal security programs — including personnel suitability and badging, continuity of operations, resiliency programs and the emergency management program — and coordinates interagency emergency preparedness for the AOC. For more information: www.aoc.gov/about-us/organizational-structure/office-chief-security-officer.

The Office of the Chief of Operations (OCO) oversees the operational jurisdictions that provide the front-line efforts to meet the AOC’s mission. **Figure 9** displays the operational jurisdictions reportable to the Chief of Operations. Each jurisdiction is funded by a separate appropriation.

Appendix B lists the major facilities under the Chief of Operations’ stewardship and **Appendix C** highlights each operational jurisdiction’s FY 2021 accomplishments and FY 2022 priorities. The operational jurisdictions are discussed in more detail below.

CAPITOL BUILDING

The Capitol Building jurisdiction is responsible for the care and stewardship of the U.S. Capitol Building, the centerpiece of the Capitol campus. The jurisdiction’s services include carpentry, construction, custodial, electrical, elevator, heating and air conditioning, insulation, labor, masonry, painting, plumbing and sheet metal. It supports special events held on the Capitol campus (see **Figure 8**) and manages the CVC’s facility maintenance. The jurisdiction supports programs related to occupational safety and health, sustainability, recycling and energy management, and fire detection and protection management. The jurisdiction also manages the Capitol Flag Program, allowing citizens to request a flag that has been flown over the U.S. Capitol via their congressional offices. For more information: www.aoc.gov/about-us/organizational-structure/office-chief-operations/capitol-building-jurisdiction.

CAPITOL GROUNDS AND ARBORETUM

The Capitol Grounds and Arboretum jurisdiction maintains and preserves 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. The grounds are a Level II-accredited arboretum consisting of over 4,600 trees and including approximately eight miles of roadways, 17 acres of parking lots and 16 miles of sidewalks. The jurisdiction provides professional grounds management services, such as horticultural activities, vehicle and equipment maintenance, sustainable irrigation practices, and masonry restoration, and preserves its historically and architecturally significant landscape elements and memorials. The jurisdiction also provides snow removal and trash collection across the Capitol campus. In addition, the jurisdiction supports major events including presidential inaugurations, lying in state ceremonies, National Law Enforcement Officers Memorial services, and the Capitol Christmas Tree selection and display. For more information: www.aoc.gov/about-us/organizational-structure/office-chief-operations/capitol-grounds-arboretum-jurisdiction.

CAPITOL POWER PLANT

The Capitol Power Plant jurisdiction manages year-round power plant operations, providing and distributing steam and chilled water to heat and cool the U.S. Capitol Building and 22 other facilities on and around the Capitol campus. The jurisdiction also maintains the Cogeneration Plant, an administration building and the utility tunnel distribution and metering system. The power plant operates on a reimbursable basis to noncongressional facilities and procures

FIGURE 8

Timeline of Special Events at the U.S. Capitol Building, Fiscal Year 2021

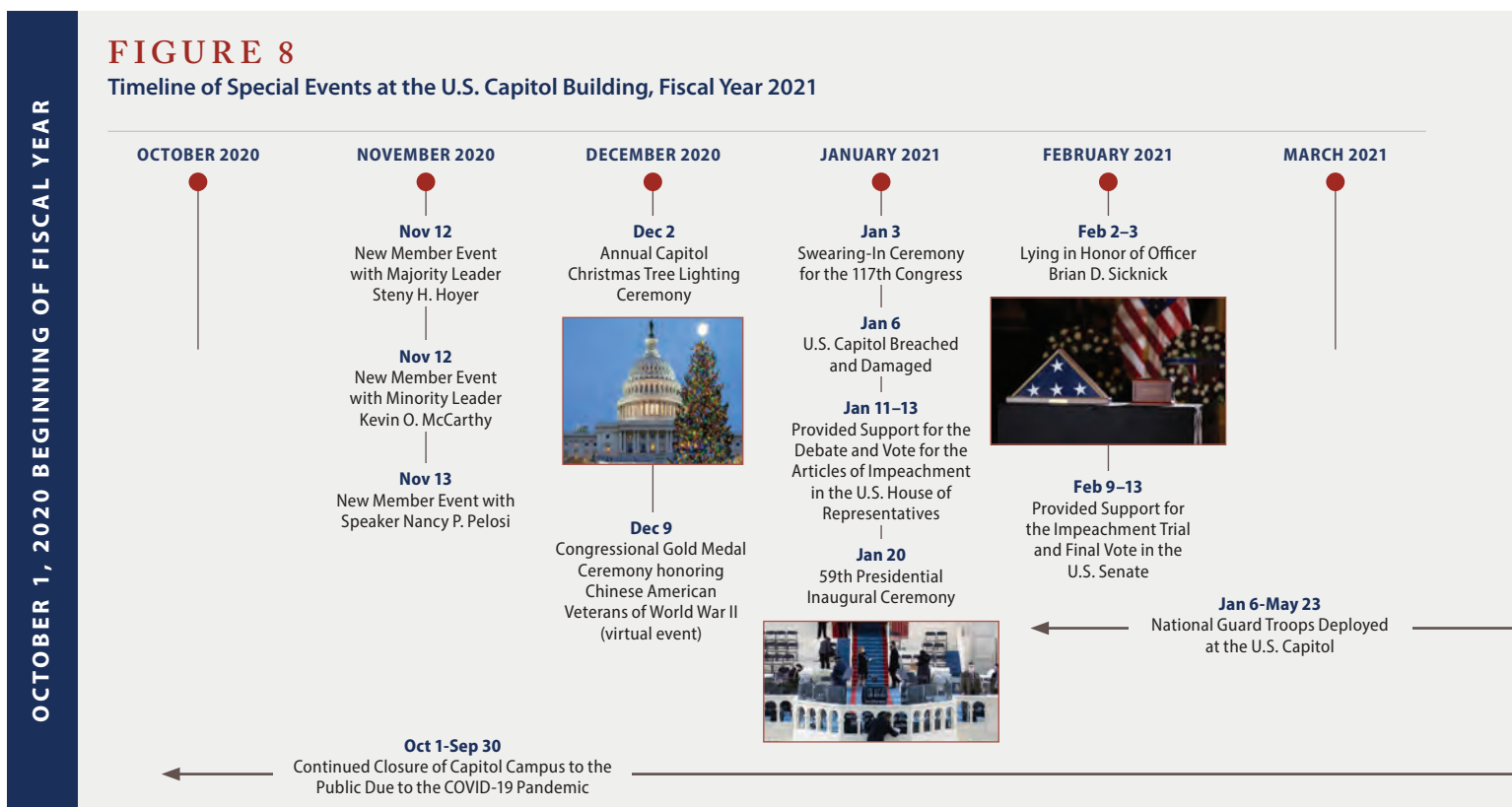
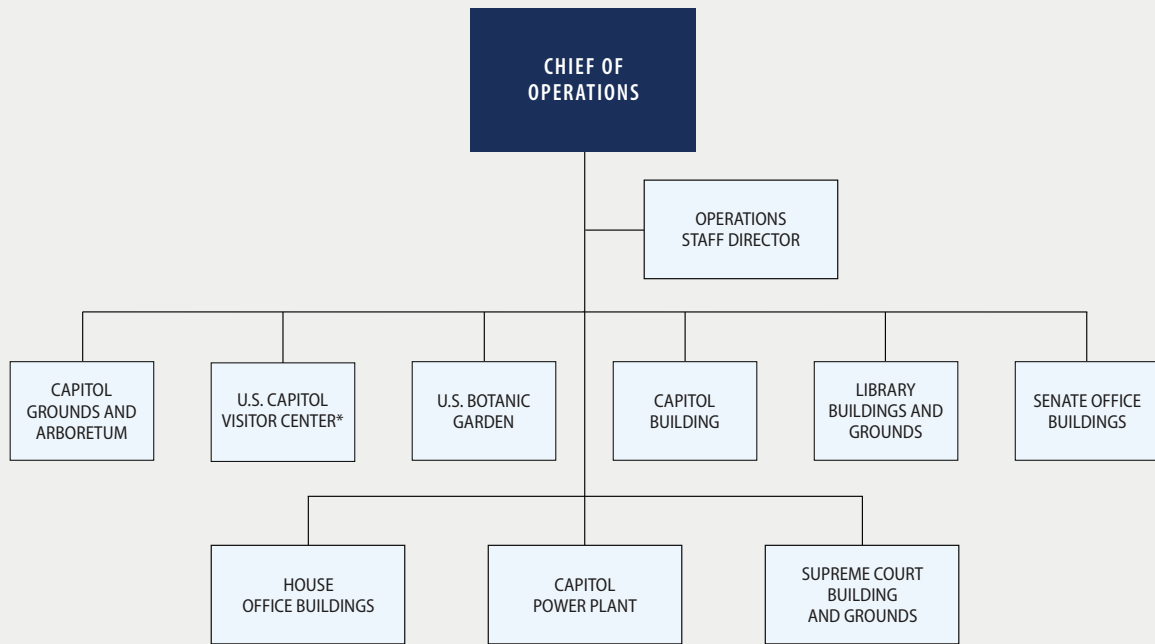
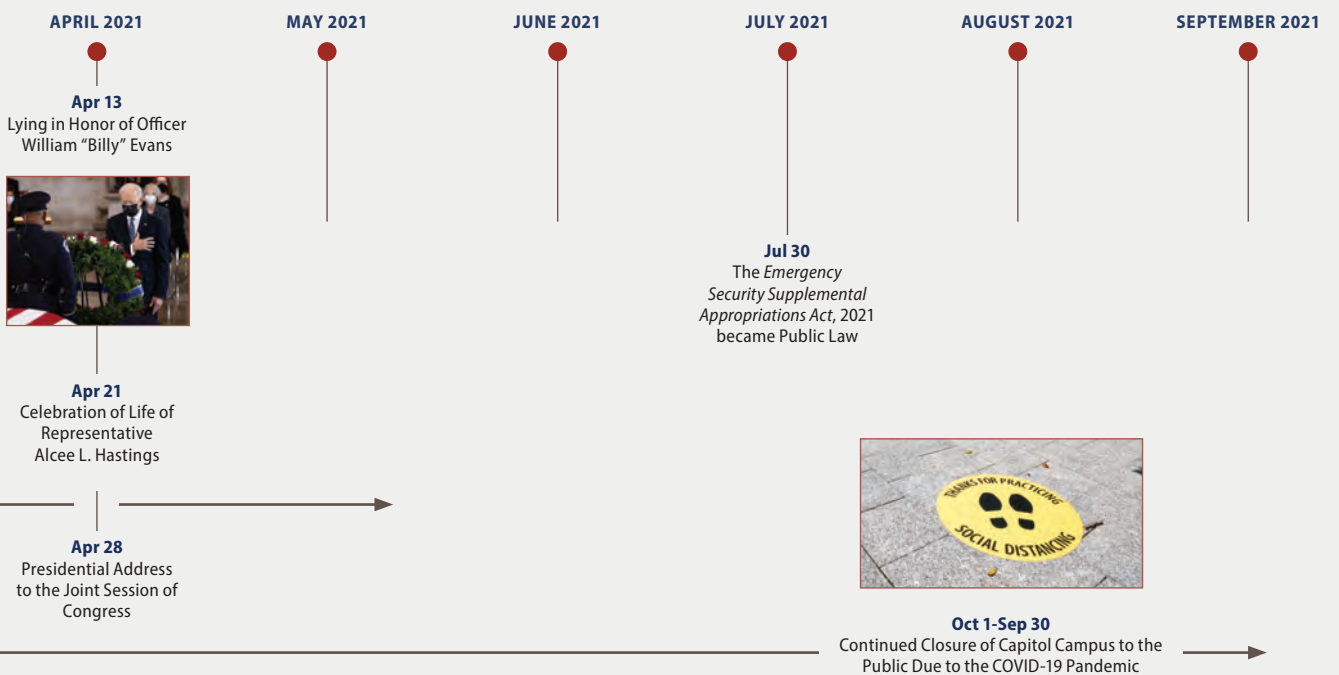


FIGURE 9
The Office of the Chief of Operations Organization Chart



* Requires legislative change



electricity from commercial suppliers. The jurisdiction is the site of the multiphase Refrigeration Plant Revitalization project. For more information: www.aoc.gov/about-us/organizational-structure/office-chief-operations/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. The jurisdiction provides oversight for the facilities' daily domestic care, repairs and maintenance, and 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 U.S. House Members are also duties of this jurisdiction. For more information: www.aoc.gov/about-us/organizational-structure/office-chief-operations/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-structure/office-chief-operations/library-buildings-grounds-jurisdiction.

SENATE OFFICE BUILDINGS

The Senate Office Buildings 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, an employee childcare center, a congressional page school and dormitory, restaurants 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-structure/office-chief-operations/senate-office-buildings-jurisdiction.

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. The AOC is responsible for the structural and mechanical care and maintenance of the Supreme Court of the United States and its grounds. The AOC performs these responsibilities under the direction of the Marshal of the Supreme Court. Appropriations for this purpose are provided to the AOC in

the federal judiciary branch's annual appropriation bill. The AOC provides care and maintenance, minor construction and capital project support in the Marshall Building to the Administrative Office of the U.S. Courts on a reimbursable basis. For more information: www.aoc.gov/about-us/organizational-structure/office-chief-operations/supreme-court-buildings-grounds-jurisdiction.

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, the First Ladies Water Garden, the Rose Garden and the Bartholdi Fountain and Gardens. The jurisdiction is also responsible for the USBG 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 plant collection and provides educational programs, tours, exhibits and youth training. As a leader in plant conservation, the USBG was a founder of the Sustainable SITES Initiative (SITES®) to encourage sustainable landscaping. The USBG Conservatory was closed to the public from March 2020 through the end of FY 2021 due to the COVID-19 pandemic. 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-structure/office-chief-operations/botanic-garden-jurisdiction or www.usbg.gov.

DID YOU KNOW?

While the USBG Conservatory remained closed to the public during FY 2021, the outdoor gardens were opened to the public in the summer of 2021.

U.S. CAPITOL VISITOR CENTER

The U.S. Capitol Visitor Center (CVC) jurisdiction manages the CVC. The facility serves as the main entrance for visitors to the U.S. Capitol Building and offers a welcoming and educational atmosphere for visitors to learn about the House, Senate and 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, two on-site gift shops and a new online gift shop that launched in FY 2021. More than 25 million people from around the world have visited the CVC since its opening in 2008. The CVC has been closed to the public from March 2020 through the end of FY 2021 due to the COVID-19 pandemic. Following legislative approval, the Reorganization will move the jurisdiction from a direct reporting relationship to the Architect of the Capitol to a new relationship with the OCO. For more information: www.aoc.gov/about-us/organizational-directory/capitol-visitor-center-jurisdiction or www.visitthecapitol.gov.



Performance Highlights

Strategic Planning Framework

The AOC Strategic Plan 2017–2021 provided the agency’s strategic priorities and set the direction for resource allocation and performance management. The Strategic Plan aligned with the guidance contained in OMB Circular A-11, Part 6 and is available at: www.aoc.gov/what-we-do/publications.

STRATEGIC GOALS AND OBJECTIVES

The Strategic Plan framework has been structured around the agency’s mission, vision and core values. It contains four strategic goals, eight objectives and several key performance indicators (KPI) that aid in their measurement.

- **Strategic Goal 1: Maintain Awe-Inspiring Facilities** addresses 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** addresses the support the AOC provides to the prestigious occupants of our facilities in their critical mission to govern our country. In addition, the goal addresses service to 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** supports the AOC’s efforts to empower the agency staff members to exercise greater responsibility for their

TABLE 4
Strategic Goals and Objectives

	STRATEGIC GOALS	STRATEGIC OBJECTIVES
PROGRAM-ORIENTED GOALS	1. Maintain Awe-Inspiring Facilities	1. Reliably deliver high-quality capital projects 2. Preserve, maintain and operate facilities and cultural and natural resources at the highest quality levels
	2. Provide Extraordinary Services	1. Demonstrate our expertise while exhibiting responsiveness, ownership and courtesy to all internal and external customers
LONG-TERM SUPPORT GOALS	3. Foster an Innovative and Empowered Workforce	1. Strengthen employee performance through improved development and accountability practices
		2. Cultivate high employee engagement in the workplace
		3. Provide for the security and safety of every AOC employee
	4. Operate as One Team, Dedicated to One Mission	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 2. Strategically plan, allocate and manage resources throughout the AOC

performance and proactively apply informed judgments and innovations in identifying results-oriented solutions.

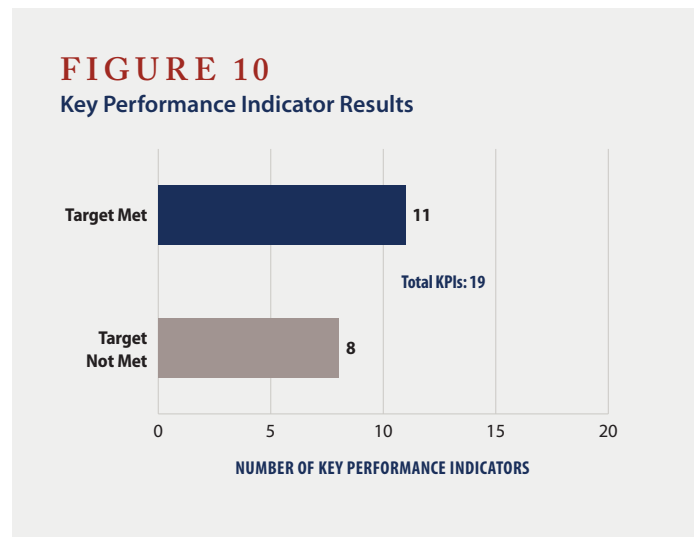
- **Strategic Goal 4: Operate as One Team, Dedicated to One Mission** supports and encourages collaboration among the AOC’s wide-ranging functions, jurisdictions and organizations.

The first two goals, Maintain Awe-Inspiring Facilities and Provide Extraordinary Services, are externally focused, guiding facilities maintenance, operational support, project delivery, 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 supporting strategic objectives.

In FY 2021, the AOC developed an updated enterprise-level Performance Plan that defines the strategic initiatives and boosts the agency’s ability to accomplish its strategic goals and objectives. The plan includes seven Architect’s Strategic Initiatives (ASI) that will guide the AOC in achieving its strategic goals, lay the foundation for the agency’s long-term success and provide a governance framework to support effective management. The plan also identifies and streamlines the KPIs that assess progress toward the performance outcomes in the Strategic Plan. The FY 2021 Performance Plan includes 19 KPIs. Indicators measure performance against an established target, as required under the *GPRAModernization Act of 2010* (GPRAMA). Up to five years of historic data are provided for KPI trend comparison, when available. **Table 5** shows the number of objectives and KPIs associated with each goal.

TABLE 5
Strategic Objectives and Key Performance Indicators by Strategic Goal

STRATEGIC GOAL	STRATEGIC OBJECTIVES	KEY PERFORMANCE INDICATORS
Maintain Awe-Inspiring Facilities	2	11
Provide Extraordinary Services	1	2
Foster an Innovative and Empowered Workforce	3	6
Operate as One Team, Dedicated to One Mission	2	0
Total	8	19



In FY 2021, the AOC met the performance targets for 11 KPIs, and did not meet the target for eight KPIs (see **Figure 10**). As part of ongoing efforts to strengthen and improve its performance management structure, the AOC continued to evaluate changes to its KPIs and, as a result, no KPIs were aligned to the Operate as One Team, Dedicated to One Mission strategic goal this fiscal year. For more detail, see **Section 02: 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 support the accuracy and reliability of performance data, reduce the risk of inaccurate data and provide a sufficient level of confidence that the information is credible. These efforts include internal agency assessments that address standards and 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 conduct regular performance data meetings that provide an opportunity to put information in the hands of many agency managers. This shared knowledge allows the AOC to assess the quality and reliability of its performance information and identify possible data discrepancies.

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. 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 02: Performance Information provides a complete discussion of the AOC’s data validation and verification processes, as well as performance results.

STRATEGIC GOAL 1

Maintain Awe-Inspiring Facilities

TABLE 6

Maintain Awe-Inspiring Facilities Strategic Goal "At a Glance"

STRATEGIC OBJECTIVES	1. Reliably deliver high-quality capital projects 2. Preserve, maintain and operate facilities, cultural and natural resources at the highest quality levels						
	High-Level Key Performance Indicator	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021 Target
Reduce Cumulative Energy Intensity Use. Reduce energy usage across the Capitol campus.	34.1% ✔ Met	35.0% ✔ Met	✘ 34.0% Not Met	47.9% ✔ Met	50.8% ✔ Met	≥42.0%	48.8% ✔ Met
Facility Condition Index (FCI). Reduce the percent of the AOC major buildings in poor or fair condition.	48.1% ⊖ No Target Set	48.1% ⊖ No Target Set	40.7% ⊖ No Target Set	44.4% ⊖ No Target Set	48.1% ✘ Not Met	≤48.1%	55.6% ✘ Not Met

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 responsibilities for facilities maintenance, stewardship and sustainability. As shown in **Table 6**, there are two strategic objectives 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 met its targeted performance for one high-level KPI and did not meet the target for the other. For more detail on the indicator results and strategy outcomes, see **Section 02: Performance Information**.

In addition, the following FY 2021 accomplishments align with this strategic goal:

Capital Project Delivery

Cannon Renewal: The AOC completed Phase 2 and began initial work on Phase 3 of the Cannon House Office Building renewal. The AOC began demolition and abatement of the Phase 3 Member suites, basement and fifth floor, and upgraded all associated HVAC, plumbing, electrical, fire protection, telecommunications and security systems. The events of January 6, 2021, impacted the beginning of Phase 3. However, the AOC worked with the USCP and the House Chief Administrative Officer to integrate a master schedule that maximized efficiencies and mitigated the effects of further delays. See **Infographic: Cannon Renewal Phases** and **Capitol Highlights: Cannon Renewal**.

CVC Exhibition Hall Update: The AOC continued the major redesign and renovation to Exhibition Hall, the CVC's 16,500 square-foot exhibition space, which will update interpretive material, gallery design, programming and communications. The agency completed the installation of the new floor, ceiling, walls and lighting. Exhibition content and design was also finalized for four of the eight galleries, and preparations began for the installation of gallery display and exhibit components. Exhibition Hall is projected to reopen in FY 2022. See **Capitol Highlights: Exhibition Hall Renovation**.

Book Storage Module 6 Continued: The AOC continued construction of its first double-wide book storage module for the Library of Congress. The 35,000 square-foot construction project will provide approximately 25,000 square feet of permanent storage at Module 6, and includes site work and preparation for the forthcoming Module 7 construction and sustainability enhancements. This fiscal year, most of the facility's foundation, structural walls, systems and plant equipment was installed and commissioned. The facility is required to store the Library's growing collection of published and unpublished materials.



A view of the restored Rotunda inside the Cannon House Office Building. The Maintain Awe-Inspiring Facilities strategic goal addresses the AOC's core facilities operations, stewardship, capital project delivery and sustainability programs.

INFOGRAPHIC

Cannon Renewal Phases



Russell Exterior Envelope Project: The AOC completed the second sequence of a multiphase project to preserve the exterior stonework of the historic Russell Senate Office Building, as well as restore its wood-framed windows and glazed doors. The second sequence of the project focused on the south and east sides of the building, with the area directly facing the U.S. Capitol on Constitution Avenue completed shortly before the 59th Presidential Inauguration in January 2021. The current sequence of this project is focused on stone cleaning and window restoration on the west side of the building and the building rotunda.

Senate Underground Garage and Landscape Restoration:

The AOC neared completion of the multiyear project to restore the Senate Underground Garage. The project includes rehabilitating the garage, central fountain, reflecting pool, planters and the surrounding pavement; restoring the area's exterior stonework and plaza walkway; repairing the 20-foot underground garage south wall; and waterproofing and repairing the fountains and upper plaza and the pedestrian tunnel under Delaware Avenue. See **Capitol Highlights: Senate Underground Garage and Landscape Restoration**.

Preservation Projects and Initiatives

Capitol Exterior Preservation – Stone and Metal: The AOC awarded the contract and began work on Phase 3 of this project, which will preserve and restore the facility's deteriorating sandstone and marble façade and architectural metals. This fiscal year, the AOC mobilized construction efforts and began the fencing installation at the west terrace to secure the construction zone. To maximize cost efficiencies, the AOC used the construction compound and security features from the 59th Presidential Inauguration, accelerating the stone preservation project's schedule by almost four months. Phase 3 will focus on cleaning, pointing, repairing and replacing stone on the West Front, repairing the metal railings, installing bird deterrent and reinstalling lightning protection. See **Appendix D** for a summary of the AOC's major stone repair and preservation projects.

Olmsted Landscape Preservation: The AOC embarked on the restoration and preservation of key landscape design features on the

U.S. Capitol Grounds, originally designed by Frederick Law Olmsted between 1874 and 1892. As part of this project, the AOC completed a thorough landscape restoration of the south terrace wall of the U.S. Capitol. The agency also completed significant restoration to the Olmsted lanterns on the U.S. Capitol's west terrace. The project returned the lanterns to their original 19th-century appearance, while upgrading them to meet current standards of safety and energy efficiency. See **Capitol Highlights: Restoration of the Olmsted Lanterns**.



Supreme Court of the United States Terrace Balustrades

Restoration Project: The AOC completed the Supreme Court of the United States Terrace Balustrades Restoration Project, which cleaned, restored and consolidated the stone and preserved the bronze on the exterior terrace balustrades. The project was recognized as a "Star Project" by the OCE for outstanding workmanship, consistently staying ahead of schedule and maintaining a stellar safety record.

Facilities Maintenance

Utility Tunnel Repairs and Waterproofing: All buildings on the Capitol campus receive utility services through a network of underground tunnels that are managed by the AOC. Due to age, several tunnels have begun deteriorating and experiencing groundwater infiltration. The AOC completed a pilot project to waterproof one tunnel using an innovative "curtain grouting" approach. The agency also completed a detailed study of various



CAPITOL HIGHLIGHTS

CANNON RENEWAL

The Cannon House Office Building, the oldest congressional building other than the U.S. Capitol Building, is undergoing a complete renewal. The century-old facility had not received a comprehensive building system upgrade since the 1930s and was suffering from operational and structural issues that jeopardized its long-term functionality and safety. The Cannon Renewal began in FY 2015 with a projected 10-year timeline for completion and five distinct phases aligned to fall between the two-year congressional cycles. The project phases are designed to minimize disturbances to U.S. House Members and their staff.

In FY 2021, the AOC completed Phase 2 of the project on the Independence Avenue side of the building. This phase impacted 29 Member suites, one hearing room, one building entrance and also included the restoration of 34 historic Doric columns. The AOC also began Phase 3 on the First Street side, including demolition and abatement of Member suites and upgrades for the associated HVAC, plumbing, electrical, fire protection, telecommunications and security systems, along with ongoing work to the basement and the new fifth floor. Following the events of January 6, 2021, the AOC worked with the USCP on an integrated master schedule to maximize efficiencies and mitigate the cost and schedule impacts. The AOC is partnering with the U.S. Government Accountability Office to incorporate strategies and lessons learned from similar projects.

When complete, the Cannon Renewal will provide modern amenities, upgraded systems and an effective workplace to support congressional operations, while exemplifying the AOC's commitment to sustainably preserving our nation's treasures.

www.aoc.gov/what-we-do/projects/cannon-renewal

crystalline waterproofing methods and presented the results at an international trade association conference.

Refrigeration Plant Revitalization: The AOC substantially completed Phase 4 construction of the Refrigeration Plant Revitalization at the Capitol Power Plant, which included the repair of two cooling towers, the installation of a new 480 volt electrical switchgear and the initiation of work to replace four secondary chilled water pump variable frequency drives. When complete, the renovation and restoration of the aging equipment will increase energy savings by improving the chilled water production for the Capitol campus and the reliability of the Capitol Power Plant's electrical systems. The AOC also began planning Phase 5, which primarily involves the replacement of deteriorating piping systems.

Facilities Operations (Including Sustainability and Energy)

Thurgood Marshall Federal Judiciary Building Automation System (BASNet) Renovation: The AOC completed the building's BASNet renovation on schedule and under budget. It was identified as a "Star Project" by the OCE for exemplifying the best application of project management relating to overall coordination and collaboration with the general contractor. Completion of this project optimizes facility efficiencies for electricity, steam and chilled water usage. The building's overall energy performance this year improved by 21 percent compared with the previous fiscal year.

Utility Master Plan: The AOC is developing a comprehensive Utility Master Plan for the Capitol campus, which will assess the condition of utility equipment and provide a road map for future energy needs. While development was delayed by COVID-19, critical work was completed in FY 2021, including the detailed screening review of 30 different types of technologies and utility configurations and the selection of six options for full development. See **Capitol Highlights: Utility Master Plan for Sustainable Energy**.

Rayburn House Office Building Energy Efficiency Improvements: To advance energy efficiency initiatives in the Rayburn Building, the AOC converted fluorescent hallway lighting to LEDs and inspected air handling units to identify opportunities for further energy conservation. The new LED lighting is brighter, longer lasting and more energy efficient than the previous fluorescent lighting. The reduced manpower to replace lamps in the future can be reallocated to address other deferred maintenance items. The air handling unit inspections identified nearly 100 pieces of faulty or damaged equipment that are now targeted for repair.

Library of Congress Energy Savings Performance Contract: The AOC has initiated an energy savings performance contract (ESPC) that will achieve an estimated \$89 million in cost savings through energy, water and infrastructure improvements across the Library of Congress facilities. Highlights of the past year's progress included converting fluorescent lighting to LEDs, updating control systems, upgrading thermostats, converting the John Adams Building air handler units from pneumatic to direct digital controls, installing low-flow water fixtures, installing a new gas-fired hot water boiler at the St. Cecilia's Special Services Facilities Center, and irrigation and fountain improvements. In summer 2021, ESPC activities expanded to include the Library's off-site Fort Meade and Packard facilities.

DID YOU KNOW?

The AOC has green roofs installed atop the Dirksen Senate Office Building, the O'Neill House Office Building and the U.S. Botanic Garden Conservatory. The green roof projects contribute to the agency's stormwater management.

U.S. Botanic Garden Production Facility Renewal: The AOC nearly completed the program of requirements for the USBG Production Facility Renewal, an ambitious project to replace the greenhouses, upgrade the infrastructure including utilities and stormwater management, add a quarantine greenhouse and create an education center and an urban agriculture demonstration farm. Over the past year, the agency participated in weekly workshops with architectural and engineering consultants to develop recommendations for this new, state-of-the-art, sustainable facility. In FY 2022, the program of requirements will be finalized and a design firm will be selected to begin a multiphase design process.



The AOC is responsible for facilities operations across the Capitol campus. At the U.S. Botanic Garden, an AOC employee applies an anti-slip coating to a bridge in the Conservatory.

STRATEGIC GOAL 2

Provide Extraordinary Services

TABLE 7
Provide Extraordinary Services Strategic Goal "At a Glance"

STRATEGIC OBJECTIVES		1. Demonstrate our expertise while exhibiting responsiveness, ownership and courtesy to all internal and external customers						
High-Level Key Performance Indicator	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021 Target	FY 2021 Results	
Customer Satisfaction with Projects. Maintain high customer satisfaction with projects.	95.4% ✔ Met	92.4% ✔ Met	94.7% ✔ Met	95.9% ✔ Met	95.0% ✔ Met	≥ 90.0%	94.9% ✔ Met	
Tenant Survey. Measure how well the AOC provides services to its facility occupants.	N/A	N/A	N/A	N/A	N/A	≥ 90.0%	79.0% ✘ Not Met	

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 and internal support services for the agency's business units. As seen in **Table 7**, there is one strategic objective and two high-level KPIs associated with this goal. In FY 2021, the agency reached its targeted performance for one high-level KPI and did not meet the target for the other. For an in-depth discussion of the indicator results and strategy outcomes, see **Section 02: Performance Information**.

In addition, the following FY 2021 accomplishments align with this strategic goal:



Visitor Services

Expanded Online Learning: The AOC expanded online learning opportunities at the CVC and the USBG. USBG program highlights included online Q&A sessions with Horticulture team members, panel discussions with plant scientists, a local chef series, and topical lectures by nationally recognized authors, speakers and experts. The USBG's educators also responded to the needs of teachers and students, particularly in Title 1 schools, developing a new "virtual field trip" for grades 3-5. Through online programming, the USBG connected with people in all 50 states and 24 countries. The CVC offered new live programs for students, video tours, web-based content for elementary and high school students and its first-ever online teacher workshop. These programs included online student programming that can be tailored to specific grade levels, as well as additional educational content. To further broaden the reach and accessibility of online resources and programs, the CVC established new partnerships with PBS LearningMedia, the Civics Renewal Network and the U.S. Capitol Historical Society.



Online Gift Shop: The CVC launched an online gift shop to improve public accessibility to Capitol-related merchandise, such as commemorative books, office décor, educational products, jewelry and apparel. All products sold through the gift shop are made-in-the-USA. To explore the online gift shop, visit <https://shop.visitthecapitol.gov>.

Library of Congress Visitor Experience Master Plan: The AOC continued to work closely with the Library of Congress to implement a new Visitor Experience Master Plan. The AOC received the final schematic design drawings for the Thomas Jefferson Building's welcome and orientation components and awarded the design for The Cultures and History of the Americas: The Jay I. Kislak Collection. The complexities between exhibit design and building impact continue to be discussed by the development team, and multiple designs were under review at fiscal year-end. See **Capitol Highlights: Transforming the Library of Congress Visitor Experience**.



The U.S. Capitol Visitor Center developed new material to highlight Native American representation at the U.S. Capitol.

Client Services

Special Events: The AOC supported multiple special and high-profile events in FY 2021, all of which were complicated by pandemic-related safety protocols. Prominent event support at the U.S. Capitol Building included a Joint Session of Congress, lying in honor ceremonies for USCP officers Brian D. Sicknick and William "Billy" Evans, a celebration of life ceremony for the Honorable Alcee L. Hastings, and the planning and coordination of the presidential impeachment proceedings in January 2021. The AOC also supported New Member Orientation and numerous congressional hearings, meetings and caucus events at the CVC, nomination hearings for over 100 White House Cabinet positions and a Supreme Court justice, a luncheon attended by President Trump, and, immediately following the 59th Presidential Inauguration, a luncheon for President Biden, Vice President Harris and special inaugural guests. See **Figure 8: Timeline of Events at the U.S. Capitol Building, Fiscal Year 2021** on Pages 8 and 9.



CAPITOL HIGHLIGHTS

OFFICE MOVES FOR THE 117TH CONGRESS

Every two years, the AOC is responsible for an important behind-the-scenes service — the execution of all Member and committee moves and space reassignments associated with the congressional biennial elections. The moves take place in the U.S. Capitol and the Senate and House office buildings and must be orchestrated with care, efficiency and precision.

At the House of Representatives, the November 2020 elections resulted in 219 Member moves, including the setup of 62 freshmen Member suites and 167 storage rooms. For these services, the AOC developed architectural layouts; removed, relocated and installed partitions; painted offices; and updated electric, data and telecommunications infrastructure. The AOC's planning efforts with congressional leadership prioritized COVID-19 safety, and certain activities such as the lottery suite selection were conducted virtually. In collaboration with stakeholders, the AOC completed the House moves in a condensed timeframe, between December 1 and December 31, 2020, resulting in a customer satisfaction rate of 86 percent.

At the Senate, the AOC completed moves for 22 Senate offices (including 10 freshman senators), 13 committees and 20 storage rooms. The AOC extended the moves schedule to accommodate social distancing and pandemic-related concerns and conducted virtual client design and staff meetings to optimize communications while ensuring safety. The AOC also used the moves as an opportunity to complete deferred maintenance and infrastructure upgrades in various areas of the Senate buildings.

The AOC completed the election-year moves for the 117th Congress in a timely manner while prioritizing safety. These efforts ensured the agency's compliance with safety protocols and avoided overcrowding in congressional offices and corridors, while maintaining a focus on service excellence, craftsmanship and the optimization of staff resources.

January 6 Cleanup: On the evening of January 6, just a few hours after the U.S. Capitol premises had been cleared of crowds, AOC staff began cleaning up the U.S. Capitol Building and returning the House and Senate Chambers to a usable state. Over the following months, the AOC assessed damage to historic assets. Through the Capitol window replacement project, the AOC replaced 56 broken windows and repaired the surrounding areas, which included identifying and abating hazardous elements, installing new temporary glass, and repainting window frames and damaged walls. The projects were performed in coordination with the AOC Curator and Historic Preservation Officer to ensure all modifications maintained their historic integrity. The AOC Curator Division documented all damaged building elements and heritage assets and hired conservators to begin treatment of impacted artworks. See **Capitol Highlights: January 6, 2021, at the U.S. Capitol.**

59th Presidential Inauguration: Every four years, the AOC supports the presidential inauguration. This fiscal year, the support included construction of and repairs to the inaugural stands, planning coordination for the ceremony with the Joint Congressional Committee on Inaugural Ceremonies (JCCIC), and event support. This year's inauguration required additional planning to address pandemic-related safety risks, including modifications to seating arrangements and event space orientation to meet social distancing guidelines. On Inauguration Day, the AOC provided wayfinding and shuttle services for Members of Congress and their invited guests and supplied commentary for the JCCIC live event feed. See **Infographic: 59th Presidential Inauguration.**

Comprehensive Security Assessment: On behalf of the Capitol Police Board, the AOC began conducting a comprehensive physical security assessment of the Capitol campus and key off-site facilities and developing a risk matrix and physical security assessment report. These efforts will allow the AOC to develop recommendations for long-term security improvements for the facilities and grounds under its care.



An AOC employee helps during an emergency training exercise.

DID YOU KNOW?

The AOC is responsible for creating a photographic record of the presidential inauguration. Leading up to January 20, 2021, AOC photographers developed plans for a range of complex safety and security scenarios and deployed four times the usual number of remote cameras to document all aspects of the event.

Congressional Office Moves: The AOC provided a successful transition for the 117th Congress, completing moves for 219 House offices, 22 Senate offices and 13 Senate committees. The pandemic forced the AOC to accommodate social distancing and other pandemic-related concerns — reconsidering strategies in planning, scheduling, staffing, safety protocols, work products and technology — while maintaining a focus on service excellence and craftsmanship. The agency also used the moves as an opportunity to complete deferred maintenance on equipment and perform system infrastructure upgrades. The AOC completed the election-year moves for the House on time and reconfigured the Senate moves schedule to prioritize safety and to complete all moves by late spring 2021. See **Capitol Highlights: Office Moves for the 117th Congress.**

Special Events Management System: The AOC implemented a new reservation system to improve the functionality for the booking of meeting spaces and catering options at the CVC. The system provides better tracking and management of reservation requests and includes capabilities to request multiple rooms in a single reservation, find Members or other authorized officials through a responsive search function, choose room setup options and electronically sign documents. It also improves the management of reservation requests by automatically freeing up rooms on the calendar when a cancellation is received, linking catering needs to relevant events, auto-generating reminders for reservation holders, and providing timely and accurate reporting.

COVID-19 Prevention Measures: The AOC deployed numerous COVID-19 preventative measures based on guidance from the OAP, the Centers for Disease Control and Prevention (CDC) and the Food and Drug Administration. To conserve resources and keep employees safe, the AOC continued to maximize telework throughout the fiscal year, while developing rotating, low-occupancy schedules for those with responsibilities that necessitated on-site work. The agency provided personal protective equipment, including masks, sanitizer, gloves and antibacterial wipes, for the entire Capitol campus community. The AOC installed protective plexiglass screens and converted numerous hearing rooms and conference spaces — notably in the Senate and House office buildings and the CVC — to align with social distancing recommendations and both in-person and virtual meeting requirements. The AOC provided enhanced cleaning services throughout the pandemic and coordinated specialized cleaning for spaces when identified by the OAP.

Internal Customer Services

Employee Assistance Programs: The AOC strives to support the emotional and physical well-being of all employees and ensure them a safe, secure and caring work environment. Following the events of January 6, 2021, the AOC offered free and confidential emotional support services to all employees through the Employee Assistance Program (EAP). The EAP provides access to trained staff counselors, including a 24/7 telephone counseling support service delivered by qualified behavioral health professionals. Employees have access to the House Wellness Center and the House Office of

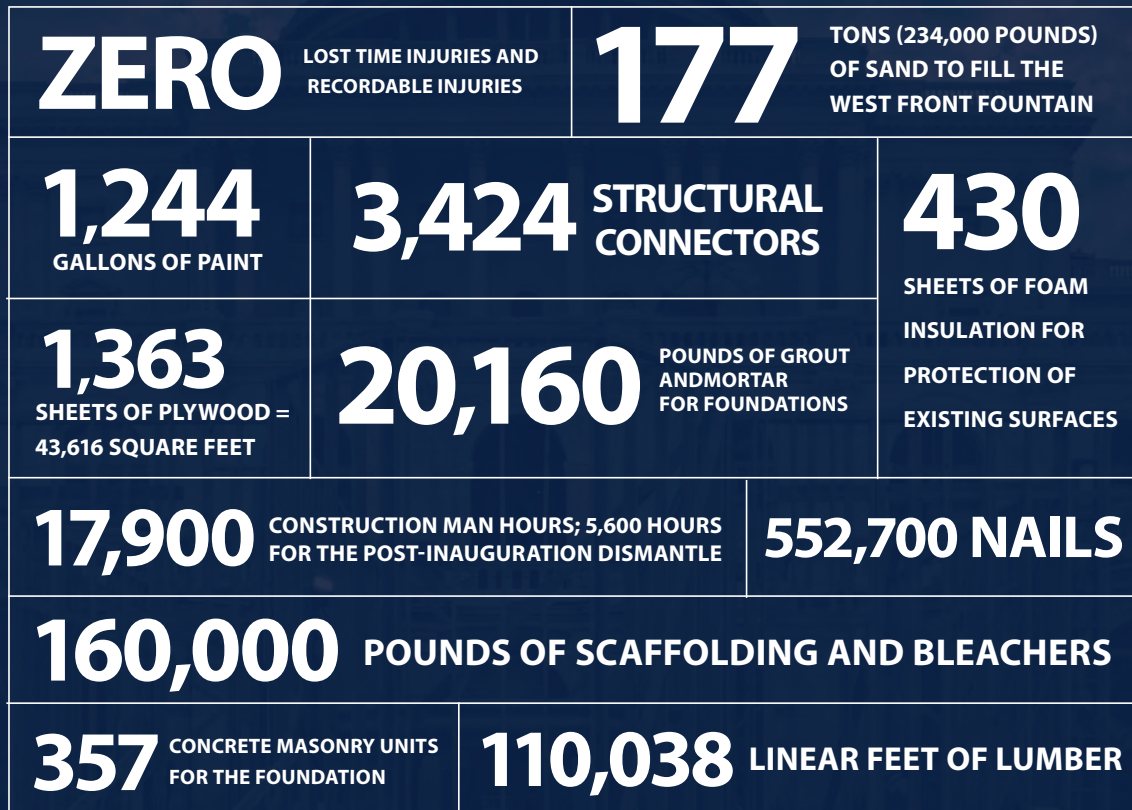
Employee Assistance, which include a variety of resources to address emotional support needs. The AOC also hosted a virtual “Office Hours” employee session, providing a venue for sharing questions with the EAP Manager and the AOC’s Ombuds.

Quarterly Financial Review: To improve the AOC’s obligation management controls, the OCFO continued implementation of its web-based, quarterly financial review application, which was developed in FY 2020. This innovative process provides the agency’s jurisdictions with greater capabilities to manage unliquidated obligations and ensure maximum return on investment of resources.

INFOGRAPHIC

59th Presidential Inauguration

While many have picked up drills, hammers and nails for personal home improvement projects during the pandemic, it would be hard to match the amount of materials needed to set the stage for one of the country’s most cherished traditions. Much goes into the presidential inauguration. Here are a few numbers that help make that special day possible.



STRATEGIC GOAL 3

Foster an Innovative and Empowered Workforce

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

STRATEGIC OBJECTIVES	1. Strengthen employee performance through improved development and accountability practices 2. Cultivate high employee engagement in the workplace 3. Provide for the security and safety of every AOC employee						
	High-Level Key Performance Indicator	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021 Target
External Safety Inspection Findings. Reduce the safety findings identified by the Office of Congressional Workplace Rights.	572 ⊖ No Target Set	1,003 ⊖ No Target Set	1,219 ⊖ No Target Set	1,805 ⊖ No Target Set	1,492 ⊗ Not Met	<1,247 (average of the previous six years)	2,050 ⊗ Not Met
Injuries and Illnesses Rate. Reduce the annual injuries and illnesses rate.	3.14% ✔ Met	2.37% ✔ Met	2.33% ✔ Met	2.23% ✔ Met	1.67% ✔ Met	<1.67% (the previous year's rate)	1.62% ✔ Met

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 and two high-level KPIs associated with this goal. The agency reached its targeted performance for one high-level KPI and did not meet the other. For an in-depth discussion of the indicator results, see **Section 02: Performance Information**.

In addition, the following FY 2021 accomplishments align with this strategic goal:

Maximizing Telework and Workplace Flexibilities: The COVID-19 pandemic required the AOC to radically alter workforce schedules to ensure employee safety. A combination of alternative work schedules, smaller shifts of on-site employees and a maximum telework posture have allowed the AOC to reduce the risk of employee exposure to COVID-19 in the workplace while ensuring mission accomplishment. Use of an alternate control room and a safety pod strategy allowed the Capitol Power Plant to have 24-hour staffing that ensured both continuity of operations and employee safety. Similarly, the AOC divided trade shop staff into smaller teams that alternated weekly on-site schedules. As part of the agency's return-to-work strategy, the agency began to update its telework policy and made permanent some of the workplace flexibilities that were successfully implemented during the pandemic.

Enhanced Training: The development of in-house training capabilities allows the AOC to tailor courses to the specific needs of the agency while maximizing time and cost efficiencies in the long-term. This fiscal year, the AOC implemented a new learning management system at the Capitol Power Plant, which includes online employee training modules for industrial power plant operations and provides a platform for the development and creation of further in-house training programs. The AOC also implemented a new chemical treatment training program that includes hands-on training for rotating plant operations shifts. The training has resulted in improved employee awareness and improved chemical program metrics. The AOC also developed an online integrated pest management training program, which provides gardeners the opportunity to learn about landscape pest management and prepares them for exams required by the District of Columbia Department of Energy and Environment (see **Capitol Highlights: New Pesticide Recertification Program**). The AOC is also developing a full suite of safety-related trainings with help of a new safety training specialist. This task was undertaken



The AOC requires teams with diverse specialties and skill sets to meet its mission. Shown here, an AOC electrician installs speakers in the U.S. Capitol Building Rotunda to support the lying in honor of Officer William F. "Billy" Evans.

after the Federal Occupational Health agency stopped providing training. These in-house capabilities provide AOC employees with the skills and knowledge to perform their work safely and meet the agency's mission.

Strategic Partnerships: The AOC prioritizes strong partnerships with other organizations that enhance the agency's ability to achieve its mission, engage with professional communities and shape successful cultures of safety, efficiency, conservation and empowerment. This fiscal year, the AOC became an official member of the International Network of Parliamentary Properties. This membership allows the AOC opportunities to exchange knowledge and share expertise among other organizations responsible for preservation and facility management of historic parliamentary properties. For the second consecutive year, the USBG collaborated with the American Public Gardens Association on an Urban Agriculture Resilience Program to support urban agriculture, community gardening and educational programs that address food security challenges exacerbated by the COVID-19 pandemic. At the local level, the AOC partnered with The Catholic University of America on a career development and training program for air conditioning mechanics. Through these partnerships, the AOC builds collaborative knowledge-sharing and capacity-building networks.

Enterprise Risk Management: The AOC conducted an enterprise risk management (ERM) survey to assist in identifying and prioritizing agency risks. The survey results were provided to the AOC's newly established Risk and Control Working Group and will be considered as potential enterprise-level risks. The working group will prioritize the results and refresh the agency's risk profile. In addition, the AOC participated in the OMB's pilot for validating the federal ERM Maturity Model.

Technology Infrastructure Improvements: The COVID-19 pandemic precipitated a number of technology infrastructure improvements, the most significant of which was the expansion of mobile technology and laptops for employees. This expansion facilitated increased teleworking productivity and improved employees' efficiency in completing tasks during on-site work throughout the Capitol campus. Mobile applications allow AOC staff to process work orders and track critical work while not at their desks. Inventory functionality on the mobile phones allows staff to access equipment information directly from the AOC's work order system, ensuring that equipment repairs are assigned to the correct work orders and allowing technicians to mark equipment as out-of-service. A report generator was also created to track equipment availability. While many of these technology improvements were implemented to directly address the challenges of a minimized on-site workforce due to COVID-19, they will provide far-reaching and long-term enhancements to the AOC's efficiency in meeting its mission.

STRATEGIC GOAL 4

Operate as One Team, Dedicated to One Mission

TABLE 9

Operate as One Team, Dedicated to One Mission Strategic Goal “At a Glance”

STRATEGIC OBJECTIVES	<ol style="list-style-type: none"> 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 2. Strategically plan, allocate and manage resources AOC-wide
High-Level Key Performance Indicator	No FY 2021 KPIs aligned with this strategic goal

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. Agency cooperation allows the AOC to simultaneously reduce costs and improve efficiency. As seen in **Table 9**, there are two strategic objectives and no KPIs associated with the goal this fiscal year.

In addition, the following FY 2021 accomplishments align with this strategic goal:

Energy Conservation: The AOC’s Energy Manager Working Group, composed of representatives from the AOC’s jurisdictions, the OCE and other management support, continued its work for an 11th consecutive year to ensure the agency achieves energy conservation targets. The AOC is currently creating its Utility Master Plan with a focus on supporting a number of long-term goals. The Utility Master Plan will provide valuable input to Vision 2100 Master and Strategic Plans, helping to validate the feasibility of meeting long-range energy conservation and sustainability goals. See **Capitol Highlights: Utility Master Plan for Sustainable Energy.**

Cybersecurity Improvements: The AOC further improved the cybersecurity posture of the Capitol Power Plant’s industrial control systems. Accomplishments include the development of a new security policy and contingency plan and the implementation of recommendations from an AOC cybersecurity evaluation.

Grounds Care Management: The AOC’s Capitol Grounds and Arboretum jurisdiction applied professional grounds care best management practices outlined by nationally recognized grounds management programs. These standard practices and service levels are being implemented through the initiation of an agencywide Grounds Management Community of Practice process. This process will yield a consistent message and level of service expectations in the AOC’s grounds care programs.

Agency Cross-Functional Teams: This fiscal year, as part of the agency Reorganization and to focus on specific challenges facing the agency, the AOC established cross-functional teams. The objectives of the teams included developing the initiatives as well as planning for the post-pandemic return to work, Minor Construction spend plan initiative, Line Item Construction Program (LICP) projects, space management and others. These teams allow the AOC to capitalize on the experience and expertise of both the operational jurisdictions as well as the support offices to develop actionable plans.



Architect's Strategic Initiatives

As seen in **Table 10**, the agency introduced seven ASI this fiscal year to assist the AOC in laying the foundation for its long-term success and providing a governance framework to support effective management. The progress on these initiatives is summarized below. For an in-depth discussion, see **Section 02: Performance Information**.

TABLE 10
Architect's Strategic Initiatives "At a Glance"

INITIATIVE	SUMMARY OF PROGRESS
Reorganization	The Reorganization was administratively completed through the establishment of the C-suite structure and the documentation of the roles and responsibilities for AOC organizations.
AOC University	The AOC began researching and benchmarking efforts to determine its training and development needs and the best approach for workforce education, professional development, upskilling and reskilling.
Building Official	The Building Official program pilot projects have begun. The Building Official program has issued the first building permit authorizing construction for a code-compliant design. The program has performed building code plan reviews and inspections on active projects, focusing on building safety and electrical hazards.
Cultural Behaviors Transformation	Approximately 500 AOC employees engaged in coaching, group sessions and workshops aimed at building a positive workplace culture. Additionally, the AOC launched four newly defined core values (RISE: Respect, Integrity, Safety, Empower) and engaged more than 300 employees virtually in RISE training and campaign efforts.
Enterprise Asset Management	The AOC began assessing asset management to understand how to make the most of EAM. This system will assist the agency in developing a road map for preventive maintenance, helping buy down its maintenance backlog. The AOC also hosted partner workshops with federal agencies to discuss asset management programming and systems.
Human Capital Strategy	Over 200 employees from across the agency participated in employee focus groups and interviews to inform the development of the Human Capital Strategy and help the AOC enhance its employee experience. This strategy will outline a plan for how the AOC hires, trains and retains employees as well as promotes career growth.
Vision 2100 Master and Strategic Plans	The AOC formed an experienced team of futurists, urban planners, organizational development specialists, strategic planners and other experts to map out how to approach positive change and the future of the agency. This group will work with stakeholders to develop an engagement plan that will serve as the road map for uncovering challenges that the AOC will face as it looks to maintain the Capitol campus over the next 80 years.



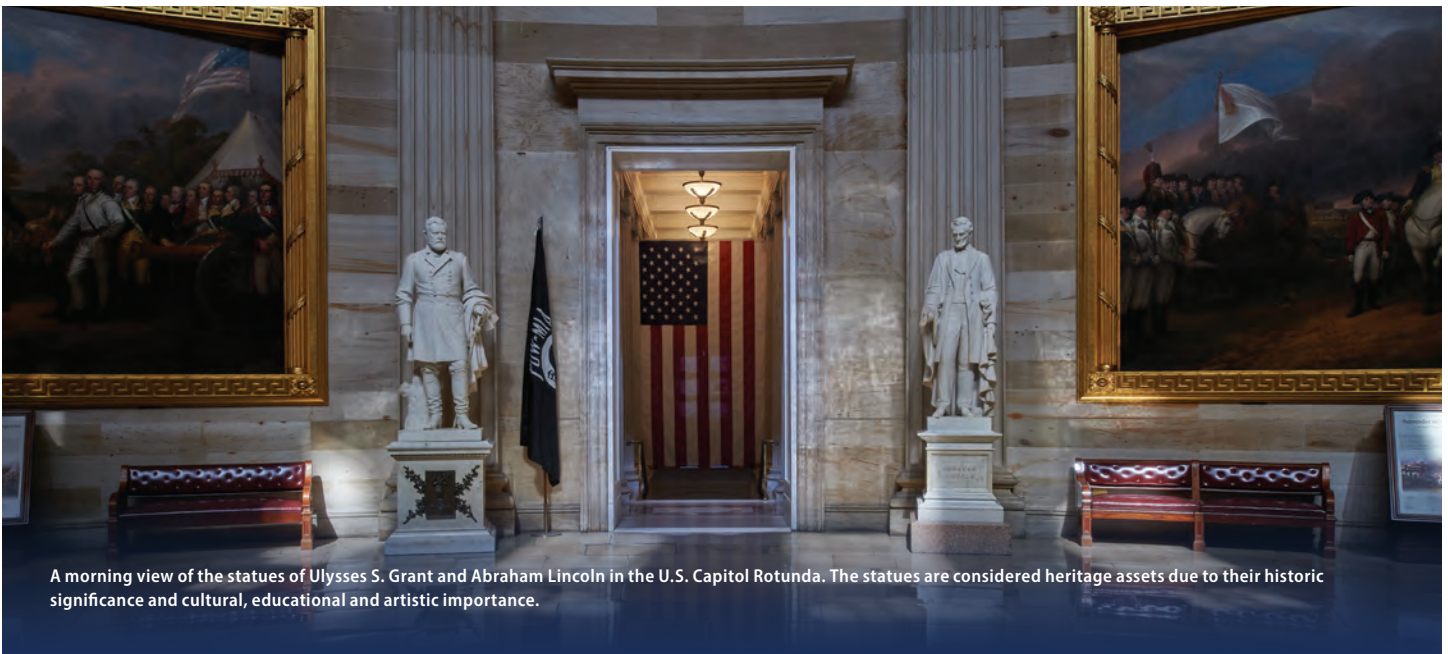
CAPITOL HIGHLIGHTS

UTILITY MASTER PLAN FOR SUSTAINABLE ENERGY

The AOC's Capitol Power Plant provides utility services to the U.S Capitol and 22 other buildings around the Capitol campus, including the Supreme Court of the United States, House and Senate office buildings, and Library of Congress facilities. In FY 2020, the AOC began development of a comprehensive Utility Master Plan. This plan will help the AOC provide energy to the Capitol campus that is safe, reliable and resilient, minimize costs associated with delivering energy, and provide energy in a sustainable and environmentally responsible manner.

The Utility Master Plan will assess the condition of existing utility equipment, improve operating efficiency and reliability of the plant and utility tunnels, and provide a road map for future energy needs. In FY 2020, the AOC developed the plan's overarching goals and objectives, measured baseline performance data, consulted with an advisory panel of national experts, and began screening various technologies. In FY 2021, while the plan's development was delayed due to COVID-19, the AOC completed a detailed review of 30 types of technologies and utility configurations and selected six final options for full development.

Scheduled to be completed in FY 2022, the Utility Master Plan will create a road map of projects and priorities to support a reliable, resilient and sustainable utility system infrastructure. It will also provide valuable input to specific long-range energy conservation and sustainability initiatives developed for the Vision 2100 Master and Strategic Plans and the 20-year Capitol Complex Master Plan.



A morning view of the statues of Ulysses S. Grant and Abraham Lincoln in the U.S. Capitol Rotunda. The statues are considered heritage assets due to their historic significance and cultural, educational and artistic importance.

Financial Highlights

Introduction

This section provides an overview of the AOC's financial statements that appear within **Section 03: Financial Information** of this report. The principal financial statements, independently audited by KPMG, include the Balance Sheets, Statements of Net Cost, Changes in Net Position and Budgetary Resources for the fiscal year ended September 30, 2021. **Table 11** summarizes key data from the financial statements. The financial accomplishments include:

- Assets exceeded liabilities at the close of FY 2021 by \$3.4 billion, an increase of \$278 million (9 percent) over FY 2020. This change primarily resulted from increases in general property, plant and equipment (PP&E) and the fund balance with Treasury (FBWT).
- General property, plant and equipment (net of accumulated depreciation), the AOC's largest asset, totaled more than \$2.5 billion at the close of FY 2021, a \$98 million increase over FY 2020. This increase is primarily a result of the capitalization of costs from various Capitol campus construction projects.
- The agency's net cost of operations amounted to \$756 million, a \$128 million (20 percent) increase from the prior year. This increase resulted from costs associated with the COVID-19 pandemic response, enhanced security, and payroll and inflationary increases.
- The AOC's financial activities resulted in a \$278 million positive change in net position from the prior year. Of this amount, unexpended appropriations increased \$261 million and the cumulative results of operations rose \$17 million.

Independent Financial Statements Audit

The AOC received an unmodified (clean) financial statements audit opinion for FY 2021 — the 17th 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 one material weakness (for a control gap identified for the respective reviews of estimates) and no 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. Although not rising to the level of a material weakness or significant deficiency, the FY 2021 audit also identified control deficiencies related to lack of review and monitoring of SOC 1 for the LBFMS, lack of controls over assessing SOC 1 reports and non-GAAP treatment of prepaid software expenses. In FY 2022, the AOC will establish the corrective action plans to remediate these findings.

Guide to the Financial Statements

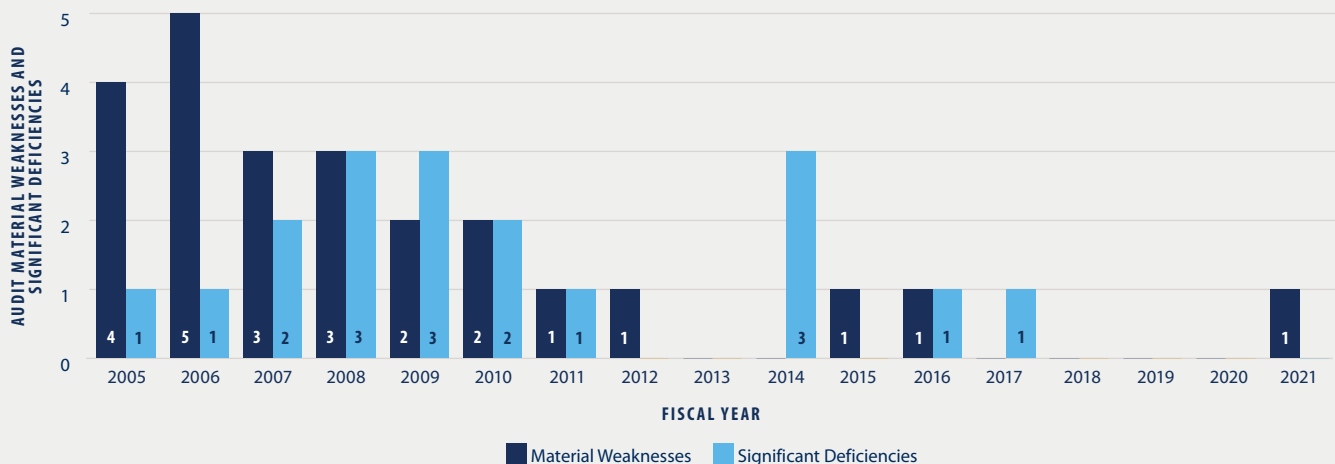
Federal government efforts to improve financial transparency and accountability led to the passage of mandatory uniform accounting and reporting standards for executive branch agencies. As a legislative branch agency, the AOC generally complies with the spirit of the executive branch requirements as a best practice. As a result, the AOC prepared its consolidated financial statements from accounting records in conformity with generally accepted accounting principles (GAAP). For federal entities, GAAP are

TABLE 11
Summary Financial Statement Data (\$ in thousands)

BALANCE SHEET SUMMARY		FY 2021	FY 2020	PERCENT CHANGE
Fund Balance with Treasury	\$	1,249,032	\$ 1,014,778	23%
Investments		22,482	31,127	(28%)
General Property, Plant and Equipment, Net		2,548,752	2,450,456	4%
All Other Assets		5,189	2,377	118%
Total Assets	\$	3,825,455	\$ 3,498,738	9%
Federal Debt and Interest Payable	\$	45,610	\$ 58,229	(22%)
Environmental and Disposal Liabilities		179,022	79,062	126%
Federal Employee Benefits and Related Accruals		91,742	93,000	(1%)
Advances from Others and Deferred Revenue		26,521	44,327	(40%)
All Other Liabilities		109,283	129,113	(15%)
Total Liabilities	\$	452,178	\$ 403,731	12%
Unexpended Appropriations	\$	1,063,173	\$ 801,991	33%
Cumulative Results of Operations		2,310,104	2,293,016	1%
Total Net Position	\$	3,373,277	\$ 3,095,007	9%
Total Liabilities and Net Position	\$	3,825,455	\$ 3,498,738	9%
STATEMENT OF NET COST SUMMARY				
Gross Cost	\$	832,586	\$ 714,005	17%
Less: Earned Revenue		(76,898)	(86,753)	(11%)
Net Cost of Operations	\$	755,688	\$ 627,252	20%
STATEMENT OF BUDGETARY RESOURCES SUMMARY				
Unobligated Balance Brought Forward	\$	507,889	\$ 642,614	(21%)
Appropriations*		1,007,570	728,531	38%
Spending Authority from Offsetting Collections		41,790	59,990	(30%)
Borrowing Authority		4,630	5,662	(18%)
Total Budgetary Resources	\$	1,561,879	\$ 1,436,797	9%

* Appropriations of \$1,007.6 million in FY 2021, as reported on the Statement of Budgetary Resources, include direct appropriations of \$684.1 million, \$10.6 million in Judiciary appropriations (administered by the AOC for the care of the Supreme Court of the United States and its grounds), \$321.9 million in emergency appropriations for security and COVID-19 reimbursements, less a House Office Building Fund transfer of \$9.0 million. In FY 2020, the AOC received \$728.5 million in total appropriations, composed of direct appropriations of \$695.9 million, \$15.6 million in Judiciary appropriations, \$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.

FIGURE 11
Audit Material Weaknesses and Significant Deficiencies



the standards prescribed by the Federal Accounting Standards Advisory Board (FASAB). **Table 12** provides a scorecard of the AOC’s compliance with the federal requirements.

This section provides a brief description of each financial statement, their significant balances, major fluctuations and their relevance to the AOC’s operations. To facilitate analysis, the AOC 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, 2021, the AOC reported total assets of \$3.8 billion. This represents an increase of \$327 million (9 percent) over the FY 2020 total assets of \$3.5 billion. This change is primarily due to the \$234 million increase in FBWT and the \$98 million increase in PP&E. 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, 2021.

PP&E is the AOC’s largest asset, representing near 67 percent of total assets. PP&E, net of accumulated depreciation, was \$2.5 billion at fiscal year-end, a \$98 million increase from the FY 2020 balance. The increase in PP&E from the prior year is primarily due to the capitalization of construction projects, net of depreciation expense.

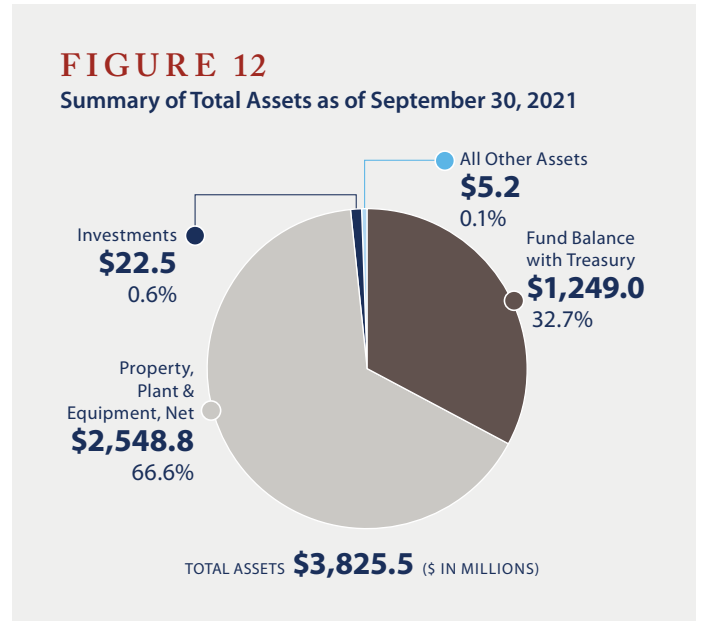


TABLE 12
AOC Financial Scorecard

REQUIREMENT OR INITIATIVE	MET?			COMMENT
	YES	NO	N/A	
Government Management Reform Act of 1994	✓			Unmodified audit opinion
Federal Managers’ Financial Integrity Act of 1982 (FMFIA) — Internal Controls (Section II) Financial Systems (Section IV)	✓			One material weakness (Section II) Financial systems conform to Section IV requirements and no FISMA significant deficiencies
OMB Circular A-123, Appendix A		✓		One material weakness
OMB Circular A-136		✓		Not in full compliance with reporting requirements and federal GAAP
Federal Financial Management Improvement Act of 1996 (FFMIA)	✓			Substantially complies with federal financial management system requirements
Federal Information Security Modernization Act of 2014 (FISMA)	✓			Substantially complies with FISMA requirements
Anti-Deficiency Act	✓			Zero violations
Debt Collection Improvement Act	✓			Employee debts referred to Treasury for collection
Digital Accountability and Transparency Act (DATA Act)			✓	As a legislative branch agency, the AOC is not required to comply with this act
Payment Integrity Information Act of 2019 (PIIA)			✓	As a legislative branch agency, the AOC is not required to comply with this act
Do Not Pay Initiative	✓			Achieved through Treasury’s Invoice Processing Platform
Prompt Payment Act			✓	As a legislative branch agency, the AOC is not required to comply — however, AOC policy is to pay its vendors within 30 days after receipt and acceptance of an invoice

Major completed capitalized improvements included Phase 2 of the Cannon Renewal (\$176 million), Phase 3A of the West Refrigeration Plant Chiller System Replacement at the Capitol Power Plant (\$35 million), Sequence 2 of the Exterior Envelope Restoration for the Russell Senate Office Building (\$33 million), Phase 3 of the Rayburn Garage Interior Rehabilitation (\$30 million) and others. **Figure 13** summarizes the PP&E balances by asset class at September 30, 2021.

At September 30, 2021, the largest asset class of the AOC's PP&E balance is building improvements (\$1.4 billion, 55 percent of total PP&E). This category is followed by buildings (\$575 million, 23 percent) and construction work-in-progress (\$340 million, 13 percent). At the close of FY 2021, the largest construction work-in-progress projects included Phase 3 of the Cannon Renewal (\$46 million), the Book Storage Modules 6 and 7 at Fort Meade (\$38 million), the Senate Underground Garage Renovation and Landscape Restoration (\$32 million) and others.

The FBWT, at \$1.2 billion (33 percent of total assets), represents the next largest asset category. Its \$234 million increase from the prior fiscal year was primarily due to the receipt of a \$322 million supplemental emergency appropriation in FY 2021 for security enhancements and COVID-19 reimbursements. During the current year, the AOC's disbursements also increased noticeably because of ongoing work on the Cannon Renewal, as well as COVID-19-related spending. Appropriated construction project funding immediately increases the FBWT balance while the related disbursements reduce the FBWT balance occur over the term of the projects. This causes the FBWT balance to initially spike and then decline as the construction program amounts are disbursed.

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 (\$12 million) and an escrow balance held with the public

related to the Marshall Building (\$11 million).⁵ Total investments equaled nearly \$23 million, representing a net decrease of \$9 million, or 28 percent from FY 2020. This decrease is primarily a result of spending related to the CVC Exhibition Hall renovation and upgrade, which is being fully funded out of the Capitol Visitor Center Revolving Fund, and a decline in CVC Gift Shops sales and restaurant commissions as a result of the continued temporary closure of the CVC due to COVID-19. The escrow reserve fund supporting the Marshall Building may be used for renovations to that facility.

The annual trend in the AOC's total assets between FY 2016 through FY 2021 is presented in **Figure 14**. As displayed, the total assets increased by \$1 billion, or 38 percent, over this period. This increase is principally the result of a \$688 million (37 percent) increase in general PP&E, net of accumulated depreciation, and a \$363 million increase (41 percent) in the FBWT. The PP&E increase was a result of the capitalization of personal and real property over this period, including the Cannon Renewal (Phases 0 through 3), the cogeneration plant and multiple stone restoration and preservation projects. The largest single component of the FBWT increase is related to this year's \$321.9 million emergency security supplemental appropriation. In addition, the FBWT increased due to appropriations designated for the AOC's House Historic Buildings Revitalization Trust Fund (\$47 million since FY 2016) to support the revitalization of major historic buildings and assets of the U.S. House of Representatives. Multiyear and no-year appropriations to the AOC make up the remainder of this FBWT increase. The AOC uses multiyear and no-year appropriations to fund many of the long-term construction projects such as the restoration and renewal of facilities on the Capitol campus.

5 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 Marshall 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.

FIGURE 13
Net PP&E by Asset Class as of September 30, 2021

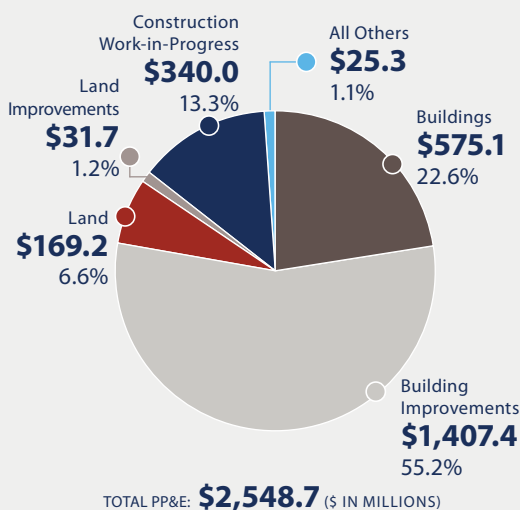
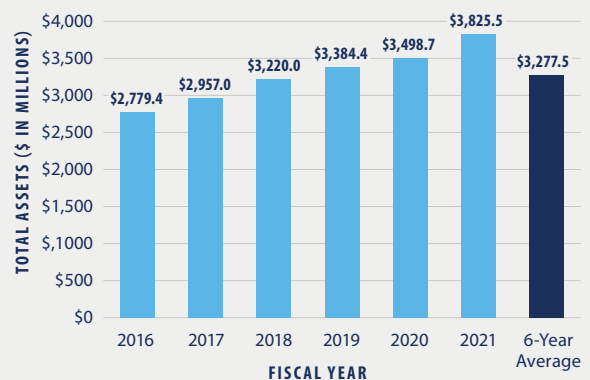


FIGURE 14
Trend in Total Assets



Stewardship Assets: The AOC maintains an important collection of heritage assets (including artworks, 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 FASAB standards, a Balance Sheet does not include a value for heritage assets and stewardship land. As these assets are expected to be preserved indefinitely, they are generally treated as an expense in the Statement of Net Cost and carried at no value on the Balance Sheet.⁶ 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 13**, are included on its Balance Sheet at its cost of acquisition and betterment.

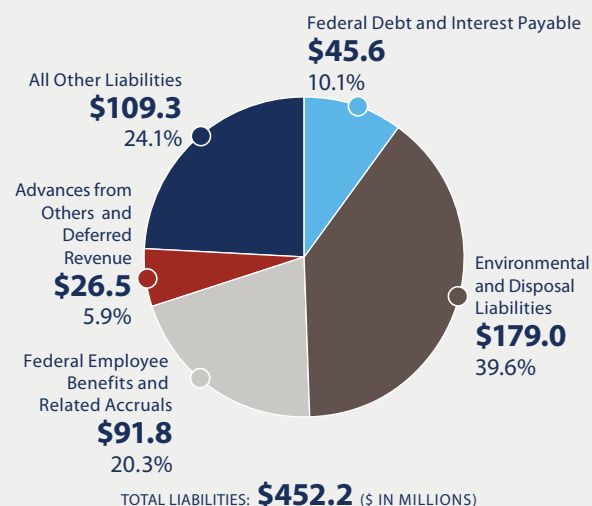
Liabilities: At the end of FY 2021, the AOC's total liabilities amounted to \$452 million, a \$48 million (12 percent) increase from FY 2020. The major liability increase included a \$100 million (126 percent) increase in environmental and disposal liabilities. This resulted from a 9 percent inflationary increase in asbestos abatement costs attributable to COVID-19 pandemic cost increases in the construction industry, as well as changes in the AOC methodology to now include labor categories such as construction safety and quality control personnel. This increase was offset by multiple liability decreases, such as an \$18 million (40 percent) decrease in advances from others due to liquidation of project advances and a \$13 million (22 percent) decline in federal debt and interest payable due to the payment of semiannual bond liabilities attributable to the Marshall Building's construction. In addition, contract holdbacks declined by \$10 million due to the completion of a variety of Capitol campus construction projects. A variety of other liabilities decreased by a cumulative total of \$6 million.

Figure 15 provides the total liabilities by component as of September 30, 2021. The AOC's largest component of total liabilities was environmental and disposal liabilities (\$179 million or 40 percent of the total liabilities) related to estimated asbestos-related cleanup costs. The significant \$100 million increase in this liability from the prior fiscal year was due to several factors, including pandemic-related inflationary construction material cost increases and supply chain delays. In addition, changes in the asbestos specification requirements used by the AOC resulted in the inclusion of additional labor categories in its estimated cost liability for construction safety and quality control personnel. This liability was followed by All Other Liabilities (\$109 million or 24 percent), a "catch-all" category that includes accounts payable, accrued liabilities related to capital projects (\$39 million), a cogeneration plant payment (\$46 million) and others. This was followed by liabilities for federal employee benefits, which accounted for \$92 million (20 percent). This amount included federal employee and veteran benefits payable (\$69 million), benefit program contributions payable (\$8 million) and accrued funded payroll and leave costs (\$15 million). Other major liabilities included federal

TABLE 13
Multiuse Heritage Assets at the AOC

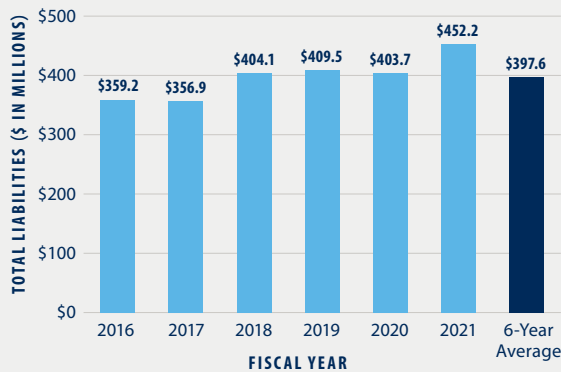
FACILITY	AOC JURISDICTION
U.S. Capitol Building	Capitol Building
East Refrigeration Plant	Capitol Power Plant
Main Boiler Building	Capitol Power Plant
Old Generator Building	Capitol Power Plant
Cannon House Office Building	House Office Buildings
East and West House Underground Garages	House Office Buildings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

FIGURE 15
Summary of Total Liabilities as of September 30, 2021



6 Federal entities are required to provide a description of major heritage asset categories and physical unit information at the end of the fiscal year — including their condition, the number of units added or withdrawn during the year and a description of the methods of acquisition or withdrawal. For further detail, see the Notes to the Financial Statements (Note 9) and Required Supplementary Information in **Section 03: Financial Information**.

FIGURE 16
Trend in Total Liabilities



debt and interest payable (\$46 million or 10 percent) related to the 30-year Serial Zero Coupon Certificates of Participation to finance the Marshall Building's construction, advances from others and deferred revenue (\$27 million or 6 percent).

The AOC presents the annual trend in total liabilities for FY 2016 through FY 2021 in **Figure 16**. Since FY 2016, the AOC's total liabilities have increased by \$93 million, or 26 percent. This change was primarily driven by the following account increases: a \$103 million increase in environmental and disposal liabilities, a \$46 million increase in long-term debt to Washington Gas for the cogeneration plant (included under other liabilities), \$9 million in accrued construction liabilities, \$5 million in contract holdbacks and \$7 million in federal employee benefits. These increases were offset by declines of \$53 million in federal debt and interest payable and \$21 million in advances from others and deferred revenue, and others.

Operational Results: Statement of Net Cost

The Statement of Net Cost presents the AOC's total net cost of operations by responsibility segment. The responsibility segments were determined based on the FASAB concepts and standards applicable to the federal government. The 11 responsibility segments, and the organizational units included within, are identified in **Table 14**.

Net cost includes total program costs, minus all earned revenues attributed to and permitted to be offset against those costs. The AOC's net cost of operations in FY 2021 totaled \$756 million, an increase of \$128 million or 20 percent from FY 2020. The increase in net costs was a largely a result of a \$100 million increase in the AOC's accrual for asbestos removal costs. Additional cost increases resulted from higher emergency security support, the agency's COVID-19 pandemic response, the Presidential Inauguration and the 117th congressional transition moves. 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 2021 and FY 2020 is displayed in **Figure 18**. Significant increases, year over year, included:



CAPITOL HIGHLIGHTS

HERITAGE ASSET CONSERVATION

The preservation of heritage assets — which include artworks, architectural elements 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 artworks including fine and decorative art and the AOC's Historic Preservation Officer leads the agency's conservation efforts for architectural features and historic structures on the Capitol campus.

In FY 2021, the AOC redirected conservation resources from ongoing projects to address the damage caused during the events of January 6, 2021. Among the most prominent areas that sustained damage were the Brumidi Corridors — the elaborately decorated halls of the U.S. Capitol with floor-to-ceiling murals. The initial survey of the damaged areas found powdery white accretions on the wall panels. A material analysis by the Smithsonian Institution identified the substance as pepper spray. Additional examination with enhanced lighting confirmed the consistent presence of pepper spray and fire-retardant residue, dust and grime on wall surfaces. Conservators began repairing flaking or lifting paint throughout the corridors and cleaning the walls with soft brushes, HEPA vacuums and an aqueous solution. Conservators also cleaned 77 statues in the National Statuary Hall Collection and repaired the East Front Rotunda doors.

Regularly scheduled conservation projects included essential maintenance of historic bronze works. Conservators treated the ornamental bronze railings in the House Wing, removing dust, dirt and active corrosion and applying a protective coating. The AOC conducts this type of conservation maintenance every three to five years.

www.aoc.gov/explore-capitol-campus/art

- **House Office Buildings:** Net costs increased by \$55 million (56 percent) due to an increase in accrued asbestos removal costs (more than \$49 million) along with inflationary payroll and nonpay costs and costs associated with the 117th congressional office moves.
- **Senate Office Buildings:** Net costs increased by \$31 million (36 percent) due to an increase in accrued asbestos removal costs (more than \$17 million), COVID-19 service contracts and inflationary payroll and nonpay costs and costs associated with the 117th congressional office moves.
- **Library Buildings and Grounds:** Net costs increased by \$25 million (54 percent), principally due to a substantial increase in accrued asbestos removal costs (more than \$23 million), costs for general repairs and costs related to the Library's energy savings performance contract. In addition to the gross cost increases, earned revenue declined in FY 2021, primarily due to the nonrecurrence of revenue related to the U.S. Copyright Office Storage Facility.
- **Capitol Police Buildings, Grounds and Security:** Net costs increased by \$19 million (57 percent), mainly due to an increase in emergency security support costs (\$16 million) and additional COVID-19 response costs.
- **Capitol Building:** Net costs increased by \$15 million (25 percent), principally due to a substantial increase in accrued asbestos removal costs (more than \$8 million) along with the construction and removal of the Presidential Inauguration platform and supporting infrastructure (near \$4 million).
- **Capitol Power Plant:** Net costs increased by \$12 million (14 percent) due to unforeseen minor construction projects, non-capitalizable improvements such as tunnel waterproofing and concrete repairs and an increase in payroll and nonpay inflationary costs.
- **U.S. Capitol Visitor Center:** Net costs increased by \$5 million (18 percent). This increase is partially attributable to a \$3 million increase in gross costs, mainly due to non-capitalizable costs associated with the CVC Exhibition Hall renovation and a rise in general operations and website support for the new e-commerce retail site. The increased costs were offset by a reduction in earned revenues of \$2 million owing to the pandemic-related closure of the CVC for the entire fiscal year, and a corresponding decline in gift shop sales and restaurant commissions.

Significant decreases in the net cost of operations included:

- **Supreme Court Building and Grounds:** Net costs decreased by \$21 million (239 percent) primarily due to a reduction in non-capitalizable costs related to the Marshall Building projects (including building automation system updates, Administrative Office of the U.S. Courts space realignments and façade repairs).
- **Capital Construction and Operations:** Net costs decreased by \$12 million (8 percent). This decline was primarily due to a \$13 million decrease in costs related to the agency's COVID-19 response and related service contracts (see also **COVID-19 Financial Impact** on Page 38), offset by inflationary increases for payroll and benefit costs.

TABLE 14
Responsibility Segments

RESPONSIBILITY SEGMENT	ORGANIZATIONAL UNITS INCLUDED
Capital Construction and Operations	Architect of the Capitol, Deputy Architect, Chief Engineer, Chief Financial Officer, Chief Administrative Officer, Chief of Operations (front office only), Equal Employment Opportunity Officials, General Counsel, Inspector General, Legislative and Public Affairs, Safety and Code Compliance
Capitol Building	Chief of Operations: Capitol Building jurisdiction
Capitol Grounds and Arboretum	Chief of Operations: Capitol Grounds and Arboretum jurisdiction
Capitol Police Buildings, Grounds and Security	Chief Security Officer
Capitol Power Plant	Chief of Operations: Capitol Power Plant jurisdiction
House Office Buildings	Chief of Operations: House Office Buildings jurisdiction
Library Buildings and Grounds	Chief of Operations: Library Buildings and Grounds jurisdiction
Senate Office Buildings	Chief of Operations: Senate Office Buildings jurisdiction
Supreme Court Building and Grounds	Chief of Operations: Supreme Court Building and Grounds jurisdiction
U.S. Botanic Garden	Chief of Operations: U.S. Botanic Garden jurisdiction
U.S. Capitol Visitor Center	Chief of Operations: U.S. Capitol Visitor Center jurisdiction

FIGURE 17
Trend in Net Cost of Operations

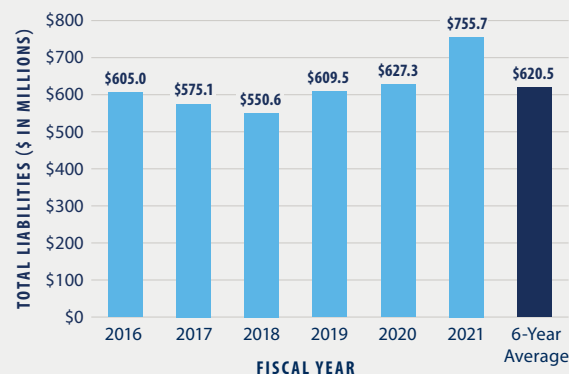
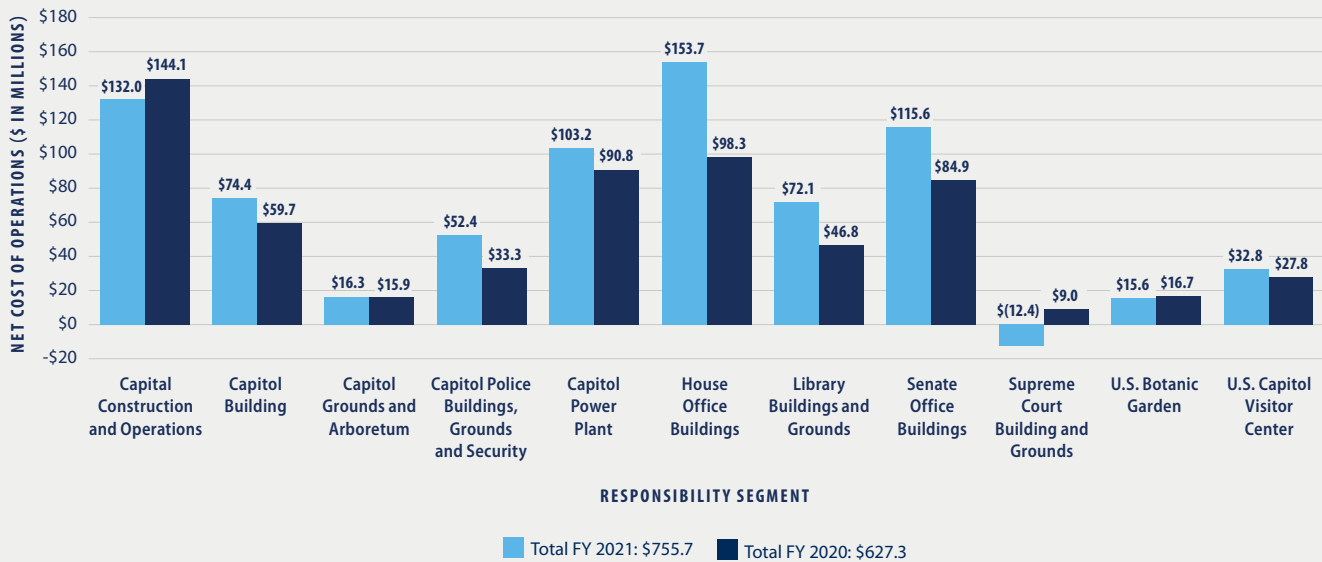


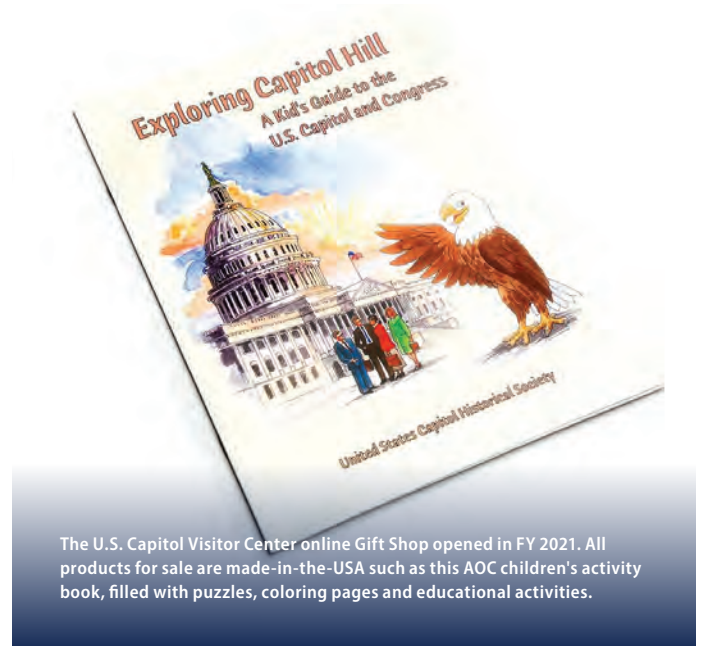
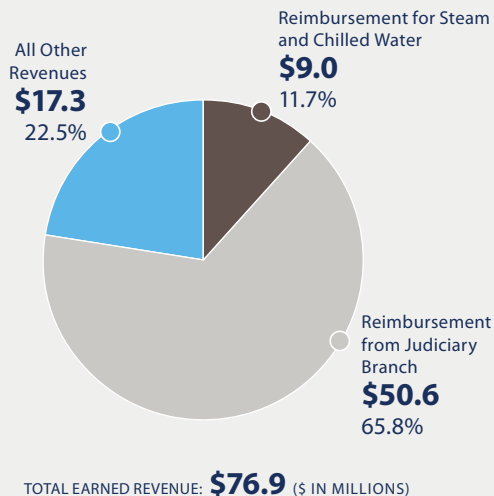
FIGURE 18
Summary of Net Cost of Operations by AOC Responsibility Segment



Earned Revenues by Source: Overall, revenues declined by \$10 million (11 percent), from \$87 million in FY 2020 to \$77 million in FY 2021. As depicted in **Figure 19**, the AOC’s primary source of revenue was intragovernmental reimbursements from the federal judiciary branch for facility operations (\$51 million, 66 percent). Other principal revenue sources were from rent, recycling proceeds, online gift shop sales and miscellaneous revenues earned at multiple AOC jurisdictions (totaling \$17 million or 22 percent of all earned revenues) and shown as “All Other Revenues” on the chart.

The decline in All Other Revenues was primarily due to a \$6 million decrease in project-related reimbursements by the Library Buildings and Grounds jurisdiction and a \$2 million decline in gift shop sales and restaurant commissions at the U.S. Capitol Visitor Center Gift Shops owing to the closure of the CVC for the entire fiscal year due to the COVID-19 pandemic. Reimbursements paid to the AOC’s Capitol Power Plant for the provision of steam and chilled water to nonlegislative branch entities near the Capitol campus remained constant at \$9 million (12 percent).

FIGURE 19
Earned Revenues by Source



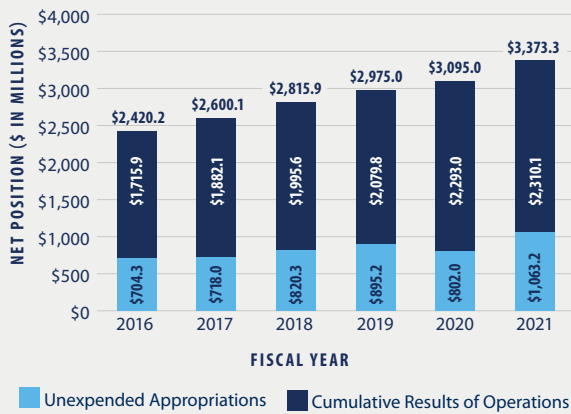
Cumulative Overview: Statement of Changes in Net Position

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.

The AOC's net position at September 30, 2021, shown on both the Balance Sheet and the Statement of Changes in Net Position, was \$3.4 billion, a \$278 million increase from FY 2020. This change was due to an increase of \$261 million (33 percent) increase in unexpended appropriations and \$17 million (1 percent) increase in the cumulative results of operations. As depicted in **Figure 20**, net position has increased by \$953 million (39 percent) over the past six fiscal years, primarily as a result of multiyear and no-year appropriations received to address deferred maintenance needs across the Capitol campus, along with capital projects to renew or improve the campus' aging infrastructure, over this period.

FIGURE 20

Trend in Net Position by Category



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 for the agency's FY 2021 and FY 2022 budget requests at: www.aoc.gov/what-we-do/publications/testimony.

Combined Statement of Budgetary Resources

The Combined Statement of Budgetary Resources details how the AOC obtained its budgetary resources and the status of these resources at the end of the fiscal year. The AOC receives general funds appropriated for its use by Congress and administered by the U.S. Treasury. Congress enacts separate appropriations for the AOC's operating jurisdictions, plus a Capital Construction and Operations appropriation for the agency's intra-agency support. The AOC also has stewardship responsibility for trust, special and revolving funds (e.g., Flag Office Revolving Fund), which are administered in accordance with applicable laws and regulations.

For the fiscal year ended September 30, 2021, the AOC's total budgetary resources amounted to more than \$1 billion, a \$279 million increase (38 percent) from FY 2020 levels. These resources included \$684 million in regular appropriations, consisting of three components. The operating budget, the largest component at \$478 million (70 percent), funds payroll, utilities, facilities maintenance, centralized activities, information services, power plant operations, grounds care, safety operations, as well as architecture, engineering, visitor and curatorial services. The multiyear capital projects budget, at \$141 million (21 percent), was the next largest component of its regular appropriations and supports construction, upgrades, improvements and preservation projects. No-year funding of \$65 million (9 percent) provided additional funding for the renewal of the Cannon House Office Building, as well as for the Joint Audible Warning System. Included in the no-year funding, \$9 million was derived by the transfer from the House Office Buildings fund.⁷ In addition, the AOC received \$11 million from the Judiciary appropriation for the care of the Supreme Court of the United States and its grounds.⁸ This fiscal year, the *Emergency Security Supplemental Appropriations Act, 2021* provided the AOC with nearly \$322 million for security upgrades

⁷ Amounts in the House Office Buildings Fund are available to the AOC for the maintenance, care and operation of the House office buildings. Despite its name, this is a general fund, not a trust, special or revolving fund.

⁸ 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 appropriations.

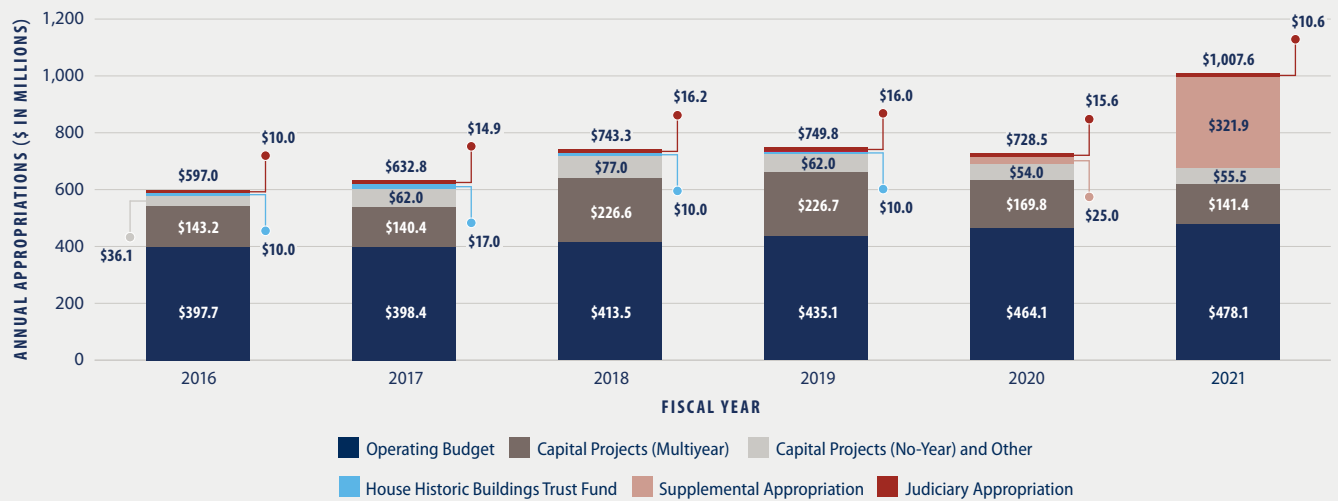
to the U.S. Capitol (\$300 million) and to reimburse the agency for additional costs of its COVID-19 response (\$21.9 million).

Figure 21 displays the AOC’s total appropriations for FY 2021 and the five prior fiscal years. The FY 2021 \$279 million net increase in budgetary resources was chiefly due to a \$14 million increase in operating funds plus the \$322 million emergency supplemental. These budgetary increases were offset by a \$28 million reduction in multiyear capital project funding, the nonrecurrence of the \$25 million funding received in FY 2020 under the CARES Act and a \$5 million reduction in funds for the care of the Supreme Court of the United States and its grounds.

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 the 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.

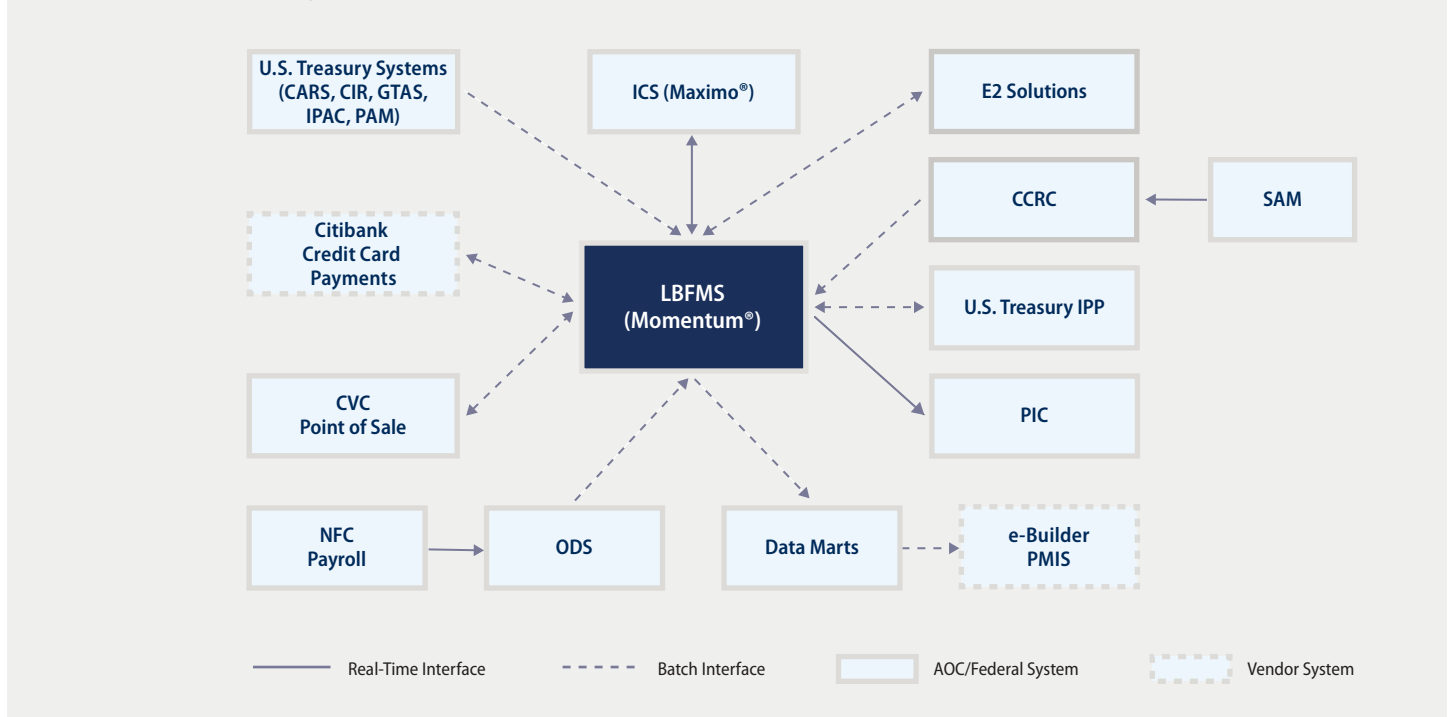
FIGURE 21
Trend in Total Appropriations



Financial Management Systems Framework

FIGURE 22

Financial Management Systems Framework



The AOC's core financial management system accounts for the AOC's funds through approximately 684,000 annual transactions. **Figure 22** depicts the AOC's financial management systems framework.

Key Financial and Reporting Systems

The AOC's core financial management system, the Legislative Branch Financial Management System (LBFMS), conforms to the requirements of the *Federal Financial Management Improvement Act of 1996* (FFMIA). 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:

- U.S. Capitol Visitor Center Point of Sale System** is a stand-alone, back-office retail inventory management system used to record daily sales and inventory transactions from the CVC Gift Shops. In FY 2021, the AOC implemented an automated batch interface between the CVC system and the 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 the LBFMS via a batch file. The AOC uses the GSA SmartPay 3 shared services structure and contract.
- CWTSatoTravel E2 Solutions Travel System (E2 Solutions)** provides end-to-end travel management services via a secure web portal and interfaces with the LBFMS. The E2 Solutions system is part of the GSA E-Gov Travel Service, a federal, web-based, shared travel management service.
- Data Marts** assist in data management, including staging data during off-peak times and simplifying data structure for use by multiple systems.
- e-Builder Project Management Information System (PMIS)** tracks the status of construction projects. The AOC data marts provide financial information for the projects managed in e-Builder.
- Inventory Control System (ICS)** is COTS software (IBM Maximo®) used to track the AOC's inventory of materials, supplies and accountable property. The ICS provides life cycle and asset management functionality. Real-time interfaces integrate ICS with LBFMS obligations, receipt of transactions and inventory drawdowns.
- Invoice Processing Platform (IPP)** is a secure, web-based electronic invoicing system provided by Treasury to simplify the management of vendor invoices. The IPP interfaces with the LBFMS.

- **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 data is submitted to the LBFMS via an AOC payroll application.
- **Operational Data Store (ODS)** is the AOC’s payroll and personnel database, which is also used as a warehouse for detailed employee payroll information. The ODS receives a batch file of NFC payroll data, and an AOC payroll application creates a batch file of transactions for export to the LBFMS.
- **Project Information Center (PIC)** is the AOC’s proprietary project management system. The LBFMS provides budget and obligation data to PIC. The AOC is replacing the PIC system with e-Builder.
- **Reporting and Analytics** business intelligence tools used by the AOC include 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).
- **System for Award Management (SAM)** is an official website managed by the GSA providing vendor and other entity registration information for businesses contracting with the federal government. The 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 Treasury Bureau of the Fiscal Service systems include: the Central Accounting Reporting System (CARS) for monthly financial reconciliation, Governmentwide Treasury Account Symbol Adjusted Trial Balance System (GTAS) for quarterly 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. The Collections Information Repository (CIR) provides detailed information on collections from the Treasury’s Pay.gov website, OTCnet and other sources. In addition, the AOC uses Pay.gov to manage the collection of fees and other deposits.

INFOGRAPHIC

Legislative Branch Financial Management System Users



ARCHITECT OF THE CAPITOL



CONGRESSIONAL BUDGET OFFICE



GOVERNMENT ACCOUNTABILITY OFFICE



LIBRARY OF CONGRESS



THE MEDICARE PAYMENT ADVISORY COMMISSION



OFFICE OF CONGRESSIONAL WORKPLACE RIGHTS



CONGRESSIONAL OFFICE FOR INTERNATIONAL LEADERSHIP



U.S. CAPITOL POLICE

SYSTEMS INCLUDED:

- MOMENTUM® — CORE FINANCIAL MANAGEMENT SYSTEM
- MAXIMO® — INVENTORY CONTROL SYSTEM
- SATO E2 SOLUTIONS TRAVEL SYSTEM - TRAVEL MANAGEMENT SERVICES SYSTEM

Financial Systems Strategy: Achieving the 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. This fiscal year, the AOC continued its efforts to upgrade existing systems and capabilities and implement new functionality that better supports financial management, data analytics and data-driven decision-making.

The AOC has used the LBFMS, a shared-service financial management system hosted by the Library of Congress, since FY 2016. The infographic on Page 36 (**Legislative Branch Financial Management System Users**) displays the participating agencies and the systems included in this shared environment. The LBFMS operations and hosting continued as a major focus in FY 2021, including the upgrade of its core financial management system from Momentum® 7.4 to 7.8. The AOC also upgraded its inventory management software from Maximo® 7.6.0.10 to 7.6.1 in coordination with the USCP and the LBFMS. Both the LBFMS Momentum® and Maximo® systems migrated their data center to the Microsoft® Azure cloud. The AOC continued to improve its systems security posture through cybersecurity maintenance and updates, penetration testing and other independent assessments.

In FY 2021, the AOC made system and process improvements that increased overall data quality, data accessibility and efficiency. The AOC implemented a pilot Robotic Process Automation (RPA) project — a first for the agency — with UiPath® software. Using RPA, the AOC completed the successful testing of the LBFMS upgrades, including major changes to the Acquisition module. The AOC improved business processes that allowed for greater system data batch load processing and validation and verification. The AOC also implemented an automated closeout process this fiscal year,

resulting in more than 5,300 contract closeouts dating back to FY 2005. Continued proactive data analysis flagged invoice routing errors and necessary contract adjustments, resulting in a 47 percent reduction of manual adjustments to IPP transactions.

This year, the AOC continued the expanded use of business intelligence tools to support financial and operational reporting across the agency. The agency formed an Enterprise Reporting Steering Committee to review opportunities for new reports and evaluate results, while working with functional process owners to develop and test new dashboards and reports related to human capital, procurement and construction. The AOC supported the development of COVID-19 impact reports and dashboards to facilitate CARES Act compliance and deployed two additional enterprise datasets for human resources-related data. In addition, the AOC developed and implemented a new application to support the updated quarterly financial review process. This dashboard tool improves the agency's management of unliquidated obligations and allows for the automated validation of open obligations within the application.

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 platform to manage the processing and approval of interagency agreements, orders and invoices, with a planned implementation in FY 2022. The GSA Unique Entity Identifier government mandate to replace DUNS vendor coding is also planned for the AOC in FY 2022. These changes will align the AOC's systems with federal mandates and system requirements, as well as reduce manual processes, improve data quality and enhance the efficiency of the AOC's financial stewardship.

COVID-19 Financial Impact

Of the approximately \$2 trillion appropriated under the *Coronavirus Aid, Relief, and Economic Security Act* (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. In July 2021, as part of the *Emergency Security Supplemental Appropriations Act, 2021*, the AOC was provided an additional \$21.9 million for reimbursements and other costs of the response to COVID-19. A summary of the AOC's funding and expenditures related to COVID-19 is shown in **Figure 23**.

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

Supplies and Services

The AOC spent \$17.6 million in funding for cleaning and sanitation supplies and custodial services. This category represents 38 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 CDC and OAP guidance for the facilities on the Capitol campus.

Contract Payments

The AOC spent \$5.0 million on reimbursements to service contractors who were furloughed or otherwise unable to work as a

result of the COVID-19 pandemic. These payments were authorized under the CARES Act to lessen the impact of the pandemic on the U.S. economy and allowed for certain eligible contractors to be paid for a period not to exceed 16 weeks.

Payroll

The AOC paid for \$3.8 million in COVID-19 related salaries, overtime and benefits for permanent full-time 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.

Projects

The AOC paid \$0.7 million to support enhanced and specialized cleaning for the Cannon Renewal site, including the project's office trailers.

Supplemental Spending

The AOC spent \$2.4 million in spending from the emergency security supplemental appropriations.

Additional Jurisdiction Spending for COVID-19-Related Costs

In addition to amounts spent from CARES Act and emergency supplemental funds, the AOC spent an additional \$16.4 million from its jurisdictions' current appropriations for COVID-19-related costs.

FIGURE 23
COVID-19-Related Funding and Obligations (\$ in Thousands)

CATEGORY	AMOUNT	PERCENTAGE
Funding:		
CARES Act	\$ 25,000	51%
Transferred Appropriations	2,000	4%
Emergency Security Supplemental	21,869	45%
Total	\$ 48,869	100%
Spending:		
Supplies and Services	\$ 17,611	38%
Contract Payments	4,971	11%
Payroll	3,759	8%
Projects	658	1%
Subtotal	26,999	59%
Supplemental Spending	2,437	5%
Additional Jurisdiction Spending for COVID-19-Related Costs	16,422	36%
Total	\$ 45,858	100%



The AOC is committed to providing accountability and transparency for the financial resources used to maintain the nation's most iconic buildings.

Analysis of Systems, Control and Legal Compliance

Federal Managers' Financial Integrity Act of 1982

The AOC's leadership is responsible for establishing and maintaining effective internal controls 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 ERM and internal controls. 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 controls 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 controls program is managed by the Chief Financial Officer. The Risk Management Officer has the responsibility to manage the program's ongoing internal controls components that follow the principles of OMB Circular A-123, Appendix A, Management of Reporting and Data Integrity Risk and the U.S. Government Accountability Office (GAO) Green Book. The

internal controls 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, is in this report's **Section 04: 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 ERM activities and internal control processes to preserve organizational value and enhance decision-making.

Further implementation of the ERM program will build upon the AOC's strategic review process established by the *GPRA Modernization Act of 2010*. 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 open communication about potential risks. The AOC's ERM program helps the agency improve its processes and performance, while also formalizing the work already undertaken.

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 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 management systems conform to its requirements.

As a legislative branch agency, the AOC is not subject to the FMFIA. However, the AOC considers internal control to be a critical element of the processes and systems used to manage its operations, and therefore embraces the FMFIA principles as a best practice. The AOC 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 No. A-123, Management's Responsibility for Enterprise Risk Management and Internal Control. Based on the results of the assessment (including the results identified in the Draft Independent Auditors' Report), and with the exceptions noted below, the AOC can provide reasonable assurance that, in accordance with Section 2 of the FMFIA, its internal control over operations, reporting and compliance were operating effectively as of September 30, 2021. The assessment identified a material weakness related to a control gap identified for retrospective reviews of estimates. The assessment also identified control deficiencies caused by the use of non-generally accepted accounting principles for the treatment of prepaid software expenses and a lack of controls over assessing System and Organization Controls (SOC 1) reports.

In addition, the AOC can provide reasonable assurance that its financial management system conformed to Section 4 of the FMFIA and to component requirements under the *Federal Financial Management Improvement Act*, except for a control deficiency related to the lack of review and monitoring of SOC 1 for the Legislative Branch Financial Management System.

Sincerely,



J. Brett Blanton
Architect of the Capitol
May 18, 2022

FINANCIAL SYSTEMS

As discussed in the *Federal Financial Management Improvement Act* section, FFMA 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 controls assessments based on implementation guidance from the 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 controls 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 FMFIA systems purposes.

OTHER INFORMATION

A summary of the management assurances is provided in **Section 04: Other Information**. For additional information, refer to The Inspector General's Statement of Management Opportunities and Performance Challenges, also located in **Section 04**.

Summary of Financial Statement Audit Material Weaknesses and Nonconformances

At the close of FY 2021, the AOC had one material weakness, no significant deficiencies and three other control deficiencies 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 2021 financial statement audit identified one material weakness related to a control gap identified for the retrospective reviews of estimates. Although management did not concur with this finding and believes that its methodologies meet federal GAAP, the AOC will develop a corrective action plan to address this matter.

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 2021 financial statement audit identified no significant deficiencies and three control deficiencies. The control deficiencies relate to non-generally accepted accounting principles for the treatment of prepaid software expenses, a lack of controls over assessing System and Organization Controls (SOC 1) reports and a lack of SOC 1 review and monitoring for the shared service financial management system for the legislative branch. The AOC will be developing corrective action plans to review key control activities for these findings in order to address them promptly.

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 2021.

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

Climate-Related Financial Risk

The May 2021 *Executive Order on Climate-Related Financial Risk* encourages federal agencies to summarize efforts taken or planned to assess, measure and mitigate risks related to climate change that could affect the entity's financial performance, position or condition. While exempt from the executive order, as part of a prior strategic planning effort, the AOC commissioned a report to evaluate the potential impacts that extreme weather conditions may pose to the agency's mission and infrastructure. The November 2018 report provided a high-level analysis of likely extreme weather impacts to the Washington, D.C. region and recommended strategies the agency could employ to minimize or remediate the risks posed to the Capitol campus. The evaluation focused on the most critical facilities under the AOC's care and narrowed the analysis to four likely areas of impact: sea level rise and severe rainstorms, ice and snowstorms, extreme temperatures, and hurricanes and windstorms.

The evaluation included 27 facilities and revealed consistent areas of vulnerability and recommended strategies for mitigating potential damage. The key themes in the report included:

- All AOC facilities are susceptible to water infiltration and damage. Facilities in the southwest area of the Capitol campus are most likely to be impacted from flooding and significant water infiltration due to its proximity to the 100-year and 500-year flood plain.
- All AOC facilities are susceptible to exterior envelope damage from multiple extreme weather impacts. While many facility exteriors are currently being actively evaluated or repaired, an exterior maintenance program and standard operating procedures should be developed and implemented for each facility.
- Many facilities, systems and specialized collections and spaces are insufficiently supported by standby power. Additionally, the locations of many emergency power systems are vulnerable to extreme weather.

As part of this study, the AOC developed a summary scorecard for each facility that shows the weather risks, possible courses of action and a cost model assessing an approximate cost for each course of action. The report also identified simple and immediate remediation efforts that could be taken to address many of these risks, including regular visual inspections and assessments, regular updates to preventive maintenance plans, improved standard operating procedures, and updated project identification and program development processes. The report concluded that while the evaluation process yielded useful action items, further study would be needed to prioritize resources to address these impacts and protect the agency's critical facilities and the heritage assets therein.

agency or designated federal debt collection center, or that will be disposed of under an asset sales program, is exempt from this requirement. The AOC referred employee debt to Treasury's Debt Management Services for collection in FY 2021.

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 2021.

FEDERAL INFORMATION SECURITY MODERNIZATION ACT

The *Federal Information Security Management Act of 2002* (FISMA) requires each executive branch agency to develop, document and implement an agencywide program to provide security for the information and information systems that support the agency's operations and assets. The AOC, as a legislative branch agency, is not required to comply with FISMA. Nonetheless, to create and maintain its risk-based information security program, the AOC looks to FISMA, along with other executive branch guidelines including *Federal Information Security Modernization Act of 2014* (FISMA 2014), the GAO Federal Information System Controls Audit Manual and the National Institute of Standards and Technology (NIST) Special Publications.

The AOC's risk management and monitoring strategy is based on current NIST guidelines. The AOC, with support from an independent third party, authorizes and reauthorizes information systems on a three-year cycle, testing approximately one-third of all systems annually. This effort evaluates the information security controls for compliance with the AOC's policies.

In FY 2021, the AOC improved its information systems security posture through additional updates to its computer security awareness training, regular testing of security controls, and enforcement of procedures for detecting, reporting and responding to security incidents. The AOC reviewed, tested and monitored the agency's IT contingency and incident response plans. A combination

of incumbent staff, on-premises monitoring tools and external enterprise security services compose the AOC's system monitoring and incident response capability. The AOC increased the operational technology systems posture by including enhanced industrial security controls in its security standard.

The AOC's information systems and information system security programs are evaluated each year through independent assessments and multiple audits. These assessments and audits improve the AOC information system configurations, documentation and processes while mitigating identified security risks and weaknesses.

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*. By policy, the AOC targets approval and payment of invoices within 30 days. The AOC uses Treasury's IPP, a secure online tool, to assist in its invoice payment process. The IPP reinforces agency compliance with prompt payment business processes through invoice aging reports, configurable workflow escalation strategies and email alerts.

OTHER LEGISLATION

See **Section 04: Other Information** for a summary of additional financial management legislation and their applicability to the AOC.

Enterprise Risk Management at the AOC

Strong risk management practices and internal controls help the AOC run its operations efficiently and effectively, report reliable information about its operations and financial position, and comply with applicable laws and regulations. The 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. As a legislative branch agency, the AOC is not bound by the FMFIA or OMB circulars but adopts these requirements and guidelines as a best practice to meet three internal control objectives: effectiveness and efficiency of operations, reliability of reporting for internal and external use, and compliance with applicable laws and regulations.

The AOC's senior leaders work with the Risk Management Officer to establish a governance structure that effectively implements 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 ERM implementation plan for OMB Circular A-123 that incorporated a governance approach under the Risk Management Officer.

In FY 2021, the Integrated Risk Management Division (IRMD) continued to mature its ERM implementation approach and processes. As part of the annual risk assessment process, IRMD also conducted a survey to identify and prioritize risks that could impact the AOC's mission and strategic initiatives. The top-priority risks are defined in the **Forward-Looking Information** section on the following page.

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.



This fiscal year, the AOC neared completion of a major, multiphased project to renovate the Senate Underground Garage and Senate Park — the largest design-build project ever undertaken by the agency.



A detail of the exterior stonework condition of the Russell Senate Office Building. The Russell Exterior Envelope Project will help address the AOC's 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. By identifying and defining the most difficult challenges facing the agency, the AOC can mitigate barriers to operational success and identify opportunities for improvement. At the close of FY 2021, AOC management identified seven management challenges. In addition, the AOC's OIG identified seven management opportunities and performance challenges, three of which address issues similar to those identified by management. AOC management has reviewed the OIG's recommendations and pledges to address the matters and take appropriate actions in a timely fashion. Together, these 11 areas comprise the major challenges facing the AOC. **Figure 24** provides a combined summary of the opportunities and performance challenges identified by AOC management and the OIG. The OIG's statement defining their identified management opportunities and performance challenges may be found in **Section 04: Other Information**.

In addition to these challenges, the AOC identified four priority risks facing the agency. These risks are identified and described in **Table 15**. The AOC prioritized the risks based on their likelihood of realization and potential mission impact.⁹ An important component of the agency's risk management approach is to ensure that top and emerging risks are identified, managed and incorporated to the AOC's risk management processes as they evolve, so that mitigation plans may be developed promptly.

⁹ The AOC defines risk as the effect of uncertainty on objectives, either positive or negative. The AOC's management challenges are the most serious 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.

Backlog in Deferred Maintenance and Capital Renewal




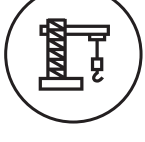
Challenge: The AOC's mission includes preserving and maintaining the aging facilities of the Capitol campus. To meet this mission, the AOC performs proactive, routine maintenance on its facilities and equipment systems to minimize the likelihood of failure. If funds are not available to address the identified preventive maintenance needs, these projects may be deferred or delayed. This deferred maintenance may result in major damage to facilities, disruptions in service, even more costly repairs, and serious health and safety consequences. As of September 30, 2021, the estimated deferred maintenance and capital renewal backlog for the Capitol campus was \$2.05 billion and 56 percent of the AOC's major buildings were rated as either "poor" or "fair" condition. Of the total backlog, \$914 million is required to improve "poor" and "fair" facilities to the minimum acceptable condition.

AOC Initiatives: The AOC's deferred maintenance and capital renewal backlog is the agency's top enterprise-level risk and management challenge. Managing the deferred maintenance backlog requires significant planning. The AOC's Line Item Construction Program (LICP) allows the agency to identify and prioritize needed projects for congressional funding consideration. In conjunction with this program, the agency uses a project charter process to identify the LICP project requirements as early as possible. To support future projects, the AOC developed a facility condition assessment (FCA) dashboard, allowing improved engagement with facility data, work elements, risk ratings and backlogs. This fiscal year, the AOC completed 12 FCAs to identify ongoing facility issues. The assessments provide the AOC with the Facility Condition Index (FCI),

FIGURE 24
Summary of AOC Management 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, Developing and Retaining a Skilled and Engaged Workforce / Human Capital Management	✓	✓
Workplace Safety and Health / Balancing Safety, Security and Preservation	✓	✓
Auditability and Records Retention		✓
Whistleblower Protections		✓
Working Capital Fund		✓
Waste and Accountability		✓

TABLE 15
Summary of Priority Risks

PRIORITY RISK	DESCRIPTION
 <p>Deferred Maintenance and Capital Renewal</p>	<p>If the AOC is not resourced to adequately address its deferred maintenance and capital renewal backlog, continued deferral will increase the effort, time and costs required to preserve buildings and heritage assets and prevent system failures.</p>
 <p>Funding for Information Technology Operations</p>	<p>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.</p>
 <p>Cybersecurity</p>	<p>If the AOC ITD 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 cyber threats that could result in a disruption to the AOC’s operations.</p>
 <p>Construction Project Management</p>	<p>If construction projects are not effectively planned, communicated and executed within the approved parameters (i.e., cost, schedule, safe delivery, high quality and 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.</p>

In FY 2021, the AOC’s Integrated Risk Management Division issued an Enterprise Risk Assessment Survey to the C-suite and other agency managers to identify and rank the agency’s current risks. The results of this survey will support the agency’s reprioritization activities and assist in identifying the risks that the agency will focus on in the near-term (12–18 months). In FY 2022, the Executive Risk Committee will review the survey results and reprioritize the identified risks. The new, reprioritized risks will be reported in the AOC’s FY 2022 PAR.

an objective rating to benchmark a facility’s 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 2026), assuming no additional deferred maintenance funding. Current projections show the percentage of buildings in fair or poor condition to increase from 56 to 74 percent over the next five years, under such conditions. The AOC uses this data to plan for future work.

To aid in the development of preventive maintenance plans this fiscal year, the agency also initiated annual facility asset audits for the CVC, U.S. Capitol, Rayburn and O’Neill House Office Buildings, the USBG’s Conservatory and Production Facility, and the John Adams Building. In addition, the agency continues to ensure that its budget achieves a balance between operational needs and the deferred backlog. Of the \$684.1 million the AOC received in regular FY 2021 appropriations, \$205.9 million was for capital projects, including those that address deferred maintenance and capital renewal — nearly 30 percent of the total. This funding allowed the AOC to address deferred maintenance projects such as the Cannon Renewal, U.S. Capitol Building Exterior Stone and Metal Preservation Project, Russell Exterior Envelope Project, and Rayburn Garage Interior Rehabilitation Project.

To guide its long-range planning, the AOC began developing the Vision 2100 Master and Strategic Plans this fiscal year. These documents will provide an 80-year vision for the Capitol campus and serve as a guide to the next Capitol Complex Master Plan (CCMP). The CCMP provides a 20-year strategy for infrastructure priorities, investments and projects and will inform subsequent five-year strategic plans — helping to ensure alignment between the AOC’s long-term and short-term infrastructure priorities.

This fiscal year, the AOC also began planning for its EAM system. This system will aid the AOC in maximizing facility performance by analyzing facility conditions and streamlining maintenance

activities at an enterprise level. These efforts will help optimize the AOC’s corrective and preventive maintenance needs, mitigating obsolescence and providing a system to forecast resource requirements, reduce costs and ensure their long-term viability.

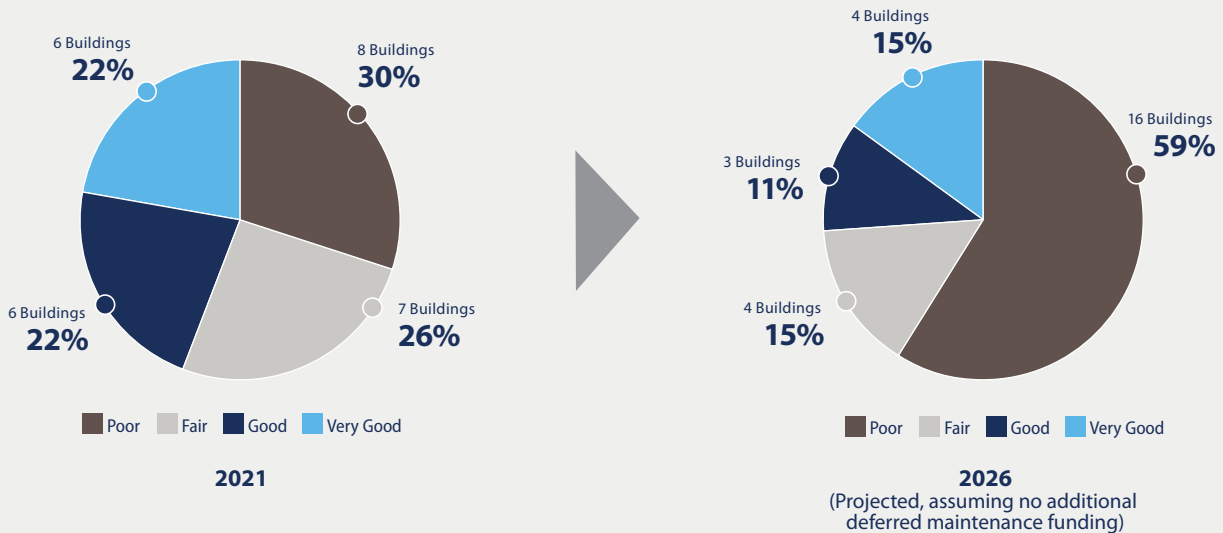
Looking ahead, as the agency continues to develop the Vision 2100 Master and Strategic Plans and EAM initiatives, the AOC will continue to identify, prioritize and manage its deferred maintenance and capital renewal needs. In its FY 2022 budget request, the AOC developed 15 LICP projects to address \$137.9 million of the deferred maintenance and capital renewal backlog. The agency will also establish an annual facility equipment audit program to align with the FCAs. These audits will help to detect signs of equipment failure. Such efforts will help ensure that the AOC continues to explore ways to mitigate its deferred maintenance and capital renewal backlog in an innovative, strategic and cost-effective manner and that the backlog does not affect the AOC’s ability to provide safe, reliable and functional facilities for its tenants, the public and agency staff.

Campus Security

Challenge: Keeping the AOC’s physical infrastructure secure and accessible, coordinating construction security, managing personnel suitability and collaborating with external security partners — while also minimizing the impact of security protocols on those who work on the Capitol campus — is a crucial challenge. The events of January 6, 2021, were an unfortunate demonstration of how important Capitol campus security is, and how formidable this task can be.

AOC Initiatives: The AOC supports the USCP and its efforts to secure the Capitol campus through the maintenance, care and operation of USCP buildings and grounds and through the construction and maintenance of physical security enhancements across the Capitol campus. The AOC’s physical security initiatives and long-term programs support continuity of operations, critical infrastructure

FIGURE 25
FCI Ratings by Major Building, FY 2021 (Actual) and FY 2026 (Projected)



protection, congressional continuity, emergency management, employee and contractor suitability, construction project security, and support for the USCP. Following a six-month review, the AOC's Reorganization consolidated all agency security and emergency service functions under a new Chief Security Officer.

As the AOC's mission-critical infrastructure continues to age, its vulnerabilities increase. This fiscal year, the AOC collaborated with the USCP and the Sergeants at Arms on a phased project to repair and replace security barriers and kiosks, upgrade the West Front lighting, and develop the requirements for enhanced screening vestibules at the North and South Entrances to the U.S. Capitol. Following January 6, 2021, the agency carefully assessed the damage to its historic facilities and marshaled its staff of conservation professionals to treat and maintain the U.S. Capitol's historic fabric and artworks. The Senate and House Appropriations Committees approved a \$30 million internal transfer to address the initial security costs for the temporary perimeter fencing requested by the USCP and support for the National Guard.

At the direction of the Speaker of the House, Lieutenant General Russel L. Honoré, USA (Retired) led a nonpartisan, six-week review to identify immediate or near-term actions that could be taken to improve Capitol campus security. See **Table 16** for excerpts from the task force's recommendations relevant to the AOC. In July 2021, Congress passed an emergency security supplemental appropriation that provided the AOC with \$300 million to implement the task force's recommendations to upgrade windows and doors and install new security cameras.

TABLE 16
Task Force 1-6 Capitol Security Review
(Honoré Report) Recommendations

CATEGORY	SUMMARIZED RECOMMENDATIONS
Capitol Fencing and Infrastructure Improvements	Replace temporary fencing with a mobile fencing option and an integrated, retractable fencing system to secure the U.S. Capitol Building and congressional office buildings.
Mobility Within the Capitol During Emergencies	Install means to selectively compartmentalize areas of the Capitol campus.
Background Checks	Review screening procedures and the use and application of background checks.
Screening Portals and Access Points	Expedite the procurement of screening vestibules for the U.S. Capitol's South and North Entrances, expand the procurement to include other buildings where needed, and expedite the repair and hardening of vulnerable windows and doors.
House Information Technology Systems and Cybersecurity	Centralize IT authority to minimize cybersecurity risks and provide comprehensive oversight.
USCP Command Center and Infrastructure Requirements	Renovate or replace the USCP headquarters and Command Center facilities to accommodate adequate primary and alternate command, control and coordination functions.

The AOC's OIG, in coordination with OIGs from other agencies, initiated a joint oversight project to study the events of January 6, 2021. The project will provide an independent evaluation of the AOC's security procedures, practices and internal policies. See **Table 17** for a summary of the first three reports to the AOC.

TABLE 17
AOC Office of Inspector General Reports*

OIG REPORT	REPORT SUMMARY
Evaluation of the Architect of the Capitol's Emergency Preparedness Posture (February 5, 2021)	The AOC emergency incident drills, exercises and training were generally effective with minor gaps in policy, training preparation and exercise evaluation activities. The AOC's efforts to prepare for, respond to and recover from the COVID-19 pandemic allowed for efficient and sustained operations across the Capitol campus and successfully supported the ongoing operations of Congress, the Supreme Court and the AOC workforce. However, the following weaknesses were identified: the AOC jurisdictional preparation and participation in multijurisdictional emergency management training was not always consistent; the AOC lacked a standardized emergency management training evaluation process; and the AOC organizational Emergency Action Response Plans (EARP) were not consistently updated and aligned with the AOC Base EARP in policy structure and guidance.
AOC's Emergency Preparedness Ahead of the January 6, 2021, U.S. Capitol Event (April 27, 2021)	Before the events of January 6, 2021, the AOC's emergency preparedness posture had gaps in policy and training preparation.
Independent Assessment of the AOC's Role in Securing the Capitol Campus for Large Public Gatherings (May 5, 2021)	The AOC has an important role in the execution of operations to secure the Capitol campus during large public gatherings. However, the AOC's role and responsibilities for the preparation of security plans for large public gatherings is limited. It would be prudent for the AOC to perform the following: coordinate with other stakeholders to reevaluate the responsibilities for design, installation and maintenance of the security systems for the Capitol campus; determine who should execute the responsibilities; and inform the USCP of deferred security maintenance work elements before large public gatherings and events to ensure adequate preparation for securing the Capitol campus.

*For the full text of the OIG reports, see www.oversight.gov.



Following the breach of the U.S. Capitol on January 6, 2021, National Guard troops were stationed on the Capitol campus for more than four months.

The AOC initiated a comprehensive, Capitol campus physical assessment this fiscal year. The assessment team is evaluating physical security options and the related engineering requirements to ensure the overall security of the Capitol campus. The results of the assessment will allow the AOC to provide Congress with budget-level details for necessary security improvements. The assessment is critical to making informed decisions. The Architect of the Capitol is also working with Congress to ensure that the Capitol Police Board is more transparent and accountable, and the AOC is taking steps to ensure better coordination and training for emergency exercises on the Capitol campus. These efforts aim to mitigate future threats to the Capitol campus and allow the U.S. Capitol to remain a secure place for Congress and the American public.

Cybersecurity

Challenge: As demonstrated by recent, serious cyberattacks in the United States, the security of information systems and data is one of the largest challenges that federal agencies, state and local governments and private entities face. The AOC is not an exception and, as indicated in a new enterprise risk assessment this fiscal year, cybersecurity is ranked as its third-highest agency risk. The AOC's various information systems are vital to the continuity of AOC operations and providing security and safety on the Capitol campus. Any breach of the AOC's systems could potentially compromise sensitive information, affect service delivery and hinder the safety and security of those who work on and visit the Capitol campus.

AOC Initiatives: Safeguarding and protecting the AOC's information systems in an effective and efficient manner are critical to the agency's mission success. To address the threat of a cybersecurity breach and to secure sensitive material about the Capitol campus, the AOC maintains a robust cybersecurity program. The agency also works closely with other federal agencies via the Legislative Branch Chief Information Council and Legislative Branch Cybersecurity Working Group to develop and maintain a comprehensive security posture. Based on this year's enterprise risk assessment, the AOC is updating its vulnerability management processes.

The agency's training and testing controls and procedures allow the AOC to effectively detect, report and respond to security incidents. The AOC was the first legislative branch agency to deploy two-factor authentication for system access. In addition, the AOC requires all employees and contractors with access to the AOC network to complete an annual computer security awareness training. This training is based on the understanding that users are the most vulnerable point in information systems security and that increasing user awareness mitigates security risks.

This fiscal year, the AOC increased its number of information security officers and invested in additional security applications. To address the ever-changing threat, the AOC ensures that its systems have the most up-to-date protections and patches and physical protection measures, such as isolated industrial control systems for the Capitol Power Plant and Capitol campus buildings.

The AOC continuously identifies new areas requiring further oversight and direction. To keep its security program current, the agency's information systems are evaluated annually through independent assessments and audits. The AOC also continues to improve the classification and protection of sensitive information (e.g., facility

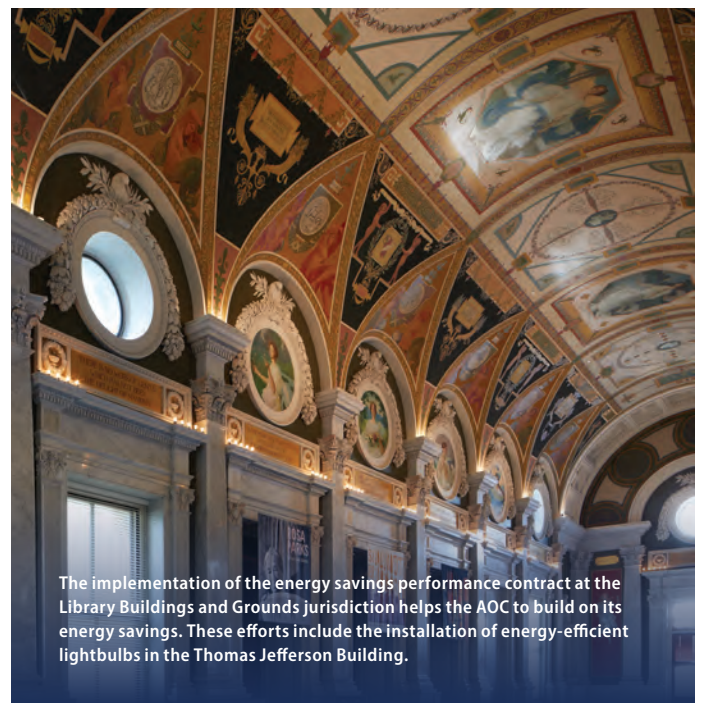
drawings or building systems information) from public disclosure, including employee training on controlled unclassified information.

Energy Stewardship and Sustainability

Challenge: The AOC strives to maximize energy savings throughout the Capitol campus and in all of its improvement projects. Although the AOC's facility portfolio is largely composed of historic buildings that were not built to modern energy usage standards, the AOC has focused on improving the facilities' energy conservation capabilities. Past conservation projects have allowed the AOC to meet each of its energy reduction targets. However, these energy savings were the result of projects that addressed the Capitol campus' largest energy usages. Further energy reduction opportunities will be scarcer and costlier to achieve.

AOC Initiatives: In FY 2021, the AOC met its energy reduction goals to achieve a 42 percent energy reduction and a 35 percent greenhouse gas emissions reduction. Through FY 2020 the AOC was the third highest performing federal agency with respect to energy conservation. The AOC has achieved the government leading levels of energy savings through a focus on facility energy systems, infrastructure assets and training technicians to efficiently manage systems.

With regard to infrastructure, the AOC continued the multiyear Refrigeration Plant Revitalization project, which upgrades outdated and inefficient equipment at the Capitol Power Plant. This multiphase effort is projected to be completed in FY 2025, pending funding for the later phases. As part of this project, in FY 2021, the agency repaired two cooling towers and installed a new electrical switchgear to increase system reliability. The agency is also working on a comprehensive Utility Master Plan for the Capitol campus. This plan will provide a road map of projects and priorities to support a reliable, resilient and sustainable utility system infrastructure and is scheduled to be completed in FY 2022. See **Capitol Highlights: Utility Master Plan for Sustainable Energy.**



The implementation of the energy savings performance contract at the Library Buildings and Grounds jurisdiction helps the AOC to build on its energy savings. These efforts include the installation of energy-efficient lightbulbs in the Thomas Jefferson Building.



CAPITOL HIGHLIGHTS

SENATE UNDERGROUND GARAGE AND LANDSCAPE RESTORATION

This fiscal year, the AOC neared completion of a major, multiphased project to renovate the Senate Underground Garage and Senate Park — the largest design-build project ever undertaken by the agency. The project includes rehabilitating the garage, central fountain, reflecting pool, planters and the surrounding pavement; restoring the area's exterior stonework and plaza walkway; repairing the 20-foot underground garage south wall; and waterproofing and repairing the fountains and upper plaza and the pedestrian tunnel under Delaware Avenue.

The Senate Underground Garage reopened for parking in January 2021, with the fit-out of the garage office spaces and the restoration of the upper and lower plazas, stormwater retention system, reflecting pool and south lawn to be completed in FY 2022. Throughout the project, the AOC has strived to preserve the historic character of Senate Park, taking great care to maintain the original granite walls and walkways, light standards and stone benches. The AOC also planted new landscaping that honors the park's original design.

The project will successfully mitigate water damage to the Senate Underground Garage and restore the Senate Park to its original splendor. The restored landscape is also being renewed with an expected life of 50 or more years and in a manner that will facilitate future waterproofing repair projects.

www.aoc.gov/what-we-do/projects/senate-underground-garage-and-landscape-restoration

The AOC continues to use energy savings performance contracts (ESPC) to maximize energy cost savings and efficiency. These contracts are public-private partnerships that allow the AOC to initiate energy savings projects with little up-front investment. In prior fiscal years, the AOC implemented three ESPCs in the U.S. Capitol and the House and Senate office buildings, resulting in more than \$10 million in annual savings. Building on this strategy, the agency is implementing an ESPC for the Library of Congress facilities managed by the AOC. This multiyear effort is planned for completion in FY 2022. Through energy cost savings achieved by installing energy efficient systems, such as lighting, motors, HVAC controls and water conservation improvements, the project payback period is calculated at 17 years.

For more information, see the Energy and Sustainability Performance Management Report located in **Section 04: Other Information**.

Management of Concurrent Construction Projects

Challenge: To meet the infrastructure needs of the Capitol campus, the AOC simultaneously manages and executes multiple highly visible, large-scale and long-term projects. In FY 2021, these included the Cannon Renewal, the Russell Exterior Envelope Project, the Capitol Power Plant's Refrigeration Plant Revitalization, and the Capitol Exterior Preservation — Stone and Metal Project. To deliver these projects safely, cost effectively and on time, the AOC must balance schedules, costs and risks over numerous project phases, while minimizing disruptions to daily facility operations and sustaining the requisite administrative support to handle the increased construction activity.

AOC Initiatives: The AOC continues to modernize its project planning tools — especially its technology — and enhance management processes to ensure the effective delivery of its design and construction projects. This fiscal year, the AOC initiated approximately 100 projects using the new e-Builder PMIS. The transition from the agency's outdated system to the e-Builder system enables effective management of both design and construction, while providing project managers with more accurate costs, schedules, resources, data analytics and other essential project execution data.

Other efforts included a pilot program for long-range site planning at the Thomas Jefferson Building. This program engaged the Library of Congress stakeholders with the AOC's project managers and jurisdiction leadership in bimonthly meetings to identify anticipated project conflicts and coordination needs. Additionally, the agency geolocated and mapped the requirements identified in FCAs for planned LICP projects at the U.S. Capitol Building and the U.S. Capitol Grounds over the next five years.

The AOC will continue to prioritize critical centralized services and personnel that directly support its infrastructure projects. However, with a surge in major projects over the past several years, staffing is a constant issue — especially in regard to project studies, planning, design and development, construction oversight and management. To overcome this staff shortfall, the agency has increased the use of temporary project-funded staff, including project managers, construction managers and inspectors. However, these are not



The AOC simultaneously manages multiple highly visible, large-scale and long-term projects, such as the renewal of the Cannon House Office Building, shown here.

permanent solutions. To that end, the agency created and filled new program management and construction management supervisory positions. The AOC must also evaluate the effects of the COVID-19 pandemic on its on-site project staffing decisions to keep staff, contractors and building occupants safe.

This fiscal year, as part of the agency's Reorganization, the AOC established the Building Official program initiative to guide and enforce facility codes for the agency's construction portfolio. Under this initiative, the Building Official program will track all construction and infrastructure work in a centralized data system, allowing for the independent verification that construction projects meet established building codes and enterprise facility standards.

Looking forward, the AOC will continue to implement and centralize its PMIS and processes, focusing on the integrated coordination of the agency's capital project portfolio and using its project data to inform evidence-based decision-making. These efforts will increase the AOC's understanding of project and program interdependencies and improve the life-cycle management of the agency's physical assets.

Attracting, Developing 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 often 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 years. The number of employees approaching retirement age raises concern about the loss of institutional knowledge that is critical to the agency's succession planning and continuing ability to meet its mission.

AOC Initiatives: The AOC is committed to identifying current and future workplace priorities, improving succession planning, and supporting employee growth and development by strengthening access to skills training and educational resources. These commitments guide the AOC to attract and retain skilled individuals and develop a pipeline of internal candidates for open positions, which bolsters succession planning and ensures that the agency maintains sufficient personnel to meet current and future staffing demands.

In FY 2021, the AOC initiated a Human Capital Strategy initiative — part of the agency's organizational transformation — to ensure workforce readiness, close skills gaps through employee development, and maximize employee talents, skill sets and competencies. This effort was led by the newly created Human Capital Strategy core team and a cross-functional working group. Through interagency data-gathering initiatives — such as employee focus groups and extensive interviews with AOC leadership — these teams identified a range of recruitment challenges in skilled trade and competitive labor markets. Recruiting for skilled trade positions was identified as a key focus area in the Human Capital Strategy, and the AOC began to address this in FY 2021 by revisiting prior educational partnerships and reestablishing agreements and apprenticeship programs. The summer internship program, another pipeline to attract and recruit aspiring and talented young workers to the agency, resumed in a limited capacity in FY 2021 after being canceled in 2020 due to COVID-19.

To foster the development of its current workforce, the agency laid the groundwork for AOC University, an agencywide initiative to provide training, education, professional development and career advancement opportunities to existing employees. To maintain benefits commensurate with developing workplace trends, the agency updated its telework policy and made permanent some of the workplace flexibilities that were successfully implemented during the pandemic. Additionally, the agency developed in-house

training capabilities, which allow the AOC to tailor courses to the specific needs of the agency and provide AOC employees with the skills and knowledge to perform their work safely and meet the agency's mission.

Workplace Safety and Health

Challenge: The AOC is responsible for ensuring a safe and healthy environment for all who work at or visit the Capitol campus. To uphold health and safety standards, the agency integrates emergency preparedness measures, fire and life-safety planning, and environmental compliance into its daily operations and large-scale projects. Meeting the safety requirements of the Capitol campus, while simultaneously providing access to public buildings and preserving the historic and architectural integrity of AOC facilities, is a significant management challenge. This challenge has been compounded by the COVID-19 pandemic.



Every four years, the AOC is responsible for constructing the presidential inaugural platform on the U.S. Capitol Building's West Front. Shown here, Architect of the Capitol J. Brett Blanton (left) inspects the construction site.

AOC Initiatives: Fostering and sustaining a robust safety culture and continually integrating precautionary measures into its operations and construction projects is one of the AOC's top priorities. This culture includes design reviews, fire and life-safety code compliance, fire alarm testing, walk-through inspections, construction specifications and hazardous waste management.

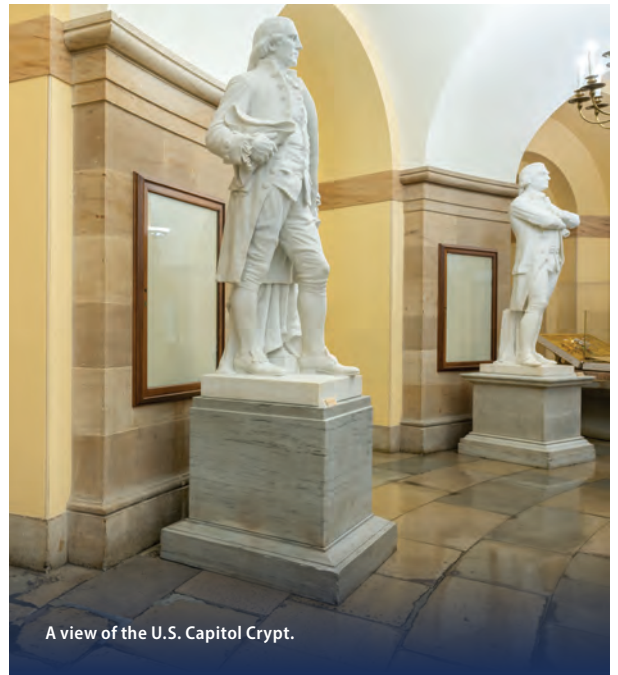
The agency's top workplace safety and health management challenge was the implementation of COVID-19 pandemic response and mitigation measures. The AOC provided enhanced cleaning services for rooms and offices deemed high-risk by the OAP and acquired the necessary personal protective equipment for the entire legislative branch. The agency also adapted its work procedures to maximize safety, including telework and alternating on-site schedules, as well as requiring face coverings and social distancing for its on-site employees. To ensure the AOC was observing the most up-to-date, fact-based guidance, the agency maintained pandemic data and guidelines from the World Health Organization, CDC and other sources. The AOC's Office of Safety and Code Compliance sent 256 daily COVID-19 reports to the C-suite and the Office of the Chief Security Officer sent situation reports to congressional leadership regarding the AOC's health and operating status. AOC leadership received weekly pandemic briefings that included vaccine status and availability, local virus transmission statistics, and other relevant information. To ensure the safety of all personnel required to work on-site, the agency created and updated pandemic guidance and recommended controls for employees requiring special accommodations.

The AOC has launched a Building Official program to oversee code compliance for AOC-managed facilities and activities, providing a means to ensure industry standards are met for life-safety, building safety and service quality. The AOC is also developing a full suite of safety-related training programs with the help of a new training specialist, allowing courses to be tailored to specific agency needs. These initiatives provide consistency to the adherence of safety measures across the agency.

Looking ahead, the AOC will continue providing quality assurance for safe project design and construction. Planned efforts include standardizing the design review process, permit applications and issuances, and inspection cycles. The agency is also establishing and refining metrics that better assess the effectiveness of safety programs, identify improvement opportunities and assure agency code compliance.



The AOC constructed the platform for the 59th Presidential Inauguration.



A view of the U.S. Capitol Crypt.



An AOC employee repairs the stone entranceway of the Cannon House Office Building.



The AOC supported lying in honor ceremonies for two U.S. Capitol Police officers in FY 2021.

THE YEAR IN PHOTOS

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



The AOC completed the election-year office moves for the 117th Congress.



The USBG offered more than 170 virtual programs and field trips during the fiscal year.



An AOC gardener inspects plants on the Capitol campus.



The U.S. Forest Service donated historic lumber to repair damage to the U.S. Capitol.



An AOC employee cleans graffiti off the Peace Monument on the U.S. Capitol Grounds.



An AOC woodworker prepares the replacement doors for the U.S. Capitol.



Members of Congress, the U.S. Capitol Police and other police and military personnel pay their respects in the Rotunda of the U.S. Capitol Building during the lying in honor ceremony of Officer Brian D. Sicknick, who died following injuries sustained in the line of duty on January 6, 2021.

PERFORMANCE INFORMATION

Introduction

This section presents the AOC's performance and progress toward achieving the goals identified in the AOC Strategic Plan FY 2017–2021. FY 2021 was the fifth and final year the AOC operated under this plan. The Strategic Plan defines four strategic goals that focus the AOC's efforts to execute its mission, leverage core competencies, and pursue the agency'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 support employee engagement and accountability as well as promote a culture of innovation, collaboration and safety.

The Strategic Plan defines the agency's strategic performance framework, including the goals and the accompanying strategic objectives that reflect the outcomes or impacts the AOC strives to achieve. Key performance indicators (KPI) allow the AOC to measure performance against specific targets and monitor progress toward meeting the strategic objectives and goals. The AOC's annual Performance Plan lays the foundation for the agency's long-term success and provides a governance framework to support effective C-suite engagement. The AOC refreshes its Performance Plan annually to adapt its approach based on performance reviews and changes in internal and external operating environments. In FY 2021, seven initiatives were added to the Performance Plan to guide the agency as it develops its next Strategic Plan. For more information on the AOC's Strategic Plan, see: www.aoc.gov/publications.

In late FY 2021, the AOC developed a bridging strategy as part of the agency's organizational transformation and adoption of new ASI. A bridge Strategic Plan will be in effect with the start of FY 2022 and will maintain the agency's strategic goals and initiatives until the next five-year Strategic Plan is completed. Once adopted, the new five-year Strategic Plan will build on the successes of the AOC Strategic Plan FY 2017–2021 by including strategic goals and objectives that further the AOC's ability to meet its mission.

TABLE 18
Strategic Objectives and Key Performance Indicators
by Strategic Goal

STRATEGIC GOAL	STRATEGIC OBJECTIVES	KEY PERFORMANCE INDICATORS
Maintain Awe-Inspiring Facilities	2	11
Provide Extraordinary Services	1	2
Foster an Innovative and Empowered Workforce	3	6
Operate as One Team, Dedicated to One Mission	2	0
Total	8	19

PERFORMANCE MANAGEMENT

As a legislative branch agency, the AOC does not have mandated performance reporting requirements, though it uses this report to publish its performance results for transparency and accountability. 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. Similarly, the AOC does not contribute to the OMB's Cross-Agency Priority (CAP) Goals.

This section lists each strategic goal with its associated strategic objectives and KPIs. Each KPI includes a definition, a target, current-year results, five prior years of trend data (when available) and data sources. As identified in **Table 18**, the AOC measured 19 KPIs in FY 2021, aligned with eight strategic objectives. The KPIs are measured with data as of the end of the fiscal year. No KPIs are aligned to the Operate as One Team, Dedicated to One Mission strategic goal in FY 2021. The agency's FY 2021 Performance Plan focused on streamlining its KPIs so that those reported were quantifiable and showed progress towards meeting the AOC's mission. As the new Strategic Plan is developed, the AOC is defining

strategic goals, objectives, and strategies that reflect the AOC's mission and KPIs that provide meaningful performance data.

As shown in **Figure 26**, the AOC met the performance targets for 11 of 19 KPIs and did not meet the target for eight KPIs in FY 2021.

COVID-19 Pandemic and Agency Performance

The AOC successfully continued facility operations and delivered quality projects in FY 2021, while maintaining rigorous adherence to COVID-19 safety protocols. Although the Capitol campus remained open for congressional Members, staff and official visitors, it was closed to the public for the entire fiscal year. In FY 2021, the AOC minimized its on-site staff and maximized its use of telework to protect the health and well-being of its employees, visitors and building occupants, while continuing to provide essential services for the Capitol campus. The AOC also maintained sufficient staff that could be recalled to backfill employees who might become ill or need to be quarantined. In addition, the agency implemented social distancing procedures to protect employees and contractors on its construction projects.

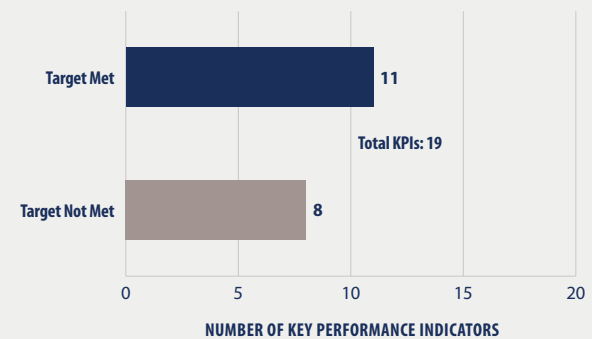
For FY 2021, the AOC reduced the number of KPIs from 42 to 19 — a net reduction of 23. Nearly three-quarters of this reduction stemmed from the AOC's decision to decline participation in the Federal Employee Viewpoint Survey, which eliminated 17 KPIs across a variety of areas such as safety, security, communication and human capital management. Additional KPIs dropped from the previous year were removed because of COVID-19 pandemic restrictions (e.g., the TripAdvisor Ratings and the Business Units that Conducted Emergency Exercises indicators). Further, as a result of the AOC's Reorganization, a thorough review of the AOC's strategic vision, core values and strategies streamlined the KPIs being measured to focus on core mission areas like construction, sustainability and safety.

Data Validation and Verification

The AOC is committed to ensuring the completeness, reliability, usefulness and quality of the 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 agency assessments that address standards and processes, data entry, transfer, integrity, limitations and governance. The assessments occur frequently in the development stages of dashboards and management reports to mitigate errors before deployment, as well as to confirm the usefulness of the data in decision-making. 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
- Use of automated and manual data checking procedures
- Analysis of data and identification of possible discrepancies for resolution

FIGURE 26
Key Performance Indicator Results



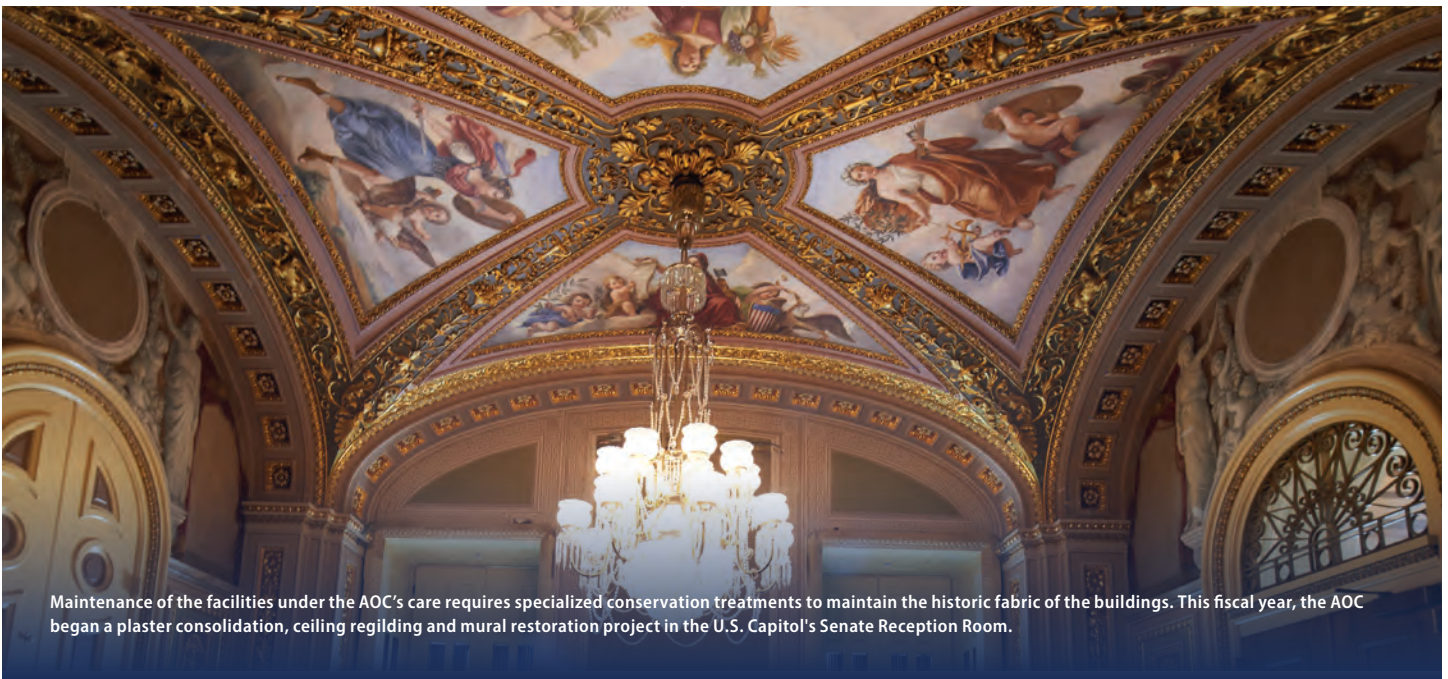
- Implementation of controls such as restricting permissible values, flagging outliers for review and visualizing results
- Review by data owners, data users and subject matter experts
- Deployment of enterprise tools for standardized reporting
- Review and discussion of performance results with the senior leadership
- Improvement of data integrity by ensuring internal reports and dashboards use the same data sources and support calculations

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, underlying calculations, 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. Corporate performance dashboards allow the AOC to assess performance, ensure data quality and enable the automated reporting of analytics with authoritative data. To improve the reliability of its performance data, the AOC certifies data sources, performs quality checks of indicator outputs, and uses the dashboard software to flag input errors and execute test calculations.

In FY 2021, 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 continued operational impacts resulting from COVID-19 and the desire to streamline the agency's performance measurement on core mission tasks, the AOC conducted an internal review of all KPIs to assess execution status, performance impacts and data availability. The AOC achieved this through interviews with the C-suite, reviews of delayed activities and assessments of indicators within the AOC's Corporate Performance Dashboard.

Key to Performance Results:

✔ Target Met | ✘ Target Not Met



Maintenance of the facilities under the AOC's care requires specialized conservation treatments to maintain the historic fabric of the buildings. This fiscal year, the AOC began a plaster consolidation, ceiling regilding and mural restoration project in the U.S. Capitol's Senate Reception Room.

STRATEGIC GOAL 1

Maintain Awe-Inspiring Facilities

GOAL DEFINITION

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

The AOC's first strategic goal focuses on the core mission responsibilities to operate, manage and preserve the iconic buildings, grounds and heritage assets of the Capitol campus. Under this goal, the AOC supports congressional and Supreme Court of the United States operations through the provision of effective facilities management, project delivery, cultural preservation and related services. The agency employs experts in tradecrafts who work to balance the agency's unique responsibility of preserving historic buildings while meeting modern workforce needs. As part of this goal, the AOC develops sustainability practices for the Capitol campus — which includes the Capitol Power Plant — that significantly reduce the agency's energy usage and save millions of taxpayer dollars. In addition, this goal prioritizes deferred maintenance and essential capital renewal projects. This strategic goal includes two multiyear strategic objectives designed to help the AOC:

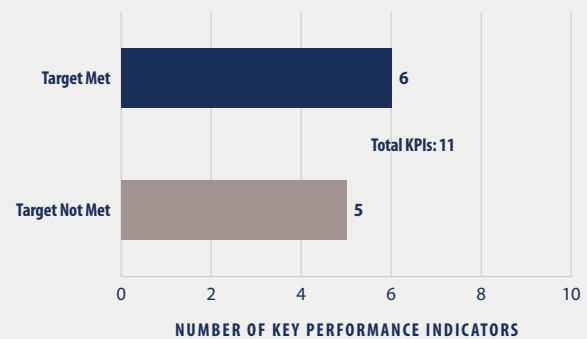
- Reliably deliver high-quality capital projects
- Preserve, maintain and operate facilities and cultural resources at the highest levels

To accomplish these objectives, the AOC strives to deliver all capital improvement projects on time, within budget, safely, with high quality and minimal disruptions to mission-critical client

operations. The AOC also researches industry standards to inform the development of implementation plans for achieving desired performance levels for each key operational function.

The AOC monitored 11 KPIs for this strategic goal in FY 2021, the results of which are summarized in **Figure 27**. The agency met or exceeded its target for six KPIs and did not meet its target for five KPIs.

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



Projects Delivered On Time

MAINTAIN AWE-INSPIRING FACILITIES KPI 1

Planning, managing and delivering construction projects on established schedules enables the AOC's customers — which include the U.S. Senate and House of Representatives — to carry out their missions effectively. The efficient delivery of new and rehabilitated facilities reduces resource demands and translates into higher operational effectiveness and lower costs. The AOC strives to strengthen, standardize and streamline its project delivery processes, roles and responsibilities. This is accomplished by defining and tracking project indicators, expanding the use of the Project Management Information System (PMIS); incorporating enhanced project planning and processes, managing roles and responsibilities through Responsible, Accountable, Consulted and Informed (RACI) matrices; and mitigating unplanned disruptions.

This KPI tracks the delivery of new construction projects within their established timelines. The AOC defines a project as on time if the forecast completion date is on or before both the external client delivery date and the current estimated completion date. Based on the prior fiscal year's project data, over 75 percent of the AOC's projects were on time. The AOC used the indicator baseline data and industry benchmarks to set a target at equal to or greater than 80 percent.

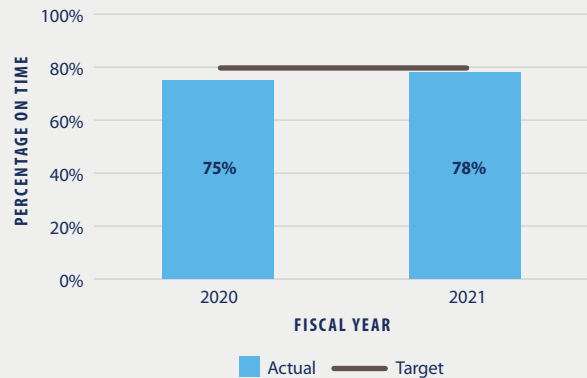
Performance Results: This fiscal year, as shown in **Figure 28**, the AOC did not meet its targeted performance, though it achieved an on-time rate of 78 percent for FY 2021. This result was only slightly above last year's rate. The effect of COVID-19 and the events of January 6 limited access to the work sites and caused supply-chain issues, resulting in scheduling disruptions. In FY 2021, the AOC continued implementing PMIS for its project portfolio and conducted a two-day internal training session for agency employees involved in project delivery to ensure that its staff was aware of project management processes, procedures, resources and support organizations. The implementation of the new system will improve processes, project status and data collection regarding project execution and delivery. To strengthen accountability and transparency throughout the project life cycle, the AOC analyzed practices that led to unplanned disruptions and continued to define roles and responsibilities through RACI matrices.

⊗ **Target Not Met**

TREND

After establishing a baseline level last year, the agency delivered 78 percent of its projects on time, falling short of its target.

FIGURE 28
Projects Delivered On Time



Definition: Number of construction projects delivered on time divided by total number of construction projects

Source: Project Management Information System, October 19, 2021

Target: ≥ 80% of projects are delivered on time

⊗ **TARGET NOT MET**

Projects Delivered Within Budget

MAINTAIN AWE-INSPIRING FACILITIES KPI 2

This 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 zero and the forecast cost is less than or equal to the remaining contingency after change orders. Based on the prior fiscal year's project data, over 91 percent of projects were within budget. The AOC used the baseline data and industry benchmarks to set a target at equal to or greater than 90 percent.

Performance Results: This fiscal year, as shown in **Figure 29**, the AOC did not meet its targeted performance, achieving 78 percent of projects within budget for the fiscal year. The effect of COVID-19 and the events of January 6 limited access to work sites and caused schedule delays, supply-chain complications and higher construction material and labor costs, resulting in greater costs than budgeted. In FY 2021, the AOC updated its risk assessment analysis and continued collaborating with other federal agencies for replacing its cost estimating software, which will allow improved project cost benchmarking and estimating accuracy. **⊗ Target Not Met**

Projects Delivered Safely

MAINTAIN AWE-INSPIRING FACILITIES KPI 3

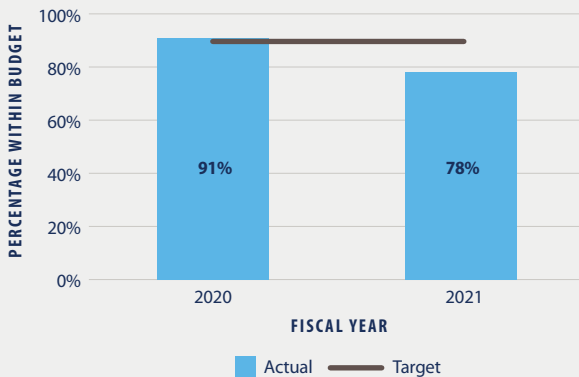
This KPI tracks the safe delivery of new construction projects pursuant to Occupational Safety and Health Administration (OSHA) guidelines. Project safety is measured using the OSHA recordable incident rate: (number of injuries) × (200,000) / (total hours worked by employees). A project is considered safely delivered if the total recordable incident rate is less than or equal to 75 percent of OSHA's industry average. The AOC's FY 2020 project data showed projects at 83.4 percent of the industry average. The AOC used the baseline data and industry benchmarks to set a target of projects achieving 80 percent or less of the industry average.

Performance Results: This fiscal year, as shown in **Figure 30**, the AOC's projects with a recordable incident rate of 87 percent of the OSHA industry average, falling short of the targeted rate of 80 percent or less. In FY 2021, the AOC developed a full suite of safety-related trainings and supported safety in projects, including the review of designs and specifications for fire protection, life-safety systems and environmental compliance. In response to the continuing COVID-19 pandemic, the agency developed an agile framework to maintain safe construction operations, including converting eligible staff to remote work, implementing staggered and alternating shifts, and maintaining procedures for construction site separation and worker distancing. **⊗ Target Not Met**

TREND

The agency delivered 78 percent of its projects within budget this fiscal year, falling short of its target.

FIGURE 29
Projects Delivered Within Budget



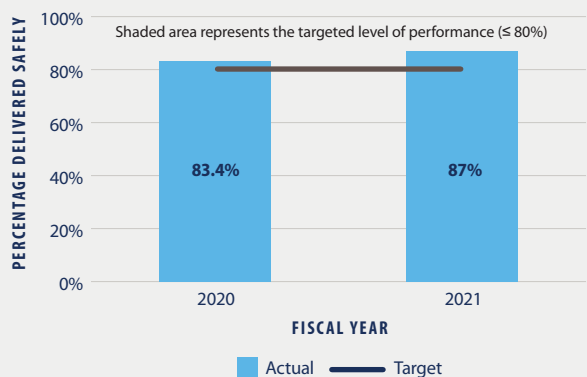
Definition: Number of construction projects delivered within budget divided by total number of construction projects
Source: Project Management Information System, October 19, 2021
Target: ≥ 90% of projects are delivered within budget

⊗ TARGET NOT MET

TREND

The agency's recordable incident rate of 87 percent fell short of its target.

FIGURE 30
Projects Delivered Safely



Definition: OSHA recordable incident rate = (number of injuries) x (200,000) / (total hours worked by employees)
Source: Number of injuries sent to the U.S. Department of Labor (DOL): HCMD, Employee Benefits and Services Branch, National Finance Center bimonthly information data file via ODS for the number of employees, October 22, 2021
Target: Recordable incident rate of ≤80% of OSHA's industry average is achieved

⊗ TARGET NOT MET

Reduce Cumulative Energy Intensity Use

MAINTAIN AWE-INSPIRING FACILITIES KPI 4

This annual KPI addresses the success of the AOC’s energy and sustainability program by measuring the cumulative reduction of energy use on the Capitol campus. Through FY 2015, the AOC achieved cumulative energy reductions of over 30 percent, as mandated under the *Energy Independence and Security Act of 2007*. This accomplishment capped 10 years of energy reductions by the AOC, saving the agency over \$94 million. Starting in FY 2016, to build on its progress, the AOC targeted an additional 2 percent reduction per year over the next 10 years (i.e., the 32 percent target for FY 2016 increased to 42 percent for FY 2021 and will ultimately reach 50 percent in FY 2025). This indicator is designated as a high-level KPI for the AOC.

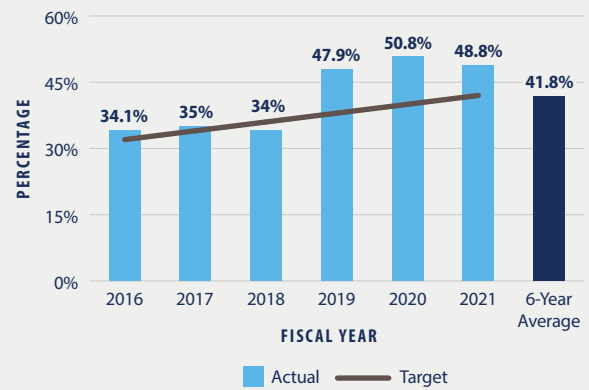
Performance Results: This fiscal year, as shown in **Figure 31**, the AOC met its targeted performance, achieving a cumulative reduction of 48.8 percent. Completed energy savings performance contract (ESPC) projects in the U.S. Capitol Building and the House and Senate office buildings continue to provide energy and water savings for the Capitol campus. Further savings resulted from retro-commissioning mechanical systems and improving building system monitoring. The implementation of large-scale Capitol campus infrastructure projects, such as the Cannon Renewal and the ongoing ESPC at the Library Buildings and Grounds jurisdiction, will help the agency to build on these energy savings. In FY 2021, the AOC met its targeted performance, though the cumulative performance was down 2 percentage points from the previous fiscal year. This was due to routine maintenance on the Cogeneration Plant, which caused it to be offline more frequently, and the implementation of HVAC operational changes related to COVID-19 best practices to increase building ventilation rates and raise filtration levels. In addition, the AOC’s facilities required increased electric usage during the second half of FY 2021 as more building occupants returned to on-site work at the Capitol campus. **✔ Target Met**

In FY 2020, the AOC had one KPI that addressed energy and sustainability targets with 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 had its own target, and the previous KPI required the AOC to meet all five targets. For FY 2021, the AOC disaggregated the KPI into five separate performance indicators (AIF KPIs 4-8). This change facilitates the management and tracking of these sustainability programs.

TREND

The agency’s performance exceeded its target for five of the past six fiscal years.

FIGURE 31
Reduce Cumulative Energy Intensity Use



Definition: BTUs divided by buildings’ gross square feet
Source: Utility bills, November 3, 2021
Target: Reduce cumulative annual energy intensity use an additional 2% (42% target for FY 2021)

✔ TARGET MET

Reduce Potable Water Use

MAINTAIN AWE-INSPIRING FACILITIES KPI 5

This KPI measures the AOC’s cumulative reduction of potable water use on the Capitol campus. According to the U.S. Environmental Protection Agency, increasing usage of water resources has led to greater water scarcity and a growing demand for high-quality water. This KPI measures the AOC’s sustainable water usage. The target calls for an additional 2 percent reduction from the prior year. The 26 percent target for FY 2020 increased to 28 percent for FY 2021.

Performance Results: This fiscal year, as shown in **Figure 32**, the AOC met its targeted performance, reducing potable water usage by 53.4 percent. The AOC focused on water consumption and continued to reconcile water usage, malfunctioning meters and billing. The agency also initiated a potable water survey to help reduce costs, improve efficiency and quantify savings. Current water reduction figures are significantly higher than the previous years, primarily based on the low building occupancy rate during the COVID-19 pandemic. The agency expects the water use figures to increase to prepandemic levels as occupancy of the buildings increase postpandemic. **✔ Target Met**

Divert Building Occupant Waste

MAINTAIN AWE-INSPIRING FACILITIES KPI 6

This KPI measures the amount of building occupant waste the AOC diverted from landfills for recycling, including paper, bottles, cans, printer cartridges and decommissioned computer equipment. The target calls for diverting an additional 2 percent of waste from the prior year. The FY 2020 target of 48 percent increased to 50 percent for FY 2021.

Performance Results: This fiscal year, as shown in **Figure 33**, the AOC did not meet its targeted performance, diverting just 34 percent of waste produced. The volume of recycled paper, the largest contributor to recycled building occupant waste, was down significantly from prior years due to the limited number of on-site staff. During the pandemic, significant amounts of used personal protective equipment entered the waste stream. Finally, significant nonrecyclable building occupant waste was generated by the increased security forces on the Capitol campus between January and May 2021. The AOC expects its recycling rates to normalize once building occupancy returns to prepandemic levels. **✘ Target Not Met**

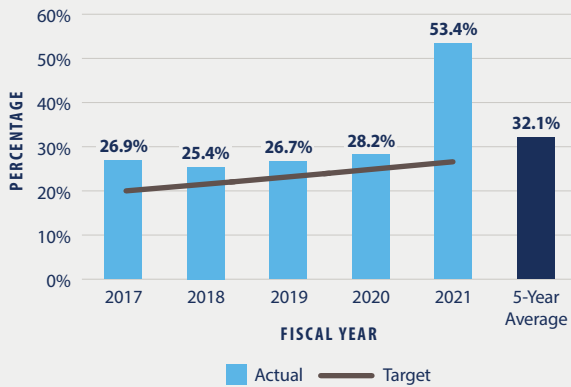
TREND

The agency’s performance exceeded its target for all five fiscal years it has measured water use.

TREND

The agency’s recycling performance has missed its target for the past three fiscal years.

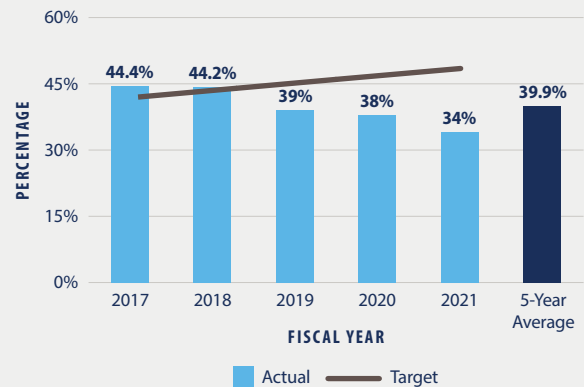
FIGURE 32
Reduce Potable Water Use



Definition: Water usage divided by building’s gross square feet
Source: Utility bills and meters, November 3, 2021
Target: Reduce cumulative annual potable water use an additional 2% (28% target for FY 2021)

✔ TARGET MET

FIGURE 33
Divert Building Occupant Waste



Definition: Occupant waste diverted divided by total occupant waste
Source: OCE Sustainability Information Management System, October 29, 2021
Target: Divert cumulative annual building occupant waste an additional 2% (50% target for FY 2021)

✘ TARGET NOT MET

Compost Nonconstruction Waste

MAINTAIN AWE-INSPIRING FACILITIES KPI 7

This KPI measures the amount of nonconstruction waste (e.g., food and organic waste) diverted from landfills for composting. The AOC’s annual target is to compost 10 percent of its nonconstruction waste. Composting food and organic waste creates a product that can be used to improve soils, grow the next generation of crops and improve water quality.

Performance Results: This fiscal year, as shown in **Figure 34**, the AOC composted 10 percent of its nonconstruction waste, meeting its targeted performance. The composting rate is expected to increase as cafeterias reopen and personnel return to the buildings. Further improvements will result as individual AOC jurisdictions prioritize waste management. This fiscal year, the House Office Buildings initiated a program to reduce food waste in the Longworth House Office Building Café and assorted House eateries. In addition, the Senate Office Buildings began a Master Plan Study of the Senate restaurants to modernize food service practices. **✔ Target Met**

Divert Construction and Demolition Debris

MAINTAIN AWE-INSPIRING FACILITIES KPI 8

This KPI measures the amount of construction and demolition debris that is a byproduct of construction, remodeling, renovation and repair. These materials are often bulky or heavy and include concrete, drywall, wood and ceiling tiles. This debris can often be recycled and reused instead of sent to landfills. The AOC’s annual target is to divert 90 percent of its construction waste.

Performance Results: This fiscal year, as shown in **Figure 35**, the AOC met its targeted performance by diverting 92 percent of its construction and demolition debris. Despite the COVID-19 pandemic, Capitol campus construction activities remained active and efforts to divert construction and demolition debris continued. As a result, the AOC diverted approximately 5,000 tons of construction and demolition debris from landfills. All major construction projects executed by the AOC contain contract clauses to maximize diversion of construction debris from landfills. Minimum standards in these contracts typically call for a 90 percent construction debris-recycling rate, helping the AOC to achieve its performance target. **✔ Target Met**

For more information, see the AOC’s annual Energy and Sustainability Performance Management Report, located in **Section 04: Other Information**.

TREND

The agency met its performance target in each of the past five fiscal years.

FIGURE 34
Compost Nonconstruction Waste



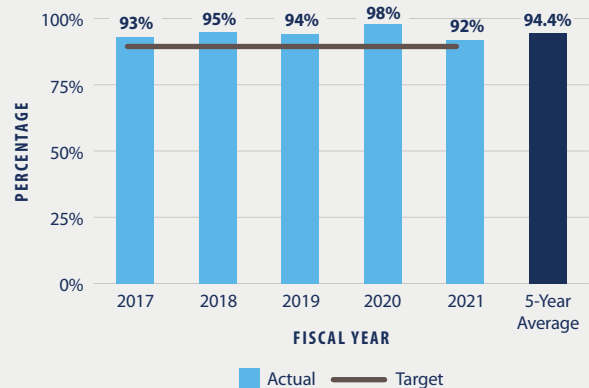
Definition: Nonconstruction waste composted divided by total nonconstruction waste
Source: OCE Sustainability Information Management System, October 29, 2021
Target: Compost ≥ 10% of nonconstruction waste annually (the FY 2019–FY 2020 target was 8% and the pre-FY 2019 target was 6%)

✔ TARGET MET

TREND

The agency met its construction debris recycling target in each of the past five fiscal years.

FIGURE 35
Divert Construction and Demolition Debris



Definition: Construction and demolition debris reduced, reused or recycled divided by total construction and demolition debris
Source: OCE Sustainability Information Management System, October 29, 2021
Target: Divert ≥ 90% of annual construction and demolition debris from landfills

✔ TARGET MET



CAPITOL HIGHLIGHTS

RESTORATION OF THE OLMSTED LANTERNS

In 1873, Congress commissioned the acclaimed American landscape architect Frederick Law Olmsted to design the newly expanded grounds of the U.S. Capitol. His elaborate landscape plans for the 58.8-acre site included walkways, walls, fountains and the grand marble terraces that flank the north, west and south sides of the U.S. Capitol Building. Among Olmsted’s most prominent design features are 14 ornamental lanterns that light the two diagonal walkways leading from each end of the Capitol Reflecting Pool to the U.S. Capitol’s west terrace. The bronze and glass lanterns are mounted on ornately carved sandstone piers, which reflect an eclectic mix of Asian and Victorian-era influences popular during Olmsted’s lifetime.

In FY 2021, the AOC completed significant restoration of eight of the 14 Olmsted lanterns. The two-year restoration project involved cleaning and restoring the original bronze, replacing the glass, cleaning the stonework and rewiring the lighting systems.

Many of the lanterns’ bronze and iron components were corroded and at a point of failure. To repair these parts, the AOC removed and dismantled the lanterns, and then cleaned, patinated and lacquered the bronze. Damaged areas were replaced where appropriate. While the metal repair was underway, electricians retrofitted the lanterns with specialized LED lights that resemble the flames of the original gas-fired fixtures. Replica historic glass was also made to replace white plastic sheeting from a previous repair. The restoration returned the lanterns to their original 19th-century appearance and upgraded them to meet modern safety and energy standards.

www.aoc.gov/explore-capitol-campus/frederick-law-olmsted

Facility Condition Index

MAINTAIN AWE-INSPIRING FACILITIES KPI 9

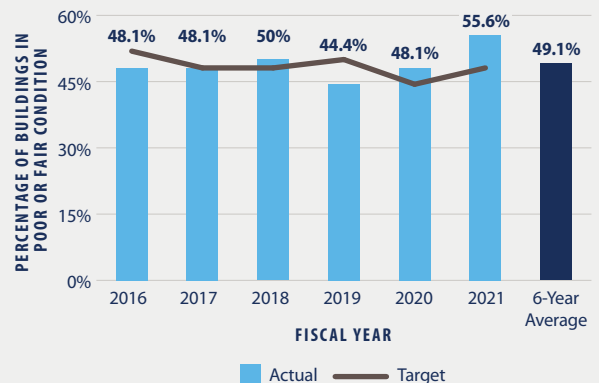
This KPI measures the AOC’s ability to maintain its facility inventory and is based on the Facility Condition Index (FCI), a standard facility benchmark to assess a facility’s current and projected condition objectively. The FCI categorizes facilities either as poor, fair, good or very good. The FCI is calculated as the estimated cost of deferred maintenance divided by the building’s 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. The performance target is for the percent of major buildings in poor or fair condition to be less than or equal to that calculated for the previous year. For purposes of this indicator, 27 of the AOC’s facilities are considered major buildings. There has been no change in the methodology for computing deferred maintenance and current replacement value from prior years. Owing to the advanced age of many of the AOC’s facilities, maintaining their condition in at least good condition is a priority for the agency. This indicator is designated as a high-level KPI for the AOC.

Performance Results: In FY 2021, as shown in **Figure 36**, the percentage of major buildings in either poor or fair condition increased from 48.1 percent to 55.6 percent (15 of the 27 major buildings). This fiscal year, to ensure that the information used to measure the buildings’ condition was up-to-date, the AOC completed 12 facility condition assessments (FCA) to modify the FCI computations and identify ongoing facility issues. After the recent reassessments, two facilities (Union Square and Capitol Square)

TREND

The agency missed its FCI performance target the past two fiscal years.

FIGURE 36
Facility Condition Index



Definition: Percentage of buildings in “poor” or “fair” condition
Source: AOC Facility Assessments, FY 2021
Target: Percent of buildings in “poor” or “fair” condition ≤ previous year

X TARGET NOT MET

declined from good condition to poor condition. The assessments of the remaining 13 facilities previously reported in poor or fair condition last fiscal year did not change. Despite the increase in buildings with an FCI assessment of poor or fair this fiscal year, the AOC continued to make progress in the deferred maintenance and capital renewal backlog. An FCA dashboard was implemented for

jurisdiction managers, providing up-to-date facility data and allowing the agency to monitor its portfolio of major buildings and optimize the public’s investment in the federal facilities. Since the percentage of buildings in poor or fair condition increased in FY 2021, the AOC did not meet its performance target for this KPI.

⊗ **Target Not Met**

Energy Reduction by Building

MAINTAIN AWE-INSPIRING FACILITIES KPI 10

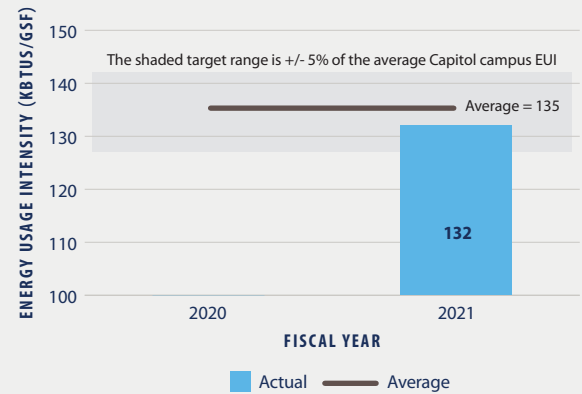
This KPI measures the progress of reducing energy usage within each building of the Capitol campus. In developing this performance indicator in FY 2020, the AOC conducted meetings with each jurisdiction to reevaluate energy targets for steam, chilled water and electricity usage for each building. The AOC assessed energy consumption data and energy usage intensity (EUI) from previous years to establish new, agreed-upon targets that take into consideration the current operating environment and ongoing energy conservation projects. Performance is reviewed at energy management working group meetings and corporate facility management meetings. The target is considered met if the actual average Capitol campus EUI is within 5 percent of the average Capitol campus EUI target.

Performance Results: As shown in **Figure 37**, in FY 2021, the AOC achieved an overall average campus EUI of 132 thousand British thermal units (KBTU) per gross square foot (GSF) compared with the target average campus EUI of 135 KBTU/GSF. The overall actual building EUI was 2.2 percent lower than the target EUI, falling within the +/- 5 percent performance target range. The individual building EUI indicator was developed using energy modeling to establish energy performance targets for all large facilities within the AOC portfolio. The building targets are adjusted annually to account for ongoing funded energy conservation projects. Weekly and monthly steam, chilled water and electricity usage is tracked with reports sent to each jurisdiction. These reports indicate the actual building performance for each utility. These tracking efforts highlight opportunities for improvements, helping the jurisdictions quickly pinpoint areas to target. Use of individualized energy performance targets for each building has been instrumental in supporting the AOC’s energy conservation strategy. 🟢 **Target Met**

TREND

The agency’s performance met the baseline target established last year.

FIGURE 37
Energy Reduction by Building



Definition: : The average Energy Usage Intensity (EUI) for the Capitol campus based on the British thermal units (BTU) of energy per gross square foot (GSF) for each AOC building
Source: OCE Sustainability Information Management System, November 4, 2021
Target: : EUI within +/- 5% of the average Capitol campus EUI

✓ **TARGET MET**

Americans With Disabilities Act Remediation

MAINTAIN AWE-INSPIRING FACILITIES KPI 11

This KPI measures the AOC’s progress in remediating the *Americans With Disabilities Act* (ADA) findings identified in building inspections conducted by the Office of Congressional Workplace Rights (OCWR). The biennial OCWR inspections identify ADA compliance issues with accessibility elements such as access barriers and accessible ramps, doors, restrooms, water fountains and signage.

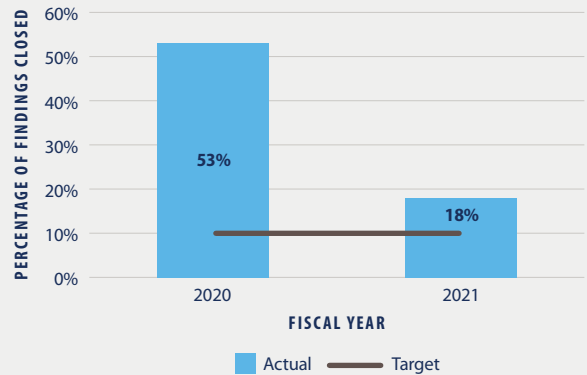
In FY 2020, in recognition of the importance of compliance with the ADA, the AOC added this KPI to its Strategic Plan framework to monitor accessibility of the Capitol campus services and facilities for individuals with disabilities. The AOC established an annual performance target to close 10 percent of its outstanding findings each year. For FY 2021, this required the AOC to remediate at least 180 OCWR findings.

Performance Results: As shown in **Figure 38**, the AOC closed 402 OCWR findings in FY 2021, amounting to 18 percent of the total outstanding findings and meeting the performance target for this KPI. 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 logs and maintains actions on ADA findings in the AOC’s work order system to better account for and close findings. In addition, the AOC continues to work with an independent quality assurance inspector to confirm that completed work is ADA-compliant. For a number of open findings, the AOC has planned corrective actions that will be included in upcoming phases of construction projects. **✔ Target Met**

TREND

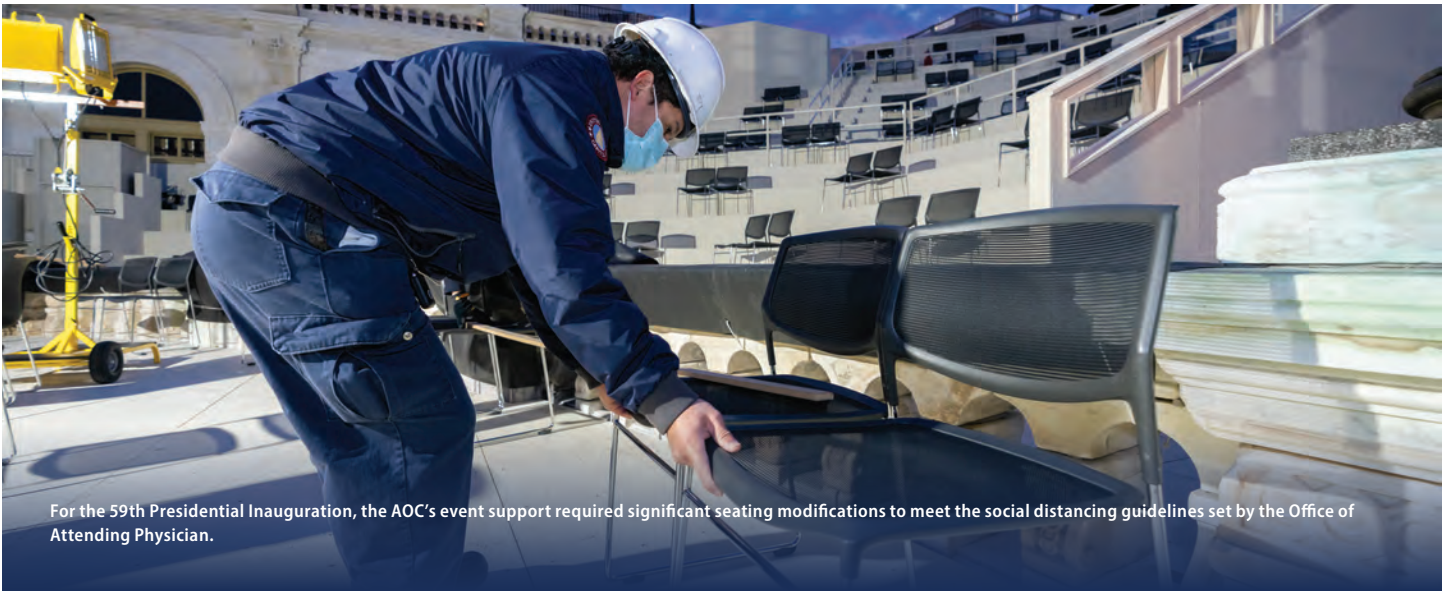
The agency’s performance met the baseline target established last year.

FIGURE 38
Americans With Disabilities Act Remediation



Definition: *Americans With Disabilities Act* findings identified in building inspections conducted by the Office of Congressional Workplace Rights (OCWR)
Source: OCWR Findings Database, October 28, 2021
Target: Close ≥10% of the outstanding OCWR findings annually

✔ TARGET MET



For the 59th Presidential Inauguration, the AOC’s event support required significant seating modifications to meet the social distancing guidelines set by the Office of Attending Physician.

STRATEGIC GOAL 2

Provide Extraordinary Services

GOAL DEFINITION

The AOC supports the prestigious occupants of the AOC-managed facilities in their critical mission to govern our country. The AOC fulfills the journey of visitors from across our nation and around the world to celebrate and discover the center and symbol of American democracy. Internal and external services are equally essential in the successful fulfillment of the AOC’s mission, values and vision.

This strategic goal promotes an organizational culture that is focused on consistently recognizing and meeting customer needs by being responsive, courteous and taking ownership for actions. This strategic goal includes one strategic objective: demonstrating expertise while exhibiting responsiveness, ownership and courtesy to all internal and external customers.

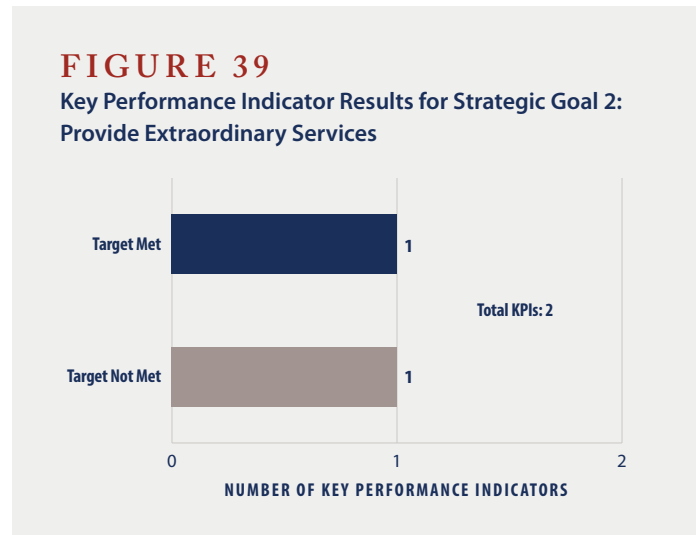
Table 19 defines the types of customer services associated with this goal. The terms “client” or “tenant” includes Members of Congress and the Supreme Court, their staff and employees of other federal agencies working in AOC-managed facilities. The term “visitors” encompasses all persons coming to the Capitol campus, whether for business or leisure, or interacting with the agency virtually through its online programs. The term “internal” refers to AOC employees who provide support services to the rest of the agency.

The AOC measured two KPIs for this strategic goal in FY 2021, summarized in **Figure 39**. The agency exceeded its target for one KPI and did not meet the target for the other KPI.

TABLE 19
Customer Service Types Associated With Provide Extraordinary Services Strategic Goal

CUSTOMER SERVICE TYPE	STRATEGIC OBJECTIVES
Client/Tenant 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). Client services also include special event support (e.g., the Presidential Inauguration) and the biennial election year office moves.
Visitor Services	Visitor services include providing a welcoming, informative and inspiring experience on the Capitol campus. The AOC provides public tours, training, exhibitions, lectures and online programs to enhance the visitor experience. Visitor services also include restaurant management services and gift shop operations.
Internal Services	The AOC has many collaborative partnerships among its business units. Internal services include communications, contracting and procurement, financial and human resources, information technology and project management.

FIGURE 39
Key Performance Indicator Results for Strategic Goal 2: Provide Extraordinary Services



Customer Satisfaction With Projects

PROVIDE EXTRAORDINARY SERVICES KPI 1

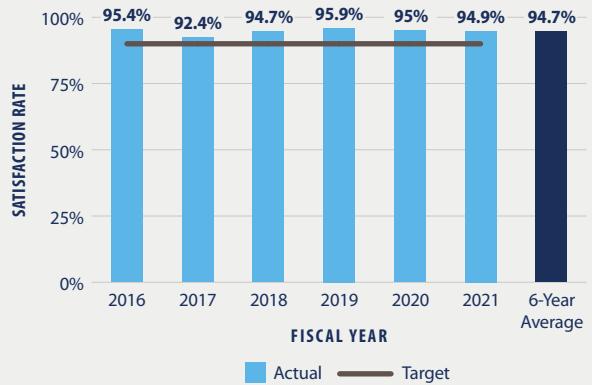
This annual KPI measures customer satisfaction with AOC-led design services and construction management to ensure the AOC delivers projects with high customer satisfaction. The AOC facilitates all capital improvements, alterations, additions and repairs to the Capitol campus. Following the completion of a design or construction project, the AOC's OCE issues a customer satisfaction survey to the AOC jurisdiction point-of-contact responsible for coordinating the project. The completed peer surveys provide the data for this KPI. The performance target for this KPI is a combined 90 percent rating. The AOC's strategies to meet this performance indicator include leveraging best-in-class project management principles and strengthening facilities planning. This indicator is designated as a high-level KPI for the AOC.

Performance Results: In FY 2021, the AOC conducted 63 online project surveys, covering 57 completed construction service projects and six completed design service projects. The surveys included construction services for the Senate Mail Handling Facility's exterior painting, sprinkler and fire alarm system upgrades in the Russell Senate Office Building, the Cannon House Office Building Caucus Room renovation, and U.S. Capitol basement sprinkler improvements, among other projects. As shown in **Figure 40**, the AOC achieved a 94.9 percent combined overall satisfaction rating for design and construction projects this fiscal year. Although the overall rating was down slightly from last year's 95 percent satisfaction rate, the AOC has consistently met or exceeded its goal for customer satisfaction. As part of the survey tool, a free text field captured recommendations for improvement from customers that will be used to develop process enhancements for future project work. Recent suggestions provided in this field have helped guide the agency's acquisition process, project management, commissioning and closeout processes. **✔ Target Met**

TREND

The agency's customer satisfaction with design and construction projects has exceeded 90 percent in each of the past 10 fiscal years.

FIGURE 40
Customer Satisfaction With Projects



Definition: Number of projects rated as satisfactorily completed divided by total evaluated

Source: Design Project Customer Satisfaction Survey and Construction Projects Customer Satisfaction Surveys as of October 25, 2021

Target: ≥ 90% of projects are rated by clients as satisfactorily completed

✔ TARGET MET

CAPITOL HIGHLIGHTS

EXHIBITION HALL RENOVATION

The AOC is at work on a major renovation of the CVC Exhibition Hall, the 16,500 square feet of gallery space where visitors can learn the story of Congress and the U.S. Capitol. Exhibition Hall has featured rarely seen historic documents borrowed from the National Archives and the Library of Congress. By revitalizing this space — including the gallery designs, interpretive material and content — the AOC aims to create a more educational, interactive and immersive experience for CVC visitors. Exhibition Hall closed for the renovation in March 2020 — mere weeks before the campuswide closure due to COVID-19.

In FY 2021, the AOC completed large-scale infrastructure upgrades to the Exhibition Hall's floor, ceiling, walls, HVAC, electrical and life-safety systems. At the close of the fiscal year, the AOC completed the structural renovations and exhibition furniture installation, while finalizing content for four of the eight galleries. Multimedia content was also finalized for three of the seven programs. Cross-jurisdiction collaboration has facilitated the project, helping ensure that the redesign and renovation received congressional oversight approval.

Once complete, the galleries will provide bright and welcoming spaces, featuring new areas for student programs, hands-on and family activities and a myriad of opportunities for visitors to understand the role of Congress. The renovated Exhibition Hall is projected to reopen in FY 2022. Throughout the renovation, the CVC has offered a full lineup of virtual programs.

www.visitthecapitol.gov

Tenant Survey

PROVIDE EXTRAORDINARY SERVICES KPI 2

This KPI measures how well the AOC provides services to its clients who occupy AOC-managed facilities and is designated as a high-level KPI. The agency intends to conduct this survey biennially and it measures client satisfaction, timeliness, quality, communication and collaboration. The survey results also help identify opportunities for improvement.

In FY 2021, the AOC received the results from its redesigned tenant survey. The survey leveraged standardized questions that align with industry standards and best practices for capturing client satisfaction. The tenant survey addressed service categories such as HVAC, cleanliness, lighting, elevators and grounds maintenance. As in past surveys, occupants of the facilities managed by the Capitol Building, House Office Buildings, Library Buildings and Grounds, and Senate Office Buildings jurisdictions and the Chief Security Officer completed the survey. The Supreme Court Building and Grounds jurisdiction was included in this most recent survey. The survey was deployed during September 2020 and the AOC received the results in November 2020.

In a change from previous surveys, the overall satisfaction score was compiled using a standard prompt: "My overall satisfaction with the support AOC provides is..." The survey also introduced a five-tier rating system (versus the prior four-tier rating system). The five-tier scale allowed for a neutral scoring option. Although the AOC used tenant surveys in the past to measure customer satisfaction with building services (the most recent survey was the FY 2018 Facility Management Customer Satisfaction Survey), the introduction of the direct prompt regarding satisfaction and the new five-tier rating system limits the correlation between the latest survey results with past iterations.

Performance Results: In FY 2021, as shown in **Figure 41**, the agency scored 79 percent overall satisfaction, falling short of the 90 percent target. This was also significantly lower than the average from the previous two survey cycles, in which the AOC averaged 93.1 percent.

The total number of responses for the survey were 336 (down from the last two surveys: 379 in FY 2018 and 533 in FY 2015). This response rate was likely impacted by the off-campus working model, as many tenants worked off-site throughout the COVID-19 pandemic and could not provide constructive feedback. Over 20 percent of respondents reported they did not work on the Capitol campus since the pandemic and an additional 37 percent reported being on-site more than 5 percent of the time.

The survey results showed that the AOC scored highest in "grounds maintenance" (92 percent of tenants) and "professionalism and courtesy" (87 percent) and that "responsiveness" was the number one driver in customer satisfaction. The results indicated an opportunity for the agency to build stronger relationships with one in five tenants and identified two focus areas for the agency: better client communications (e.g., information sharing and service updates) and improved HVAC services. The AOC is targeting initiatives to improve service in these two focus areas, with a full-scale implementation planned for FY 2022. **⊗ Target Not Met**

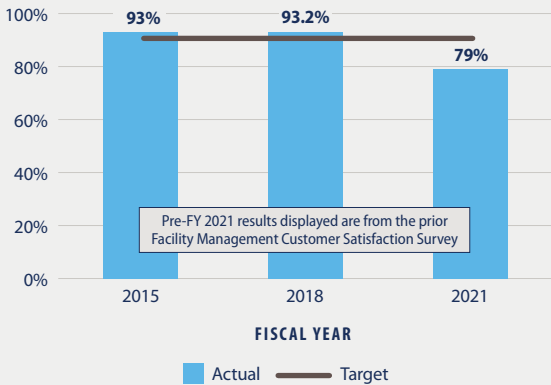
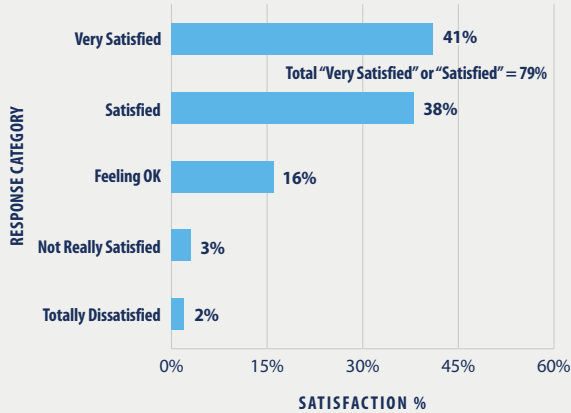


CAPITOL HIGHLIGHTS

TREND

The agency's performance did not meet the performance target for the new Tenant Survey.

FIGURE 41
Tenant Survey



Definition: Number of survey responses showing "satisfied" or "very satisfied" with tenant services provided divided by total survey responses received
Source: Tenant Survey results received as of November 2020
Target: ≥ 90% of respondents reported at least "satisfied" with overall tenant services provided

X TARGET NOT MET

TRANSFORMING THE LIBRARY OF CONGRESS VISITOR EXPERIENCE

The AOC is partnering with the Library of Congress on a new Visitor Experience Master Plan to make the Library more user-centered, interactive and inclusive by sharing more of its national treasures with the public. The renovation project will include a ground-level welcome and orientation space in the Jefferson Building, the creation of a new youth center offering learning labs and galleries with new exhibitions from the Library's collection.

The AOC helped the Library complete the master planning efforts for this initiative, supporting budget development for the renovation and exhibition improvement program, while establishing and maintaining appropriate scope boundaries between the AOC's architectural-engineering teams and the Library's exhibit design teams. The Library has consulted with the AOC in the plan's design and development phases, to allow visitors to best experience the grandeur of the Jefferson Building while also gaining a better appreciation of, and inspiration from, the Library's collections. In FY 2021, the original concept and schematic designs for the welcome and orientation center were presented. Also, the design for one of the galleries was awarded this fiscal year and is currently under review.

The project is funded by a \$60 million public-private partnership, using a mix of government appropriations to the Library of Congress and private donations. When complete, the new Visitor Experience will improve the Jefferson Building for all visitors and guests.



Despite the challenges brought on by COVID-19, the AOC's Capitol Grounds and Arboretum jurisdiction continued to invest in its training programs to allow for enhanced professional growth opportunities. The strategic goal to Foster an Innovative and Empowered Workforce creates an organizational culture to attract, develop and retain exceptional employees.

STRATEGIC GOAL 3

Foster an Innovative and Empowered Workforce

GOAL DEFINITION

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.

- Cultivate high employee engagement in the workplace
- Provide for the security and safety of every AOC employee

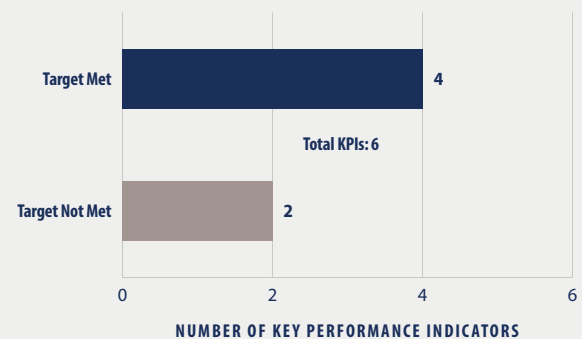
The AOC measured six KPIs for this strategic goal in FY 2021, summarized in **Figure 42**. The agency met or exceeded its target for four indicators and did not meet its target for two KPIs.

The AOC's third strategic goal embraces the spirit of continuous and focused employee improvement to sustain the agency's core mission. This goal provides employees with the tools, training and environment to excel in their respective duties. Effective and efficient mission achievement and improved service to our stakeholders is achievable through the enhanced alignment and strategic management of the agency's workforce. This strategic goal drives the AOC's efforts to create a work environment that cultivates leadership, rewards excellence and creativity, and assists the AOC in attracting, developing, engaging and retaining exceptional employees. The AOC is committed to ensuring the health, safety and security of its employees. To that end, all employees are required to participate in regular safety, injury avoidance and emergency preparedness training. These trainings, along with regular safety communications and protocols, improve the awareness, preparedness and performance of the AOC's safety and security programs. This strategic goal includes three multiyear strategic objectives:

- Strengthen employee performance through improved development and accountability practices

FIGURE 42

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



Injuries and Illnesses Rate

FOSTER AN INNOVATIVE AND EMPOWERED WORKFORCE KPI 1

Safety is a core value for the AOC. The agency strives to ensure the safety of AOC employees, contractors, customers and the environment. The AOC's Office of Safety and Code Compliance leads the AOC's safety planning, prevention and education efforts.

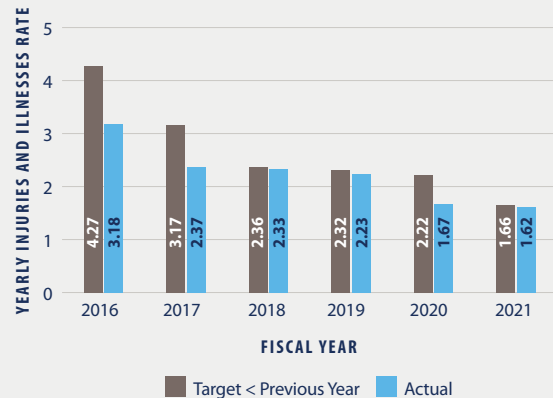
This annual KPI assesses the AOC's ability to ensure a safe workplace by measuring the rate of injuries and illnesses (I&I) across the Capitol campus. The AOC's annual target is to achieve a lower I&I rate for the current fiscal year than the preceding fiscal year. This indicator is designated as a high-level KPI for the AOC.

Performance Results: The AOC achieved its FY 2021 target, with a resulting I&I rate of 1.62 (using workers' compensation claims). This was a reduction from the FY 2020 rate of 1.67 (**Figure 43**). The most common injuries in FY 2021 were hand lacerations and back strains. The most frequent causes of injury were related to failures to develop and follow procedures and job hazard analyses. Critical to this rate reduction was the development of in-house safety training with the help of a new safety training specialist, including modules on spill prevention, control and countermeasures. Between October 2020 and January 2021, the AOC provided incident investigation training to 54 AOC staff, covering basic accident investigation procedures and describing accident analysis techniques. Through this training, AOC staff can suggest appropriate corrective actions to prevent the recurrence of similar incidents in the future. Similarly, the AOC is increasing analysis of incidents and close calls and disseminating this information to help highlight safety issues and reduce the occurrence of similar future incidents. **Target Met**

TREND

The agency's injuries and illnesses rate declined for the past five fiscal years.

FIGURE 43
Injuries and Illnesses Rate



Definition: Number of injury claims sent to the 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 22, 2021

Target: Less than the previous year's rate

✓ **TARGET MET**

Injuries and Illnesses Rate (Rolling Five-Year Average)

FOSTER AN INNOVATIVE AND EMPOWERED WORKFORCE KPI 2

This annual KPI measures the long-term AOC workplace safety trends through a rolling I&I rate average for the previous five fiscal years. The AOC uses this indicator to examine long-term trends and provide insight into injury patterns and safety developments. This calculation minimizes the impact of an outlier fiscal year and holds the agency accountable for the cumulative reduction in injuries and illnesses. The target for this KPI is a reduction in the rolling five-year average from the prior fiscal year.

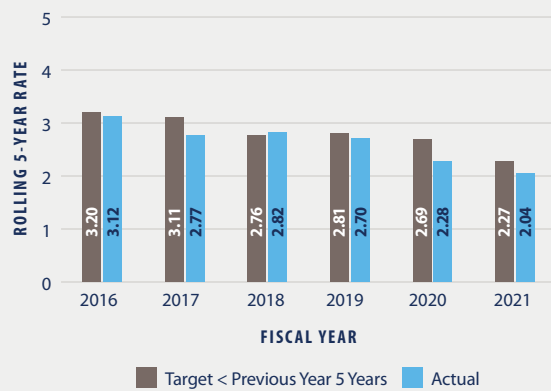
Performance Results: As shown in **Figure 44**, the AOC achieved a five-year rolling average rate of 2.04 in FY 2021, meeting the target rate of less than or equal to 2.28 and marking the third consecutive annual reduction. To address the ongoing and long-term challenge of injuries and illnesses in the workplace, the AOC has adopted elements of the International Organization for Standardization (ISO) Standard 45001:2018 Occupational Health and Safety Management Systems — Requirements With Guidance for Use and began developing the framework for an Integrated Safety Management System (ISMS). The ISMS embeds an intentional, robust and leadership-driven framework for establishing, implementing,

maintaining and improving processes to manage safety-related risks effectively. The AOC also continues to support safety in construction projects, from design through construction, and the issuance of Certificates of Occupancy. During FY 2021, this included testing and inspections to issue the Certificate of Occupancy for Phase 2 of the Cannon Renewal. **✔ Target Met**

TREND

The agency's performance exceeded its target for five of the past six fiscal years.

FIGURE 44
Injuries and Illnesses Rate (Rolling Five-Year Average)



Definition: Five-year average of the number of injury claims sent to the 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 22, 2021
Target: Less than the average of the previous five-year rate

✔ TARGET MET

Workers' Compensation Cases

FOSTER AN INNOVATIVE AND EMPOWERED WORKFORCE KPI 3

This KPI measures the outcomes of the more serious injuries sustained by agency employees while on the job — those that result in a workers' compensation case. The *Federal Employees Compensation Act* provides income and medical cost protection to covered federal civilian employees injured on the job, to employees who have incurred work-related occupational diseases and to beneficiaries of employees whose deaths are attributable to job-related injuries or occupational diseases. The target for this performance indicator is for the AOC to record either fewer recordable workers' compensation cases accepted by the DOL than the previous fiscal year, or zero recorded cases.



CAPITOL HIGHLIGHTS

NEW PESTICIDE RECERTIFICATION PROGRAM

The AOC uses environmentally conscious pest management techniques in its ground maintenance operations. In accordance with the U.S. Environmental Protection Agency and District of Columbia regulations, AOC gardeners are required to obtain a pesticide applicator license. This ensures the safe and effective application of pesticides, including integrated pest management strategies that minimize risks to people and the environment by using environmentally friendly practices.

The AOC worked with the District of Columbia Department of Energy and Environment (DOEE) to develop a streamlined online training program so that gardeners could prepare for the certification exam or maintain their certification. After the online training was approved and launched in October 2020, over two dozen AOC employees took the course. This was a valuable service for AOC staff, as the DOEE suspended on-site administration of the certification exam and canceled in-person regional recertification trainings after COVID-19 restrictions were initiated in March 2020.

"The course was well received and definitely helped our newer staff members prepare for the certification exam," said Katie Serock, a Gardener Supervisor for the AOC's Capitol Grounds and Arboretum jurisdiction. "Achieving and maintaining the pesticide applicator credential is also required in order to advance in our field, so it's an important step in our employees' development to provide them more technical horticultural knowledge."

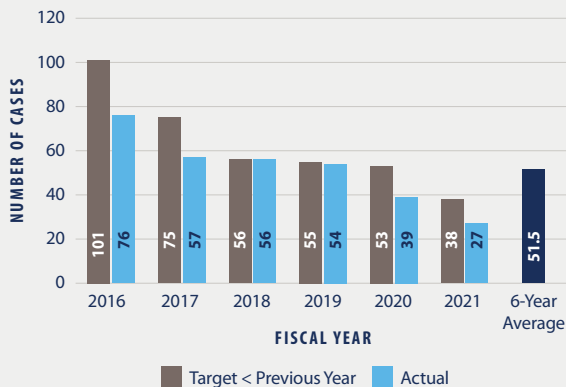
The success of the online pesticide applicator training program has opened the door for the AOC to convert more employee development programs into virtual formats, offering more accessible and flexible opportunities to support its evolving workforce. These efforts reflect the AOC's strong commitment to enhanced employee training and development, as well as Capitol campus health and safety.

Performance Results: The number of agency workers' compensation cases has declined for the past six fiscal years. As shown in **Figure 45**, the AOC met the performance target by recording 27 workers' compensation cases in FY 2021, 12 fewer cases than the previous year. Further, the total yearly lost-time work hours charged decreased — reducing the lost-time cost by more than \$30,000. This decline is attributed to enhanced agency safety programs. The AOC works with the DOL to develop case management strategies with a focus on returning injured employees to work, providing light-duty assignments when appropriate, reducing lost production and challenging questionable claims. In addition, the AOC followed OAP guidance and continually searched for published studies, information releases from the World Health Organization, and new data from the CDC regarding COVID-19. These measures helped provide fact-based guidance to drive AOC decision-making, ensure the AOC was following the latest guidance and minimize COVID-19 transmission among on-site team members. **✔ Target Met**

TREND

The agency's performance met its target for each fiscal year since FY 2016.

FIGURE 45
Workers' Compensation Cases



Definition: Number of workers' compensation claims accepted by the DOL
Source: AOC Corporate Performance Workers' Compensation Dashboard derived from HCMD Workers' Compensation Branch, October 22, 2021
Target: Less than the previous year (or zero recorded cases)

✔ TARGET MET

Business Units That Reviewed Emergency Procedures

FOSTER AN INNOVATIVE AND EMPOWERED WORKFORCE KPI 4

The AOC faces a variety of potential emergencies, both man-made and natural, that could affect the agency's operations. These include fires, explosions, floods, earthquakes, hurricanes, tornadoes, toxic material releases, radiological and biological accidents, civil disturbances and workplace violence. To be prepared for these possibilities, the AOC has developed emergency procedures and an internal safety policy that requires all business units to complete an annual review of emergency procedures with all their employees.

Emergency preparedness is a shared responsibility at the AOC. When developing the agency's emergency procedures, it considered a number of factors, including when evacuation would be necessary, when it may be better to shelter in place, how to assist visitors and how to account for employees post evacuation. This KPI measures the AOC's adherence to that policy. The target for this KPI is that 100 percent of AOC business units review their procedures.

Performance Results: As shown in **Figure 46**, 100 percent of AOC business units reviewed emergency procedures with all their employees, meeting the FY 2021 target. The AOC has met its target for four of the five years that the AOC has measured this performance indicator. Despite this success, as noted in the Office of Inspector General (OIG) post-January 6 report, Evaluation of the Architect of the Capitol's Emergency Preparedness Posture, while the AOC's emergency preparedness training was generally effective, there are minor gaps in policy, preparation and evaluation activities. The AOC concurred with the OIG findings and, with the assistance of the Office of the Chief Security Officer, intends to implement a standardized timeline for periodic review of emergency management policies and procedures to improve the means of tracking and sustaining these efforts and helping identify any training vulnerabilities. **✔ Target Met**

TREND

The agency's performance exceeded its target for four of the five fiscal years that the AOC has measured this indicator.

FIGURE 46
Business Units That Reviewed Emergency Procedures



Definition: Percentage of business units that have reviewed emergency procedures within the fiscal year divided by all business units
Source: AOC 2021 Action Plans, November 10, 2021
Target: 100% of business units completed the requirement

✓ **TARGET MET**

Jurisdictions That Completed All Routine Self-Inspections On Time

FOSTER AN INNOVATIVE AND EMPOWERED WORKFORCE KPI 5

This KPI measures the ability of the AOC to complete routine self-inspections on time. Self-inspections empower agency jurisdictions to take responsibility for safe work areas by training their staff to self-identify and self-correct risks. Self-inspections offer a chance to check items such as fire extinguishers, ladders, tools and egresses. Adherence to routine, proactive internal inspections can prevent external safety inspection findings and result in quicker mitigation of issues before they can result in injury or regulatory noncompliance. The target for this KPI is that 100 percent of the AOC's jurisdictions complete self-inspections on time during the fiscal year.

Performance Results: As shown in **Figure 47**, the AOC completed 99 percent of the required self-inspections as scheduled. In FY 2020, the AOC began using standard checklists to support jurisdiction self-inspections for compliance with facility safety requirements and instituted the Inspection Findings Module, an electronic reporting mechanism, to effectively plan for and track actions and remedy findings. This year, an agencywide self-inspection program was formalized that identifies spaces required to be inspected and the

planned inspection frequency. The program's implementation is 50 percent complete. Due to COVID-19, full implementation of the formal program has been delayed. In addition, the jurisdictions had a limited capacity to conduct self-inspections, identify areas for improvement, and report findings and lessons learned. **✗ Target Not Met**

TREND

The agency's performance did not meet its target for three of the past five fiscal years.

FIGURE 47
Jurisdictions That Completed All Routine Self-Inspections On Time



Definition: Percentage of jurisdictions that have completed all routine internal self-inspections on time divided by all jurisdictions
Source: AOC 2021 Action Plans, November 10, 2021
Target: 100% of jurisdictions completed the requirement

✗ **TARGET NOT MET**

External Safety Inspection Findings

FOSTER AN INNOVATIVE AND EMPOWERED WORKFORCE KPI 6

This KPI measures the number of safety inspection findings identified by the Office of Congressional Workplace Rights (OCWR). The OCWR (formerly known as the Office of Compliance) was established by Congress to enforce and administer workplace rights, accessibility and safety and health for congressional workers and visitors to the Capitol campus. During each biennial congressional cycle, the OCWR assesses the AOC’s spaces for safety hazards that require corrective action. The target for this measure is to have fewer OCWR findings than the rolling average of findings from the previous six years. This indicator is designated as a high-level KPI for the AOC.

Performance Results: In FY 2021, during the 116th Congress, the OCWR found 2,050 instances of safety noncompliance. The AOC did not achieve fewer findings than the rolling six-year average of OCWR findings and, as a result, did not meet the performance target for this KPI (see **Figure 48**). In March 2020, the OCWR curtailed in-person inspections due to the COVID-19 pandemic. Public health and safety concerns prevented both the OCWR staff and most other AOC personnel from working on-site and, as a result, the scheduled inspections were either rescheduled or converted into remote inspections, which consisted primarily of written program reviews.

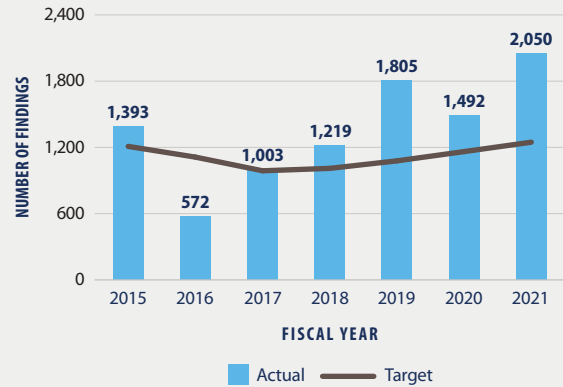
The AOC includes safety as one of its four core values to ensure that the agency is governed by the foundation of safety always. This fiscal year, the AOC implemented several initiatives to enhance its safety culture. One of the AOC’s efforts focused on the launch of a new agencywide self-inspection program so staff could identify, report and correct hazards at the level closest to the work. In FY 2020, the AOC developed a self-inspection checklist and training course based on the most frequently identified findings. Additional staff were trained on how to conduct inspections this fiscal year. In FY 2021, the AOC also launched a new Building Official program. The Building Official is responsible for issuing permits and inspecting targeted facility work to verify code compliance. Although the FY 2021 performance target was not met, the agency believes that these efforts will drive a considerable reduction in the number of common and repeated hazards during the next congressional cycle.

⊗ Target Not Met

TREND

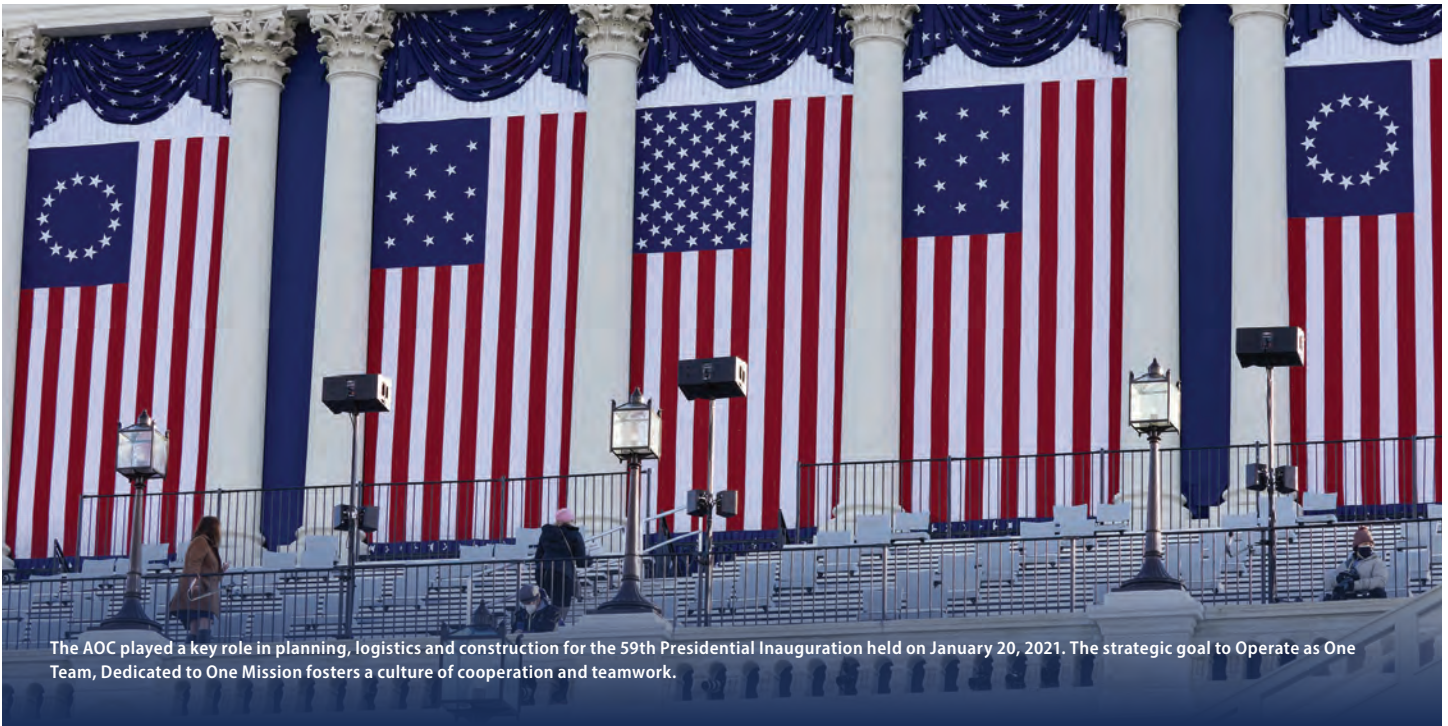
The agency’s performance did not meet its target for the fifth consecutive fiscal year.

FIGURE 48
External Safety Inspection Findings



Definition: OCWR Findings
Source: Number of findings captured from the OCWR Summary Report Spreadsheet, November 10, 2021
Target: Less than the average of previous six years of findings

⊗ TARGET NOT MET



The AOC played a key role in planning, logistics and construction for the 59th Presidential Inauguration held on January 20, 2021. The strategic goal to Operate as One Team, Dedicated to One Mission fosters a culture of cooperation and teamwork.

STRATEGIC GOAL 4

Operate as One Team, Dedicated to One Mission

GOAL DEFINITION

The AOC must recognize and value that what may appear to be competing priorities, for different AOC functions are ultimately in service to the agency's united mission, vision and values.

The AOC's fourth strategic goal focuses on the collaborative and integrated elements needed for the AOC to achieve results. The AOC works collectively to preserve and maintain the facilities entrusted to its care by providing innovative, safe and professional service. This strategic goal promotes communication and collaboration within and among the agency's jurisdictions and administrative offices to create a more efficient and effective organization. This strategic goal includes two multiyear strategic objectives.

As part of the Reorganization and development of the future strategic plans, the AOC did not measure KPIs aligned with this strategic goal in FY 2021.

The AOC believes that accomplishing its organizational goals and objectives requires diverse leadership and collaborative management. Delivering organizational excellence is a shared responsibility. Establishing a mission-oriented culture is built on consistent, high-quality customer experiences, sound resource management, reliable workforce planning and modern technology systems. Delivering organizational excellence also requires a

workforce connected to the mission and to each other. It requires a culture that understands and embraces a shared commitment to the AOC's mission and sees collaboration with fellow employees and with peer organizations as a path to success.

Although the AOC does not contribute to the OMB's CAP Goals, the agency monitors their progress to identify the government-wide priorities and challenges that affect the AOC. In particular, the goals related to leveraging data as a strategic asset, developing a workforce for the 21st century and improving the customer experience are particularly relevant to the AOC and its future plans.

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 toward a shared purpose.

The AOC's Reorganization initiative served as a key component of this strategic objective. The FY 2021 organizational transformation efforts served to increase collaboration throughout the agency and was designed to empower the AOC workforce to provide a consistently high level of service excellence.

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.

During FY 2021, the AOC placed heavy emphasis on the introduction and establishment of its initiatives to provide an enterprisewide framework for making the best decisions on behalf of the agency. For instance, the Enterprise Asset Management and Vision 2100 initiatives are intended to promote an efficient and effective organization that uses data to make optimal operational and strategic decisions for the Capitol campus' buildings and infrastructure. This implementation is to be aligned with the desired AOC culture, which is addressed in its new Cultural Behaviors Transformation initiative.

The AOC's Human Capital Strategy initiative also served as a key component of this strategic objective. The initiative aims to transform the AOC's human capital landscape by ensuring workforce readiness, closing skills gaps through employee development and maximizing employees' talents, skill sets and competencies to enhance the achievement of AOC's mission.

For more information on the initiatives, including the milestones to measure progress, this year's Performance Information section includes an additional section, **Supplement: Architect's Strategic Initiatives**.



In the aftermath of the events of January 6, 2021, the AOC's dedicated employees worked to return the buildings and grounds to a serviceable condition, allowing Congress to certify election results and readying the U.S. Capitol for the 59th Presidential Inauguration. Shown here, an AOC employee repairs a door frame damaged during the breach.

Operate as One Team, Dedicated to One Mission

The AOC fosters an environment that rewards growth, cooperation, inclusivity and accountability. In FY 2021, the following employees exemplified the AOC's mission to serve, preserve and inspire:



TANISHA BROWN
Office of the Chief
Administrative Officer

A human resources assistant, Tanisha embodies professionalism, excellent customer service and the concept of teamwork for the Human Capital Management Division's customers. Tanisha is an excellent ambassador for the AOC.

LINDA CORBUS
House Office Buildings

Linda's behind-the-scenes work as a program specialist is instrumental to the management and preservation of the physical assets located in the House office buildings. Her responsiveness, reliability and leadership help the jurisdiction meet its mission.



CHRIS HILLEGAS
Supreme Court Building and Grounds

Chris provided oversight on two "Star Projects" at the Thurgood Marshall Federal Judiciary Building for the Building Automation System and elevator upgrades. Despite challenging pandemic conditions, the projects were completed within schedule and budget and with a stellar safety record.



RONN JACKSON
U.S. Capitol Visitor Center

Ronn is one of the CVC's best ambassadors, whether serving as a tour guide or as a commentator for the Joint Congressional Committee on Inaugural Ceremonies during the 59th Presidential Inauguration.



CHRIS KING
Capitol Building

An electrician supervisor, Chris provides an example for how to manage a productive trade shop while also prioritizing staff safety. Throughout the pandemic, with its reduced staffing levels, Chris has consistently worked alongside his staff to ensure projects were completed on time.

JAMIE LEE
Office of the Chief Engineer

Jamie oversaw multiple large and complicated design projects, including stone repairs for the Thomas Jefferson Building and roof upgrades for the Dirksen Senate Office Building. On these projects, Jamie has consistently worked through unique fall protection and materials abatement issues.





JOSEPH LEMON
Library Buildings and Grounds

As the Supervisor of the Fort Meade Operations and Maintenance Branch, Joe is responsible for operating and maintaining the Library's off-site storage facility as well as the 100-acre campus. Joe embraces customer service and is quick to lead, challenge and motivate his team to tackle their large responsibilities.

LESLIE MATTHAEI
Office of the Chief
Administrative Officer

Leslie completed a major upgrade to the AOC's official photography database while maintaining uninterrupted reference services for the agency. In addition, she also worked to preserve the AOC's collection of historical glass plate negatives, directing their housing, cataloging and delivery to high-security cold storage.



CHRISTOPHER MURPHY
Senate Office Buildings

Christopher has provided outstanding leadership during the pandemic, remaining on site to manage Senate Service Center staff, maintain 24/7 building operations, coordinate socially distanced special events and provide exceptional service to the Senate community.



KAVYA NAIR
Office of the Chief Financial Officer

Kavya's enthusiasm and flexibility allows her to provide outstanding customer service on a variety of budgeting and reporting tasks — making her a key asset for the AOC. She has identified multiple business process improvements, resulting in quicker, robust and more reliable data for the agency.



**COURTNEY "TERRY"
NICHOLLS**
U.S. Botanic Garden

Terry has worked diligently throughout the pandemic to keep the U.S. Botanic Garden's employees safe. He coordinated the acquisition of sanitizing supplies, established protocols for office and vehicle use and performed proactive hazard analyses of all tasks where social distancing was challenging.

JAMES O'KEEFE
Capitol Power Plant

As Deputy Director of the Capitol Power Plant, James has helped transform the organization and has been a true leader and mentor. The AOC thanks James and wishes him well as he begins a well-deserved retirement.



MARY OEHRLEIN
Office of the Chief Engineer

Mary is the AOC's Historic Preservation Officer. Her technical expertise in stone and metal preservation has been instrumental to the AOC's preservation efforts across the Capitol campus. A leader in her field, Mary is frequently invited to publish and present in national forums.



RICK SEISS
Supreme Court Building
and Grounds

A night shift supervisor, Rick regularly leads overnight renovation projects and has shown through his leadership that there is no task too small. This year he oversaw the removal of graffiti on the Supreme Court of the United States exterior marble finish, as well as sidewalk stains caused by post-January 6 security fencing.

NOT PICTURED:

ALBERT KAMINSKY JR.
Office of Safety and Code Compliance

As a general engineer, Albert demonstrates unparalleled commitment to the AOC. He manages a critical life-safety program across the Capitol campus and collaborated with federal agencies to implement the AOC's pandemic response.

SCOTT DRUMMOND
Office of the Chief Security Officer

As the Assistant Director, Facilities Management Division, Scott led the effort to install temporary fencing around the outer perimeter of the Capitol campus and the Supreme Court of the United States after the events of January 6, 2021. Scott was also instrumental in supporting the U.S. Capitol Police requirements for special events, including the Presidential Inauguration.

Supplement: Architect's Strategic Initiatives

In October 2020, to accomplish work under the four strategic goals, the AOC identified key initiatives for its FY 2021 Performance Plan as opportunities for change and important to the agency's long-term success. These seven ASI are the AOC's new strategic priorities. The initiatives include:

- Reorganization
- AOC University
- Building Official
- Cultural Behaviors Transformation
- Enterprise Asset Management
- Human Capital Strategy
- Vision 2100 Master and Strategic Plans

These priorities aim to transform the nature of the AOC and serve as the foundation for long-term and short-term strategies, including the next five-year Strategic Plan.

Reorganization: Building a Structure to Support the AOC's People and Mission

In FY 2021, the AOC launched a Reorganization to develop a governance structure that would increase accountability, clarify roles and responsibilities, and better support the jurisdictions and stakeholders. The AOC created an Office of the Architect and a C-suite as the foundation for this governance structure. The agency began documenting and formalizing responsibilities and authorities within the C-suite and across senior leadership and the jurisdictions. As the roles and responsibilities within this new governance structure are formalized, documented, communicated and ingrained in the AOC's day-to-day operations, they will provide a mechanism to define performance standards so that the AOC can hold leaders at every level accountable. The operational jurisdictions are combined under the Office of the Chief of Operations and the business units supporting the operational elements are grouped together based on their specializations — for example, finance, security, engineering and administration. This new organizational structure will enable timely and well-informed decisions for efficient and effective operations.

AOC University: Training for the Future

The AOC needs an integrated enterprise-level structure to train and advance employees at all levels and across specialties. Establishment of the AOC University is underway to create a sustainable corporate-level structure to train employees, inspire their experiences and foster their career growth and development. It will also create a robust mechanism to fill skill gaps throughout the agency and provide continuing education and certification to maintain and advance careers. The AOC University will support the growth and advancement components of the Human Capital Strategy and provide a progressive curriculum for every role in the organization based on professional career path and learning goals. Each employee will have access to the courses they need to progress on their chosen career path and fill the skill gaps that the AOC faces.

In FY 2021, the AOC began researching and benchmarking training and development needs and determining the best way to approach workforce education, professional development, upskilling and reskilling across the enterprise. Once implemented, the AOC University will allow employees to access training, which will enhance skill sets and confidence in employee capabilities.

Building Official: Keeping Agency Staff and Customers Safe

The AOC established a Building Official program to improve how the agency oversees safety and code compliance. The Building Official program has central oversight to ensure consistency of processes and compliance with nationally recognized codes and standards for construction and infrastructure. As part of the Building Official program, all facility construction efforts will undergo plan reviews, construction inspections and acceptance testing. The Building Official program will also document code compliance based on the new standards with building permits, Certificates of Completion and Certificates of Occupancy. All work performed at AOC-managed facilities and grounds will meet established building codes and enterprise facility standards. In FY 2021, the Building Official program designed and implemented a permitting process and began piloting several projects.

Cultural Behaviors Transformation: Creating the Environment the AOC Wants

The Cultural Behaviors Transformation initiative was established to strengthen the AOC's values and empower employees to practice those values every day. Without these efforts, the AOC will not have the cultural workplace landscape that drives employee satisfaction and employee engagement. This initiative aims to minimize employee conflicts and disputes, eliminate harassment and discrimination and enhance efficient operations and employee effectiveness. It will focus on creating a positive and adaptive culture that meets workforce and customer needs.

The AOC will transform the workplace landscape, educate employees on integrating techniques aimed at maintaining a healthy workplace culture and teach employees how to access and use resources and services. These cultural behaviors will become standards that will be expected of all employees and enforced by frontline supervisors.

Success will be reflected in the AOC employee and client experience through surveys and other data collection mechanisms, both quantitative and qualitative. In FY 2021, approximately 500 employees engaged in group sessions aimed at building a positive workplace culture. Topics for these sessions included resolving conflict through conversation and building and maintaining workplace trust. Additionally, the AOC launched four newly defined agency core values (Respect, Integrity, Safety, Empower — RISE) and engaged more than 300 employees in RISE training and campaign efforts.

Enterprise Asset Management: Providing the Tools to Track and Maintain Current Assets and Plan for Future Needs

The AOC has a substantial \$2.05 billion deferred maintenance backlog for its facilities, with physical assets managed by multiple jurisdictions using various systems and maintenance standards. To be good stewards of its facilities, the AOC requires a robust plan for addressing and reducing the maintenance backlog, as well as an enterprisewide mechanism to track and monitor its assets and optimize their performance. Enterprise Asset Management (EAM) is aimed at solving this problem and will facilitate capital investment decisions by mitigating outdated technology, restoring reliability, reducing long-term costs and providing a system to forecast resource needs and requirements. EAM will also assist tracking and maintaining current assets and planning for future asset and resource needs. When fully implemented, EAM will provide unified agency maintenance standards, which will aid the agency's preventive maintenance program. With more reliable assets, employees will encounter fewer untimely and unforeseen repairs or out-of-service assets. In FY 2021, the AOC began assessing the current situation to better understand how to make the most of an EAM system and develop a road map for continuous improvement across the agency. The AOC also hosted external partner workshops with federal agencies to discuss asset management programming and systems.

Human Capital Strategy: Attracting and Incentivizing the Best Possible Workforce

The AOC faces a constant demand for specialized skills with a limited supply stream to fill positions for trade, artisan and crafts positions. The agency's aging workforce possesses legacy knowledge on maintaining the facilities and grounds on the Capitol campus, and there is currently no system in place for documenting or transferring those skillsets or retaining that knowledge as eligible employees retire. To fill these gaps, prepare the workforce for the future and ensure delivery of the best service to the congressional community, the Human Capital Strategy initiative represents the urgent effort to modernize employee recruitment, development, advancement, retention and well-being programs and processes. Once

implemented, the strategy will ensure current team members have the tools and recognition they require to advance and grow within the agency. In FY 2021, more than 200 staff members participated in employee focus groups and interviews to inform the development of the AOC's Human Capital Strategy. Employee feedback indicated a need for career pathways and development opportunities, improved management communication, ongoing mentoring and networking opportunities, increased and diversified outreach pathways for new talent, and more advancement opportunities. The Human Capital Strategy will develop a plan to address the concerns and outline a vision for how the AOC hires, trains, promotes career growth and seeks to retain employees over the next five years. Once established, the initiative will evolve to support ongoing operations, adapting to the changing needs of the workforce.

Vision 2100 Master and Strategic Plans: Building a Legacy

Vision 2100 is an enterprise-level solution to guide the AOC in taking a proactive and unified approach to planning for the future of the Capitol campus over the next 80 years. The initiative will shape the long-term direction of the agency with a coherent and synchronized vision that incorporates the Architect of the Capitol's goals in the service of Congress and the Supreme Court of the United States and guides agencywide leadership decisions. The execution of Vision 2100 comprises three large-scale initiatives: the completed Vision 2100 report, a 20-year Capitol Complex Master Plan (CCMP) and five-year Strategic Plans aligned to the CCMP. The Master Plan will facilitate planning and help execute specific agencywide goals defined in Vision 2100. The Strategic Plans will provide clear, shorter-term direction across the agency and specify performance measurement specifications over five-year increments. In FY 2021, the AOC formed an experienced team of futurists, urban planners, organizational development specialists, strategic planners and other experts to map the AOC's future. The team developed an engagement plan, which will serve as the road map for uncovering challenges that the AOC might face while maintaining the Capitol campus, as well as identifying any potential implementation roadblocks. Activities within this engagement plan are underway.



The AOC has undertaken a major project to restore the Senate Underground Garage, including the rehabilitation of the central fountain and reflecting pool located above the garage. In this photo of the restored Upper Senate Park, the central fountain water feature is illuminated in the early morning hours.

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 and notes from its books and records in substantial compliance with U.S. generally accepted accounting principles (GAAP) for the federal government and the Office of Management and Budget (OMB) Circular A-136, Financial Reporting Requirements. The statements are in addition to financial reports prepared by the AOC in accordance with OMB and U.S. Department of the 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 prepares each statement on a comparative basis, showing FY 2021 and FY 2020 results.

The **Balance Sheet** provides the AOC's assets, liabilities and net position. Net position represents the net investment of the U.S. government in the AOC's assets, less liabilities.

The **Statement of Net Cost** provides the gross costs incurred by responsibility segment (AOC jurisdiction), net of any exchange or

earned revenue from activities. The AOC prepares the net cost of operations using the proprietary basis of accounting and, unlike budgetary accounting, includes the cost 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 (unexpended appropriations and cumulative results of operations), 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.

The AOC's Office of Inspector General (OIG) uses an interagency agreement with the Library of Congress to procure independent auditing services. This fiscal year, the AOC contracted with a new auditor. Due to unforeseen contracting delays, the new audit contract's period of performance began after the agency's typical start date. As a result, this fiscal year's audit completion was delayed until June 15, 2022.

Message From the Chief Financial Officer



Jonathan Kraft
Chief Financial Officer

I am pleased to present the AOC's Fiscal Year (FY) 2021 audited financial statements in this Performance and Accountability Report (PAR). The PAR presents the results of our financial team's efforts to accurately account for the resources Congress provides. I am proud of the resiliency and perseverance that the AOC and the financial management team displayed during this complex and challenging year. Enormous credit is due to our dedicated employees, whose impressive efforts enabled us to successfully meet our mission.

Annual Financial Statement Audit

The AOC's annual financial statement audit is an essential element in our internal control program and corporate governance framework. This year, a transition of independent financial statement auditors resulted in the agency and the Office of Inspector General (OIG) delaying the start of our FY 2021 audit. As a result, the audit was not completed until June 15, 2022. Despite this delay, and for the 17th consecutive year, the AOC achieved an unmodified ("clean") opinion on our annual financial statements for FY 2021, with one material weakness and no significant deficiencies. A clean opinion confirms that our financial statements are accurate and conform to generally accepted accounting principles. Our auditors also determined there were no reportable instances of noncompliance with the laws, regulations or contracts applicable to the AOC.

Because of our commitment to transparency and strong reporting, the AOC seeks the peer review of our annual PAR from the AGA. In May 2021, for the 10th consecutive year, the AOC received the AGA's Certificate of Excellence in Accountability Reporting, while our companion FY 2020 PAR Highlights report received a Certificate of Excellence in Citizen-Centric Reporting. This recognition indicates our commitment to financial reporting excellence.

While pleased with these results, the AOC remains committed to constantly improving our internal control environment. Although we

did not concur with the material weakness identified in the FY 2021 audit (related to a control gap identified for the respective reviews of estimates) and believe that our methodology meets federal standards, we are committed to implementing a corrective action plan as quickly as possible. At the same time, we did not concur with the identified control deficiency related to non-generally accepted accounting principles for the treatment of prepaid software expenses but did concur with the control deficiencies related to assessing System and Organization Controls (SOC 1) reports and a lack of SOC 1 review and monitoring for the shared service financial management system for the legislative branch. We will be developing corrective action plans to review key control activities for these findings in order to mitigate them promptly.

Our Achievements

In FY 2021, the AOC received more than \$1 billion in regular appropriations, including \$300 million in emergency supplemental funding to address future security needs. The supplemental bill also provided the agency with \$21.9 million for reimbursements and other costs related to our COVID-19 response. This year's regular appropriations included \$205.9 million to fund multiyear capital infrastructure projects that address our priority deferred maintenance, safety, security and preservation projects.

The ongoing COVID-19 pandemic has continued to alter the way the AOC operates. The OCFO workforce remained in an enhanced telework posture throughout FY 2021. Without interruptions or loss of performance or efficiency, we met all our required deadlines, including statutorily required reports on the CARES Act, the Cannon Renewal and Treasury reporting. To account for the full cost of our pandemic response efforts, we tracked all expended funds related to the COVID-19 pandemic response and maintained reports to keep AOC leadership, OIG, GAO and congressional oversight informed. After the January 6 security breach, the OCFO quickly responded to the emergency and took steps to ensure that funds were available for the cleanup and security of the Capitol campus.

Major changes took place within the OCFO in FY 2021. As part of the AOC's Reorganization, a Program Analysis and Evaluation Division was created to manage the strategic planning responsibilities that were shifted to the OCFO. This will better align the agency's budget processes with the agency's strategic priorities. The division is responsible for leading the development of a five-year fiscal forecast and conducting in-depth analysis of AOC programs to increase their effectiveness. In addition, through our enterprise risk management program, we conducted a risk assessment survey to determine the most immediate risks and reprioritize agency activities, as needed. Furthermore, to improve our obligation management controls, the OCFO continued implementing its web-based, quarterly financial review application. This innovative process provides our operational jurisdictions with greater information to manage their unliquidated obligations and ensure maximum return on investment of resources.

We recognize that IT investments provide the foundation for our financial management success. Therefore, the OCFO continues to prioritize its modernization of our financial systems. The agency continued its transition to the Treasury's Budget Formulation and Execution Manager (BFEM), a tool to automate and standardize the AOC's budget formulation process. This application offers important functions that will enhance the agency's effectiveness in projecting budget needs. In FY 2021, the agency successfully completed user acceptance testing on the system, uploaded FY 2021 data and began loading FY 2022 data. Beginning with the FY 2023 budget request, the AOC will use BFEM as the primary budget formulation tool to prepare our annual budget submission.

The AOC continues to use the Legislative Branch Financial Management System (LBFMS), a shared-service environment for the federal legislative branch. Multiple system updates were made in FY 2021, including a major upgrade to the core financial management system, from Momentum® 7.4 to 7.8. The AOC also upgraded its inventory management software (Maximo®), Momentum® Enterprise Resource Program, Treasury's Invoice Processing Platform, and the CWTsatoTravel E2 Solutions Travel System. Additionally, both the LBFMS and Maximo® migrated to the Microsoft® Azure cloud while cybersecurity maintenance and updates continued for all systems. The AOC also implemented a pilot Robotic Process Automation (RPA) project, and multiple RPAs assisted with the successful testing of the Momentum® upgrade, including changes to the acquisitions module. These enhancements enabled efficient processing of our financial data and improved data security.

Looking Forward

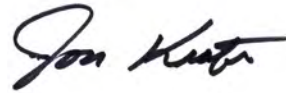
The AOC strives for continuous improvement to our operations, the value of the data we collect, and our ability to accurately account for and report on the public funds that we receive. We are also working to implement the Treasury's G-Invoicing platform, which will improve our intragovernmental transaction processes, starting in FY 2022.

In FY 2022, the AOC will embark on a series of linked and overlapping plans with a multiyear outlook. Vision 2100 Master and Strategic Plans, a long-term strategic vision that will provide an 80-year performance framework for the Capitol campus, is under development. When complete, the Vision 2100 will inform the agency's 20-year Capitol Complex Master Plan (CCMP), which will in turn guide the next five-year Strategic Plan. In tandem with the development of the Vision 2100 and the CCMP, the agency is developing a bridge four-year Strategic Plan for FY 2022–2025. This three-pronged planning approach enables us to address strategic initiatives with better foresight and economy.

Conclusion

I want to thank Congress for its continued support throughout this difficult fiscal year. We owe further thanks to our audit partners, KPMG and the OIG, for their assistance and professionalism. Managing the AOC's daily financial operations is uniquely demanding, and the COVID-19 pandemic required our office to adopt new procedures in a maximum telework environment. I am incredibly proud of how our team adapted and continues to excel in maintaining our operations and ensuring the stewardship of our agency's resources. Our shared commitment to accountability and transparency is the foundation of the AOC's resource management and the delivery of reliable and timely financial information to our stakeholders.

Sincerely,



Jonathan Kraft
Chief Financial Officer
June 15, 2022

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

United States Government

MEMORANDUM

DATE: June 16, 2022

TO: J. Brett Blanton
Architect of the Capitol

FROM: Christopher P. Failla, CIG
Inspector General 

SUBJECT: Audit of Architect of the Capitol's (AOC) Fiscal Year 2021 Financial Statements (Audit Report OIG-AUD-2022-04)

We contracted with the independent public accounting firm KPMG to audit the financial statements of the AOC as of and for the fiscal year that ended September 30, 2021, 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. 21-04, *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, KPMG reported:

- the financial statements were fairly presented, in all material respects, in accordance with U.S. Generally Accepted Accounting Principles;
- one material weakness¹ 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.

KPMG is responsible for the attached auditor's report dated June 15, 2022, 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.

¹ 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 Sharmaine Carter at 202.538.1830 or Sharmaine.Carter@aac.gov.

Distribution List:

Peter Bahm, Chief of Staff
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Michael Lewis, Acting Supervisory Engineer, Library Buildings and Grounds
Stephanie Jones, Supervisory Engineer, Senate Office Buildings
Mark Reed, Superintendent, U. S. Capitol Building
David Wilder, Superintendent, House Office Buildings
Patricia Williams, Director, Office of Safety and Code Compliance
Joseph Campbell, Facilities Manager, Supreme Court Buildings and Grounds
Susan Pell, Acting Executive Director, U.S. Botanic Garden
Beth Plemmons, Chief Executive Officer for Visitor Services
Christopher Potter, Director, Utilities and Power Plant Operations

Independent Auditors' Report



KPMG LLP
Suite 12000
1801 K Street, NW
Washington, DC 20006

Independent Auditors' Report

Inspector General of Architect of the Capitol
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 sheet as of September 30, 2021 and the related statements of net cost and changes in net position, and combined statement of budgetary resources for the year 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 U.S. generally accepted accounting principles; 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.

Auditors' Responsibility

Our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America, in accordance with the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States, and in accordance with Office of Management and Budget (OMB) Bulletin No. 21-04, *Audit Requirements for Federal Financial Statements*. Those standards and OMB Bulletin No. 21-04 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 auditors' 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.

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 Architect of the Capitol as of September 30, 2021, and its net costs, changes in net position, and budgetary resources for the year then ended in accordance with U.S. generally accepted accounting principles.

Independent Auditors' Report (*continued*)



Other Matters

Financial Statements as of and for the Year Ended September 30, 2020

The accompanying financial statements of the AOC as of September 30, 2020 and for the year then ended were audited by other auditors whose report thereon dated November 20, 2020, expressed an unmodified opinion on those financial statements.

Interactive Data

Management has elected to reference to information on websites or other forms of interactive data outside the Performance and Accountability Report to provide additional information for the users of its financial statements. Such information is not a required part of the basic financial statements or supplementary information required by the Federal Accounting Standards Advisory Board. The information on these websites or the other interactive data has not been subjected to any of our auditing procedures, and accordingly we do not express an opinion or provide any assurance on it.

Required Supplementary Information

U.S. generally accepted accounting principles require that the information in the Management's Discussion and Analysis and Required Supplementary Information sections be presented to supplement the basic financial statements. Such information, although not a part of the basic financial statements, is required by the Federal Accounting Standards Advisory Board who considers it to be an essential part of financial reporting for placing the basic 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 about the methods of preparing the information and comparing the information for consistency with management's responses to our inquiries, the basic financial statements, and other knowledge we obtained during our audit of the basic 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 audit was conducted for the purpose of forming an opinion on the basic financial statements as a whole. The Table of Contents, Websites and Media Platforms, Fiscal Year 2021 Performance and Accountability Highlights, Message from the Architect of the Capitol, Performance and Accountability Report Introduction, The Year in Photos, Section 02: Performance Information, Introducing the Principal Financial Statements, Message from the Chief Financial Officer, Inspector General Transmittal, Architect of the Capitol's Response to the Inspector General, Section 04: Other Information, and the Appendices are presented for purposes of additional analysis and are not a required part of the basic financial statements. Such information has not been subjected to the auditing procedures applied in the audit of the basic financial statements, and accordingly, we do not express an opinion or provide any assurance on it.

Other Reporting Required by Government Auditing Standards

Internal Control over Financial Reporting

In planning and performing our audit of the financial statements as of and for the year ended September 30, 2021, we considered the AOC's internal control over financial reporting (internal control) as a basis for designing audit procedures that are appropriate in the circumstances for the purpose of expressing our opinion 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.

Independent Auditors' Report (continued)



Our consideration of internal control was for the limited purpose described in the preceding paragraph and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies and therefore, material weaknesses or significant deficiencies may exist that have not been identified. However, as described in the accompanying Schedule of Findings, we did identify certain deficiencies in internal control that we consider to be a material weakness.

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 a 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 a 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. We consider the deficiencies described in the accompanying Schedule of Findings within Exhibit I to be a material weakness.

Compliance and Other Matters

As part of obtaining reasonable assurance about whether the AOC's financial statements as of and for the year ended September 30, 2021 are free from material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, and contracts, noncompliance with which could have a direct and material effect on the financial statements. 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* or OMB Bulletin No. 21-04.

Management's Responses to Findings

The AOC's responses to the findings identified in our audit are described in the accompanying Schedule of Findings. The AOC's responses were not subjected to the auditing procedures applied in the audit of the financial statements and, accordingly, we express no opinion on the responses.

Purpose of the Other Reporting Required by Government Auditing Standards

The purpose of the communication described in the Other Reporting Required by *Government Auditing Standards* section is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the AOC's internal control or compliance. Accordingly, this communication is not suitable for any other purpose.

KPMG LLP

Washington, D.C.
June 15, 2022

Independent Auditors' Report (continued)

Independent Auditors' Report Exhibit I – Material Weakness

The weakness in internal control existed during the year ended September 30, 2021. The determination of which control deficiencies rise to the level of a material weakness, or a significant deficiency is based on an evaluation of the impact of control deficiencies identified, considered individually and in the aggregate, on the Architect of the Capitol (AOC) financial statements as of and for the year ended September 30, 2021. The associated entity level controls, as defined by the *Standards for Internal Control in the Federal Government* issued by the Comptroller General of the United States (Green Book), are also identified in relation to the control activities in the corresponding areas of this Exhibit.

Control Gap Identified for Retrospective Reviews of Estimates

Background:

The preparation of the Architect of the Capitol's (AOC) financial statements requires management to make certain estimates and assumptions that affect the reported amounts of liabilities and the associated expenses as of September 30, 2021. During the Fiscal Year (FY) 2021 audit of the AOC's financial statements, we identified that management did not conduct a complete retrospective review to validate the estimates of its Environmental and Accounts Payable Liabilities.

Conditions:

The AOC did not design and implement the control activities to achieve objectives and respond to risks as required by Green Book principle 10, Design Control Activities. Specifically, the AOC did not:

- Design a control to conduct a retrospective review to validate the use of its primary cost rate factors in determining its estimate of Environmental Liabilities. Specifically, the AOC did not validate that the cost rates used were indicative of actual costs incurred.
- Effectively design its control over the retrospective review of its Accounts Payable accrual to consider the results of retrospective reviews performed throughout the FY. Specifically, the AOC did not define the accounts payable accrual validation precisely enough to capture all expenses incurred in the current year that should have been accrued for in the prior year.

Causes:

These deficiencies are a result of insufficient entity level controls as follows:

- Green Book principle 6 requires that "Management should define objectives clearly to enable the identification of risks and define risk tolerances."
- Green Book principle 7 requires that "Management should identify, analyze, and respond to risks related to achieving the defined objectives."
- Green Book principle 14 requires that "Management should internally communicate the necessary quality information to achieve the entity's objectives."
- Green Book principle 16 requires that "Management should establish and operate monitoring activities to monitor the internal control system and evaluate the results."

Effects:

The deficiency in the control over the retrospective review for Environmental Liabilities resulted in the AOC correcting Note 16 Commitments and Contingencies by increasing the disclosed upper end of the range of the liability by \$169 million above the original point estimate.

Independent Auditors' Report (*continued*)

Independent Auditors' Report **Exhibit I – Material Weakness**

The deficiency in the control over the retrospective review for Accounts Payable resulted in an auditor identified known under accrual of \$11.5 million, and an additional judgmental under accrual of \$26.3 million. This uncorrected misstatement is summarized within the Summary of Audit Misstatements attached to the management representation letter.

Recommendations:

We recommend that the AOC:

1. Develop and implement a control to complete a retrospective review of the Environmental Liability annually. That review should be used to validate the cost factors used and make appropriate adjustments when needed.
2. Develop and implement a more precise accounts payable accrual by re-considering the results of the quarterly Accounts Payable validations and the impact on the existing accrual methodology and considering an adjustment to its accrual percentage to capture periods not covered by the current accrual model.

Management's Response

Management does not concur with the findings based on our assessment of the business processes against the conditions outlined by KPMG. While we do not concur with all the findings, we remain committed to strong financial management and will continue to review and refine our financial processes to strengthen our financial stewardship.

Auditors' Response

We evaluated management's nonconurrence and determined the findings remain valid.

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

May 24, 2022

Mr. Christopher Failla
Inspector General
Architect of the Capitol
Washington, DC 20515

Dear Mr. Failla:

Thank you for the opportunity to comment on the draft Independent Auditors' Report related to the Architect of the Capitol's (AOC) financial statements for the Fiscal Year ending September 30, 2021. We are pleased the audit resulted in an unmodified opinion — marking the 17th consecutive year the AOC received a “clean” opinion.

We acknowledge the internal control challenges noted in the report and recognize that more can always be done to augment our fiscal stewardship. The audit identified one material weakness, no significant deficiencies and three additional control deficiencies. While we do not concur with all of the findings, we remain committed to strong financial management and will continue to review and refine our financial processes to strengthen our financial stewardship. As a result, we will develop an appropriate corrective action plan for all identified issues, provide them to the Office of Inspector General by July 1, 2022, and monitor their implementation.

We appreciate working collaboratively with you in support of an efficient and effective audit. The AOC works diligently to establish strong management practices in order to address our fiscal compliance requirements and manage our financial processes and systems. The annual audit continues to provide us with new insights and valuable recommendations for improvement. I would like to thank you, your staff and the auditor, KPMG, for the professionalism and commitment in conducting the audit.

Sincerely,

J. Brett Blanton
Architect of the Capitol

Financial Statements

Architect of the Capitol

BALANCE SHEET

As of September 30, 2021 and 2020 (\$ in Thousands)

	2021	2020
ASSETS (Note 2)		
Intragovernmental		
Fund Balance with Treasury (Note 3)	\$ 1,249,032	\$ 1,014,778
Investments (Note 5)	11,727	20,366
Accounts Receivable, Net (Note 6)	643	607
Advances and Prepayments (Note 10)	2,902	214
Total Intragovernmental	\$ 1,264,304	\$ 1,035,965
With the Public		
Cash and Other Monetary Assets (Note 4)	\$ 14	\$ 14
Accounts Receivable, Net (Note 6)	279	357
Inventory and Related Property, Net (Note 7)	1,351	1,185
General Property, Plant and Equipment, Net (Note 8)	2,548,752	2,450,456
Investments (Note 5)	10,755	10,761
Total With the Public	\$ 2,561,151	\$ 2,462,773
TOTAL ASSETS	\$ 3,825,455	\$ 3,498,738
Stewardship PP&E (Note 9)		
LIABILITIES (Note 11)		
Intragovernmental		
Accounts Payable:		
Benefit Program Contributions Payable	\$ 7,790	\$ 8,720
Accounts Payable	113	104
Advances from Others and Deferred Revenue (Note 10)	26,521	44,327
Other Liabilities (Note 14)	7	2
Total Intragovernmental	\$ 34,431	\$ 53,153
With the Public		
Accounts Payable	\$ 1,711	\$ 3,429
Federal Debt and Interest Payable (Note 12)	45,610	58,229
Federal Employee and Veteran Benefits Payable	68,618	70,279
Environmental and Disposal Liabilities (Note 13)	179,022	79,062
Other Liabilities (Note 14)	122,786	139,579
Total With the Public	\$ 417,747	\$ 350,578
TOTAL LIABILITIES	\$ 452,178	\$ 403,731
Commitments and Contingencies (Note 16)		
NET POSITION		
Unexpended Appropriations	\$ 1,063,173	\$ 801,991
Cumulative Results of Operations	2,310,104	2,293,016
TOTAL NET POSITION	\$ 3,373,277	\$ 3,095,007
TOTAL LIABILITIES AND NET POSITION	\$ 3,825,455	\$ 3,498,738

The accompanying footnotes are an integral part of these financial statements.

Architect of the Capitol

STATEMENT OF NET COST

For the Years Ended September 30, 2021 and 2020 (\$ in Thousands)

PROGRAM COSTS	2021	2020
Capital Construction and Operations		
Gross Costs	\$ 132,664	\$ 144,755
Less: Earned Revenue	(703)	(657)
Net Program Costs	131,961	144,098
Capitol Building		
Gross Costs	74,885	60,161
Less: Earned Revenue	(463)	(428)
Net Program Costs	74,422	59,733
Capitol Grounds and Arboretum		
Gross Costs	16,335	15,927
Less: Earned Revenue	(24)	(33)
Net Program Costs	16,311	15,894
Capitol Police Buildings, Grounds and Security		
Gross Costs	52,401	33,359
Less: Earned Revenue	—	—
Net Program Costs	52,401	33,359
Capitol Power Plant		
Gross Costs	112,263	99,827
Less: Earned Revenue	(9,036)	(9,044)
Net Program Costs	103,227	90,783
House Office Buildings		
Gross Costs	163,398	108,757
Less: Earned Revenue	(9,668)	(10,499)
Net Program Costs	153,730	98,258
Library Buildings and Grounds		
Gross Costs	78,246	59,086
Less: Earned Revenue	(6,164)	(12,238)
Net Program Costs	72,082	46,848
Senate Office Buildings		
Gross Costs	115,644	85,924
Less: Earned Revenue	(71)	(1,056)
Net Program Costs	115,573	84,868
Supreme Court Building and Grounds		
Gross Costs	38,156	59,557
Less: Earned Revenue	(50,598)	(50,588)
Net Program Costs	(12,442)	8,969
U.S. Botanic Garden		
Gross Costs	15,584	16,684
Less: Earned Revenue	—	—
Net Program Costs	15,584	16,684
U.S. Capitol Visitor Center		
Gross Costs	33,010	29,968
Less: Earned Revenue	(171)	(2,210)
Net Program Costs	32,839	27,758
Net Cost of Operations (Note 23)	\$ 755,688	\$ 627,252

The accompanying footnotes are an integral part of these financial statements.

Architect of the Capitol

STATEMENT OF CHANGES IN NET POSITION

For the Years Ended September 30, 2021 and 2020 (\$ in Thousands)

	2021	2020
UNEXPENDED APPROPRIATIONS		
Beginning Balance	\$ 801,991	\$ 895,155
Appropriations Received (Note 19)	\$ 1,007,560	\$ 728,504
Other Adjustments	(2,933)	(3,424)
Appropriations Used	(743,445)	(818,244)
Net Change in Unexpended Appropriations	\$ 261,182	\$ (93,164)
Total Unexpended Appropriations, Ending	\$ 1,063,173	\$ 801,991
CUMULATIVE RESULTS OF OPERATIONS		
Beginning Balance	\$ 2,293,016	\$ 2,079,830
Appropriations Used	\$ 743,445	\$ 818,244
Nonexchange Revenue	2	97
Transfers In/(Out) Without Reimbursement	2,847	122
Imputed Financing (Note 17)	26,482	21,975
Net Cost of Operations	(755,688)	(627,252)
Net Change in Cumulative Results of Operations	\$ 17,088	\$ 213,186
Cumulative Results Of Operations, Ending	\$ 2,310,104	\$ 2,293,016
NET POSITION	\$ 3,373,277	\$ 3,095,007

The accompanying footnotes are an integral part of these financial statements.

Architect of the Capitol

COMBINED STATEMENT OF BUDGETARY RESOURCES

For the Years Ended September 30, 2021 and 2020 (\$ in Thousands)

	2021	2020
BUDGETARY RESOURCES		
Unobligated Balance from Prior Year Budget Authority, Net (Note 20)	\$ 507,889	\$ 642,614
Appropriations (Note 19)	1,007,570	728,531
Borrowing Authority	4,630	5,662
Spending Authority from Offsetting Collections	41,790	59,990
Total Budgetary Resources	\$ 1,561,879	\$ 1,436,797
STATUS OF BUDGETARY RESOURCES		
New Obligations and Upward Adjustments (Total)	\$ 747,799	\$ 964,489
Unobligated Balance, End of Year:		
Exempt from Apportionment, Unexpired Accounts	786,717	449,356
Unexpired Unobligated Balance, End of Year	786,717	449,356
Expired Unobligated Balance, End of Year (Note 3)	27,363	22,952
Unobligated Balance, End of Year (Total)	814,080	472,308
Total Budgetary Resources	\$ 1,561,879	\$ 1,436,797
OUTLAYS, NET		
Outlays, Net (Total) (Discretionary and Mandatory)	766,384	797,098
Agency Outlays, Net (Note 23)	\$ 766,384	\$ 797,098

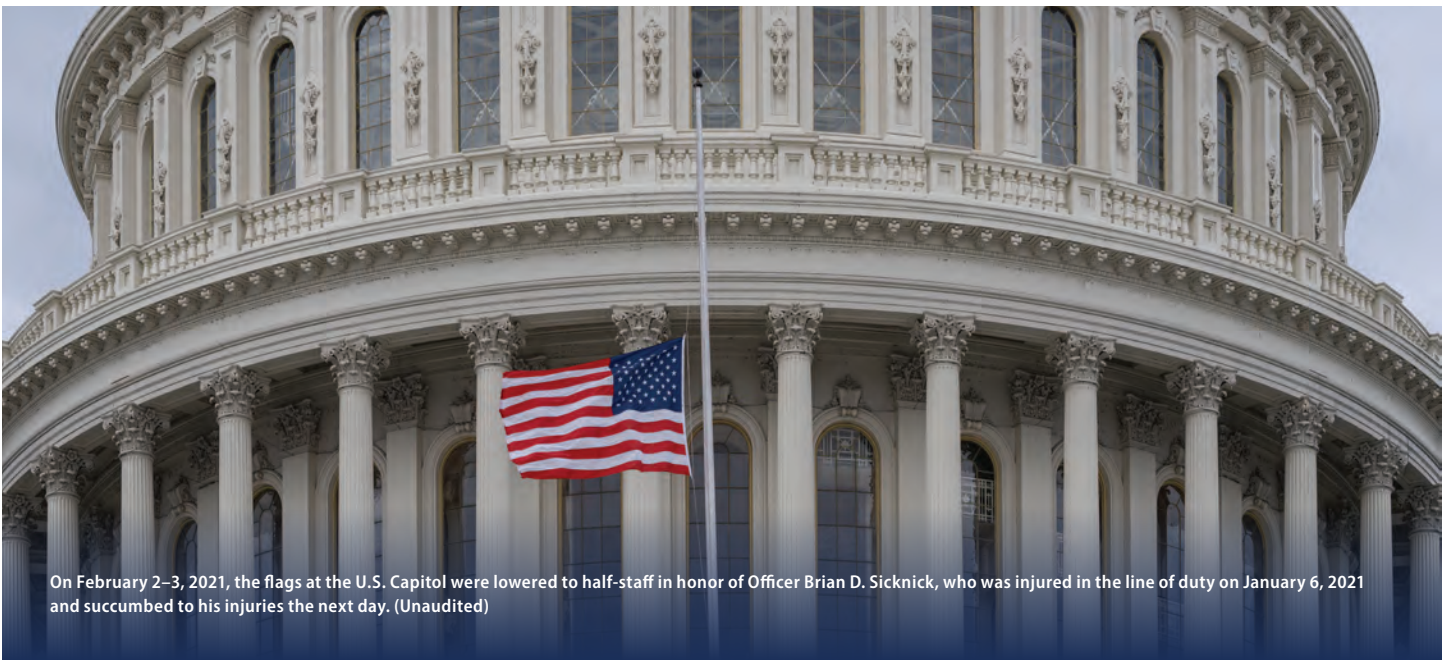
The accompanying footnotes are an integral part of these financial statements.

Architect of the Capitol

Notes to the Financial Statements

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On February 2–3, 2021, the flags at the U.S. Capitol were lowered to half-staff in honor of Officer Brian D. Sicknick, who was injured in the line of duty on January 6, 2021 and succumbed to his injuries the next day. (Unaudited)

NOTE 1

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, Thurgood Marshall Federal Judiciary building (the 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 Government-wide 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 U.S. Generally Accepted Accounting Principles (GAAP) for financial reporting in a manner consistent with other federal agencies. Therefore, AOC’s financial statements have been prepared in conformity with 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 obligation. 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.

In FY 2021, the Office of Management and Budget (OMB) has changed the required format of the Balance Sheet for all significant reporting entities to reflect more detail for certain line items. The AOC has implemented this change, which will support the preparation and audit of the Government-wide Financial Report and will standardize the Balance Sheet across significant entities, increasing its usefulness to financial report users.

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 long-term 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 an investment is the market value at the end of the current 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 the CVC Gift Shops' inventory, restaurant commissions and miscellaneous collections from the CVC Gift Shops to be invested in government securities through the Bureau of the Fiscal Service's webbased application, Fed Invest. 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 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 balance in 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. ADVANCES TO OTHERS AND PREPAYMENTS

Advances to others and Prepayments consist of amounts advanced by AOC to other federal trading partners for services to be provided under interagency agreements (see Note 10).

G. 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 Public Law (P.L.) 113-76. The balance in this fund consists of permit fees collected by the U.S. Capitol Police (USCP) to cover cleanup and other 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 the Gift Shops' inventory, the deposit of miscellaneous receipts from the CVC Gift Shops, 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 pursuant to 2 U.S.C. § 2026 (b) (2), 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 the AOC Flag Office. The balance in 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 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 non-federal 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.

H. 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, multiyear, and no-year appropriations. This includes funding provided in the Coronavirus Aid, Relief, and Economic Security (CARES) Act, under the Capital Construction and Operations (CCO) account as well as other emergency supplemental appropriations.

The appropriations that AOC manages are listed below. Inactive funds are included below 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

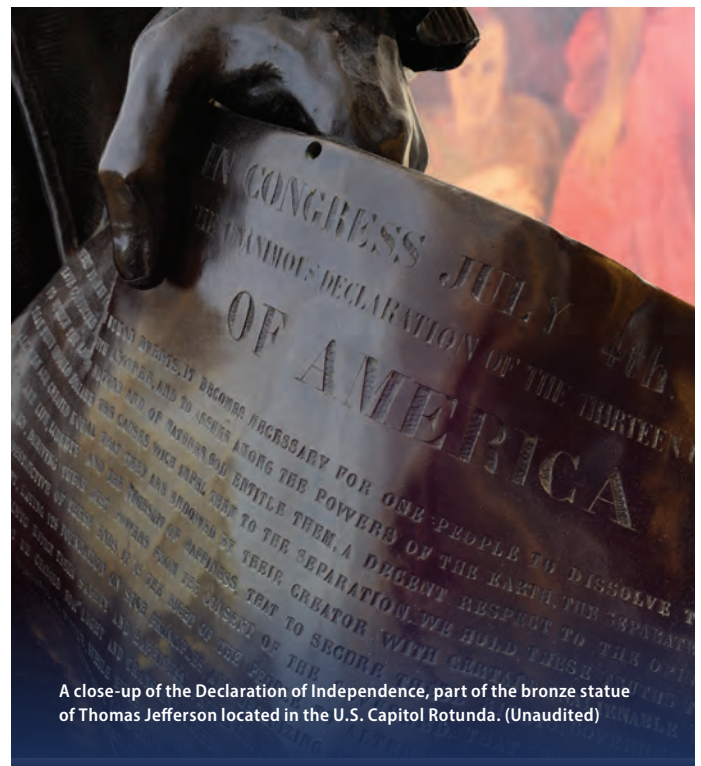
In 1989, the AOC received borrowing authority to finance the cost of the Marshall Building construction. Even though the AOC did not directly sell the zero coupon certificates to the public, the debt is treated substantively the same as direct federal construction financed by direct federal borrowing since it is guaranteed by the federal government. The annual payment and amortization of the debt is reflected in these financial statements as a resource realized from borrowing authority (see Note 12). The AOC's borrowing authority was fully utilized to issue the public bonds and, therefore, the AOC has no additional available borrowing authority at this time. As a component of the Government-wide reporting entity, the 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 Government-wide financial reports. These budgetary resources reflect past congressional actions 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).

I. 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. The AOC currently uses this method, which 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.

J. 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 which 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).



A close-up of the Declaration of Independence, part of the bronze statue of Thomas Jefferson located in the U.S. Capitol Rotunda. (Unaudited)

K. 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 provides 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 11, 14 and 16).

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 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.

L. 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

M. 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, 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 non-collection, which are parks, memorials, monuments and buildings. The AOC holds both collection and non-collection heritage stewardship assets (see Note 9).

N. 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 and Deferred Revenue

Advances from Others and Deferred Revenue consists of amounts advanced to AOC by other federal trading partners for services to be provided under reimbursable agreements (see Note 10).

Federal Debt and Interest Payable

The AOC recognizes a liability for the 30-year Coupon Certificates of Participation issued to finance the 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. Interest payable is accrued for the coupon certificates as well as the financed portion of the cogeneration facility (see Note 12).

Contract Holdbacks (included in Other Liabilities)

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 (see Note 14).

Environmental and Disposal 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 13).

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 non-friable 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 13).

O. 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.

Federal Employees' Compensation Act Benefits

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 (Accounts Payable). 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 (Federal employee and veteran benefits payable / see Note 11).



The AOC is responsible for maintaining the lights and buzzers, such as the voting lights bar in the U.S. Capitol's Senate Chamber, shown here. The lights help Members of Congress monitor floor activities in their respective chambers. (Unaudited)

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).

P. 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 Standards and Concepts. 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 below.

- 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.

Q. 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.

R. 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 are unavailable for use in its operations. 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 1.D).

Upon receipt, these funds are not available for AOC to use and are transferred to Treasury.

The AOC's non-entity assets as of September 30, 2021, and 2020, were as follows:

Dollars in Thousands

NON-ENTITY ASSETS	2021	2020
With the Public		
Accounts Receivable, Net (Note 6)	\$ 7	\$ 2
Total Non-Entity Assets	\$ 7	\$ 2
Total Entity Assets	\$ 3,825,448	\$ 3,498,736
Total Assets	\$ 3,825,455	\$ 3,498,738

Non-Entity Accounts Receivable consist of Employee Payroll Receivables, which are reduced as the debt is collected.

NOTE 3: FUND BALANCE WITH TREASURY

FBWT is classified in the following categories:

a) Unobligated Balance

Unobligated Balance Available includes 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 are not part of the 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. The AOC has unobligated balances derived from offsetting collections for space rented in the O'Neill Building. These amounts are available for future obligations upon congressional appropriation.

Unobligated Balance Unavailable represents expired budget authority that is no longer available to incur new obligations unless authorized by Congress. An example of this is for FECA and unemployment payments, which are derived from expired balances.

b) Obligated Balance Not Yet Disbursed

Obligated Balance not yet Disbursed includes undelivered orders or orders that have been received but not yet paid for.

c) Non Budgetary FBWT

Non Budgetary FBWT (if applicable) includes unavailable miscellaneous receipts and suspense accounts that have no associated budget authority.

Dollars in Thousands

FUND BALANCE WITH TREASURY TYPE	2021	2020
Unobligated Balance		
Available	\$ 791,307	\$ 444,677
Unavailable	27,363	22,952
Obligated Balance not yet Disbursed	430,362	547,149
Non Budgetary FBWT	—	—
Total	\$ 1,249,032	\$ 1,014,778

The increase in Unobligated Balance Available is mainly due to the emergency supplemental appropriations received in FY 2021 for funding AOC's response to the events at the U.S. Capitol on January 6, 2021 and for coronavirus response.

In FY 2021 the decrease in Obligated Balance not yet Disbursed reflects the payment of prior year obligations related to various capital improvement projects for the House and Senate Office Buildings, such as the Cannon House Office Building renewal and the Senate Underground Garage projects.

NOTE 4: CASH AND OTHER MONETARY ASSETS

Cash and Other Monetary Assets include change-making funds held in a bank outside Treasury for the CVC Gift Shops' operations and undeposited daily sales from the Gift Shops (if applicable). There are no restrictions on cash. The CVC remains closed for public tours since Thursday, March 12, 2020 at 4:30 p.m. due to public health concerns associated with COVID-19. While the CVC Gift Shops remain closed, CVC began utilizing an e-commerce sales platform during the first quarter of FY 2021. There are no undeposited collections to be reported for the year ended September 30, 2021.

The cash balances as of September 30, 2021, and 2020, are as follows:

Dollars in Thousands

CASH AND OTHER MONETARY ASSETS	2021	2020
Cash Imprest Funds	\$ 14	\$ 14
Total	\$ 14	\$ 14

NOTE 5: INVESTMENTS

Intragovernmental Investments are comprised of proceeds from CVC Gift Shops sales and restaurant commission receipts. 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 Thurgood Marshall Building Operating Reserve Fund with the Bank of New York Mellon. The FY 2021 Intragovernmental Investments, Net decreased due to additional CVC spending related to the Exhibition Hall Renovation

Project and decreased collections from the CVC Gift Shops as a result of the COVID-19 pandemic-related closures. Although the CVC Gift Shops are closed, ecommerce sales are ongoing since the first quarter of FY 2021.

The difference in the type of certificates (one-day, six-month and one-year, as applicable) reflects the maturity of previously held securities. Upon maturity, the proceeds from six-month and one-year securities remain in one-day certificates until they are utilized to cover necessary expenses or reinvested in longer term certificates.

At September 30, 2021, Dollars in Thousands

INVESTMENTS	SHARES/PAR	AMORTIZED PREMIUM (NET OF DISCOUNT)	INTEREST RECEIVABLE	INVESTMENTS, NET	UNREALIZED GAIN/(LOSS)	MARKET VALUE
INTRAGOVERNMENTAL, NONMARKETABLE:						
Capitol Visitor Center Revolving Fund						
One Day Certificate, 0.05% Annual Yield Maturing 10/1/2021	\$ 6,726	\$ —	\$ —	\$ 6,726	\$ —	\$ 6,726
Six Month Certificate, 0.05% Annual Yield Maturing 1/13/2022	5,001	—	—	5,001	—	5,001
Total Intragovernmental	\$ 11,727	\$ —	\$ —	\$ 11,727	\$ —	\$ 11,727
With the Public, Held to Maturity:						
The Bank of New York Mellon Operating Money Market Fund (DREYFUS)	\$ 10,755	\$ —	\$ —	\$ 10,755	\$ —	\$ 10,755
Total With the Public	\$ 10,755	\$ —	\$ —	\$ 10,755	\$ —	\$ 10,755
Total Investments	\$ 22,482	\$ —	\$ —	\$ 22,482	\$ —	\$ 22,482

At September 30, 2020, Dollars in Thousands

INVESTMENTS	SHARES/PAR	AMORTIZED PREMIUM (NET OF DISCOUNT)	INTEREST RECEIVABLE	INVESTMENTS, NET	UNREALIZED GAIN/(LOSS)	MARKET VALUE
INTRAGOVERNMENTAL, NONMARKETABLE:						
Capitol Visitor Center Revolving Fund						
One Day Certificate, 0.07% Annual Yield Maturing 10/1/2020	\$ 11,325	\$ —	\$ —	\$ 11,325	\$ —	\$ 11,325
Six Month Certificate, 0.125% Annual Yield Maturing 01/21/2021	5,003	(2)	—	5,001	1	5,002
One Year Certificate, 1.45% Annual Yield Maturing 01/28/2021	4,059	(19)	—	4,040	18	4,058
Total Intragovernmental	\$ 20,387	\$ (21)	\$ —	\$ 20,366	\$ 19	\$ 20,385
With the Public, Held to Maturity:						
The Bank of New York Mellon Operating Money Market Fund (DREYFUS)	\$ 10,761	\$ —	\$ —	\$ 10,761	\$ —	\$ 10,761
Total With the Public	\$ 10,761	\$ —	\$ —	\$ 10,761	\$ —	\$ 10,761
Total Investments	\$ 31,148	\$ (21)	\$ —	\$ 31,127	\$ 19	\$ 31,146

NOTE 6: ACCOUNTS RECEIVABLE, NET

The AOC's Accounts Receivable as of September 30, 2021, and 2020, are as follows:

Dollars in Thousands

ACCOUNTS RECEIVABLE	2021	2020
Intragovernmental		
Entity	\$ 643	\$ 607
Total Intragovernmental	\$ 643	\$ 607
With the Public		
Entity	\$ 272	\$ 355
Non-Entity	7	2
Total With the Public	\$ 279	\$ 357
Total	\$ 922	\$ 964

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 increase in Intragovernmental Accounts Receivable is mainly due to higher steam and chilled water usage in the last quarter of FY 2021 as opposed to FY 2020. The decrease in the Entity Accounts Receivable with the Public is mainly due to the timely collection of the outstanding steam and chilled water receivables during FY 2021 as opposed to FY 2020. See Note 2, Non-Entity Assets for the explanation of the increase in Non-Entity Accounts Receivable.

NOTE 7: INVENTORY AND RELATED PROPERTY, NET

Inventory consists of retail goods that were purchased for resale at the CVC's Gift Shops.

Inventory, as of September 30, 2021, and 2020, is as follows:

Dollars in Thousands

INVENTORY CATEGORY	2021	2020
Purchased Goods Held for Current Sale	\$ 1,351	\$ 1,185
Total	\$ 1,351	\$ 1,185

The change in Inventory is due to additional inventory purchases to support the e-commerce sales platform. The physical CVC Gift Shops remain closed due to the ongoing COVID-19 pandemic.

The CVC Retail Division responded to a Department of State request for assistance in providing U.S. made products for the USA Pavilion at World Expo 2020-21. The retail team supplied products from the current inventory for the Expo (formerly known as the World's Fair), which is being held in Dubai. The project provided a unique opportunity to increase the visibility of our U.S. made vendors and small businesses, while reducing current inventory levels. This was especially helpful during the ongoing closure of the CVC.

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.

The AOC may record an allowance which is based on slow-moving, excess or obsolete and damaged inventory, if applicable. 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, 2021.



In the U.S. Capitol Rotunda, a contractor cleans the bronze statue of President Ronald Reagan. This sculpture, part of the National Statuary Hall Collection since 2009, required maintenance after the U.S. Capitol breach on January 6, 2021. (Unaudited)

NOTE 8: GENERAL PROPERTY, PLANT AND EQUIPMENT, NET

The AOC records property and equipment by distinct categories as shown in the following table (see Note 1.L for AOC's capitalization thresholds and related useful lives).

The following charts represent AOC's real property and equipment values, by asset category, as of September 30, 2021, and 2020:

At September 30, 2021, Dollars in Thousands

CLASS OF PROPERTY AND EQUIPMENT	ACQUISITION VALUE	ACCUMULATED DEPRECIATION	NET BOOK VALUE	%
Buildings	\$ 1,440,184	\$ 865,133	\$ 575,051	22.6%
Buildings Improvements	2,678,941	1,271,503	1,407,438	55.2%
Capital Leases (Real Property)	40,143	37,647	2,496	0.1%
Leasehold Improvements	19,830	17,987	1,843	0.1%
Equipment and Internal Use Software	34,627	17,544	17,083	0.7%
Land	169,231	—	169,231	6.6%
Land Improvements	150,809	119,119	31,690	1.2%
Other Structures	9,288	5,417	3,871	0.2%
Construction Work-in-Progress	340,049	—	340,049	13.3%
Total	\$ 4,883,102	\$ 2,334,350	\$ 2,548,752	100%

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%
Buildings Improvements	2,362,061	1,167,300	1,194,761	48.8%
Capital Leases (Real Property)	40,143	37,036	3,107	0.1%
Leasehold Improvements	22,934	20,389	2,545	0.1%
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%
Other Structures	9,289	5,057	4,232	0.2%
Construction Work-in-Progress	425,090	—	425,090	17.3%
Total	\$ 4,654,628	\$ 2,204,172	\$ 2,450,456	100%

The increase in Building Improvements is primarily due to the recognition of additional fixed assets as work is completed on various ongoing capital improvement projects, with the largest being the Cannon House Office Building Renewal Phase 2. The increase in the Building Improvements asset category directly relates to the associated decrease in the Construction Work in Progress asset category net of new activity during the fiscal year.

The AOC's current year PP&E activity is as follows:

Dollars in Thousands

CURRENT YEAR ACTIVITY NET PP&E	
Balance at Beginning of year	\$ 2,450,456
Capitalized Acquisitions	242,879
Dispositions	(14,405)
Depreciation Expense*	(130,178)
Balance at End of Year	\$ 2,548,752

* Depreciation expense represents current year change in accumulated depreciation.

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 multi-use 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&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 the 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 Supreme Court of the United States, 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. 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, the Supreme Court of the United States 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 reported at cost, depreciated over their estimated useful life 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 land encompasses 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 heritage assets include cultural landscapes such as the Senate Park, Senate office building sites and courtyards, House office building sites and courtyards, Botanic Garden, National Garden, Bartholdi Park, USBG Administration Building site, Union Square, Thomas Jefferson Building site, John Adams Building site, James Madison Memorial Building site, Supreme Court of the United States site and the Thurgood Marshall Building site, as well as 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 and withdrawn due to the tree dying or disease.

An inventory of the memorial trees as of September 30, 2021, and 2020 follows:

DESCRIPTION	2020	ADDED	WITHDRAWN	OTHER ADJUSTMENTS	2021	CONDITION
Memorial Trees	150	1	—	1*	152	Poor to Excellent

* In FY 2021, the ending inventory was adjusted to include a memorial tree located on the grounds surrounding the Library of Congress' buildings that was not previously included.

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, 2021, and 2020 follows:

DESCRIPTION	2020	ACQUIRED	WITHDRAWN	OTHER ADJUSTMENTS	2021	CONDITION
Artwork	1,953	55	(2)	—	2,006	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)	1,219	21	—	—	1,240	Good
Other Traditional Archival Records	552,049	14,047	—	—	566,096	Fair to Excellent
Electronic Archival Records (Megabytes (MB))	12,101.38	5,476.32	—	—	17,577.70	N/A
Living Botanical Assets (Accessions)	9,923	565	(737)	(139)*	9,612	N/A

* The ending inventory of living botanical assets was adjusted downward to remove duplicate accessions discovered during an inventory check and database review for FY 2021.

NOTE 10: ADVANCES AND PREPAYMENTS

Advances and Prepayments consist of the unliquidated balance on advances and prepayments to and from other federal agencies for work to be performed under interagency and reimbursable agreements.

Dollars in Thousands

ASSETS	2021	2020
Intragovernmental		
Advances to Others and Prepayments	\$ 2,902	\$ 214
Total Intragovernmental	\$ 2,902	\$ 214
Total	\$ 2,902	\$ 214

Dollars in Thousands

LIABILITIES	2021	2020
Intragovernmental		
Advances from Others	\$ 26,521	\$ 44,327
Total Intragovernmental	\$ 26,521	\$ 44,327
Total	\$ 26,521	\$ 44,327

The increase in Advances to Others and Prepayments is attributed to additional advance payments to federal trading partners for the Power Plant Utility Studies and Energy project, the Cannon House

Office Building renewal project and the Rayburn House Office Building Garage Interior Rehabilitation project.

The decrease in Advances from Others is mainly due to the liquidation of advances received from other federal agencies as work was completed on various reimbursable construction projects mainly for the Thurgood Marshall Building.

NOTE 11: LIABILITIES NOT COVERED BY BUDGETARY RESOURCES

The Balance Sheet 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). The AOC's liabilities that do not require the use of budgetary resources are undeposited CVC Gift Shops sales and miscellaneous receipts that are to be forwarded to Treasury.

The amount reported as "Other Liabilities" in the following table includes the financed portion of the cogeneration facility. 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 Notes 1, 14 and 16). The Capital Lease Liability reported in the following table includes the principal due in future years only.

Workers' Compensation is reported as required by FECA. It includes long-term, actuarially-calculated unfunded liability (Actuarial Unfunded Worker's Compensation) and short term unfunded payable (Benefit Program Contributions Payable). The actuarial workers' compensation liability was calculated using a formula provided by the DOL. 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. The current (short term) portion of the FECA liability represents an annual accrued liability for billed costs and is reflected in the Accounts Payable line of the balance sheet.

Unfunded accrued annual leave represents the value of employees' earned leave that they are entitled to upon separation and that will be funded by future years' budgetary resources.

Liabilities covered and not covered by budgetary resources as of September 30, 2021, and 2020, are as follows:

Dollars in Thousands

LIABILITIES	2021	2020
Intragovernmental		
Benefit Program Contributions Payable	\$ 7,790	\$ 8,720
Total Intragovernmental	\$ 7,790	\$ 8,720
Federal Debt and Interest Payable (Note 12)	\$ 45,610	\$ 58,229
Federal Employee and Veterans Benefits Payable:		
Unfunded Accrued Annual Leave	19,296	18,611
Actuarial Unfunded Worker's Compensation	49,322	51,668
Environmental and Disposal Liabilities (Note 13)	179,022	79,062
Other:		
Capital Lease Liability (Note 15)	3,461	4,207
Other Liabilities Without Related Budget Obligation (Note 14)	47,907	49,307
Total Liabilities Not Covered by Budgetary Resources	\$ 352,408	\$ 269,804
Total Liabilities Covered by Budgetary Resources	99,763	133,925
Total Liabilities Not Requiring Budgetary Resources (Note 14)	7	2
Total Liabilities	\$ 452,178	\$ 403,731

NOTE 12: 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 facility. The presentation of this footnote has been changed consistent with OMB Circular A-136.

The balance of federal debt and interest payable, as of September 30, 2021, and 2020, is as follows:

Dollars in Thousands

FEDERAL DEBT AND INTEREST PAYABLE, BY TYPE	2020			2021		
	BEGINNING BALANCE	BORROWING/ (REPAYMENTS), NET	ENDING BALANCE	BORROWING/ (REPAYMENTS), NET	ENDING BALANCE	
Securities	\$ 86,150	\$ (17,230)	\$ 68,920	\$ (17,230)	\$ 51,690	
Interest Payable	810	276	1,086	(108)	978	
Discount on Securities	(400,123)	—	(400,123)	—	(400,123)	
Less: Amortization of Discount on Securities	382,602	5,744	388,346	4,719	393,065	
Total	\$ 69,439	\$ (11,210)	\$ 58,229	\$ (12,619)	\$ 45,610	

Various judiciary offices and personnel occupy the 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 13: ENVIRONMENTAL AND DISPOSAL LIABILITIES

The AOC also has responsibility to remediate certain sites with environmental contamination hazards related to ongoing operations.

Environmental Cleanup Cost Liabilities Related to Asbestos Cleanup
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 that the reported estimated liability (see table below) is the base cost without containment as containment requirements differ from project to project.

The AOC’s accrued and potential liabilities for environmental cleanup costs, as of September 30, 2021, and 2020, are shown in the table below. The significant increase in the liability in the current year is attributed to several factors 1) approximately 9 percent in pandemic-induced cost increase as reflected in the RSM means (cost estimating guidance) between FY 2020 and FY 2021 and 2) FY 2021 changes in AOC Division 1 Construction Specification requirements to include additional labor categories for construction Safety and Quality Control personnel. Additionally, AOC’s normal cost estimating requirements include a rate escalation due to the timing of the RSM means cost book. In the past, this escalation was typically 2 to 3 percent annually. However, continued pandemic-related inflation on construction materials, labor and supply chain costs as reported by industry reports (Engineering News Record) increased industry prices between 2020 and 2021. As a result, the escalation rate for the current fiscal year is 10 percent.

Fort George G. Meade, Maryland

In addition to the requirements of Technical Bulletin 2006-1, the 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.

The AOC accrued an environmental liability of \$179 million. The estimated liability range is \$179 million on the lower end to \$348 million on the upper end, which includes markups assuming work is fully contracted out (See Note 16).

The AOC’s accrued and potential liabilities for environmental cleanup costs, as of September 30, 2021, and 2020, are shown in the following table.

Dollars in Thousands

ENVIRONMENTAL AND DISPOSAL CLEANUP COST	2021	2020
Accrued Liabilities (Note 16)	\$ 179,022	\$ 79,062

NOTE 14: OTHER LIABILITIES

As of September 30, 2021, and 2020, the intragovernmental liabilities consist of miscellaneous receipts (Liability for Non-Entity Assets Not Reported on the Statement of Custodial Activity). Miscellaneous receipts include non-entity receipts that are to be forwarded to Treasury (see Note 2). Liabilities with the Public consist of contract holdbacks, accrued accounts payable (Other Liabilities With Related Budgetary Obligations), Accrued Funded Payroll, outstanding capital lease principal, and long-term debt from the cogeneration financing (Other Liabilities Without Related Budgetary Obligations).

Other liabilities, as of September 30, 2021, and 2020, are as follows:

Dollars in Thousands

OTHER LIABILITIES	2021	2020
Intragovernmental:		
Liability for Non-Entity Assets Not Reported on the Statement of Custodial Activity	\$ 7	\$ 2
Total Intragovernmental	\$ 7	\$ 2
With the Public:		
Contract Holdbacks	\$ 17,023	\$ 27,254
Other Liabilities with Related Budgetary Obligations	39,061	44,810
Accrued Funded Payroll and Leave	15,334	14,001
Capital Lease Liability (Current, Not Covered by Budgetary Resources)	791	746
Capital Lease Liability (Non-Current, Not Covered by Budgetary Resources)	2,670	3,461
Other Liabilities without Related Budgetary Obligations (Current)	1,627	1,399
Other Liabilities without Related Budgetary Obligations (Non-Current)	46,280	47,908
Total With the Public	\$ 122,786	\$ 139,579
Total	\$ 122,793	\$ 139,581

The change in the Contract Holdbacks is a reflection of the contract retainage release as work was satisfactorily completed on various construction projects, with the largest being the Cannon House Office Building Renewal Phase 2.

The change in Other Liabilities With Related Budgetary Obligations is primarily due to a reduction in the accrued accounts payable as work was completed and invoices that were previously due to contactors were paid on ongoing large construction projects, with the largest being the Cannon House Office Building Renewal Phase 2.

NOTE 15: LEASES

As of September 30, 2021, 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, 2021, and 2020, is as follows:

Dollars in Thousands

SUMMARY OF ASSETS UNDER CAPITAL LEASE	2021	2020
Land and Buildings	\$ 40,143	\$ 40,143
Accumulated Amortization	(37,647)	(37,036)
Total Capital Leases	\$ 2,496	\$ 3,107

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, 2021, and 2020, the present value of the future minimum lease payments is as follows:

At September 30, 2021, Dollars in Thousands

FISCAL YEAR	TOTAL
2022	\$ 938
2023	947
2024	956
2025	966
2026	—
Thereafter	—
Total Minimum Future Lease Payment	\$ 3,807
Less: Imputed Interest	(346)
Net Capital Lease Liability	\$ 3,461
Capital Lease Liabilities Covered by Budgetary Resource	\$ —
Capital Lease Liabilities not Covered by Budgetary Resource	\$ 3,461

At September 30, 2020, Dollars in Thousands

FISCAL YEAR	TOTAL
2021	\$ 928
2022	938
2023	947
2024	956
2025	966
Thereafter	—
Total Minimum Future Lease Payment	\$ 4,735
Less: Imputed Interest	(528)
Total Capital Lease Liability	\$ 4,207
Capital Lease Liabilities Covered by Budgetary Resource	\$ —
Capital Lease Liabilities not Covered by Budgetary Resource	\$ 4,207

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 2022 and FY 2026.

As of September 30, 2021, the aggregate of future payments due under non-cancelable federal and non-federal operating leases and occupancy agreements are as follows:

Dollars in Thousands

FISCAL YEAR	REAL PROPERTY		PERSONAL PROPERTY		TOTAL
	FEDERAL	NON-FEDERAL	NON-FEDERAL	TOTAL	
2022	\$ 4,608	\$ 10,963	\$ 3	\$ 15,574	
2023	—	9,794	—	9,794	
2024	—	6,345	—	6,345	
2025	—	3,633	—	3,633	
2026	—	1,827	—	1,827	
Thereafter	—	—	—	—	
Total Future Leases	\$ 4,608	\$ 32,562	\$ 3	\$ 37,173	

NOTE 16: 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. 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, 2021, and 2020, are shown in the following table. See Note 13 for an explanation of the increase in the Environmental Cleanup Cost Liabilities.

At September 30, 2021, Dollars in Thousands

CONTINGENT LOSS	ACCRUED LIABILITIES	ESTIMATED RANGE OF LOSS	
		LOWER END	UPPER END
Legal Contingencies:			
Reasonably Possible	\$ 0	\$ 15	\$ 3,500
Environmental Cleanup Cost Liabilities:			
Probable (Note 13)	\$ 179,022	\$ 179,022	\$ 348,501
	\$ 179,022	\$ 179,037	\$ 352,001

At September 30, 2020, Dollars in Thousands

CONTINGENT LOSS	ACCRUED LIABILITIES	ESTIMATED RANGE OF LOSS	
		LOWER END	UPPER END
Legal Contingencies:			
Reasonably Possible	\$ 0	\$ 0	\$ 2,800
Environmental Cleanup Cost Liabilities:			
Probable (Note 13)	\$ 79,062	\$ 79,062	\$ 79,062
	\$ 79,062	\$ 79,062	\$ 81,862

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.N). 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 table 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.

Future Funded Energy Contracts

The use of energy contracts by federal agencies was permitted by the Energy Policy Act of 1992 and, after a renewal in 2005, was permanently reauthorized by the Energy Independence and Security Act of 2007. These contracts provide federal agencies with the ability to implement energy and water savings upgrades at little to no upfront cost to the government. The contracts take the form of fixed-price, performance-based arrangements. An energy service company finances the cost of implementing the energy savings infrastructure and, in return, receives a contractually determined share of the cost savings over time. As part of the agreement, the energy company guarantees that the improvements will generate sufficient energy savings to pay for the projects over the life of the arrangement. Once the contract period ends, the agency retains all subsequent cost savings.

With the approval of Congress, the AOC has partnered with private energy service companies for a UESC to help finance the design-build of its cogeneration system at the Capitol Power Plant and implement separate ESPCs in the Capitol Building, House Office Buildings, Senate Office Buildings and Library Buildings and Grounds jurisdictions. The ESPCs have helped the AOC implement energy savings measures by:

- converting from pneumatic to direct digital heating, ventilation and air conditioning (HVAC) control and upgrading building automation systems
- retrofitting existing light fixtures with high-efficiency lamps, ballasts, controls and reflectors; installing LED lighting and expanding the lighting control rooms
- upgrading transformers to high-efficiency models
- adding removable insulation covers to reduce heat loss from steam valves
- 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
- installing water conservation and fixture upgrades

As of September 30, 2021, the AOC has four active ESPCs and one active UESC arrangement. Of these contracts, only one is still being implemented — the ESPC for the Library Buildings and Grounds jurisdiction. All construction related to ESPCs in the Capitol Building, House Office Buildings and Senate Office Buildings jurisdictions, and the UESC in the Capitol Power Plant, is complete and these contracts have transitioned to their performance phase. The scheduled final payments for the contracts range from FY 2022 to FY 2039. The calculation of the period of performance is largely dependent on the amount of the predicted annual costs savings and the overall value of the projects.

The AOC is liable for the full funding of its cogeneration facility, as follows:

Dollars in Thousands

PROJECT COST	TOTAL
Construction Costs	
Appropriations	\$ 20,000
Long-Term Financing	67,285
Total Construction Costs	\$ 87,285
Interest On Financing	25,432
Total Costs Over the Life of the Asset	\$ 112,717

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 \$93 million. The AOC expects that these payments will be completed by May 2037 from available annual appropriations to the Capitol Power Plant.

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 financial statements. 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 AOC uses the applicable cost factors provided by OPM for current period expense reporting. 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 years ended September 30, 2021, and 2020, is as follows:

Dollars in Thousands

IMPUTED FINANCING, BY TYPE	2021	2020
Pensions		
CSRS	\$ 422	\$ 571
CSRS Offset	480	489
FERS	52,106	46,199
Less: Contributions	(47,303)	(45,042)
Subtotal: Employee Pensions	\$ 5,705	\$ 2,217
Health Insurance	\$ 16,818	\$ 15,722
Life Insurance	40	40
Subtotal: All Employee Benefits	\$ 22,563	\$ 17,979
Other Agency — Campus Infrastructure	\$ 3,940	\$ 3,315
Department of Justice — Treasury Judgement Fund	19	—
OCWR-Settlement and Awards Fund	30	681
Reversal of Imputed OCWR payments from prior year	(70)	—
Total	\$ 26,482	\$ 21,975

In FY 2021, the change in imputed financing costs for employee benefits is due to a variety of factors. These include an increase in the FY 2021 OPM cost factors for pensions and FEHB and higher FERS contributions. Further, enrollment figures for both FEHB and FEGLI have historically fluctuated.

NOTE 18: NET COST OF OPERATIONS RELATED TO PAYROLL

Expenses for salaries and related benefits for the years ended September 30, 2021, and 2020, are shown in the following table. These amounts were approximately 40 and 44 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 years ended September 30, 2021, and 2020, is as follows:

Dollars in Thousands

EXPENSES FOR PAYROLL AND RELATED BENEFITS	2021	2020
Payroll Expense	\$ 308,505	\$ 291,655
Benefit Expenses		
FECA and UCFE	4,263	4,202
Imputed Costs (see Note 17)	22,563	17,979
Other Accrued Expenses		
Current Year Accrued Expenses	18,529	17,658
Reversal of Prior Year Accrued Expenses	(18,127)	(15,078)
Total Expenses for Payroll and Related Benefits	\$ 335,733	\$ 316,416
Total Gross Cost	\$ 832,586	\$ 714,005

The change in payroll related expense is primarily due to an increase in full time employees from FY 2020 to FY 2021 net of a reduction of in-person temporary operations staff for the CVC not retained during the COVID-19 pandemic. The increase is also due to additional payroll related expenses associated with the 117th Congressional Transition, election year moves and various Library of Congress projects.

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 years ended September 30, 2021, and 2020 is as follows:

Dollars in Thousands

RECONCILIATION OF SCNP APPROPRIATIONS TO SBR	2021	2020
SCNP		
Appropriations Received	\$ 1,007,560	\$ 728,504
Total SCNP Appropriations	\$ 1,007,560	\$ 728,504
SBR		
Trust or Special Fund Receipts	\$ 10	\$ 27
Total SBR Appropriations	\$ 1,007,570	\$ 728,531

The increase in appropriations received is primarily related to the \$300 million emergency supplemental appropriations received to respond to the events at the U.S. Capitol on January 6, 2021. The reduction in Trust or Special Fund Receipts is due to reduced collections from commercial photography permits issued for Union Square as a result of COVID-19 restrictions.

NOTE 20: 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 in the following table:

Dollars in Thousands

NET ADJUSTMENTS TO UNOBLIGATED BALANCE BROUGHT FORWARD, OCTOBER 1	2021	2020
Unobligated Balance Brought Forward, October 1	\$ 472,307	\$ 606,617
Net Adjustments		
Cancelled Authority	(2,932)	(3,424)
Downward Adjustment PY Unpaid Unexpended Obligations	18,976	18,440
Downward Adjustment PY Unpaid Expended Authority	14,424	11,047
Downward Adjustment PY Paid Expended Authority (Refunds Collected)	5,114	9,934
Total Net Adjustments	\$ 35,582	\$ 35,997
Unobligated Balance From Prior Year Budget Authority, Net	\$ 507,889	\$ 642,614

NOTE 21:**UNDELIVERED ORDERS AT THE END OF THE PERIOD**

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, construction projects and CVC inventory purchases.

Undelivered Orders for the years ended September 30, 2021, and 2020, are as follows:

Dollars in Thousands

UNDELIVERED ORDERS	2021	2020
Paid		
Federal	\$ 2,902	\$ 214
Total Paid	\$ 2,902	\$ 214
Unpaid		
Federal	\$ 19,400	\$ 18,162
Non-Federal	337,765	439,627
Total Unpaid	\$ 357,165	\$ 457,789

See Note 10, Advances and Prepayments, for the explanation of the increase in the Paid Undelivered Orders balance. The decrease in the Non-Federal Unpaid Undelivered Orders balance is due to the payment of prior year contract obligations related to various capital improvement projects such as the Cannon House Office Building renewal as work progressed or was completed.

NOTE 22:**EXPLANATION OF DIFFERENCES BETWEEN THE COMBINED STATEMENT OF BUDGETARY RESOURCES AND THE BUDGET OF THE U.S. GOVERNMENT**

The FY 2022 Budget of the U.S. Government (President's Budget) presenting the actual amounts for the year ended September 30, 2020, was published in May 2021. The FY 2022 President's Budget is reconciled to AOC's September 2020 SBR to identify differences. The AOC's budget can be found on the OMB website (www.whitehouse.gov/omb/budget/) under Legislative branch.

The President's Budget reconciliation is as follows:

Dollars in Thousands

RECONCILIATION OF SBR TO BUDGET FY 2020	BUDGETARY RESOURCES	OBLIGATIONS INCURRED	NET OUTLAYS
Combined Statement of Budgetary Resources (SBR)	\$ 1,436,796	\$ 964,489	\$ 797,098
Items on SBR— Not on Budget:			
Expired Funds	(55,556)	—	—
Other	(23,240)	2,511	902
Budget of the U.S. Government	\$1,358,000	\$ 967,000	\$ 798,000

The "Other" difference between the FY 2020 comparative amounts presented on the SBR and the actual amounts published in the FY 2022 President's Budget are due to amounts that are presented on the SBR but not included in the President's Budget (e.g., the Supreme Court of the United States and Senate Restaurant) as well as rounding differences and other adjustments.

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. Statements of Federal Financial Accounting Concepts No. 2, Entity and Display, as amended by SFFAS No. 53, Budget and Accrual Reconciliation, provides concepts for reconciling budgetary and financial accounting. The 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. During FY 2021, there was a change in presentation for this footnote. The FY 2020 comparative chart has been revised to conform with the new presentation.

The reconciliation for the years ended September 30, 2021 and 2020 are as follows:

At September 30, 2021, Dollars in Thousands

RECONCILIATION OF NET OPERATING COST AND NET BUDGETARY OUTLAYS	INTRAGOVERNMENTAL	WITH THE PUBLIC	TOTAL
Net Operating Cost	\$ (23,745)	\$ 779,433	\$ 755,688
Components of Net Operating Cost Not Part of the Budgetary Outlays			
Property, Plant and Equipment Depreciation Expense	—	(138,501)	(138,501)
Property, Plant and Equipment Disposals and Reevaluation	—	(6,105)	(6,105)
Cost of Goods Sold	—	(81)	(81)
Gains/Losses on All Other Investments	—	2	2
Increase/(Decrease) in Assets:			
Accounts Receivable, Net	34	(78)	(44)
Securities and Investments	(46)	—	(46)
Other Assets	—	2,688	2,688
(Increase)/Decrease in Liabilities:			
Accounts Payable	(9)	20,774	20,765
Environmental and Disposal Liabilities	—	(99,960)	(99,960)
Federal Employee and Veteran Benefits Payable	—	1,661	1,661
Federal Debt and Interest Payable	—	19	19
Other Liabilities	—	16,471	16,471
Financing Sources:			
Imputed Cost	(26,482)	—	(26,482)
Total Components of Net Operating Cost Not Part of the Budget Outlays	\$ (26,503)	\$ (203,110)	\$ (229,613)
Components of the Budget Outlays That Are Not Part of Net Operating Cost			
Acquisition of Capital Assets	—	242,902	242,902
Acquisition of Inventory	—	246	246
Financing Sources:			
Transfers Out/(In) Without Reimbursements	—	(2,847)	(2,847)
Total Components of the Budgetary Outlays That Are Not Part of Net Operating Cost	\$ —	\$ 240,301	\$ 240,301
Miscellaneous Items			
Custodial/Non-exchange Revenue	—	(2)	(2)
Appropriated Receipts for Trust/Special Funds	—	10	10
Total Other Reconciling Items	\$ —	\$ 8	\$ 8
Net Outlays (Calculated Total)	\$ (50,248)	\$ 816,632	\$ 766,384
Budgetary Agency Outlays, Net (SBR 4210)			
Budgetary Agency Outlays, Net			\$ 766,384

At September 30, 2020, Dollars in Thousands

RECONCILIATION OF NET OPERATING COST AND NET BUDGETARY OUTLAYS	INTRAGOVERNMENTAL	WITH THE PUBLIC	TOTAL
Net Operating Cost	\$ 35,303	\$ 591,949	\$ 627,252
Components of Net Operating Cost Not Part of the Budgetary Outlays			
Property, Plant and Equipment Depreciation Expense	—	(132,466)	(132,466)
Property, Plant and Equipment Disposals and Reevaluation	—	(75)	(75)
Cost of Goods Sold	—	(717)	(717)
Gains/Losses on All Other Investments	—	(19)	(19)
Increase/(Decrease) in Assets:			
Accounts Receivable, Net	(1,252)	(495)	(1,747)
Securities and Investments	47	—	47
Other Assets	—	(654)	(654)
(Increase)/Decrease in Liabilities:			
Accounts Payable	(104)	(3,704)	(3,808)
Environmental and Disposal Liabilities	—	182	182
Federal Employee and Veteran Benefits Payable	—	(5,579)	(5,579)
Federal Debt and Interest Payable	—	285	285
Other Liabilities	—	3,051	3,051
Financing Sources:			
Imputed Cost	(21,975)	—	(21,975)
Total Components of Net Operating Cost Not Part of the Budget Outlays	\$ (23,284)	\$ (140,191)	\$ (163,475)
Components of the Budget Outlays That Are Not Part of Net Operating Cost			
Acquisition of Capital Assets	—	332,216	332,216
Acquisition of Inventory	—	1,297	1,297
Financing Sources:			
Transfers Out/(In) Without Reimbursements	—	(123)	(123)
Total Components of the Budgetary Outlays That Are Not Part of Net Operating Cost	\$ —	\$ 333,390	\$ 333,390
Miscellaneous Items			
Custodial/Non-exchange Revenue	—	(96)	(96)
Appropriated Receipts for Trust/Special Funds	—	27	27
Total Other Reconciling Items	\$ —	\$ (69)	\$ (69)
Net Outlays (Calculated Total)	\$ 12,019	\$ 785,079	\$ 797,098
Budgetary Agency Outlays, Net (SBR 4210)			
Budgetary Agency Outlays, Net			\$ 797,098

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.

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. Supplemental CARES Act funding provided additional cleaning supplies and services, COVID-related overtime, temporary employee hires and authorized payments to AOC service contractors made in accordance with Section 19005(a) of the 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 (see Note 1.G). This transfer was requested to allow AOC to continue funding contractor reimbursements pursuant to Section 3610 of the CARES Act. Approximately \$2.7 million of unobligated CARES Act funding was brought forward into FY 2021.

In addition in FY 2021, P.L. 117-31 provided approximately \$22 million to AOC in order to cover necessary expenses to "prevent, prepare for, and respond to coronavirus."

The following tables depict available funding and spending by program activity. COVID-related spending within the jurisdictions' current appropriations as part of their operational expenses are separately presented herein.

At September 30, 2021, Dollars in Thousands

BUDGET AUTHORITY	2021			
	APPROPRIATED	TRANSFERS	TOTAL AUTHORITY	
CARES Act	\$ 25,000	\$ 2,000	\$ 27,000	
Emergency Supplemental Appropriation	21,869	—	21,869	
Total Budget Authority	\$ 46,869	\$ 2,000	\$ 48,869	

CARES ACT SPENDING	OBLIGATIONS	EXPENDITURES	TOTAL SPENDING
Supplies and Services	\$ 1,407	\$ 16,203	\$ 17,611
Payroll	—	3,759	3,759
Contract Payments	182	4,789	4,971
Projects	—	658	658
Total CARES Act Spending	\$ 1,589	\$ 25,409	\$ 26,999
		CARES Act Funds Available	\$ 1

EMERGENCY SUPPLEMENTAL SPENDING	OBLIGATIONS	EXPENDITURES	TOTAL SPENDING
Service Contracts	\$ 200	\$ —	\$ 200
Other Contracts	2,237	—	2,237
Total Supplemental Spending	\$ 2,437	\$ —	\$ 2,437
		Emergency Supplemental Funds Available	\$ 19,432

JURISDICTION SPENDING FROM CURRENT APPROPRIATIONS	
Additional Jurisdiction Spending for COVID-19 Related Costs	\$ 16,422
Total COVID-19 Spending	\$ 45,858

At September 30, 2020, Dollars in Thousands

		2020		
BUDGET AUTHORITY	APPROPRIATED	TRANSFERS	TOTAL AUTHORITY	
CARES Act	\$ 25,000	\$ 1,000	\$ 26,000	
Emergency Supplemental Appropriation	—	—	—	
Total Budget 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	
Projects	—	—	—	
Total CARES Act Spending	\$ 3,751	\$ 19,561	\$ 23,312	
		CARES Act Funds Available	\$ 2,688	
EMERGENCY SUPPLEMENTAL SPENDING	OBLIGATIONS	EXPENDITURES	TOTAL SPENDING	
Service Contracts	\$ —	\$ —	\$ —	
Other Contracts	—	—	—	
Total Supplemental Spending	\$ —	\$ —	\$ —	
		Emergency Supplemental Funds Available	\$ —	
JURISDICTION SPENDING FROM CURRENT APPROPRIATIONS				
Additional Jurisdiction Spending for COVID-19 Related Costs			\$ 5,884	
Total COVID-19 Spending			\$ 29,196	

The CVC remains closed for public tours due to public health concerns associated with COVID-19 and their sales revenue decreased due to the closure of the Gift Shops. Additionally, there are currently no restaurant commissions due. Although the CVC Gift Shops are closed, e-commerce sales are ongoing effective the first quarter of FY 2021. The CVC's earned revenues are expected to increase as on-line sales increase. The COVID-19-related Gift Shops closures also caused some fluctuations in Investments and in Inventory and Related Property, Net as reported in Notes 5 and 7, respectively.

Additional footnotes discussing COVID-related impacts are Note 3: Fund Balance with Treasury; Note 4: Cash and Other Monetary Assets; and Note 19: Reconciliation of SCNP Appropriations to SBR.

Required Supplementary Information

A. Combining Schedule of Budgetary Resources

For the Years Ended September 30, 2021 and 2020 (\$ in Thousands)

	TOTAL	CAPITAL CONSTRUCTION AND OPERATIONS	CAPITOL BUILDING	CAPITOL GROUNDS AND ARBORETUM
For the Year Ending September 30, 2021:				
Budgetary Resources				
Unobligated Balances from Prior Year Budget Authority, Net (Note 20)	\$ 507,889	\$ 19,126	\$ 59,963	\$ 16,381
Appropriations (Note 19)	1,007,570	149,331	34,719	20,570
Borrowing Authority	4,630	—	—	—
Spending Authority From Offsetting Collections	41,790	767	463	—
Total Budgetary Resources	\$ 1,561,879	\$ 169,224	\$ 95,145	\$ 36,951
Status of Budgetary Resources				
New Obligations and Upward Adjustments (Total)	\$ 747,799	\$ 142,206	\$ 56,603	\$ 17,837
Unobligated Balance, End of Year:				
Exempt from Apportionment, Unexpired Accounts	786,717	21,727	38,140	18,288
Unexpired Unobligated Balance, End of Year	786,717	21,727	38,140	18,288
Expired Unobligated Balance, End of Year (Note 3)	27,363	5,291	402	826
Unobligated Balance, End of Year (Total)	814,080	27,018	38,542	19,114
Total Budgetary Resources	\$ 1,561,879	\$ 169,224	\$ 95,145	\$ 36,951
Outlays, Net				
Outlays, Net (Total) (Discretionary and Mandatory)	766,384	128,380	42,769	14,645
Agency Outlays, Net (Note 23)	\$ 766,384	\$ 128,380	\$ 42,769	\$ 14,645
For the Year Ending September 30, 2020:				
Budgetary Resources				
Unobligated Balances from Prior Year Budget Authority, Net (Note 20)	\$ 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	—
Total Budgetary Resources	\$ 1,436,797	\$ 160,588	\$ 102,719	\$ 31,008
Status of Budgetary Resources				
New Obligations and Upward Adjustments (Total)	\$ 964,489	\$ 150,296	\$ 44,659	\$ 16,053
Unobligated Balance, End of Year:				
Exempt from Apportionment, Unexpired Accounts	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
Total Budgetary Resources	\$ 1,436,797	\$ 160,588	\$ 102,719	\$ 31,008
Outlays, Net				
Outlays, Net (Total) (Discretionary and Mandatory)	797,098	134,073	41,490	14,268
Agency Outlays, Net (Note 23)	\$ 797,098	\$ 134,073	\$ 41,490	\$ 14,268

	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
\$	65,430	\$ 50,777	\$ 115,340	\$ 75,668	\$ 52,973	\$ 31,803	\$ 11,907	\$ 8,521
	385,993	97,761	129,780	43,446	89,615	10,618	20,986	24,751
	—	—	—	—	—	4,630	—	—
	300	9,035	9,001	3,136	30	18,847	—	211
\$	451,723	\$ 157,573	\$ 254,121	\$ 122,250	\$ 142,618	\$ 65,898	\$ 32,893	\$ 33,483
\$	60,567	\$ 119,236	\$ 120,232	\$ 49,656	\$ 98,577	\$ 40,543	\$ 15,348	\$ 26,994
	389,425	26,150	130,849	71,654	42,014	25,355	17,115	6,000
	389,425	26,150	130,849	71,654	42,014	25,355	17,115	6,000
	1,731	12,187	3,040	940	2,027	—	430	489
	391,156	38,337	133,889	72,594	44,041	25,355	17,545	6,489
\$	451,723	\$ 157,573	\$ 254,121	\$ 122,250	\$ 142,618	\$ 65,898	\$ 32,893	\$ 33,483
	48,415	105,201	185,033	62,790	121,992	12,346	13,356	31,457
\$	48,415	\$ 105,201	\$ 185,033	\$ 62,790	\$ 121,992	\$ 12,346	\$ 13,356	\$ 31,457
\$	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
\$	99,206	\$ 173,725	\$ 413,211	\$ 143,596	\$ 160,535	\$ 78,677	\$ 23,626	\$ 49,906
\$	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
\$	99,206	\$ 173,725	\$ 413,211	\$ 143,596	\$ 160,535	\$ 78,677	\$ 23,626	\$ 49,906
	33,209	111,133	245,338	60,744	105,835	9,268	13,844	27,896
\$	33,209	\$ 111,133	\$ 245,338	\$ 60,744	\$ 105,835	\$ 9,268	\$ 13,844	\$ 27,896

B. Deferred Maintenance and Repairs

The AOC 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.

The Federal Accounting Standards Advisory Board’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. Maintenance and repairs are activities aimed at keeping general property, plant and equipment (PP&E) in acceptable condition. These activities include preventive maintenance, normal repairs and the replacement of parts and components. The AOC tracks DM&R for four asset categories: buildings and other structures, grounds (i.e., stewardship land), heritage assets and capitalized equipment. Noncapitalized and fully depreciated PP&E are excluded from the estimate. While the AOC tracks DM&R on capitalized equipment, its value is often immaterial. In FY 2021, 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 (FCI). The index is based upon the facility replacement values, which the AOC updates annually, and identified DM&R. The AOC uses facility condition assessments (FCA) to evaluate the assets’ condition and to identify deferred maintenance and repairs, 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 AOC’s DM&R computation focuses solely on DM&R, 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 DM&R. This figure is referred to as the AOC “backlog.”

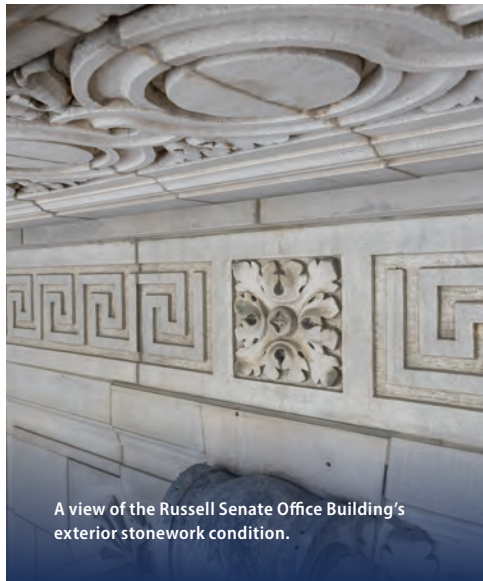
The AOC completed an initial FCA on most buildings and grounds under its stewardship, with some exceptions (described in the table below). The AOC continues to complete and update the FCAs for all facilities. As a result, the FCAs for some of its facilities are underway or in the planning stages.

The AOC’s estimate of the amount of DM&R work required to bring facilities to a “good” condition, based on the FCI, was \$914 million for the fiscal year ending September 30, 2021. The increase over the prior year is mostly related to additional deferred maintenance identified during assessments of Capitol Square, Union Square and the Summerhouse, as well as a reassessment of the U.S. Botanic Garden Production Facility. The Rayburn House Office Building and the James Madison Memorial Building also had significant deferred maintenance increases through additional identified maintenance work and construction cost escalations. The deferred maintenance backlog will continue to grow as requirements go unfunded and an assessed inventory nears completion.

Deferred Maintenance and Repairs (\$ in thousands)

CATEGORY	AS OF 10/1/20	AS OF 9/30/21	CHANGE
Buildings and Other Structures	\$814,536	\$845,649	\$31,113
Grounds	16,520	62,057	45,537
Heritage Assets	—	6,039	6,039
Capitalized Equipment	—	—	—
Total*	\$831,056	\$913,745	\$82,689

* The beginning and ending computations exclude the U.S. Capitol Police Courier Acceptance Facility and Production Facility Storage Building (FCAs have not been performed on these facilities), the Supreme Court of the United States and the Thurgood Marshall Federal Judiciary Building. The latter two facilities were excluded from this computation since funds for their care and maintenance are provided via a separate, non-AOC funding source — the judiciary branch’s annual appropriations. Pedestrian tunnels, 42 I Street, S.E., and 14 E Street, S.E. facility values are included and are being finalized. Deferred maintenance calculations are based on FY 2020 and FY 2021 AOC replacement values, updated in April 2020 and April 2021, respectively.



A view of the Russell Senate Office Building’s exterior stonework condition.

ACCEPTABLE CONDITION DEFINED:

- (1) The AOC aims to maintain its assets in good or very good condition.
- (2) Condition is defined by the FCI, which is calculated as the cost of deferred maintenance divided by the current replacement value.
- (3) A ratio of less than or equal to 0.02 is considered very good, more than 0.02 and less than or equal to 0.05 is good, more than 0.05 and less than or equal to 0.10 is fair, and more than 0.10 is poor. Therefore, the AOC’s goal is to attain a ratio of less than or equal to 0.05 for all assets.
- (4) Although an asset may be rated as being in overall good condition, individual systems within that asset may require maintenance and repairs to return the system to an acceptable condition.



The AOC is the steward of the heritage assets located at the U.S. Capitol Building and across the Capitol campus. In addition to the buildings and landscapes, these assets include architectural fine and decorative art, architectural features, archival and photographic records, and reference materials.

C. Heritage Assets

INTRODUCTION

The AOC is the steward of the 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 AOC Curator prepares recommendations to the Joint Committee of Congress on the Library regarding the 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 AOC Curator also provides advice to the AOC jurisdictions on projects and contracts that involve heritage asset 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 AOC Curator to document, research and provide information about buildings, architectural features and architectural decorative art, as well as to review projects, develop specifications and implement the AOC's preservation policy. When

conservation work is required, the AOC contracts with professional fine art conservators for necessary treatments. All conservation efforts are fully documented in reports maintained by the AOC Curator.

The AOC Curator maintains detailed records for each work of art and manages computerized inventories of heritage assets.¹⁰ 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 and Technical Imaging Branch documents facilities, projects, heritage assets and congressional events, and manages and preserves the AOC's photographic archives. 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. Those facilities deemed to be multipurpose heritage assets (i.e., heritage assets that are primarily used for general government operations) are assigned a cost on the Balance Sheet and presented under General Property, Plant and Equipment, Net. Typically, historic buildings and structures are added to or withdrawn from the AOC's portfolio through congressional action.

¹⁰ The AOC uses The Museum System collection management software to maintain an inventory of heritage assets.

STEWARDSHIP LANDS AND CULTURAL LANDSCAPES

The AOC-administered stewardship lands encompass more than 570 acres of grounds. This includes Capitol Square, the approximately 286 acres of grounds immediately surrounding the U.S. Capitol Building designed by American landscape architect Frederick Law Olmsted. In addition, the AOC’s cultural landscapes include the Summerhouse, Senate Park (Squares¹¹ 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, Jefferson Building site (Square 730), Adams Building site (Square 761), Madison Building site (Square 732), Supreme Court of the United States site (Square 728), Marshall Building site (Square 722) and memorial trees planted on the U.S. Capitol Grounds. Typically, units of stewardship land are added to or withdrawn from the AOC’s portfolio through congressional action.

Memorial trees are living heritage assets planted to honor distinguished citizens, groups and events. Memorial trees are added through congressional action. For more information about the AOC’s memorial trees, visit www.aoc.gov/explore-capitol-campus/buildings-grounds/capitol-building/capitol-grounds/trees. An inventory of the memorial trees as of October 1, 2020 and September 30, 2021 follows:

MEMORIAL TREES	AS OF 10/01/20	AS OF 9/30/21	CHANGE	GENERAL CONDITION
Memorial Trees	150	152	2*	Poor to Excellent
* In FY 2021, a memorial tree was planted in memory of U.S. Capitol Police Officer Brian D. Sicknick. In addition, the ending inventory was adjusted to include a memorial tree located on the grounds surrounding the Library of Congress’ buildings.				

GENERAL CONDITION STANDARDS

The AOC has defined condition standards based on principles and guidance from the American Institute for Conservation. The AOC performs periodic condition surveys to document and preserve heritage assets. 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.

11 The city of Washington, D.C. is divided into parcels of land designated as numbered squares.

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., collectibles). They are separated into works that are under the jurisdiction of the Joint Committee of Congress on the Library and cared for by the AOC (“joint art”), and 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 was established in 1864 and completed in 2005. Each state is allowed to include two statues in the collection. Periodically, states remove and replace statues. In FY 2011, a long-range annual conservation maintenance contract for sculpture was implemented. By the end of FY 2021, most statues have received at least two rounds of maintenance and are in excellent condition.

SCULPTURE	AS OF 10/01/20	AS OF 9/30/21	CHANGE	GENERAL CONDITION
1.1.1.1 National Statuary Hall Statues	100	98	(2) ¹	Excellent
1.1.1.2 Other Statues ²	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) ³	31	86	55 ⁴	Poor to Excellent

¹ The sculptures of Robert E. Lee and Edmund Kirby Smith were removed from the National Statuary Hall Collection in FY 2021.

² The Magna Carta display, located in the Crypt, is included in this category.

³ A maquette of Chief Standing Bear was approved for acquisition in FY 2021 and is currently in CVC storage.

⁴ Molds for the missing pieces of the Grant Memorial were included in the inventory for FY 2021.

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 10/01/20	AS OF 9/30/21	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

HERITAGE ASSETS CONDITION RATING SCALES

CONDITION RATING SCALE	DEFINITION	PRIORITY
Heritage Assets		
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 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. Requires only routine maintenance.	No Conservation Treatment Needed
Historic Paper Records		
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
Photographic Records		
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

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 10/01/20	AS OF 9/30/21	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 10/01/20	AS OF 9/30/21	CHANGE	GENERAL CONDITION
1.2.1 Gilded Mirror Frames	91	91 ¹	—	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

¹ This number primarily includes frames in the House side of the U.S. Capitol Building. The Senate Curator is responsible 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 10/01/20	AS OF 9/30/21	CHANGE	GENERAL CONDITION
1.3.1 Pediments (exterior)	3	3	—	Fair to Excellent
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 ¹ to Excellent
1.3.10 Rooms or Spaces With Fine Art Murals	84	84 ²	—	Fair to Excellent

¹ Air pockets have continued to increase in size on the painting “Landing of Columbus,” which will require deinstallation for structural and cosmetic treatment. Conservation planning is in progress.

² 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 10/01/20	AS OF 9/30/21	CHANGE	GENERAL CONDITION
1.4.1 Mantels	Approx. 167	Approx. 167	—	Good
1.4.2 Chandeliers ¹	Approx. 285	Approx. 285	—	Good to Excellent
1.4.3 Pendant Lights	Approx. 155	Approx. 155	—	Good
1.4.4 Sconces	Approx. 100	Approx. 100	—	Good
1.4.5 Rooms or Spaces With Decorative Murals	48	48	—	Fair to Excellent

¹ This category refers to crystal chandeliers in the U.S. Capitol Building.



The AOC’s historic architectural features include the U.S. Capitol’s historic floors. The richly patterned and colored Minton tile floors, first installed in 1856, are one of the most striking features of the U.S. Capitol extensions.

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, their 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 sculptures, 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 10/01/20	AS OF 9/30/21	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 10/01/20	AS OF 9/30/21	CHANGE	GENERAL CONDITION
2.2.1 Urns	20	20	—	Good
2.2.2 Lighting Fixtures	Approx. 166	Approx. 166	—	Fair to Excellent
2.2.3 Basins (with fountains)	2	2	—	Excellent

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 10/01/20	AS OF 9/30/21	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	—	Fair
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	1	1	—	Excellent

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 10/01/20	AS OF 9/30/21	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	1	1	—	Good
4.6 Reliefs (exterior)	51	51	—	Good
4.7 Rooms With Murals	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.

5.1. Architectural Fine Art

ARCHITECTURAL FINE ART	AS OF 10/01/20	AS OF 9/30/21	CHANGE	GENERAL CONDITION
5.1.1 Statues	27	27	—	Good to Excellent
5.1.2 Sculptured Stair Railings	2	2	—	Good
5.1.3 Reliefs (interior)	73	73	—	Good
5.1.4 Sculptured Bronze Doors (sets) (exterior)	17	17	—	Excellent
5.1.5 Stained Glass/Mosaics	17	17	—	Fair to Good
5.1.6 Rooms or Spaces With Fine Art Murals	32	32	—	Fair to Excellent
5.1.7 Sculptural Clock	1	1	—	Excellent
5.1.8 Exterior Sculpture	1	1	—	Fair

5.2. Outdoor Sculpture

OUTDOOR SCULPTURE	AS OF 10/01/20	AS OF 9/30/21	CHANGE	GENERAL CONDITION
5.2.1 Fountains With Sculpture	3	3	—	Poor to Excellent

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.¹²

ARCHITECTURAL FINE ART	AS OF 10/01/20	AS OF 9/30/21	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

¹² The collectible fine art within the Supreme Court of the United States does not fall under the AOC's jurisdiction and is cared for by the Curator of the Supreme Court of the United States.



At the U.S. Botanic Garden, a view of a corpse flower (*Amorphophallus titanum*) in the Conservatory.

The USBG uses the plant collection for exhibition, study and exchange with other institutions. Noteworthy plants include economically significant plants, medicinal plants, orchids, cacti, succulents, bromeliads, cycads and plants from Mediterranean regions. The USBG’s gardens and living collections are important resources for the study of threatened plants and their conservation. The USBG maintains extensive database 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. The collection is continually reviewed for accuracy in identification.

7.1 Outdoor Sculpture

OUTDOOR SCULPTURE	AS OF 10/01/20	AS OF 9/30/21	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 2021 and the prior five years are provided to facilitate comparison. At the end of FY 2021, the USBG held more than 9,000 accessions including more than 42,000 individual plants at the Conservatory and the Blue Plains Production Facility in southwest Washington, D.C. The USBG maintains more than 6,000 unique taxa in its collections.

ALL PLANTS (INCLUDING ORCHID COLLECTION)				
FY	ACCESSIONS ¹	NAMES (TAXA) ²	INDIVIDUALS ³	DEACCESSIONS ⁴
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
2021	9,612	6,035	42,045	737

¹ Current number of accessions assigned to living plants. An individual accession number might include multiple lots (divisions) that might include multiple individual plants.
² Number of names for living plants in our database. This includes species names, cultivars and varieties, and is restricted to only the names for plants that are living at the USBG. In many cases, the USBG has numerous accessions (from different times and sources) of the same named plant.
³ This number captures individual plant counts and is thus quite a bit higher than the number of accessions due to accessions that have multiple individuals (note: this number has a high degree of inaccuracy).
⁴ Number of deaccessions during the fiscal year. 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 2,400 accessions and 3,600 individual orchids — the largest component of the USBG’s plant inventory.

ORCHID COLLECTION				
FY	ACCESSIONS	NAMES (TAXA)	INDIVIDUALS	DEACCESSIONS
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	—
2021	2,474	1,366	3,604	36

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 repair. 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 194,000 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 conservation 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 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.

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

INFOGRAPHIC

Getting To Know the AOC

1793

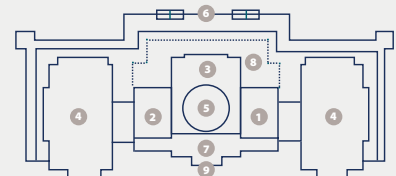
The year George Washington laid the cornerstone of the U.S. Capitol.



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⁺

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 and 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 U.S. Capitol Visitor Center 2002–08



2,200⁺
 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.





CAPITOL HIGHLIGHTS

USING PHOTOGRAPHY FOR HISTORIC PRESERVATION

The AOC Photography and Technical Imaging Branch (PTIB) is fundamental to the AOC's stewardship mission, providing a reliable visual record of the agency's asset preservation and accomplishments. For instance, the photographs included throughout this annual report supplement the AOC's performance and financial information by bringing complex projects, events and ideas to life.

One of PTIB's most important functions is recording the details of the AOC's restoration projects, which supports the life-cycle maintenance of heritage assets. Photographs also highlight the diverse contributions of the many talented people who facilitate the agency's projects and provide visual evidence of significant Capitol campus events.

Following the events of January 6, 2021, PTIB arrived early the next morning to begin documenting the damage to the U.S. Capitol. This photographic evidence was provided to the AOC damage assessment teams and to relevant law enforcement agencies. Over the following months, AOC photographers created a public record of the resulting facility and grounds repairs, the setup of extensive security fencing around the U.S. Capitol, the 59th Presidential Inauguration, the months-long presence of National Guard troops on the Capitol campus and the lying in honor for two USCP officers killed in the line of duty. The

COVID-19 pandemic added significantly to these challenges, as AOC photographers worked to observe the agency's rigorous safety protocols while performing their duties, often in confined and crowded spaces. Nevertheless, the PTIB successfully documented the progress of all major AOC on-site projects.

In addition to its photography duties, PTIB is responsible for the preservation and management of the AOC's photographic collection, which contains more than 360,000 unique objects and files. These responsibilities include post-processing and archiving new photographs. This fiscal year, the agency's maximum telework status allowed AOC photographers to focus on important administrative tasks, such as transitioning digital content to a new photo database and enabling more efficient support to Congress and AOC staff.

Photography supports the most complete and fully descriptive record of the AOC's important history and brings a measure of accountability and transparency to existing assets, project design and project execution. The AOC photographers strive to support the agency by producing images and audiovisual content of maximum clarity, descriptiveness and accuracy that communicate the timeless yet ever-evolving nature of the Capitol campus for future generations.

collection. The screening process identifies temporary, duplicative or otherwise nonrecorded 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 PTIB produces photographs relating to architectural design, construction, renovation and restoration of the historic buildings and grounds under the AOC's care. The PTIB 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 360,000 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 AOC 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 AOC Curator also keeps records on major ceremonies, such as joint sessions of Congress and inaugurations. The AOC uses these files to answer questions from AOC staff and contractors, Members of Congress and their staff, and the public, and to provide information for written fact sheets and publications. The U.S. Capitol Historical Society Fellowship, managed by the AOC Curator, continually adds to the knowledge of the art and architecture of the U.S. Capitol Building.

RECORDS AND REFERENCE	AS OF 10/01/20		AS OF 9/30/21		CHANGE		GENERAL CONDITION	
	TRADITIONAL RECORDS	ELECTRONIC RECORDS	TRADITIONAL RECORDS	ELECTRONIC RECORDS	TRADITIONAL RECORDS	ELECTRONIC RECORDS	TRADITIONAL RECORDS	ELECTRONIC RECORDS
9.1 Accessioned Materials								
9.1.1 Architectural and Engineering Drawings	Approx. 193,987	—	Approx. 194,063	—	76	—	Fair to Excellent	N/A
9.1.2 Specifications and Other Textual Records (linear feet)	Approx. 9,179.25	—	Approx. 9,194.25	—	15	—	Fair to Excellent	N/A
9.1.3 Electronic Archival Records (megabytes[MB])	—	12,101.38MB	—	17,577.70MB	-	5,476.32MB	N/A	N/A
9.2 Preaccessioned Materials								
9.2.1 Architectural and Engineering Drawings	Rolls, small: 8; Rolls, medium: 20	—	Rolls, small: 1; Rolls, medium: 1	—	N/A	—	N/A	N/A
9.2.2 Specifications and Other Textual Records	Boxes, small: 2; Boxes, medium: 88	—	Boxes, small: -; Boxes, medium: 15	—	N/A	—	N/A	N/A
9.2.3 Electronic Records (MB)	—	266.00 MB	—	452.00 MB	N/A	N/A	N/A	N/A
9.3 Small Architectural Models	18	—	18	—	—	—	Fair	N/A
9.4 Photographs	348,400	—	362,350	—	13,950	—	Good to Excellent	N/A
9.5 Reference Files (drawers)	108	—	108	—	—	—	Good	N/A
9.6 Library Materials (volumes)	1,219	—	1,240	—	21	—	Good	N/A
9.7 Conservation Reports (notebooks)	465	—	471	—	6	—	Good	N/A

Summary of Heritage Assets

This consolidating schedule reports the heritage assets by jurisdiction and AOC-wide.

CATEGORY	AS OF SEPTEMBER 30, 2021									AS OF SEPTEMBER 30, 2020								
	AOC JURISDICTION									AOC JURISDICTION								
	Capital Construction and Operations	Capitol Building	Capitol Grounds and Arboretum	House Office Buildings	Library Buildings and Grounds	Senate Office Buildings	Supreme Court Building and Grounds	U.S. Botanic Garden	Total	Capital Construction and Operations	Capitol Building	Capitol Grounds and Arboretum	House Office Buildings	Library Buildings and Grounds	Senate Office Buildings	Supreme Court Building and Grounds	U.S. Botanic Garden	Total
Memorial Trees	—	—	152	—	—	—	—	—	152	—	—	150	—	—	—	—	—	150
Artwork																		
Fine Art																		
Interior Sculpture																		
National Statuary Hall Statues	—	98	—	—	—	—	—	—	98	—	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.)	—	86	—	—	—	—	—	—	86	—	31	—	—	—	—	—	—	31
Subtotal	—	234	—	—	—	—	—	—	234	—	181	—	—	—	—	—	—	181
Framed Oil Paintings																		
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
Works of Art on Paper																		
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	—	624	—	—	—	—	—	—	624	—	571	—	—	—	—	—	—	571
Decorative Art																		
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
Architectural Fine Art																		
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 on Display	—	—	—	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

CATEGORY	AS OF SEPTEMBER 30, 2021									AS OF SEPTEMBER 30, 2020								
	AOC JURISDICTION									AOC JURISDICTION								
	Capital Construction and Operations	Capitol Building	Capitol Grounds and Arboretum	House Office Buildings	Library Buildings and Grounds	Senate Office Buildings	Supreme Court Building and Grounds	U.S. Botanic Garden	Total	Capital Construction and Operations	Capitol Building	Capitol Grounds and Arboretum	House Office Buildings	Library Buildings and Grounds	Senate Office Buildings	Supreme Court Building and Grounds	U.S. Botanic Garden	Total
Architectural Decorative Art																		
Mantels	—	167	—	—	—	—	—	—	167	—	167	—	—	—	—	—	—	167
Chandeliers	—	285	—	—	—	—	—	—	285	—	285	—	—	—	—	—	—	285
Pendant Lights	—	155	—	—	—	—	—	—	155	—	155	—	—	—	—	—	—	155
Sconces	—	100	—	—	—	—	—	—	100	—	100	—	—	—	—	—	—	100
Rooms/Spaces With Decorative Murals	—	48	—	—	—	—	—	—	48	—	48	—	—	—	—	—	—	48
Subtotal	—	755	—	—	—	—	—	—	755	—	755	—	—	—	—	—	—	755
TOTAL	—	1,719	—	41	170	65	11	—	2,006	—	1,666	—	41	170	65	11	—	1,953
Architectural Features																		
Outdoor Sculptures																		
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
Landscape Features and Fixtures																		
Urns	—	—	20	—	—	—	—	—	20	—	—	20	—	—	—	—	—	20
Lighting Fixtures	—	—	166	—	—	—	—	—	166	—	—	166	—	—	—	—	—	166
Basins	—	—	2	—	—	—	—	—	2	—	—	2	—	—	—	—	—	2
Subtotal	—	—	188	—	—	—	—	—	188	—	—	188	—	—	—	—	—	188
TOTAL	—	—	198	—	3	—	—	1	202	—	—	198	—	3	—	—	1	202
Reference and Library Materials																		
Art and Reference Files (Drawers)	108	—	—	—	—	—	—	—	108	108	—	—	—	—	—	—	—	108
Art and Reference Library (Volumes)	1,240	—	—	—	—	—	—	—	1,240	1,219	—	—	—	—	—	—	—	1,219
TOTAL	1,348	—	—	—	—	—	—	—	1,348	1,327	—	—	—	—	—	—	—	1,327
Archival Records																		
Architectural and Engineering Drawings	194,063	—	—	—	—	—	—	—	194,063	193,987	—	—	—	—	—	—	—	193,987
Specifications and Other Textual Records (Linear Feet)	9,194.25	—	—	—	—	—	—	—	9,194.25	9,179.25	—	—	—	—	—	—	—	9,179.25
Small Architectural Models	18	—	—	—	—	—	—	—	18	18	—	—	—	—	—	—	—	18
Conservation Reports	471	—	—	—	—	—	—	—	471	465	—	—	—	—	—	—	—	465
Photographs	362,350	—	—	—	—	—	—	—	362,350	348,400	—	—	—	—	—	—	—	348,400
TOTAL	566,096	—	—	—	—	—	—	—	566,096	552,049	—	—	—	—	—	—	—	552,049
Electronic Archival Records (MB)																		
Materials (Accessioned)	17,577.70	—	—	—	—	—	—	—	17,577.70	12,101.38	—	—	—	—	—	—	—	12,101.38
TOTAL	17,577.70	—	—	—	—	—	—	—	17,577.70	12,101.38	—	—	—	—	—	—	—	12,101.38
Living Botanical Assets (Accessions)																		
	—	—	—	—	—	—	—	9,612	9,612	—	—	—	—	—	—	—	—	9,925

Note: The table does not display preaccessioned materials. These materials have been transferred to the RMAB but have yet to be screened and registered as part of the AOC's archival collection.



At the Thomas Jefferson Building, LED fixtures were installed above the column capitals in the building's Great Hall. The lighting improvements were made as part of an energy savings performance contract to achieve cost savings across the Library Buildings and Grounds' facilities.

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 Office of Inspector General (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.

Real Property Capital Planning overviews 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.

The Inspector General's Statement of Management Opportunities and Performance Challenges




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United States Government

MEMORANDUM

DATE: October 7, 2021

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, 2021. 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 202.329.6408 or christopher.failla@aoc.gov.

Distribution List:

Peter Bahm, Chief of Staff
Mary Jean Pajak, Deputy Chief of Staff

The Inspector General's Statement of Management Opportunities and Performance Challenges *(continued)*

OFFICE OF INSPECTOR GENERAL MISSION

The Office of Inspector General (OIG) promotes efficiency and effectiveness, and economy to deter and prevent fraud, waste, abuse and mismanagement in Architect of the Capitol (AOC) programs and operations. We do this through value-added, transparent, impactful, and independent audits, inspections and evaluations, and investigations. We strive to positively affect the AOC and benefit the taxpayer while keeping the AOC and Congress fully informed.

INTRODUCTION

The OIG submits this Statement of Management Opportunities and Performance Challenges (Statement) in support of the AOC's Performance and Accountability Report (PAR) for fiscal year (FY) 2021 under best practice guidance identified in the Reports Consolidation Act of 2000 and Office of Management and Budget Circular A-136. This statement includes the most significant management opportunities and performance challenges facing the AOC determined by the OIG and based upon OIG trend analysis and observations, as well as information uncovered during the performance of our oversight responsibilities.

DEVELOPMENTS IMPACTING THE AOC IN FY 2021

All AOC programs and operations conducted in FY 2021 were done so in the midst of the COVID-19 pandemic, which brought about multiple challenges and constraints to include functioning with reduced staffing levels and in a predominately telework environment where those positions could be performed safely, effectively and efficiently. In addition, the events at the Capitol on January 6, 2021, emphasized ongoing challenges and resulted in heightened security and impacts to some campus projects.

The OIG recognizes the AOC's accomplishments in performing its core mission amid these challenges and highlights the below management opportunities and performance challenges to support effectiveness and efficiencies within AOC programs and operations.



The Inspector General's Statement of Management Opportunities and Performance Challenges *(continued)*

MANAGEMENT OPPORTUNITIES & PERFORMANCE CHALLENGES

The challenges listed below, in no particular order, illustrate the most significant areas the OIG believes need improvement for the AOC to effectively manage its resources and minimize the potential for fraud, waste and abuse occurring within its programs and operations. Addressing the issues related to these challenge areas will enable the AOC to increase operational efficiencies and improve mission effectiveness.

- | | |
|-------------------------------------|----------------------------------------------|
| 1) Human Capital Management | 5) Balancing Safety, Security & Preservation |
| 2) Auditability & Records Retention | 6) Working Capital Fund |
| 3) Cyber Security | 7) Waste & Accountability |
| 4) Whistleblower Protections | |

1) HUMAN CAPITAL MANAGEMENT

New, **Renewed**, or Closed for FY 2021

Years included: 2011-2014, 2019-2021



Key OIG Resources:

- [Suspected Violations of the Architect of the Capitol \(AOC\) “Government Ethics,” “Standards for Conduct,” “Authority and Responsibilities of the Office of Inspector General and Cooperation of AOC Employees” Policies and “Title 18, United States Code §1001 – Statements or Entries Generally” \(2021-0001-INVI-P\)](#)
- [Suspected Violations of the Architect of the Capitol \(AOC\) “Government Ethics” Policy; Violation of the AOC “Standards of Conduct” Policy \(2021-0002-INVI-P\)](#)
- [Suspected Violations of the Architect of the Capitol \(AOC\) “Government Ethics,” “Standards of Conduct,” “Absence and Leave” Policies and “Title 31, United States Code §3729 – False Claims” \(2021-0006-INVI-P\)](#)
- [Suspected Violations of the Architect of the Capitol \(AOC\) Government Ethics Policy; Violation of the AOC Standards of Conduct Policy \(2021-0009-INVI-P\)](#)
- [Suspected Violations of the Architect of the Capitol \(AOC\) Administrative Leave Uses and Update to the Administration of Leave During COVID-19; Suspected Violation of the AOC Standards of Conduct Policy \(2021-0015-INVI-P\)](#)

Why This Is a Challenge:

We closed this management challenge in FY 2015 due to the AOC addressing our concerns over a better integrated personnel management system and making policy updates to address drug and alcohol use in the workplace. However, in FY 2019, we introduced two human capital issues that were of concern: 1) Leadership Vacancies;

and 2) Recruitment and Retention of Skilled Labor Positions. These concerns have been addressed within the last year. However, we have noticed inconsistent application of AOC policies and orders among the varying jurisdictions as an additional human capital trend over the same duration. Specifically, we note that administrative leave has been

The Inspector General's Statement of Management Opportunities and Performance Challenges *(continued)*

inconsistently applied during COVID-19 and managers and employees are inconsistently applying AOC Orders for outside employment.

During FY 2021, many senior leadership positions across the AOC have been filled and this particular challenge component has been adequately addressed and closed. Likewise, the recruitment and retention of a skilled workforce for the AOC has been addressed through creative, ongoing recruitment strategies and realignment of staff through the Architect's organizational transformation. This challenge component has also been adequately addressed and closed.

We do note, however, that AOC jurisdictions have inconsistently applied COVID-19 Administrative Leave across the

agency leaving many employees confused on their roles, rights and responsibilities. We do understand that these jurisdictions have dynamic missions and may handle cases differently depending on their needs; however, AOC orders should be communicated and applied consistently across all jurisdictions to avoid potential fraud and mismanagement.

Similarly, jurisdictions should apply AOC Orders involving outside employment in a consistent manner to avoid potential fraud, waste, abuse and mismanagement. To this end, some jurisdictions comply explicitly with orders whilst others are more lax on this requirement. The OIG's concern is that lacking consistency, potential conflicts of interest arise and there is a greater risk for employee exhaustion, safety issues, and possible exposure to COVID-19.

2) AUDITABILITY & RECORDS RETENTION

New, **Renewed**, or Closed for FY 2021

Years included: 2017-2021



Key OIG Resources:

- Evaluation of the Architect of the Capitol's Fleet Management Program (2021-0001-IE-P)
- [Audit of the Architect of the Capitol's Unliquidated Obligations](#) (OIG-AUD-2021-06)
- [Audit of Cannon House Office Building Renewal Project's Subcontractors Bids and Awards](#) (OIG-AUD-2021-05)
- [Audit of Cannon House Office Building Renewal Project's Reimbursable Costs](#) (OIG-AUD-2021-04)
- [Flash Report Series – Independent Assessment of the Architect of the Capitol's Role in Securing the Capitol Campus for Large Public Gatherings](#) (OIG-AUD-2021-03)
- [Audit of the Russell Senate House Office Building Exterior Envelope Repair and Restoration, Seq. II \(Phases 2 and 4\) Contract Modifications](#) (OIG-AUD-2020-07)
- [Audit of Senate Underground Garage Renovations and Landscape Restoration Project's Contract Modifications](#) (OIG-AUD-2020-06)
- [Audit of the Cannon House Office Building Renewal Project's Contract Modifications](#) (OIG-AUD-2020-04)

The Inspector General's Statement of Management Opportunities and Performance Challenges *(continued)*

- [Audit of FY 2019 Financial Statements Audit Management Letter](#) (OIG-AUD-2020-02)
- [Audit of the Architect of the Capitol's Capitol Power Plant \(CPP\) Cogeneration Facility](#) (OIG-AUD-2019-05)
- [Audit of the Architect of the Capitol's Data Center](#) (OIG-AUD-2019-04)
- [Audit of the Architect of the Capitol's Information Technology Division Contracting Services Blanket Purchase Agreement AOC16A3000](#) (OIG-AUD-2019-03)

Why This Is a Challenge:

We continue to recognize the AOC's challenge with executing standardized procedures for recording all transactions, communications and significant events in a manner that allows documentation to be readily available for examination. Our request for documentation has continued to take the AOC and its contractors a sizeable amount of time to gather and provide. At times, we also found that the requested information provided is either incomplete or not provided.

The AOC's procedures on documentation do not promote a fully standardized process; therefore, documentation maintained varies amongst staff and from jurisdiction to jurisdiction. Documentation should be appropriately detailed and organized, and contain sufficient information to support transactions, events and management decisions. Effective documentation will provide a means to:

- Retain historical information of the transaction or event;
- Mitigate the risk of having the information limited to a few staff; and
- Communicate and make available in a timely manner the information to external parties such as external auditors.

All transactions and events should be promptly recorded and documented to maintain relevance and value to AOC management and third party stakeholders. The documentation should apply to the entire process or life cycle of a transaction or event from its initiation and authorization through its final status in summary records. Properly managed and maintained documentation with identified points of contact would better support management decisions and allow for improved management reviews and auditability.

Our audits and various reviews conducted over the last few years have consistently identified these deficiencies – documentation not being ready and available for examination. We have made several recommendations for improvements and the AOC has concurred with our recommendations. The AOC has implemented or is in the process of implementing our recommendations, which supports progress in managing this challenge.

The Records Retention and Access component to this challenge, first identified in FY 2020, is a distinct and continuing issue within this auditability challenge. We have combined these challenges for FY 2021 given their topic similarity.

The Inspector General's Statement of Management Opportunities and Performance Challenges *(continued)*

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 and safeguarding of institutional knowledge. Retention of and access to records, to specifically include historic and cataloged AOC orders and policies, is a challenge for total knowledge management.

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

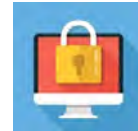
reasonable effort to consider the most current orders and policies in place for all audits, inspections and evaluations, and investigations, though some events occur prior to the most recent or published order or policy and, thus, the preceding order or policy must be consulted. The AOC does not adequately 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.

Our 2017 challenge of A Single Source AOC Liaison Managing Concurrent Projects is also a related component of this challenge and has been adequately addressed by the AOC through the establishment of a liaison to the OIG within both the Architect's front office and the Office of Chief Engineer.

3) CYBER SECURITY

New, **Renewed**, or Closed for FY 2021

Years included: 2017-2021



Key OIG Resources:

- [Supervisory Employee 1: Suspected Violations of the Architect of the Capitol \(AOC\) "Standards of Conduct" and "Information Technology \(IT\) Resources and De Minimis Use" Policies and the "Information Technology Division Rules of Behavior" Policies. Supervisory Employee 2: Suspected Violations of the AOC "Standards of Conduct" and "IT Resources and De Minimis Use" Policies \(2021-0005-INVI-P\)](#)
- [Suspected Violations of the Architect of the Capitol \(AOC\) "Standards of Conduct" and "Information Technology \(IT\) Resources and De Minimis Use" Policies and the "Information Technology Division Rules of Behavior" \(2021-0004-INVI-P\)](#)
- [Evaluation of the Architect of the Capitol's Capitol Power Plant Cogeneration Facility Cybersecurity Posture \(2019-0002-IE-P\)](#)
- [Evaluation of the Architect of the Capitol's Cybersecurity Program \(2018-0001-IE-P\)](#)

Why This Is a Challenge:

The AOC is responsible for the maintenance, operations, development and preservation of the U.S. Capitol campus.

Additionally, it is responsible for effectively managing the information technology (IT) used in AOC programs and operations.

The Inspector General's Statement of Management Opportunities and Performance Challenges *(continued)*

Information and communications technology is increasingly integral to most facets of AOC programs and operations. The result is that IT devices and components are generally interdependent with disruption in one node impacting others.

Recent and well publicized data breaches and ransomware attacks on government and private industry underscore the importance of securing sensitive data, and clearly demonstrate that the AOC is also vulnerable. Sophisticated attacks can result in significant releases of information and potential damage to the AOC's IT infrastructure, as well as the security of the Capitol campus.

To this end, the OIG has noted ongoing

policy gaps allowing for the use of personal social media and other application on government-issued devices, thus potentially providing opportunity to breach networks. To this end, the AOC should strengthen its de Minimis use policies and consider updates to affected orders.

In an era of ever-increasing cyber threats, the major challenges the AOC faces are the effective application of security policies and practices and the implementation of cyber security. The AOC must continue to emphasize protection of its own data and IT systems while marshaling the necessary resources and tools to protect privacy and defend AOC IT systems from intrusion, attacks and unauthorized access for the foreseeable future.

4) WHISTLEBLOWER PROTECTIONS

New, **Renewed**, or Closed for FY 2021

Years included: 2017-2021

Key OIG Resources:

- See [Office of Congressional Workplace Rights Recommendations for Improvements to the Congressional Accountability Act](#)



Why This Is a Challenge:

Our independent hotline continues to be our greatest source of tips and complaints regarding fraud, waste and abuse within AOC programs and operations. We continue to treat all allegations with the utmost concern and consideration. We also continue to treat all complainants with the utmost respect and give their claims full consideration. We emphasize that they need not fear that the OIG will release their identity without their permission. We continue to receive complaints from persons who wish to remain confidential due

to their fear of repercussions for reporting concerns. While it is encouraging to see a willingness to report fraud, waste and abuse, AOC leadership has the responsibility to ensure employee confidence in reporting programs. Likewise, AOC leadership has a responsibility to provide a safe work environment free from reprisals against those who do report. In order to do this, the AOC should reward integrity and emphasize to management that employees who “see something and say something” are not subject to reprisal.

The Inspector General's Statement of Management Opportunities and Performance Challenges *(continued)*

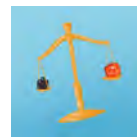
Employees should not be in fear of retribution or retaliation after reporting a crime or violation to the OIG or their own management. A single instance of reprisal could cause a chilling effect on the reporting of information.

We recognize that legislation is required to fully address this issue for the Legislative Branch as a whole and that the AOC does maintain a policy guarding against retaliation. However, the AOC may consider strengthening its policies and/or working with Congress to include full whistleblower protections.

5) BALANCING SAFETY, SECURITY & PRESERVATION

New, **Renewed**, or Closed for FY 2021

Years included: 2019-2021



Key OIG Resources:

- [Flash Report Series – Independent Assessment of the Architect of the Capitol's Role in Securing the Capitol Campus for Large Public Gatherings](#) (OIG-AUD-2021-03)
- [Flash Report Series – Architect of the Capitol's Emergency Preparedness Ahead of the January 6, 2021 U.S. Capitol Event](#) (2021-0002-IE-P)
- [Evaluation of the Architect of the Capitol's Emergency Preparedness Posture](#) (2020-0002-IE-P)

Why This Is a Challenge:

The AOC's mission of "Serve, Preserve, Inspire" recognizes the desire that all construction and renewal projects maintain the historical heritage of the Capitol campus. This is done, in part, through the use of historically accurate, custom-designed and manufactured pieces such as plasterwork and moldings, security bollards and barricades, security systems and devices, and ironwork which can add substantial cost and time to these projects. For example, some security projects or project components could include modified commercial-off-the-shelf solutions versus specific, engineered or tailored elements. Projects of this nature should give due consideration of alternatives to include materials and designs used while accounting for planning and cost schedules that maintain the balance between safety and

security risks in addition to vulnerabilities with preservation and heritage.

Emergency preparedness is also a key component of balancing safety and security with preservation and heritage. The events at the U.S. Capitol on January 6, 2021, and other persistent threats against the Capitol campus, highlight the need for sustained emergency preparedness. It is critical to ensure that AOC employees, contractors and visitors know their roles and responsibilities during an emergency. Additionally, recent OIG reports have identified deferred security-related maintenance issues that should be addressed to promote effective and efficient safety and security across the Capitol campus. The AOC should consider dialog with other Capitol campus stakeholders to develop a comprehensive antiterrorism/force protection program.

The Inspector General's Statement of Management Opportunities and Performance Challenges *(continued)*

6) WORKING CAPITAL FUND

New, **Renewed**, or Closed for FY 2021

Years included: 2019-2021



Key OIG Resources:

- Evaluation of the Architect of the Capitol's Fleet Management Program (2021-0001-IE-P)

Why This Is a Challenge:

The management of large construction projects and other programs that cross multiple funding streams pose challenges and risks to the AOC that are not typical to other agencies. Though adequate planning and design can mitigate some of these challenges, unforeseen circumstances can increase the risks and vulnerabilities to the AOC. To offset these risks, the AOC establishes program operating practices and

procedures, with some overarching across the agency and many, specific to the jurisdiction. There are many integral AOC jurisdictional redundancies due to the lack of a working capital fund. This issue creates inefficiencies, waste, and duplication of effort that could be mitigated through centralization efforts.

7) WASTE & ACCOUNTABILITY (combined)

New, **Renewed**, or Closed for FY 2021

Years included: 2018-2021



Key OIG Resources:

- [Audit of the Architect of the Capitol's Unliquidated Obligations](#) (OIG-AUD-2021-06)
- [Suspected Violations of the Architect of the Capitol \(AOC\) Administrative Leave Uses and Update to the Administration of Leave During COVID-19; Suspected Violation of the AOC Standards of Conduct Policy](#) (2021-0015-INVI-P)
- [Suspected Violations of the Architect of the Capitol \(AOC\) "Standards of Conduct" and "Authority and Responsibilities of the Office of Inspector General and Cooperation of AOC Employees" Policies](#) (2021-0014-INVI-P)
- [Theft of AOC Property](#) (2021-0012-INVI-P)
- [Supervisory Employee 1: Suspected Violations of the Architect of the Capitol \(AOC\) "Standards of Conduct" and "Information Technology \(IT\) Resources and De Minimis Use" Policies and the "Information Technology Division Rules of Behavior" Policies.](#)
- [Supervisory Employee 2: Suspected Violations of the AOC "Standards of Conduct" and "IT Resources and De Minimis Use" Policies](#) (2021-0005-INVI-P)
- [Suspected Violations of the Architect of the Capitol \(AOC\) "Standards of Conduct" and "Information Technology \(IT\) Resources and De Minimis Use" Policies and the](#)

The Inspector General's Statement of Management Opportunities and Performance Challenges *(continued)*

[“Information Technology Division Rules of Behavior”](#) (2021-0004-INVI-P)

- [Missing Laptop Computers](#) (2021-0003-INVI-P)
- [Evaluation of the Architect of the Capitol's Inventory Accountability and Controls](#) (2018-0002-IE-P)

Why This Is a Challenge:

In our FY 2014 Statement, we reported significant risks regarding the accountability of government property valued at under \$1,500, particularly risks related to easily pilfered items such as hand and power tools and IT equipment. We noted that although the AOC had developed improved property controls and published a new Personal Property Manual for the accountability of government property valued at over \$1,500, these items were still subject to insufficient inventory or property accountability controls. Further, we also identified serious concerns with the appropriate disposition of surplus property.

In our FY 2015 Statement, we closed both of these components citing the improvements made to the AOC's internal control processes and guidance documents, although, at that time, we also stated that we would continue to monitor the AOC's progress in controlling risks associated with hand and power tools. In the past few years, these concerns have reemerged as evidenced by evaluation and investigations efforts related to IT inventory issues and reports of missing equipment. Although the AOC's efforts to improve inventory and internal control processes are laudable, we again raise this issue for needed improvement.

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 regularly observed 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 unnecessary 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 AOC senior leaders acknowledging and addressing waste.

To this end, the OIG has identified nearly

The Inspector General's Statement of Management Opportunities and Performance Challenges *(continued)*

one million dollars in finance-related findings in questioned costs or funds put to better use with some issues dating back over a decade as highlighted within the unliquidated obligations audit.

In our FY 2020 Statement, we noted that the AOC did not routinely hold employees

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 opportunities is very encouraging and the management challenges 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

accountable for waste and we continue to note this as a challenge. Multiple OIG investigations have revealed that the AOC does not always properly document employee infractions, which results in issues with human resources retention and increases the opportunity for fraud by creating a perception of allowability.

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 20** and **21** below present management's summary of these matters, as required by OMB Circular A-136, Financial Reporting Requirements, revised.

TABLE 20
Summary of Financial Statement Audit

AUDIT OPINION TYPE	Unmodified				
RESTATEMENT (YES/NO)	No				
MATERIAL WEAKNESSES	BEGINNING BALANCE	NEW	RESOLVED	CONSOLIDATED/ REASSESSED	ENDING BALANCE
Control Gap Identified for Respective Reviews of Estimates	0	1	0	0	1
Total Material Weaknesses	0	1	0	0	1

TABLE 21
Summary of Management Assurances

EFFECTIVENESS OF INTERNAL CONTROL OVER FINANCIAL REPORTING (FMFIA, PARA. 2)					
STATEMENT OF ASSURANCE	Unmodified				
MATERIAL WEAKNESSES	BEGINNING BALANCE	NEW	RESOLVED	CONSOLIDATED/ REASSESSED	ENDING BALANCE
Control Gap Identified for Respective Reviews of Estimates	0	1	0	0	1
Total Material Weaknesses	0	1	0	0	1

EFFECTIVENESS OF INTERNAL CONTROL OVER OPERATIONS (FMFIA, PARA. 2)					
STATEMENT OF ASSURANCE	Unmodified				
MATERIAL WEAKNESSES	BEGINNING BALANCE	NEW	RESOLVED	CONSOLIDATED/ REASSESSED	ENDING BALANCE
	0	0	0	0	0
Total Material Weaknesses	0	0	0	0	0

COMPLIANCE WITH FEDERAL FINANCIAL MANAGEMENT SYSTEM REQUIREMENTS (FMFIA, PARA. 4)					
STATEMENT OF ASSURANCE	Federal systems comply to financial system management requirements				
NONCONFORMANCES	BEGINNING BALANCE	NEW	RESOLVED	CONSOLIDATED/ REASSESSED	ENDING BALANCE
	0	0	0	0	0
Total Nonconformances	0	0	0	0	0

COMPLIANCE WITH FEDERAL FINANCIAL MANAGEMENT IMPROVEMENT ACT (FFMIA)		
NONCONFORMANCES	AGENCY	AUDITOR
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. USSGL at Transaction Level	No lack of compliance noted	No lack of compliance noted

Payment Integrity

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. Detailed information on improper payments for the U.S. government is available online at www.paymentaccuracy.gov. The AOC's data is not included on this website as the agency does not have any programs that were designated by the OMB as high priority. 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 the 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.

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. 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 continued its modification of the QFR process to specifically address the untimely de-obligation of unliquidated obligations. The AOC developed and implemented a new application, as well as provided related policy guidance and training, to automate the validation of open obligations.

The AOC does not administer programs for grants, benefits or loans. 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 01: 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.

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.



The AOC cares for more than 18.4 million square feet of facility space. This includes a variety of real property that reflects the agency's wide-ranging mission, such as: congressional committee rooms, legislative chambers, a botanic conservatory, a power plant and utility tunnels, a visitor center and office facilities.

Real Property Capital Planning

The OMB provides guidance on federal real property reporting. The updated guidelines for FY 2021 removed the report requirement for those agencies that provide an annual document describing their real property portfolio to the Federal Real Property Council. However, as a legislative branch agency, the AOC does not submit its real property information to the council. As a result, the AOC continues to deliver its real property portfolio information as part of 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 22**. 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.

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 is committed 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. The improvements 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 ESPCs to fund energy savings improvements on the Capitol campus.

TABLE 22
Real Property Baseline Comparison

	FY 2015 BASELINE (ROUNDED)	FY 2021 (ROUNDED)	CHANGE FROM BASELINE (INCREASE/DECREASE)
Total Square Footage (in Millions)	More than 17.4	More than 18.4	Increase by 1.0



In FY 2021, AOC electricians converted the lighting fixtures from fluorescent to energy-efficient LED lighting in the halls of the Rayburn House Office Building.

Energy and Sustainability Program Management Report

As steward 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 2021 was a challenging but rewarding year for the AOC's energy and sustainability efforts. The AOC is five years into its ambitious performance requirements and trending close to its FY 2025 key energy reduction goal. As shown in **Figure 49**, the AOC reduced energy consumption by 48.8 percent from its FY 2003 baseline. Substantial decreases in energy usage in FY 2018 resulted from operational efficiencies at the Cogeneration Plant. The decrease in FY 2020 was a result of reduction of on-site employees during the COVID-19 pandemic. The AOC sustainability strategy focuses on energy, water, high-performance buildings and sustainable waste management. In FY 2021, the AOC:

- Achieved energy reduction progress of approximately 49 percent, despite significant increases in energy consumption due to enhanced air quality and ventilation rates
- Initiated retro-commissioning efforts in the Rayburn and Longworth House Office Buildings, the CVC, and the Russell and Dirksen Senate Office Buildings to enhance energy efficient operations
- Initiated planning efforts for an ESPC for AOC buildings that will install LED lighting upgrades and solar photovoltaic systems, providing an estimated 2.5 million kWh of on-site solar renewable energy annually
- Continued the Critical Campus Power Study to provide resilience to Capitol campus buildings in the event of utility system issues

- Performed energy audits at the U.S. Capitol and the USBG Conservatory; the audits highlight focus areas for potential improvements and investments to enhance energy efficient operations
- Developed a new career ladder position that will fill a critical skill gap for technicians capable of using advanced automated building control systems to increase efficiency and provide a more comfortable working environment
- Reduced greenhouse gas emissions by 43 percent from the FY 2008 baseline, exceeding the FY 2021 reduction goal of 35 percent

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 \$200 million in cost avoidance and reduced the agency's long-term energy demand. From FY 2015 to FY 2021, the AOC voluntarily continued its partnership with stakeholders to manage one of the federal government's most effective energy and sustainability programs. In FY 2021, the most impactful energy savings efforts included infrastructure and performance improvements. As detailed in **Table 23**, the AOC used approximately \$2.2 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. In FY 2021, the ESPC for the Library of Congress buildings began generating energy savings as significant lighting and mechanical work was completed.

TABLE 23
FY 2021 Investments in Energy and Water Management

SOURCES OF INVESTMENT	DIRECT APPROPRIATIONS	FY 2021 ANNUAL GOAL-SUBJECT ENERGY SAVINGS (MMBTU)	
Energy and Sustainability Program Expenditures	\$2,174,000	(59,858)	
ESPC/UESC EXPENDITURES	FY 2021 ANNUAL PAYMENTS	GUARANTEED ANNUAL COST SAVINGS	FINAL PAYMENT
House Office Buildings ESPC	\$4,546,207	\$4,577,167	FY 2027
Senate Office Buildings ESPC	\$4,534,703	\$4,534,803	FY 2027
U.S. Capitol Building ESPC	\$2,327,291	\$2,327,292	FY 2022
Capitol Power Plant Cogeneration UESC	\$3,026,420	\$3,026,420	FY 2037
Library Buildings and Grounds ESPC	\$1,486,238	\$1,486,238	FY 2039
Total	\$15,920,859	\$15,951,920	

Note: Table includes 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 2021 expenditures. Energy savings are measured in metric million British thermal units (MMBTU), the measure of energy content in fuel.

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 energy 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 2021 targets included:

- 42 percent energy reduction (from FY 2003 baseline); goal met
- 35 percent greenhouse gas emissions reduction; goal met
- 28 percent water use reduction (from FY 2008 baseline); goal met
- 50 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 benefits from reduced operating costs
- Customer service payoffs from increased client satisfaction and improved reputation
- Agency payoffs from reduced staff risks and increased satisfaction

In FY 2021, the AOC:

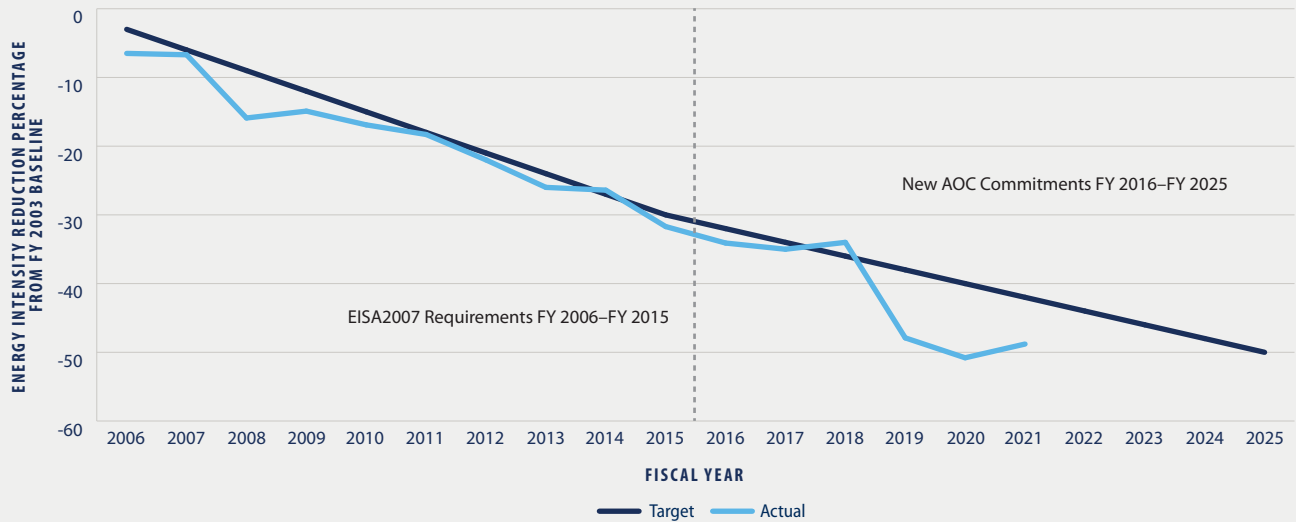
- **Employed cost-effective strategies to meet sustainability targets:** The agency focused attention on building energy performance plans, energy audits, sustainability scorecards and sharing best practices across jurisdictions to reduce operating costs and conserve resources.

- **Used public-private partnerships:** Several major energy and sustainability improvements at the AOC have been funded through public-private partnerships, such as multiple ESPCs and a UESC (in total \$200 million has been invested in energy improvements financed by energy savings).
- **Implemented "Gold Days":** The AOC focused on peak electricity grid consumption days to lower a significant component of our electricity utility rate. This was supported by a robust lighting program focused on using LED and lighting control technology.
- **Continued retro-commissioning:** The AOC employed retro-commissioning to address malfunctioning equipment, automation and control logic deviations.
- **Improved water efficiency:** The AOC implemented strategies for improved water efficiency include 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 cost-effective opportunities to improve energy and water performance, reliability and environmental conditions in its buildings. In FY 2021, building ventilation systems continued to operate with extended schedules and enhanced filtration in response to the COVID-19 pandemic. This type of operation significantly added to the AOC's energy consumption but is expected to be a temporary increase until such time that buildings can return to normal operations. Projects such as the Library of Congress ESPC, Cannon Renewal and building retro-commissioning will ensure that the AOC maintains high levels of 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. The Enterprise Asset Management strategic initiative will support energy conservation efforts by bringing together energy consumption and performance data within an enterprise level asset management system.

FIGURE 49
The AOC's Energy Reduction Commitments and Results



Data Tables

The data tables (Tables 24, 25 and 26) 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* (EISA2007). 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 2021 expenditures.

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 24
Energy Policy Act of 2005 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	166,565.9	\$16,214.6	\$0.10	/kWh	568.3	1,784.5
Fuel Oil	KGal	278.1	\$240.5	\$0.86	/Gallon	38.9	38.9
Natural Gas	KCF	1,352,366.1	\$8,915.6	\$6.59	/KCF	1,352.3	1,419.9
Coal	Short Ton	0.0	\$0.0	\$0.00	/Short Ton	0.0	0.0
Purchased Steam	BBTU	21.7	\$104.8	\$4.84	/MMBTU	21.7	48.2
Site/Source Credit*	BBTU	(460.5)			/MMBTU	(460.5)	
Excluded Steam	BBTU	(146.7)	(\$6,416.2)	\$43.73	/MMBTU	(146.7)	(209.6)
Excluded CHW	BBTU	(19.6)	(\$538.0)	\$27.41	/MMBTU	(19.6)	(24.9)
Excluded Security	BBTU	(25.6)	(\$447.1)	\$17.46	/MMBTU	(25.6)	(80.4)
PURCHASED RENEWABLE							
Electric	MWh	32,585.0	\$3,341.4	\$0.10	/kWh	111.2	0.0
Other	BBTU				/MMBTU		
Totals	BBTU	1,440.0	\$21,415.7			1,440.0	2,976.6
FY 2021 Goal Subject Buildings Gross Square Feet (Thousands)		16,850.0	FY 2021 Goal Subject Buildings Actual KBTU/GSF			85.5	176.7

*Site/Source credit accounts for displaced grid electricity per U.S. Department of Energy (DOE) guidance.

TABLE 25
Energy Policy Act of 2005 Goal Excluded Buildings

UTILITY TYPE	CONSUMPTION UNITS	ANNUAL CONSUMPTION	ANNUAL COST (\$ IN THOUSANDS)	UNIT COST (\$)	UNIT OF MEASURE	SITE-DELIVERED BBTU	ESTIMATED SOURCE BBTU
Electric	MWh	38,186.9	\$3,904.0	\$0.10	/kWh	130.3	409.1
Fuel Oil	KGal	313.1	\$777.0	\$2.48	/Gallon	43.8	43.8
Natural Gas	KCF	24,343.4	\$220.0	\$0.01	/KCF	24.3	25.6
Coal	Short Ton				/Short Ton		
Purchased Steam	BBTU				/MMBTU		
Excluded Steam	BBTU	146.7	\$6,416.2	\$43.73	/MMBTU	146.7	209.6
Excluded CHW	BBTU	19.6	\$538.0	\$27.41	/MMBTU	19.6	24.9
Excluded Security	BBTU	25.6	\$447.1	\$17.46	/MMBTU	25.6	80.4
Purchased Renewable							
Electric	MWh						
Other	BBTU						
Totals	BBTU	390.4	\$12,302.1			390.4	793.4
FY 2021 Goal Excluded Buildings Gross Square Feet (Thousands)		1,083.3	FY 2021 Goal Excluded Buildings Actual KBTU/GSF			207.5	421.7

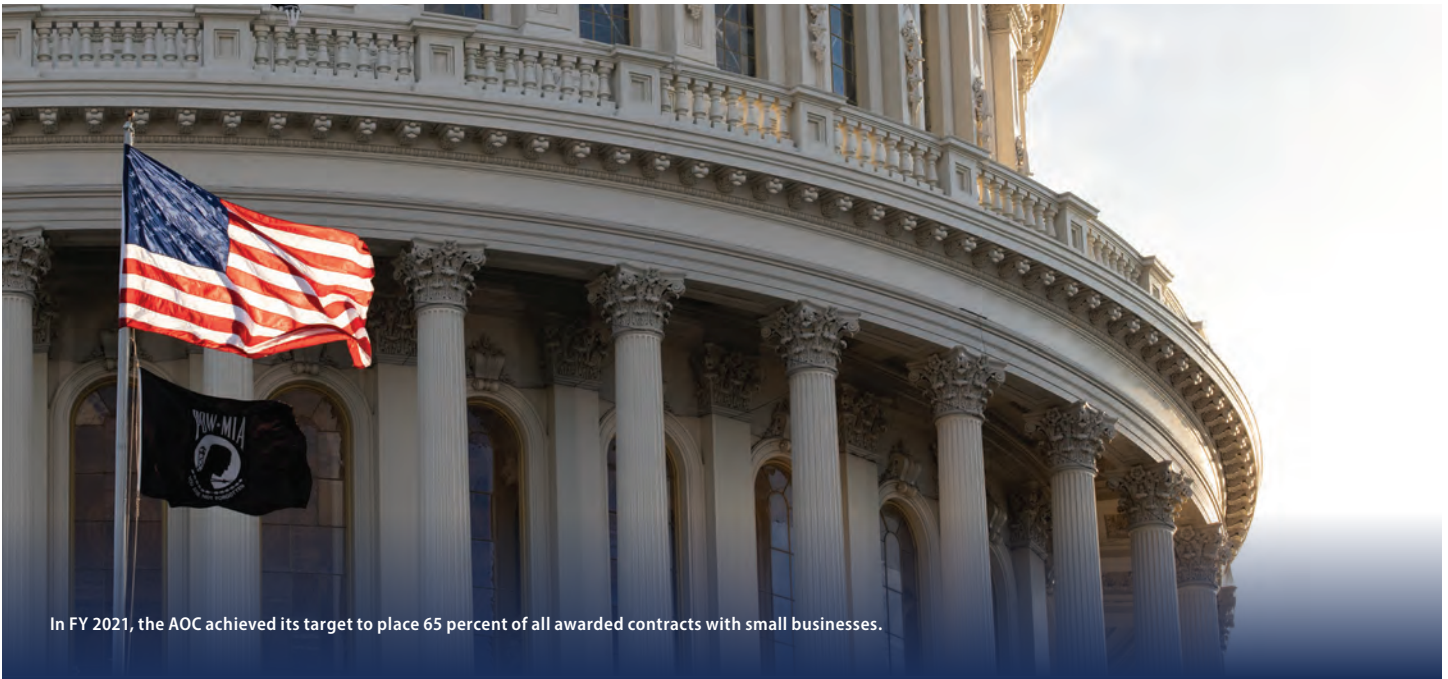
TABLE 26
Goal Performance

ENERGY MANAGEMENT REQUIREMENT	FY 2003 KBTU/GSF	FY 2021 KBTU/GSF	PERCENT CHANGE FY 2003–FY 2021	FY 2021 GOAL TARGET	
Reduction in Energy Intensity in Facilities Subject to EPA Act Goals	166,930	85,461	(48.8)%	(42.0)%	
RENEWABLE ENERGY REQUIREMENT	RENEWABLE ELECTRICITY USE (MWH)	TOTAL ELECTRICITY USE (MWH)	PERCENTAGE		
Eligible Renewable Electricity Use as a Percentage of Total Electricity Use	32,585	237,338	13.7%		
WATER INTENSITY REDUCTION GOAL	FY 2007 GALLONS/GSF	FY 2021 GALLON/GSF	PERCENT CHANGE FY 2007–FY 2021	FY 2021 GOAL TARGET	
Reduction in Potable Water Consumption Intensity	28.2	13.1	53.5%	28.0%	
SUSTAINABLE WASTE MANAGEMENT	PERFORMANCE METRIC	FY2016 GOAL	FY2016 ACTUAL	FY2021 GOAL	FY2021 ACTUAL
Divert Building Occupant Waste	Waste Diverted/ Total Occupant Waste	40.0%	44.0%	50.0%	34.0%
Reduce, Reuse and Recycle Construction and Demolition Debris	Waste Diverted/ Total Construction Waste	80.0%	90.0%	90.0%	92.0%
Compost Nonconstruction Waste	Waste Diverted/ Total Occupant Waste	N/A	N/A	10.0%	10.0%

OTHER ENERGY AND WATER INFORMATION				
UTILITY METERING	NUMBER OF BUILDINGS METERED	METERED AREA (GSF)	PERCENT OF BUILDINGS METERED	PERCENTAGE OF AOC ADVANCED METERING
Electric	79	21,373,419	100%	90%
Steam	27	19,514,362	99%	99%
Natural Gas	22	1,768,311	100%	0%
Chilled Water	25	16,251,351	99%	99%
Potable Water	29 buildings 8 other	17,381,130	99% with meters 66% estimated	65%

COGENERATION	OPERATIONAL PERIOD	OPERATIONAL DAYS	SITE VS. SOURCE CREDIT (BBTU)	TOTAL MWh PRODUCED
Capitol Power Plant Combined Heat and Power	Oct 2020 thru Sep 2021	319	460.5	57,681.8

Note: Tables 24–26 are issued with data as of November 4, 2021.



In FY 2021, the AOC achieved its target to place 65 percent of all awarded contracts with 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 encourage more opportunities for the small business community, the AOC created a small business subcontracting program and a small business set-aside program for 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 2021, as shown in **Table 27**, the AOC established a goal to place 65 percent of all agency contract awards with small businesses. The targeted percentage of contract awards for various small business subcategories is also shown. The AOC exceeded the goal targets for every small business category in its small business program. This was achieved 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 used by the AOC and actively seeking small-business concerns for small purchases.

TABLE 27
Small Business Accomplishments, For the Year Ending September 30, 2021

CATEGORY	GOAL	ACHIEVEMENTS*	GOAL MET?
Small Business	65.0%	78.4%	Yes
Small Disadvantaged Business	8.0%	19.5%	Yes
Women-Owned Small Business	11.0%	14.5%	Yes
Veteran-Owned Small Business	4.0%	6.2%	Yes
Service-Disabled Veteran-Owned Small Business	1.0%	3.0%	Yes
HUBZone Small Business	1.0%	3.0%	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 (EEO)/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 the 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 are determined based on operational requirements and the knowledge, skills and abilities of the candidates. The AOC's Order 335, Career Staffing Plan, 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

Career Staffing Plan Revisions. The AOC issued key revisions to its existing Career Staffing Plan policy that enhance the AOC's ability to attract and hire qualified staff, promote fairness and transparency in hiring, empower employees with information to aid in future interviews and enhance the agency's image as an employer of choice. The revisions changed the minimum education requirement for certain positions at the GS-14 grade level and above from requiring a bachelor's degree to making one desirable,¹³ required selecting officials to provide feedback to nonselected internal candidates who interviewed for vacancies at the AOC, reduced the timeframe for certificate of eligible employees from 90 to 60 calendar days (while

retaining the option of extending the period for up to 90 calendar days) and introduced a new interview panel member form that requires panel members to review and sign an integrity pledge for each vacancy before the interview and selection process.

Online Onboarding Module. To modernize and enhance the welcome experience for new hires, the AOC deployed an online onboarding module that provides a remote and structured solution for administrative activities. This module provides the AOC's talent acquisition team the ability to communicate electronically with candidates, selecting officials and others involved in the hiring process. The module also is capable of sending offer letters and new hire forms and storing relevant documents. New hires can review offer letters, communicate position acceptance and electronically complete benefits and payroll forms before on-site onboarding sessions.

Strategic Talent Acquisition. To attract and retain talent in FY 2021, the AOC participated in recruitment events targeting skilled trades, veterans, professional associations and university and community college populations. After cancelling the program in FY 2020 due to COVID-19, this fiscal year the AOC restarted its summer internship program to recruit aspiring young talent. The AOC also leveraged recruitment incentives 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."

Communities of Practice. The AOC continued to partner with stakeholders across the enterprise to create and employ Communities of Practice that support talent acquisition and development, and employee engagement and retention. The Community of Practice concept benefits the agency by developing innovative approaches to acquire scarce skilled trades expertise, support succession planning efforts, shape training plans, foster knowledge sharing, engage in continuous learning activities and positively impact employee retention and engagement. It allows AOC employees opportunities to network with other colleagues by sharing lessons learned and collaborating to solve work-related problems.

Equal Employment Opportunity/Affirmative Action Programs

The HR Act requires the AOC to have an EEO program that includes an affirmative employment program (AEP) for employees and applicants. The HR Act also requires that the AOC have 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 EEO program, outlined in Policy Memorandum 24-3, 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

¹³ The new standard does not apply for positions in which a bachelor's degree is stipulated in the qualification standards issued by the U.S. Office of Personnel Management (OPM).

also promotes full access and integration of qualified individuals with disabilities into the workforce through the AOC’s Reasonable Accommodation Program. The director of DI/DR office reports directly to the agency’s Chief Administrative Officer (CAO).

PROGRAM HIGHLIGHTS

AOC Chooses Civility Initiative. This initiative is the cornerstone of the AOC’s diversity and inclusion program and is aimed at promoting positive and respectful behavior 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. The AOC’s policy requires staff to complete annual prevention of sexual harassment training. This fiscal year, the AOC developed an interactive online course to meet these requirements. The course was expanded to address bystander intervention and to include learning scenarios in construction and industrial settings rather than office settings. The course also includes a component specifically for supervisors.

Conciliation Program. The AOC Conciliation Program enables the investigation of allegations of discrimination and addresses potential violations of other employee safeguards involving family and medical leave, veteran and service-related employment rights, wage concerns and retaliation. The program offers confidential counseling and assistance to employees who are experiencing any type of workplace conflict, or who are engaged in employment-related disputes. In FY 2021, the program continued to accept and resolve employee and management concerns and complaints.



The AOC requires a highly skilled workforce to accomplish its mission. A Human Capital Strategy is being developed to attract, develop and retain these skilled employees at the agency.

AOC’s Diversity, Inclusion and Dispute Resolution Office Reporting Hotline. The DI/DR office provides agency employees with a hotline to report any equal employment or harassment concerns. The service is available 24/7 and affords callers the opportunity to speak with a live consultant who will listen and notate their statement. Callers’ identification information is not requested, kept or reported to the agency.

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 and Wage Grade positions and to determine duties, responsibilities, qualification requirements, position titles, series and grade levels.¹⁴ 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. 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 01: Management’s Discussion and Analysis** depicts the AOC’s organizational structure as well as a chart displaying the number of permanent employees by AOC location.

PROGRAM HIGHLIGHTS

AOC Reorganization. This fiscal year, the AOC launched an organizational transformation that included a Reorganization as one of the major initiatives. Under the Reorganization, the AOC established a C-suite consisting of a cadre of senior executives with agencywide responsibility organized by function and responsibility and authority to focus on operational performance, manage enterprise risk and maintain strong accountability. The Reorganization impacted nearly one-half of the workforce, and required creating, classifying and redescribing existing and new positions for the impacted organizations. This effort also included the review of more than 200 position descriptions for Senior Rated, supervisory, nonsupervisory, career ladder General Schedule, single-grade General Schedule, Wage Grade and Architect’s Mobility Program positions. The AOC implemented required changes in the Human Resources Information System caused by the Reorganization.

Position Management Review Standard Operating Procedure. The AOC organizational transformation required revision of the approval process of position management requests. As a result, the AOC updated the standard operating procedures to reflect

14 Title 5 U.S.C. § 5349 requires that rates for certain 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.

processes that align with the C-suite organizational structure. The revisions detail how to prepare and submit position management requests — for example, requests for reorganizations, desk audits, position reviews and new positions. These updates provide a consistent process across the AOC and ensures that requests are validated before submission for action.

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 University. In FY 2021, the AOC began developing plans for the creation of AOC University, an Architect's Strategic Initiative to provide training, education, professional development and career advancement opportunities to existing employees. This fiscal year, The AOC created a charter to define the purpose, mission and vision for this initiative. The charter outlined desired outcomes, resources, methods for communications and key personnel needed for implementation. This information also helped to forecast future financial and personnel requests.

In addition, the AOC established a cross-functional team composed of employees from multiple AOC offices who bring specific management, technical skills and experiences relevant to the AOC University mission. The team members provide input on the framework and development of AOC University and serve as liaisons to their respective offices. In addition, the team members help shape the vision and road map, share progress updates, identify and mitigate risks, and address change management considerations.

Training Needs Assessment. The AOC developed and launched its first training needs assessment for supervisors. The survey results are intended to provide the AOC with an understanding of the current and future business needs of work teams and the knowledge and skills requirements for the workforce. In addition, the survey will help the AOC gain insight into training, education and development opportunities that are being used by agency staff to acquire the knowledge and skills needed for their jobs.

Implementation of AOC Learn. The AOC's online learning management system, AOC Learn, provides users with access to a searchable listing of online courses with detailed descriptions and online registration. In FY 2021, the AOC began phase two of the implementation for AOC Learn, further enhancing the system. The enhancements modified the individualized training plan functionality to capture attendance at instructor-led and virtual instructor-led courses, in addition to the existing online courses. The changes also provide the capability of allowing for the manual assignment of training requirements based on an

TABLE 28
Most Completed Agency-Sponsored Training in FY 2021

COURSE DESCRIPTION	COMPLETIONS
Controlled Unclassified Information	3,073
Cybersecurity Awareness	2,980
Fraud Awareness	2,974
Annual Ethics	1,519
Recognizing and Preventing Sexual Harassment in the Workplace (Supervisory Module)	444
Security for Those in IT Roles	339
Office Emergency Coordinator Training	267
Mandatory Drug-Free Workplace Employee Education	225
De-Escalation Training	156
Planning for Retirement	142
Portable Fire Extinguisher Training	141

Note: Completions indicate the total number of employees trained in FY 2021, which may include those that have separated from the agency and are no longer active employees.

employee's specific role and duties within the agency. In addition, the AOC automated the process to populate AOC Learn with the Cybersecurity Awareness training course from the external vendor.

Table 28 summarizes the most completed agency-sponsored training initiatives in FY 2021.

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, Performance Management for Exempt Personnel, provides the performance review policy for Senior Rated personnel.

PROGRAM HIGHLIGHT

Reengineering of the AOC's Performance, Communication and Evaluation System. The AOC is re-engineering its PCES. In FY 2021, the AOC procured an online performance management system and used a cross-jurisdictional workgroup to identify PCES

policy enhancements. This policy is currently under review. When finalized, the AOC will transition from a three-tier performance rating system to a five-tier system, which will allow employees to receive performance awards for achievement at the top two tiers of the system. The online performance management system will offer a uniformed, user-friendly process with the ability to provide continuous feedback and electronic access to performance documents (to include access via tablets or mobile phones). It will also feature a library to assist supervisors with writing performance evaluations and standards and with reporting capabilities to allow the agency to track and analyze performance metrics. The system is expected to launch in FY 2022 and the AOC will conduct training for all employees once the system is online.

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 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 (CBA) specify uniform procedures for disciplinary actions designed to address and correct inappropriate conduct of employees.¹⁵ 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. A formal grievance procedure is available to all AOC 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 employee formal grievance procedures under AOC Order 771-1, Grievance Policy.

The AOC evaluates each instance of misconduct against the "Douglas Factors,"¹⁶ established criteria espoused 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 Deputy Architect ensures further consistency.

15 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 Workers, Local 100; United Association of Journeymen and Apprentices of the Plumbing and Pipefitting Industry of the United States and Canada, Local 5.

16 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.

Appropriate coaching and accountability are important principles in addressing misconduct and performance issues.

PROGRAM HIGHLIGHT

Revised Grievance Policy. The AOC issued a revised version of AOC Order 771-1, Grievance Policy. The revised policy strengthened AOC grievance procedures by adjusting terminology to account for changes in the AOC organizational structure, adding clarity to administrative grievance procedures and exclusions and modifying the grievance process and procedures by eliminating the Chief Human Capital Officer's role in adjudicating formal grievances. In addition, the revised policy defined the formal and informal grievance processes, eliminated the ability to grieve PCES-related documents, encouraged alternative dispute resolution processes, modified time limits and outlined requirements for employees to elect one avenue for redress — either through the DI/DR office, Ombuds, Office of Congressional Workplace Rights or the grievance process.

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

Expanded EAP Services. The agency's EAP services were broadly expanded during the past fiscal year. In addition to support for the workforce and their family members, the AOC added consultations and workplace presentations on topics such as stress management, grief education and support, and suicide awareness and prevention. The EAP also provided guidance, support, self-care recommendations and resources for individual, family and work issues related to the COVID-19 pandemic and the January 6, 2021, breach of the U.S. Capitol. Through the AOC's All-Hands meetings, the EAP manager provided more than 500 employees with information and resources on handling stress. This fiscal year, the AOC also provided employees with around-the-clock access to EAP's TalkNow, an online resource for confidential counseling by qualified behavioral health professionals. Employees were also furnished with unlimited access to EAP's behavioral health website that offers live and on-demand webinars, articles, tools, videos, trainings and screenings.

COVID-19 Assistance. The EAP has been a central part of the AOC's response to the COVID-19 pandemic by providing pertinent information, support and counseling to employees, managers and supervisors. The AOC developed COVID-19 Employee and Supervisory Toolkits to provide comprehensive guidance and address routine questions throughout the ongoing pandemic. The Employee Toolkit provides information about returning to work safely and employee responsibilities. The AOC also created and regularly updates COVID-19 frequently asked questions, a workplace and leave flexibilities chart and a return-to-work training video. The Supervisory Toolkit includes guidelines for supervisors communicating with employees and provides talking points for notifying employees about their requirements to return to on-site work and managing employee misconduct related to the pandemic. In addition, the EAP developed presentations for the recurring interactive "Office Hours" sessions to the AOC workforce. The sessions covered topics such as, "Handling Stress Associated with the Coronavirus-19 Pandemic" and "Building Resiliency Following Distressing Events." The AOC posted recorded audio versions of each session on the AOC intranet for employees to access on demand.

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 provides to all employees. The AOC delivers 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 following 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 annual and sick leave, advanced annual and sick leave, compensatory time, leave without pay and other types of leave. The policies also provide the processes to ensure the uniform and consistent administration of leave programs. The AOC's policies comply with federal regulations and the OCWR's regulations on the *Family and Medical Leave Act* (FMLA). The AOC's 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

Leave and COVID-19. The AOC has developed guidance and remained agile in addressing the impacts of COVID-19 on the workforce and its operations. This included ensuring that employees were aware of the available leave entitlements. In accordance with guidelines by the Office of Attending Physician and the Centers for Disease Control and Prevention (CDC), the AOC permitted employees with underlying medical conditions to use administrative leave to prevent their potential exposure to COVID-19 at work. In addition, the AOC developed policy and infrastructure to implement the *Families First Coronavirus Response Act*, which provided eligible employees 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. When the provisions of this law ended on December 31, 2020, the AOC continued to offer coverage to employees with childcare challenges. To

encourage employee COVID-19 vaccinations, the AOC provided employees with four hours of administrative leave to receive the COVID-19 vaccination and issued recurring communications regarding vaccinations.

Revised Absence and Leave Policy. The AOC issued a revised AOC Order 630-1, Absence and Leave. The policy revision incorporated requirements from the *Wounded Warriors Federal Leave Act of 2015*. The revision also eliminated the requirement, in most cases, for employees to provide medical documentation that shows medical diagnosis and prognosis. Claims under the FMLA, *Federal Employees' Compensation Act* and *Americans with Disabilities Act*, advanced sick leave and Voluntary Leave Transfer Program requests must still be supported by documentation.

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:

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. The director of DI/DR reports to the CAO, who has oversight responsibility for the AOC's EEO, 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.

Affirmative Employment Program Report. This report provides statistics on the diversity of the AOC's workforce, which measure the effectiveness of initiatives to ensure a diverse workforce.

Annual Review of Policies. The AOC reviews its human resources policies annually to ensure that the policies comply with federal statutes and continue to meet evolving agency needs. In FY 2021, the AOC has developed, renewed and reissued human resources program policies. These policies were adjusted to conform to evolving federal guidance and to respond to the emerging needs of AOC's workforce.

See the **Infographic: Human Capital by the Numbers** for a snapshot of the AOC's workforce profile and related human capital statistics for FY 2021.

INFOGRAPHIC

Human Capital by the Numbers

WORKFORCE PROFILE

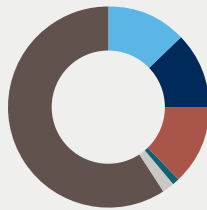
2,249 + 244 = 2,493

Permanent Employees Temporary Employees Total Employees



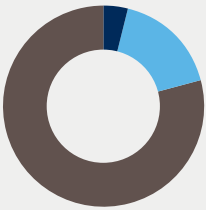
GENDER

- Men, 1,831, 73%
- Women, 662, 27%



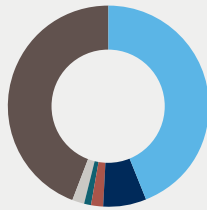
JOB CATEGORIES

- Blue Collar, 59%
- Administrative, 13%
- Technical, 13%
- Professional, 12%
- Clerical, 1%
- Other, 2%



SUPERVISORY RATIO

- Nonsupervisors, 1,964, 79%
- Supervisors, 424, 17%
- Leaders, 105, 4%



RACE

- White, 44%
- Black or African American, 44%
- Hispanic or Latino, 7%
- Asian, 2%
- American Indian or Alaska Native, 1%
- Two or more, 2%

ELECTRONIC OUTREACH



LinkedIn

71,397

Views on AOC Jobs



Twitter@AOC Hiring

3,082

Engagements



Glassdoor

7,741

Views on AOC Employer Profile

REWARDS AND RECOGNITION

407

Recognition Federal Service

4,215

Monetary Awards

No Honor Awards
(due to the COVID-19 pandemic)

TALENT ACQUISITION

184

Promotions

175

Permanent Appointments

207

Temporary Appointments

TRAINING AND EMPLOYEE DEVELOPMENT

126 courses / 377 sessions

Safety and Specific Trade or Skill Needs Training

3,356 Course Completions from AOC Learn

21,105 Updated Records Involving Discretionary and Mandatory Training

PAYROLL AND PROCESSING

10,893

Personnel Actions Processed

6,992

Payroll Documents Processed

EMPLOYEE BENEFITS

144

Family and Medical Leave Recipients

20

Voluntary Leave Transfer Program Recipients

853

Transit Subsidy Recipients

51

New Workers' Compensation Claims

69

Student Loan Repayments

ATTRITION RATE

6.59%

61

Retirements

61

Resignations

38

Transfers

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The U.S. Capitol is considered the most suitable place for the nation to pay final tribute to its most eminent citizens. In FY 2021, the AOC supported the lying in honor ceremonies in the U.S. Capitol Rotunda for the slain U.S. Capitol Police Officers Brian D. Sicknick and William F. "Billy" Evans.

APPENDICES

APPENDIX A

Architects of the Capitol

The position of the Architect of the Capitol has a legacy rooted in the 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." The 12 individuals who have held the position Architect of the Capitol are listed in **Table 29**, along with their dates of service.

Hyperlinks are included to direct the reader to their biographies.

TABLE 29
Architects of the Capitol

DATES OF SERVICE	NAME	BIOGRAPHY
1793	DR. WILLIAM THORNTON	www.aoc.gov/about-us/history/architects-of-the-capitol/dr-william-thornton
1803-1811 1815-1817	BENJAMIN HENRY LATROBE	www.aoc.gov/about-us/history/architects-of-the-capitol/benjamin-henry-latrobe
1818-1829	CHARLES BULFINCH	www.aoc.gov/about-us/history/architects-of-the-capitol/charles-bulfinch
1851-1865	THOMAS USTICK WALTER	www.aoc.gov/about-us/history/architects-of-the-capitol/thomas-ustick-walter
1865-1902	EDWARD CLARK	www.aoc.gov/about-us/history/architects-of-the-capitol/edward-clark
1902-1923	ELLIOTT WOODS	www.aoc.gov/about-us/history/architects-of-the-capitol/elliott-woods
1923-1954	DAVID LYNN	www.aoc.gov/about-us/history/architects-of-the-capitol/david-lynn
1954-1970	J. GEORGE STEWART	www.aoc.gov/about-us/history/architects-of-the-capitol/j-george-stewart
1971-1995	GEORGE M. WHITE, <i>FAIA</i>	www.aoc.gov/about-us/history/architects-of-the-capitol/george-m-white-faia
1997-2007	ALAN M. HANTMAN, <i>FAIA</i>	www.aoc.gov/about-us/history/architects-of-the-capitol/alan-m-hantman-faia
2010-2018	STEPHEN T. AYERS, <i>FAIA, CCM, LEED AP</i>	www.aoc.gov/about-us/history/architects-of-the-capitol/stephen-t-ayers-faia-leed-ap
2020-PRESENT	J. BRETT BLANTON	www.aoc.gov/about-us/history/architects-of-the-capitol/j-brett-blanton



APPENDIX B

Major Facilities Under the AOC’s Care

As the builder and steward of the landmark buildings and grounds of the Capitol campus, the AOC is responsible for many of the most iconic buildings of the federal legislative and judicial branches. **Table 30** lists the major facilities under the AOC’s stewardship, organized by the respective organizational unit.

TABLE 30
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)
CAPITOL BUILDING			
U.S. Capitol Building	Washington, D.C.	Construction started in 1793, various other dates for multiple expansions	A
CAPITOL GROUNDS AND ARBORETUM			
Summerhouse	Washington, D.C.	1880	A
Capitol Square	Washington, D.C.	1894	A
Robert A. Taft Memorial and Carillon	Washington, D.C.	1959	A
Union Square	Washington, D.C.	Transferred 2011	A
CAPITOL POWER PLANT			
Generator Building	Washington, D.C.	1909	A
Main Boiler Plant	Washington, D.C.	1909	A
Cogeneration Plant (formerly East Refrigeration Plant)	Washington, D.C.	1937	A
Administration Building	Washington, D.C.	1978	A
West Refrigeration Plant	Washington, D.C.	1978 and various dates for later expansions	A
Utility Tunnels	Washington, D.C.	Various dates	A
Coal Yard Facilities	Washington, D.C.	Various dates	A
HOUSE OFFICE BUILDINGS			
Cannon House Office Building	Washington, D.C.	1908	A
Longworth House Office Building	Washington, D.C.	1933	A
Rayburn House Office Building	Washington, D.C.	1965	A
East and West House Underground Garages	Washington, D.C.	1968	A
Ford House Office Building	Washington, D.C.	1939 (Transferred 1974)	A
House Page Dormitory	Washington, D.C.	1940 (Transferred 1986)	A
O’Neill House Office Building	Washington, D.C.	1963 (Transferred 2017)	A
LIBRARY BUILDINGS AND GROUNDS			
Thomas Jefferson Building	Washington, D.C.	1897 (Transferred 1922)	A
John Adams Building	Washington, D.C.	1938	A

TABLE 30
Major AOC Facilities (continued)

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)
James Madison Memorial Building	Washington, D.C.	1980	A
St. Cecilia's Special Services Facilities Center	Washington, D.C.	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	A
Packard Campus for Audio-Visual Conservation	Culpeper, VA	2007	A
Collections Storage Facility	Landover, MD	2016	L
U.S. Copyright Office Storage Facility	Landover, MD	2021	L
OFFICE OF THE CHIEF ENGINEER (CONSTRUCTION DIVISION)			
Construction Division Shops	Washington, D.C.	Estimated 1950s (1982)	A
Construction Division Warehouse	Landover, MD	2016	L
OFFICE OF THE CHIEF SECURITY OFFICER			
Eney, Chestnut, Gibson Memorial Building	Washington, D.C.	1930 (Transferred 1986)	A
Vehicle Maintenance Facility	Washington, D.C.	1930	A
Courier Acceptance Facility	Washington, D.C.	1980	A
Canine Facility	Washington, D.C.	1996 (Transferred 2004)	A
Fairchild Building	Washington, D.C.	2004	A/L
Interim Off-Site Delivery	Washington, D.C.	2006	A
Government Publishing Office	Washington, D.C.	2005	L
Verizon Building	Washington, D.C.	2011	L
SENATE OFFICE BUILDINGS			
Russell Senate Office Building	Washington, D.C.	1909	A
Senate Underground Garage	Washington, D.C.	1932	A
Dirksen Senate Office Building	Washington, D.C.	1958	A
Hart Senate Office Building	Washington, D.C.	1982	A
Daniel Webster Page Residence	Washington, D.C.	1930 (Transferred 1993)	A
107 D Street, NE	Washington, D.C.	1885	A
Senate Sergeant At Arms (SSAA) Office Support (Postal Square)	Washington, D.C.	1992	L
Senate Storage Building	Washington, D.C.	1993	A
Senate Employees' Child Care Center	Washington, D.C.	1998	A
SSAA/Secretary of the Senate Warehouse Facility	Landover, MD	2005	L
GPO — Senate Furniture/Refinishing	Washington, D.C.	2007	L
Senate Mail Handling Facility	Landover, MD	2008	A
SSAA Printing, Graphics & Direct Mail Facility	Landover, MD	2011	L
GPO — SSAA Cabinet	Washington, D.C.	2012	L
SUPREME COURT BUILDING AND GROUNDS			
Supreme Court of the United States	Washington, D.C.	1935	A
Thurgood Marshall Federal Judiciary Building	Washington, D.C.	1992	A
U.S. BOTANIC GARDEN			
Administration Building	Washington, D.C.	1931	A
Bartholdi Fountain and Gardens	Washington, D.C.	1932	A
Conservatory and surrounding gardens	Washington, D.C.	1933	A
Production Facility Greenhouse, Headhouse	Washington, D.C.	1993	A
Storage Facility	Washington, D.C.	2017	A
U.S. CAPITOL VISITOR CENTER			
U.S. Capitol Visitor Center*	Washington, D.C.	2008	A

* Note: While the visitor services operations at the U.S. Capitol Visitor Center are performed by the U.S. Capitol Visitor Center jurisdiction, its facility maintenance is managed by the Capitol Building jurisdiction.

APPENDIX C

The AOC Operational Jurisdictions’ Key Accomplishments and Priorities

The AOC is organized into nine operational jurisdictions, each with distinct responsibilities for maintenance, operation, development, preservation and services for a specific area of the Capitol campus. As part of the AOC’s FY 2021 Reorganization, the operational jurisdictions were realigned to report directly to the Chief of Operations. The AOC receives a separate appropriation for each jurisdiction.¹⁷ **Table 31** identifies the jurisdictions and their corresponding responsibilities. This section supplements the major agency accomplishments described in the report’s **Section 01: Management’s Discussion and Analysis** and highlights the jurisdictions’ additional FY 2021 operational achievements and their FY 2022 priorities in support of the AOC’s mission.

TABLE 31
The AOC Operational Jurisdictions

<p>Capitol Building: Responsible for the maintenance, care and stewardship of the U.S. Capitol, the centerpiece of the Capitol campus, and for the maintenance of the U.S. Capitol Visitor Center.</p>
<p>Capitol Grounds and Arboretum: Responsible for preserving and maintaining 286 acres of historic landscape and grounds infrastructure across Capitol Hill.</p>
<p>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.</p>
<p>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.</p>
<p>Library Buildings and Grounds: Responsible for the life-cycle maintenance, operations and care of the Library of Congress facilities and grounds.</p>
<p>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.</p>
<p>Supreme Court Building and Grounds: Responsible for the operations and maintenance of the Supreme Court of the United States, the Thurgood Marshall Federal Judiciary Building and the surrounding grounds.</p>
<p>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.</p>
<p>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, an auditorium and gift shops.</p>

17 In addition to receiving appropriations for each operating jurisdiction, the AOC receives appropriations for Capitol Police Buildings, Grounds and Security (to provide funds for the Chief Security Officer) and for Capital Construction and Operations (to provide shared program management and administrative support for the entire agency). This appendix focuses on the operational jurisdictions only.



Capitol Building

Key Accomplishments

Received Historic Lumber to Restore the U.S. Capitol: Following the events of January 6, 2021, the AOC was approached by the U.S. Army and U.S. Forest Service about the opportunity to use 3,000 pounds of old-growth, virgin-cut mahogany wood to repair areas of the U.S. Capitol — in particular, window frames and doors. Originally lumbered for a World War I aviation project, the invaluable wood has remained in conditioned storage for more than a century. Through an official property transfer in April 2021, the jurisdiction took ownership of this rare material to repair and replace the damaged window frames and doors.

Upgraded System Infrastructure: The jurisdiction performed a series of large-scale system upgrades to the U.S. Capitol. The upgrades included the installation of new sprinkler systems, a fire alarm system update and, in response to COVID-19, HVAC upgrades to improve building ventilation and air exchange rates.

Improved Client Services: The jurisdiction deployed mobile phones to its Client Services Division, which includes the Labor, Service Center and Flag Office branches. Use of mobile phone technology allows the jurisdiction staff to process work orders more efficiently and improve customer service operations.

What's Next? FY 2022 Priorities

Expand Cultural Transformation Training: The jurisdiction will hold Cultural Behaviors Transformation training with multiple new employee groups. Leadership and employees already in the program will transition to skills and solutions exercises to hone problem-solving and management skills.

Improve Recycling and Waste Minimization: The jurisdiction will implement food waste management and composting throughout the U.S. Capitol and the CVC and provide staff training on the appropriate disposal of batteries and electronics waste. ●



Capitol Grounds and Arboretum

Key Accomplishments

Coordinated Landscape Restoration: The jurisdiction coordinated the restoration of many landscapes across the Capitol campus that were impacted by construction projects. The projects used newly implemented Cultural Landscape Reports to facilitate decision-making, guide landscaping and manage resources. The landscape restorations included areas affected by the Russell Exterior

Envelope Project, Senate Underground Garage and Landscape Restoration, Rayburn Garage Interior Rehabilitation and the Cannon Renewal.

Completed the Ulysses S. Grant Memorial Restoration: The jurisdiction completed the restoration of the Ulysses S. Grant Memorial with the installation of new lights and the completion of final detail punch-list items. The multiyear restoration, which began in 2016 and included over 150 bronze castings of missing or broken pieces, will preserve this powerful sculpture for decades to come.

Improved U.S. Capitol Accessibility: The jurisdiction completed a request to install an *Americans With Disabilities Act* (ADA)-accessible ramp at the U.S. Capitol's North and South Entrances. The work involved removing and modifying existing curb, gutter and pavement material to comply with federal standards.

What's Next? FY 2022 Priorities

Implement Large-Scale Projects: The jurisdiction will strive to implement projects that combine restoration with deferred maintenance reduction. Specific goals include improvements to the Robert A. Taft Memorial and Carillion and the incorporation of elements from the original Olmsted Plan to the CVC entrance landscape.

Enhance Human Resources: The jurisdiction will continue growing and improving its human resource capacities to meet evolving agency needs, such as hires to fill needs for turf management and plant health specialists. ●



Capitol Power Plant

Key Accomplishments

Implemented Asbestos Abatement Program: The jurisdiction collaborated with the AOC's Construction Division to develop a comprehensive program to abate existing asbestos insulation throughout the Capitol Power Plant. This program will systematically and strategically remove asbestos over the next several years without impacting plant operations.

Provided Emergency Responses: The jurisdiction provided emergency service during multiple critical events in customer buildings. During a chilled water emergency, the jurisdiction quickly identified, isolated and repaired the failed system without impacting Capitol campus system operability. For various electrical outages from weather and other events, the Distribution High Voltage team provided swift emergency response, ensuring minimal or no impact to Capitol campus facilities.

Improved Safety Processes: The jurisdiction evaluated and identified improvements to its safety processes for disabling machinery or equipment and protecting staff from hazardous energy releases (known as lockout/tagout processes). These processes keep the Capitol Power Plant compliant with the Office of Congressional Workplace Rights regulations and contribute to employee safety. As part of the improvements, the jurisdiction implemented new controls in a revised request and approval process.

What's Next? FY 2022 Priorities

Complete the Utility Master Plan: The jurisdiction will complete the Utility Master Plan and incorporate its findings and recommendations into the AOC's Vision 2100 Master and Strategic Plans initiative and the next 20-year Capitol Complex Master Plan.

Support the AOC Reorganization: The jurisdiction will continue supporting the AOC Reorganization, including integrating the Distribution High Voltage team and Electronics Engineering Branch into the jurisdiction and initiating employee groups to support the Cultural Behaviors Transformation. ●



House Office Buildings

Key Accomplishments

Rehabilitated the Rayburn Garage: The jurisdiction began Phase 4 of the Rayburn House Office Building Garage Interior Rehabilitation, repairing and replacing the concrete on four parking levels and repairing the concrete over the Wellness Center with minimal impact. The team is also repairing and replacing the exterior overhead doors and loading dock doors to increase their operability and security. The project is expected to be complete in FY 2022.

Enhanced Cleaning Protocols. The jurisdiction developed processes to conserve resources and keep employees and staff safe during the pandemic. The jurisdiction implemented a door tag system that allowed night custodians to prioritize the offices that had been occupied each day. At the Wellness Center, staff sanitized and disinfected exercise equipment after each use and reconfigured the center for safe operations.

Initiated Waste Management Program: After an AOC analysis identified that food waste represented nearly one-half of all waste material, the jurisdiction joined the Capitol Building and Senate Office Buildings jurisdictions in a food waste collection and composting program. The program collects kitchen scraps generated from the Longworth House Office Building Café and other food service vendors.

What's Next? FY 2022 Priorities

Update House Office Building Commission Policies: The jurisdiction will develop building policies to set standards to preserve the aesthetics for House office buildings hallways and windows. This follows on the draft window and hallway standards developed this fiscal year and will be published before the 118th Congress.

Enterprise Asset Management: In coordination with the AOC's EAM initiative, the jurisdiction will continue improving facility and equipment maintenance management, ensuring that all assets are maintained in an optimal manner. ●



Library Buildings and Grounds

Key Accomplishments

Provided Daily Facility Updates: The jurisdiction leveraged building information captured in the work order system to create an automatically generated daily report on facility space conditions and electrical loading data for their off-site Library of Congress customers. The program provides a successful technology-based solution to a client request for routine facility management data.

Improved Storage Module Efficiency: The jurisdiction proactively increased the efficiency of its temperature and humidity controls for the Fort Meade collection storage modules. Temperature and humidity levels in the spaces now operate within a 6-degree temperature and a 6-percent relative humidity tolerance, providing consistent environmental conditions.

Automated Self-Inspection Process: The jurisdiction implemented an automated self-inspection checklist, in conjunction with the Office of Safety and Code Compliance, to identify and correct building deficiencies with greater efficiency and accuracy. Integrating a former manual checklist into the work order system provides employees with the ability to easily create corrective work orders and complete inspection processes on-site using a mobile phone.

What's Next? FY 2022 Priorities

Complete Energy Savings Performance Contract: The jurisdiction will complete the implementation phase of its ESPC project in FY 2022. Risks relating to access coordination and unplanned disruptions due to COVID-19 or special events will be managed to minimize impact on the implementation.

Improve Large Project Coordination: The construction projects requested by the Library of Congress have significantly increased in complexity and size from previous years, requiring additional AOC design services. The jurisdiction believes that it may improve on construction time and costs with better upfront project planning with the Library. ●



Senate Office Buildings

Key Accomplishments

Initiated Food Service Master Plan: The jurisdiction began a master plan study of the restaurant facilities, dining areas, kitchens and catering services in the Senate office buildings and the U.S. Capitol. The study includes customer surveys, a benchmark survey, a space audit, and analyses of kitchen, storage, seating and technology use. The master plan will modernize Senate food operations to meet the food service needs of today's Senate community.

Completed Accessibility Design Upgrades: The jurisdiction partnered with the OCE to design key accessibility design upgrades for the auditorium entrance on the northeast side of the Dirksen Senate Office Building. The project, which includes an entrance door conversion and ramp installation, is scheduled for construction in FY 2022.

Addressed Critical Citation 19 Work: The jurisdiction expanded sprinkler and fire alarm coverage in the Russell Senate Office Building, in partnership with the OCE and the AOC Construction Division, to address an Office of Congressional Workplace Rights citation. This work increased critical fire and life-safety protections with minimal disruption to Senate operations.

What's Next? FY 2022 Priorities

Initiate Hearing Room Renovations: The jurisdiction will begin a 15-year renovation project for 32 hearing and committee meeting rooms throughout the Senate office buildings. This project will address needed lighting, audiovisual and HVAC system upgrades and bring the rooms into ADA compliance. The program will also prioritize historic preservation, updating carpeting, furniture and finishes while ensuring the rooms remain true their original architectural intent.

Prioritize Employee Initiatives: The jurisdiction will prioritize employee-related initiatives to empower its workforce after a challenging year, using individual development plans to tailor staff training to career goals, while increasing professionalism and service quality. ●



Supreme Court Building and Grounds

Key Accomplishments

Completed Elevator Upgrades: The jurisdiction completed elevator upgrades at the Thurgood Marshall Federal Judiciary Building on schedule and under budget. The project upgraded 18 elevators with state-of-the-art accessibility features and renovated all cabs and elevator lobbies. Based on its strong execution, it was designated a "Star Project" by the Office of the Chief Engineer.

Replaced Second Street Barriers: With the Chief Security Officer's support, the jurisdiction replaced security barriers along Second Street, adjacent to the Supreme Court of the United States. The noisy, electronically operated barriers were at the end of their life cycle and created a disturbance to neighboring homes. The project was executed on schedule and within budget.

Fostered Upward Mobility: The jurisdiction created more career ladder positions to support critical staff needs, retain skilled employees and promote succession planning. The program is supported by a robust individual training plan and has succeeded in fostering upward mobility and knowledge retention. The jurisdiction has created 11 career ladder positions in the past three years.

What's Next? FY 2022 Priorities

Develop Succession Planning: The jurisdiction will further develop succession planning initiatives and develop more apprentice-style career ladder positions for hard-to-fill trade jobs. To support knowledge management and grow technical dexterity, the jurisdiction will also begin documenting operational processes for major systems and equipment.

Develop Elevator Mechanics: The jurisdiction is working with the House elevator shop to leverage best practices and develop a career ladder initiative to yield more in-house mechanics, allowing the AOC to phase out the use of contractors for annual maintenance and inspections. ●



U.S. Botanic Garden

Key Accomplishments

Collaborated on Conservation Projects: The jurisdiction's partnership with The Morton Arboretum is supporting research on oak species in the southwestern United States. A collaboration with NatureServe is generating conservation assessments for at-risk native plants, while a project with Botanic Gardens Conservation International and the Global Genome Initiative for Gardens supports the preservation of Earth's plant diversity.

Added New Mezzanine Level: The jurisdiction added a mezzanine level and renovated office space in the West Orangerie of the U.S. Botanic Garden Conservatory. The enhancements provide storage space in the upper level and additional cubicles for employees and volunteers.

Urban Agriculture Resilience Program (UARP): In collaboration with the American Public Gardens Association, the second year of the UARP supported collaborations between U.S. public gardens and partner organizations that combine food growing and educational programming. Twenty-one proposals from across the United States were awarded over \$400,000 in support of urban agriculture addressing food security challenges exacerbated by the COVID-19 pandemic.

What's Next? FY 2022 Priorities

Open Major Agriculture Exhibition: The jurisdiction will complete the design and installation of a major exhibition in winter 2022 highlighting the role that agricultural plants play in enriching life. The USBG will continue to engage the public through online educational programming and will gradually return to in-person programming when it is safe to do so.

Advance Production Facility Design: The jurisdiction will initiate the multiphase design process for its Production Facility Renewal project. The design will outline requirements for the new greenhouses, utilities, education center and urban agriculture demonstration farm. ●



Key Accomplishments

Provided National Guard Tours: Following the January 6 breach, the National Guard was stationed on the Capitol campus for more than four months. During this time, the jurisdiction provided tours of the U.S. Capitol to more than 2,500 National Guard troops, to thank the service members deployed to the Capitol campus and share the story of the historic facilities they were charged to protect.

Built Educational Partnerships: The jurisdiction established new partnerships with PBS LearningMedia and the Civics Renewal Network to broaden the reach of the AOC's online educational resources and programs. In addition, the jurisdiction expanded its partnership with the U.S. Capitol Historical Society with the launch of the "We the People" Constitution program. The jurisdiction also provided live, in-person commentary for the Joint Congressional Committee on Inaugural Ceremonies' live feed during the 59th Presidential Inauguration.

Developed Native American Training Material: The jurisdiction created new training aids to assist staff in interpreting Native American representations in the U.S. Capitol, including a fact sheet on tribal affiliations and pronunciations for Indigenous names depicted on the tour route. The jurisdiction also provided online staff enrichment workshops that contextualized the first Thanksgiving from a Native American point of view.

What's Next? FY 2022 Priorities

Safely Return Employees to On-Site Work: The jurisdiction will help its staff safely transition back to on-site work. These efforts will be subject to congressional decisions on building access, security and COVID-19 safety issues.

Reopen the CVC to Visitors: The jurisdiction hopes to reopen the CVC and its newly redesigned Exhibition Hall to the public, subject to the easing of COVID-19 pandemic restrictions and the coordination of security issues with congressional oversight. ●

APPENDIX D

Major Stone Repair, Façade and Preservation Projects

Stone preservation is a top priority for the AOC, as nearly every building across the Capitol campus is constructed of stone. A combination of weather, age and insufficient maintenance has resulted in damage to 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 historic artwork within. This appendix summarizes the AOC's major stone repair, façade repair and preservation projects at the fiscal year close.



CANNON RENEWAL

Project description: The Cannon House Office Building, constructed in 1908, is undergoing a complete renewal. More than a century of weather and operations has led to the deterioration of the stone façade, as well as to the building and utility infrastructure. The utility systems are past the end of their useful lives and are being upgraded. Other work includes restoring the stone exterior and wood-frame windows, as well as constructing a new fifth floor. In FY 2021, the AOC completed Phase 2 of the project and began work on Phase 3, which focuses on the building's East Wing.



OLMSTED TERRACE PRESERVATION

Project description: The condition of stone and metal fixtures on the Olmsted Terrace, completed in 1894, have deteriorated due to insufficient maintenance. To properly restore the terraces surrounding the U.S. Capitol's base along the west, north and south façades, a six-phase project is ongoing 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 restoration project will preserve the exterior envelope of the oldest of the three Senate buildings, including its exterior marble, limestone and granite, along with its wood-frame windows and glazed doors. The second of three phases of the project was completed in FY 2021. The final sequence of work focuses on stone cleaning and historic window restoration on the west side of the building and the building rotunda.



THURGOOD MARSHALL FEDERAL JUDICIARY BUILDING FAÇADE REPAIR PROGRAM

Project description: The AOC continued work on the Thurgood Marshall Federal Judiciary Building Façade Repair Program, identifying the building's stone failures, conducting nondestructive tests at areas adjacent to public access, identifying stone repair methods and prioritizing the repair of areas nearest to public walkways. Based on the limited budget, the AOC and the Administrative Office of the U.S. Courts have mutually approved a targeted risk-based stone repair.



CAPITOL EXTERIOR PRESERVATION—STONE AND METAL

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. In FY 2021, Phase 2 of the project was completed on time and work on Phase 3, which focuses on the building's west façade, commenced. The AOC accelerated mobilization work activities by nearly four months after combining security setup requirements with the 59th Presidential Inauguration.

APPENDIX E

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, free of charge. Although the CVC and USBG Conservatory were closed to the public throughout the fiscal year due to the COVID-19 pandemic, they adapted by creating a roster of online exhibitions, programs and events. Their FY 2021 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 artwork. The outdoor sculpture was accessible on the lawn west of the Conservatory beginning July 5, 2021, when the gated outdoor gardens reopened.



U.S. BOTANIC GARDEN AT 200: DEEPLY ROOTED, BRANCHING OUTWARD

February 2020–March 2021

For the yearlong celebration of the USBG's 200th anniversary, this exhibition invited the public to engage with the USBG'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 of growing and caring for a diverse collection of living plants.



ONLINE GARDEN PROGRAMS, TALKS AND WORKSHOPS

The USBG hosted online adult programs on plant science, horticulture, art, history, cooking and health. The programs featured USBG horticulture employees, nationally recognized authors, scientists and local chefs. The USBG piloted a virtual field trip for students in 65 classes in grades 3-5 and piloted a hybrid online/in-person environmental science camp for elementary and middle school students. In total, the USBG offered over 170 virtual programs and field trips over the course of the fiscal year, reaching audiences in all 50 states and 24 countries.



USBG AT HOME

While the Conservatory was closed, the USBG introduced virtual tours — plant spotlight stories and activities for children and families to explore the USBG from home. The family activities included print-out coloring pages, lesson plans, videos and more. The USBG also shared the USBG's seasonal changes with photos and videos on Facebook, YouTube and Instagram.

CAPITOL CONVERSATIONS



CAPITOL CONVERSATIONS

This fiscal year, the CVC launched “Capitol Conversations,” a series of live, interactive online discussions about the U.S. Capitol Building’s historic spaces, artworks, artifacts, statues and events. The discussions were led by visitor guides and supported by the AOC Curator Division and the visitor services team. Topics included Charles Bulfinch and the first Capitol Dome, the Missouri Compromise, the burning of the U.S. Capitol, and the National Film Registry.



SHAPING HISTORY: WOMEN IN CAPITOL ART PODCAST

The CVC’s premiere podcast series, “Shaping History: Women in Capitol Art,” was introduced in May 2020. The 10-episode podcast commemorates the centennial of the 19th Amendment and provides a rich narration featuring curators, historians, artists, eyewitnesses and descendants of honored subjects. The episodes, completed in collaboration with the AOC Curator, provide insight into the women artists and subjects found in the National Statuary Hall Collection.



FAMILY PROGRAMS: ONLINE LEARNING WITH THE U.S. CAPITOL

This fiscal year, the CVC launched its first synchronous online student programming with three online programs that can be tailored to appropriate grade levels. In conjunction with these programs, the jurisdiction also added to its online educational resources and offered its first online teacher workshop in June 2021. Additional resources, such as student activity guides and colorful booklets, encourage students to explore the history of Congress and the U.S. Capitol.

The number of visitors to the CVC and the USBG Conservatory, by fiscal year, is provided in **Table 32**. A person visiting both facilities on any given day would be included in the visitor count for each. Starting in mid-March 2020, the buildings of the Capitol campus were temporarily closed to the public due to COVID-19 and remained closed throughout the rest of FY 2020 and all of FY 2021. While the USBG outdoor gardens were open at the end of FY 2021, statistics were not collected for outdoor visitors.

TABLE 32

Number of Visitors by Year, FY 2016-FY 2021 (Rounded to the nearest 1,000)

FISCAL YEAR	U.S. CAPITOL VISITOR CENTER	U.S. BOTANIC GARDEN
2016	2,205,000	1,184,000
2017	2,447,000	953,000
2018	2,376,000	952,000
2019	2,375,000	1,004,000
2020	723,000	448,000
2021	0	0
Total FY 2016-FY 2021	10,126,000	4,541,000
Six-Year Average	1,688,000	757,000

Exhibitions and information may also be viewed online at:
www.usbg.gov/exhibits and www.visitthecapitol.gov/exhibitions

APPENDIX F

Reimbursable Accounts Summary

The AOC is authorized to provide reimbursable services in limited circumstances. Depending on the reimbursable authority, the AOC either posts the collected funds to a specific AOC appropriation or transfers the reimbursements to the U.S. Department of Treasury (Treasury). The AOC's audited financial statements include the assets, liabilities and transactions associated with the reimbursable accounts.

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 an E85 fuel tank and pumping system. 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 that fuel vehicles at the station 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 is authorized 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.

Rent from The Monocle Restaurant (P.L. 91-382). The AOC is authorized to lease the lot where The Monocle Restaurant is located. The AOC deposits all receipts from this lease in the Treasury's general fund.

Utility Reimbursements for Steam and Chilled Water (40 U.S.C. § 6111(b)(1)(A) [Supreme Court of the United States]; 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 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 2021. The AOC deposits any amounts collected in excess of \$10 million in the Treasury's general fund.

APPENDIX G

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: 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 (CIP): 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, 20-year 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 the 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 follow 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; completing custom wood working and upholstery projects; and updating the electrical, data and telecommunications infrastructure.



Congressional Office Moves

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.

Coronavirus Aid, Relief, and Economic Security Act (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 protected the American people from the health and economic impacts of the COVID-19 pandemic.

Coronavirus Disease 2019: An infectious respiratory disease caused by the SARS-CoV-2 virus, a novel coronavirus discovered in 2019. The disease is often 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.

C-suite: The group of executives with agencywide responsibility and authority to focus on operational performance, manage enterprise

risk and maintain strong accountability. The C-suite consists of the Chief Administrative Officer, the Chief Engineer, the Chief Financial Officer, the Chief of Operations and the Chief Security Officer.

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.

Emergency Security Supplemental Appropriations Act, 2021: A 2021 act of Congress that provided \$1.9 billion in emergency supplemental appropriations for the legislative branch and other federal agencies in response to the U.S. Capitol breach that occurred on January 6, 2021.

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 have been 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 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 (GPRA): 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 GPRA 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 Financial 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.



Frederick Law Olmsted

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 JCCIC.

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 F: Reimbursable Accounts Summary**.

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.

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.

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.

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 the approximately 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.

Vision 2100 Master and Strategic Plans: An institutional vision that will set the broad, foundational goals for the development of the Capitol campus over the next century. Once complete, the Vision 2100 will serve as the framework for all the AOC's long-term and short-term planning.

Abbreviations and Acronyms

A

ACM	Asbestos-Containing Materials
ADA	<i>Americans with Disabilities Act</i>
AEP	Affirmative Employment Program
AFSCME	American Federation of State, County and Municipal Employees
AGA	Association of Government Accountants
AIA	American Institute of Architects
AICPA	American Institute of Certified Public Accountants
AIF	Maintain Awe-Inspiring Facilities
AOC	Architect of the Capitol

B

BBTU	Billion British Thermal Unit
BFEM	Treasury's Budget Formulation and Execution Manager

C

CAO	Chief Administrative Officer
CAP	Cross-Agency Priority Goals
CARES Act	<i>Coronavirus Aid, Relief, and Economic Security Act</i>
CARS	Central Accounting Reporting System
CBA	Collective Bargaining Agreement
CCM	Certified Construction Manager
CCMP	Capitol Complex Master Plan
CCO	Capital Construction and Operations
CCRC	Central Contractor Registration Connector
CDC	Centers for Disease Control and Prevention
CEAR	Certificate of Excellence in Accountability Reporting
CERCLA	<i>Comprehensive Environmental Response, Compensation and Liability Act</i>
CFM	Certified Facilities Manager
CFO	Chief Financial Officer
CFO Act	<i>Chief Financial Officers Act</i>
CGFM	Certified Government Financial Manager
CHW	Chilled Water
CIR	Collections Information Repository

COTS	Commercial-Off-the-Shelf
COVID-19	Coronavirus Disease 2019
CPA	Certified Public Accountant
CPP	Certified Professional Photographer
CSRS	Civil Service Retirement System
CVC	U.S. Capitol Visitor Center
CWIP	Construction Work-in-Progress

D

DATA Act	<i>Digital Accountability and Transparency Act</i>
DI/DR	Diversity, Inclusion and Dispute Resolution
DM&R	Deferred Maintenance and Repairs
DOE	U.S. Department of Energy
DOEE	District of Columbia Department of Energy and Environment
DOL	U.S. Department of Labor

E

EAM	Enterprise Asset Management
EAP	Employee Assistance Program
EARP	Emergency Action Response Plan
EEO	Equal Employment Opportunity
EISA2007	<i>Energy Independence and Security Act of 2007</i>
EPAct	<i>Energy Policy Act of 2005</i>
ERM	Enterprise Risk Management
ES	Provide Extraordinary Services
ESPC	Energy Savings Performance Contract
EUI	Energy Usage Intensity
ExCEL	Exchange of Critical Expertise and Learning

F

FAIA	Fellow, American Institute of Architects
FASAB	Federal Accounting Standards Advisory Board
FBWT	Fund Balance with Treasury
FCA	Facility Condition Assessment
FCI	Facility Condition Index

FECA	<i>Federal Employees Compensation Act</i>
FEGLI	Federal Employees Group Life Insurance
FEHB	Federal Employees Health Benefits
FERS	Federal Employees Retirement System
FFMIA	<i>Federal Financial Management Improvement Act</i>
FISMA	<i>Federal Information Security Management Act</i>
FMFIA	<i>Federal Managers' Financial Integrity Act of 1982</i>
FMLA	<i>Family and Medical Leave Act</i>
FY	Fiscal Year

G

GAAP	Generally Accepted Accounting Principles
GAO	U.S. Government Accountability Office
GPO	U.S. Government Publishing Office
GPRA	<i>Government Performance and Results Act</i>
GPRAMA	<i>GPRA Modernization Act</i>
GSA	U.S. General Services Administration
GSF	Gross Square Feet
GTAS	Governmentwide Treasury Account Symbol Adjusted Trial Balance System

H

HCMD	Human Capital Management Division
HR Act	<i>Architect of the Capitol Human Resources Act</i>
HUBZone	Historically Underutilized Business Zones

I

I&I	Injuries and Illnesses
IBEW	International Brotherhood of Electrical Workers
ICS	Inventory Control System
IEW	Foster an Innovative and Empowered Workforce
IPAC	Intragovernmental Payment and Collection
IPP	Invoice Processing Platform
IRMD	Integrated Risk Management Division
ISMS	Integrated Safety Management System
ISO	International Organization for Standardization
ITD	Information Technology Division

J

JCCIC	Joint Congressional Committee on Inaugural Ceremonies
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K

KBTU	Thousand British Thermal Units
KCF	Thousand Cubic Feet
KGal	Kilogallons
kWh	Kilowatt Hours
KPI	Key Performance Indicator

L

LBFMS	Legislative Branch Financial Management System
LEED AP	Leadership in Energy and Environmental Design Accredited Professional
Library	Library of Congress
LICP	Line Item Construction Program

M

MB	Megabytes
MD&A	Management's Discussion and Analysis
MMBTU	Metric Million British Thermal Units
MWh	Megawatt Hours

N

NFC	National Financial Center
NIST	National Institute of Standards and Technology

O

OAP	Office of Attending Physician
OCAO	Office of the Chief Administrative Officer
OCE	Office of the Chief Engineer
OCFO	Office of the Chief Financial Officer
OCO	Office of the Chief of Operations
OCSO	Office of the Chief Security Officer
OCWR	Office of Congressional Workplace Rights
ODS	Operational Data Store
OGC	Office of General Counsel
OIG	Office of Inspector General
OMB	Office of Management and Budget
OPM	U.S. Office of Personnel Management
OSHA	Occupational Safety and Health Administration
OTOM	Operate as One Team, Dedicated to One Mission

P

P3	Public-Private Partnership
PAM	Payment Automation Manager
PAR	Performance and Accountability Report
PCES	Performance, Communication and Evaluation System
PE	Professional Engineer
PIAA	<i>Payment Integrity Information Act of 2019</i>
PIC	Project Information Center
P.L.	Public Law
PMIS	Project Management Information System
PP&E	Property, Plant and Equipment
PTIB	Photography and Technical Imaging Branch
PY	Prior Year

Q

QFR	Quarterly Financial Review
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R

RACI	Responsible, Accountable, Consulted and Informed
RISE	Respect, Integrity, Safety, Empower
RMAB	Records, Management and Archives Branch
RPA	Robotic Process Automation
RSI	Required Supplementary Information

S

SAM	System for Award Management
SBR	Combined Statement of Budgetary Resources
SCC	Office of Safety and Code Compliance
SCNP	Statement of Changes in Net Position
SFFAS	Statement of Federal Financial Accounting Standards
SITES®	Sustainable SITES Initiative
SNC	Statement of Net Cost
SOC 1	System and Organization Controls
SSAA	Senate Sergeant At Arms

T

TSP	Thrift Saving Plan
Treasury	U.S. Department of Treasury

U

UARP	Urban Agriculture Resilience Program
UCFE	Unemployment Compensation for Federal Employees
UESC	Utility Energy Service Contract
ULO	Unliquidated Obligation
USBG	U.S. Botanic Garden
U.S.C.	United States Code
USCP	U.S. Capitol Police
USSGL	U.S. Standard General Ledger



A view from a north-facing porch of the Cannon House Office Building, with the U.S. Capitol's East Front visible in the distance.

APPENDIX I

Acknowledgements

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The AOC received thousands of letters and emails from grateful citizens after the events of January 6, 2021, at the U.S. Capitol, thanking the AOC employees for their service.

We Would Like to Hear From You

Thank you for your interest in the Architect of the Capitol and its Fiscal Year 2021 Performance and Accountability Report. We welcome your comments on how we can make this report more informative for our readers. Please send your comments to:

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