


**Office of Inspector General**  
**U.S. House of Representatives**  
Washington, DC 20515-9990

**MEMORANDUM**

TO: The Honorable Bill Thomas, Chairman  
Committee on House Oversight

The Honorable Vic Fazio, Ranking Minority Member  
Committee on House Oversight

FROM: John W. Lainhart IV   
Inspector General

DATE: December 29, 1995

SUBJECT: Audit Survey Report - Audit Survey of the Joint Entities of the Architect  
of the Capitol (Report No. 95-AOC-27)

This is our audit survey report on the Office of the Architect of the Capitol (AOC). The objective of this survey was to obtain background about the AOC and identify potential audit issues related to the AOC, weigh the risks associated with those issues, and identify approaches to auditing them. The data gathered for this survey was obtained primarily through interviews with key AOC staff and customers, and review of related materials provided during those interviews. The results of this survey enabled the Office of Inspector General (OIG) to identify and risk rank the major AOC offices and activities as a basis to determine future audit priorities and resource allocations. It should be noted that no audits of the AOC were included in the OIG Annual Audit Plan (AAP) presented to and approved by the Committee on November 15, 1995. Should the Committee desire the OIG to perform audits of the AOC, we would have to revise our AAP to reflect a redistribution in possible audit effort envisioned for calendar year 1996 or additional resources would need to be provided to the OIG.

Should you like to discuss this matter further, I am available at your convenience.

cc: Speaker of the House  
Majority Leader of the House  
Minority Leader of the House  
Members, Committee on House Oversight

**AUDIT SURVEY OF THE JOINT ENTITIES OF THE  
ARCHITECT OF THE CAPITOL**

*Report No. 95-AOC-27  
December 29, 1995*

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**I. SURVEY OBJECTIVE, SCOPE, AND METHODOLOGY**

The objective of this survey was to obtain background information about joint entities of the Office of the Architect of the Capitol (AOC) and identify potential audit areas related to the AOC, weigh risks associated with those issues, and identify approaches to auditing them. The survey was conducted during the period October 29, 1995 through December 12, 1995 and focused on identifying issues associated with the major offices and divisions within the AOC. Although cross-cutting issues exist, this survey did not specifically cover either the activities relating to the Supreme Court building and grounds or the Senate office buildings which comprise \$48 million of the AOC's total appropriation of \$178 million. The results of this survey enabled the Office of Inspector General to identify and risk rank the major AOC offices and activities as a basis to determine future audit priorities and resource allocations. The data gathered for this survey was obtained primarily through interviews with key AOC staff and customers, and review of related materials provided during those interviews. See Appendix A for a list of the individuals interviewed.

To identify potential audit issues within the AOC's operations, we used a methodology to assess risk for each issue and establish a ranking order. From our interviews with key personnel in the major offices and divisions within the AOC and key AOC customers, we developed a list of 45 areas that comprise the AOC's audit universe. Based upon information gathered during the interviews, each area was evaluated considering 16 separate risk factors that include mission, funding level, organizational structure, policies and procedures, personnel practices, automation, and other factors (see Appendix B). Each factor was assigned a value of high, medium, or low risk. High risk factors were assigned a value of 5, medium risk factors were assigned 4, 3, or 2, and low risk factors were assigned a value of 1. After calculating the total scores for each area, the areas were ranked in order from highest risk to lowest risk. Based on the scores and professional judgment, the audit universe was ranked in order of risk (see Appendix C).

**II. BACKGROUND**

**History**

President George Washington appointed the first Architect of the Capitol in 1793 to plan and construct the Capitol. In 1851 the Office of the Architect of the Capitol was established. *The Sundry Civil Appropriation Act*, (Aug. 15, 1876, Ch. 287, 19 Stat. 147; 40 U.S.C. 162-163) provided the AOC with the permanent authority for the care and maintenance of the Capitol. Although the AOC has been in continuous operation since it was established, functions of the

AOC have changed significantly through the years. As new buildings and grounds were added to the Capitol Complex, Congress amended the Act to expand the AOC's responsibilities.

### **Mission**

Although the AOC has a variety of responsibilities, the primary mission is for the care, maintenance, and improvement of Congressional and other Federal buildings and grounds within the Capitol Complex (e.g., Capitol, House and Senate Office Buildings, U.S. Botanic Gardens, Library of Congress, Supreme Court Building, etc.). As an agent of the Congress, the AOC is in charge of the: (1) structural and mechanical care of the Capitol, including making arrangements with the proper authorities for ceremonies held in the building and on the grounds; (2) care and repair of all works of art in the Capitol under the direction of the Joint Committee on the Library; (3) care, maintenance, and improvement of the Capitol Grounds including landscaping, parks, streets, and parking areas; (4) structural and mechanical care of the Library of Congress Buildings and the United States Supreme Court Building; and (5) planning and construction of such additional buildings as are committed to the AOC's care by Congress.

The responsibilities of the AOC vary between the different entities serviced. In the House Office Buildings, the AOC has responsibility for the structural, mechanical, and domestic care and maintenance. This also includes the maintenance and operation of electrical components (i.e., transformers, circuit breakers, etc.) and mechanical and electronic equipment (i.e., elevators, heating and air conditioning equipment, telecommunications equipment, etc.). In the Senate Office Buildings, the AOC is responsible for the structural, mechanical, and domestic care including the maintenance and operation of electrical components and mechanical and electronic equipment and the Senate subways. The AOC also is responsible for Senate office furnishings and operating the Senate restaurants. In addition, the AOC is charged with the care, maintenance, and operation of the Capitol Power Plant which supplies steam for heating and chilled water for cooling the Capitol, House and Senate Office Buildings, the Library of Congress buildings, Postal Square, the Government Printing Office, the Thurgood Marshall Federal Judiciary Building, the Folger Shakespeare Library, and the Union Station complex. Under the direction of the Joint Committee on the Library, the Architect further serves as Acting Director of the U.S. Botanic Garden.

### **Organizational Structure**

Oversight of the AOC is provided by the House Office Building Commission for House issues, the Senate Committee on Rules and Administration for Senate issues, and the Joint Committee on the Library for the Library of Congress and other joint issues. The Architect of the Capitol is assisted directly by the Assistant Architect of the Capitol, Administrative Assistant, Director of Engineering, Budget Officer, General Counsel, and Executive Officer, who serve as an ad hoc

executive committee to assist the Architect in policy determination.

The AOC is organized to support two primary activities: (1) central office activities; and (2) property management/buildings and grounds. The central office activities cover the administrative and engineering functions which provide services to all of the AOC's customers--the Capitol, House, Senate, Supreme Court, Library of Congress, and U.S. Botanic Garden. The AOC has specialized offices dedicated to providing services for a specific building, ground, or activity--the Capitol, Capitol Grounds, Senate Office Buildings, House Office Buildings, Capitol Power Plant, Library of Congress, U.S. Botanic Garden, Supreme Court, and Senate Restaurants. An organizational chart of the AOC and details of the responsibilities of each office, division, branch, and section (provided by the AOC) are contained in Appendices D and E.

### **Budget**

The AOC's 1995 budget included \$175 million in the Legislative Branch and Congressional Operations appropriations and an additional \$3 million in the Judiciary appropriation to cover the cost of maintaining the Supreme Court Building and grounds. The AOC prepares its budget and manages its operations in line with its office/division structure. However, a functional budget is prepared to supplement traditional budget information and to present a clearer picture of the cost of providing service to the Congress along functional lines. The AOC has identified 15 functional areas and allocated to each area all related staff and funding resources from across appropriation lines to establish the functional budget.

### **Governing Regulations**

The overall operations and functions of the Office of the Architect of the Capitol are governed by the provisions of Title 40, U.S. Code, Chapter 2. Additional provisions relate to AOC operations in Title 2 (buildings and grounds) and Title 5 (salaries and expenses of AOC personnel). Funding authority is in the Legislative Branch Appropriations Act, the Judiciary Appropriations Act, and the Congressional Operations Appropriations Act.

### **Prior Audit Coverage**

In the past, the General Accounting Office (GAO) and the AOC's Internal Auditor have provided audit coverage of the AOC's operations. Within the past 5 years GAO has completed 10 audits of the AOC (see Appendix F). The AOC internal audit function was established in 1982 in response to a GAO audit recommendation. In the last five years the Internal Auditor has issued numerous reports, management assistance letters, followup audit reports, and studies in support of the AOC (see Appendix G).



### **III. SURVEY RESULTS**

Interviews with top AOC management indicated that the AOC believed it was achieving its mission. However, based on other interviews and additional information gathered during our survey, questions were raised about the quality and cost-effectiveness of the AOC operation. Since the buildings and grounds collectively constitute a national treasure viewed by approximately three million visitors annually, provide for a national meeting place for citizens, and provide suitable accommodations for the Congress and its staff to perform their work, the customers interviewed believed that the building and grounds of the Capitol Complex should be maintained as showpieces. However, the AOC organizational structure, which is currently dictated by the different appropriations for AOC operations, limits the AOC's ability to effectively maintain the Capitol Complex. In addition, the Power Plant purchases electricity and provides steam and chilled water to the Capitol Complex. However, possibilities for reducing operating costs of the Power Plant through privatization and more efficient management may exist. Also, the AOC's current financial management system has remained relatively unchanged since its implementation prior to 1969. Although the system has been modified over time to meet the expanding needs of the AOC, it is not user friendly and does not have an integrated project cost accounting system. Furthermore, the AOC prepares cost estimates and determines the method for accomplishing all approved projects. However, the accuracy of these cost estimates and the methods for accomplishing approved projects are questionable. Finally, under the direction of the Leadership, the AOC is responsible for the allocation and utilization of building space within the Capitol Complex. However, the AOC has no overall space management plan for the Capitol Complex and opportunities exist for improving space utilization within the Capitol Complex.

Based on our risk assessment methodology, we identified 45 proposed audit areas within the AOC (see Appendix C)--17 of these areas were identified as high risk areas. Audits of these areas could identify opportunities for significant cost savings, increased quality control and efficiency, and other improvements and enhancement for the AOC through privatization of existing operational activities, realignment of organizational structure, streamlining of work processes, improvement of information resources management, and other improvements to management practices. We selected the top 10 audit areas and combined them into five potential audits as follows: (a) AOC Organizational Structure; (b) Power Plant Utilization; (c) Financial and Management Systems; (d) Project Planning Process; and (e) Building Space Utilization. These proposed audits are discussed below.

#### **AOC Organizational Structure**

This proposed audit combines the three highest ranked proposed audit areas presented in Appendix C into one audit. The individual audit areas include AOC Organizational Structure, Building Superintendents' Organizations and Functions, and Specialized Shops and Services. The

objective of this audit would be to evaluate the extent to which the current organizational structure supports the efficient accomplishment of the mission of the AOC. Specifically, the evaluation would focus on determining whether: (a) the most efficient organization has been implemented; (b) any unnecessary duplication exists; and (c) services could be provided through alternative sources.

The audit could identify opportunities for aligning the organizational structure to better achieve the mission of the AOC. This, in turn, could: (a) identify those functions that should be combined, realigned, or provided by the private sector; (b) describe an organization wherein performance and accountability are directly linked to the accomplishment of the mission of the AOC; and (c) assure the public and the Congress that the AOC is using its resources in the most efficient manner. Additional cost savings could be identified through privatizing certain AOC functions. For example, the AOC is planning to test privatization of janitorial services in the Ford House Office Building. According to the Landscape Architect, the shuttle bus service is also a candidate for privatization. Based on the results of this survey, we believe that other areas also need to be evaluated.

The mission of the AOC is for the care, maintenance, and improvement of buildings and grounds. These buildings and grounds collectively constitute a national treasure, provide for a national meeting place for the citizens, and provide suitable accommodations for the Congress and its staff to perform their work. However, the public areas were not continuously maintained. For example, when paint was chipped in the hallways, it was not repaired until the entire hallway was scheduled for painting. Additionally, paint colors did not match in offices where touch-up work was done. Another issue of concern was the scheduling and supervision of the landscape and janitorial staff. For example, in one instance customers observed eight individuals present to plant bulbs, but only two were performing the task. Additionally, janitorial services did not meet expectations when the House remained in session during weekends and holidays. An effective organizational structure should facilitate the AOC's efficient use of resources for: (a) the structural and mechanical care of the Capitol; (b) arrangements made with the appropriate authorities for ceremonies held in the buildings and on the grounds; (c) the care and repair of all works of art in the Capitol under the direction of the Joint Committee on the Library; (d) the care, maintenance, and improvement of the Capitol Grounds including landscaping, parks, streets, and parking areas; (e) the structural and mechanical care of the House, Senate, Library of

Congress, and Supreme Court Buildings; and (f) the planning and construction of such buildings which are committed to the AOC's care by the Congress.

From our interviews we learned that the organizational structure is dictated by the different funding appropriations for AOC operations. Such an approach tends to focus on the development and tracking of budget information rather than on the efficient application of resources to the successful accomplishment of the AOC's mission. The result can be the creation of perceived barriers to efficient operation and the duplication of services and roles. The duplication occurs, for the most part, in the specialized shops and services. For example, plumbing shops exist in the Capitol Building, Capitol Grounds, Senate Office Buildings, House Office Buildings, Power Plant, Library of Congress, and Supreme Court. Likewise, numerous electrical, carpentry, painting, elevator, masonry, and air conditioning shops are located throughout the Capitol Complex. Additional duplication occurs in inventory with each Superintendent or Supervising Engineer having their own supply room.

### **Power Plant Utilization**

This proposed audit covers the fourth highest ranked proposed audit area--Power Plant Utilization--presented in Appendix C. The objectives of the audit would be to determine if the AOC is: (a) minimizing the cost of purchased electric power and the operating costs of the Power Plant; and (b) maximizing the return earned on the significant investment in the Power Plant.

The audit could determine the following:

- (a) Can the \$22 million cost of purchased electricity be lowered? Given the trend to a more competitive electric power market, do opportunities exist for the AOC to use its leverage as a large customer to obtain lower costs for purchased power?
- (b) Do opportunities exist to obtain a return on the existing investment in the Capitol Power Plant through a public-private partnership that would build and operate a co-generation facility in conjunction with heating/cooling plant operations?
- (c) Based on benchmarking current maintenance and operating costs, do opportunities exist to lower operating costs of the Power Plant by contracting out the maintenance and/or operation of the Power Plant to a private sector operating company?

The Capitol Power Plant could potentially be operated more efficiently and cost-effectively. It employs 101 staff and had a budget of \$33.4 million in Fiscal Year 1995. The Power Plant operates a central steam plant and a central refrigeration plant that provide heating and cooling services to the Capitol Complex buildings. Buildings serviced include the Capitol, House and

Senate office buildings, Library of Congress, Supreme Court Buildings, and several other ancillary facilities. Steam is also sold to Postal Square and the Government Printing Office. Both steam and chilled water are sold to the Thurgood Marshall Federal Judiciary Building, Folger Shakespeare Library, and Union Station complex. Until the late 1950s, the plant also generated electricity. Currently, electrical energy is purchased from PEPCO at an annual cost of approximately \$22 million.

### **Financial And Management Systems**

This proposed audit combines the fifth, sixth, and seventh highest ranked proposed audit areas presented in Appendix C into one audit. The individual audit areas include Financial Management Monitoring and Budgeted Expenditures, Project Cost Accounting, and Management Reports. The objective of the audit would be to evaluate the AOC financial management system and property management systems that support operations. The audit would determine where improvements and enhancements are needed to provide managers better financial and management information to support operations, effectively monitor budgeted expenditures, and track all costs related to projects.

The audit could identify improvements and enhancements to: (a) enable streamlined work processes with modern, integrated property management systems; and (b) provide usable management reports, detailed project costs, and improved accounting records. In addition, the audit could help identify the requirements and procedures for the planning, development, and implementation of a new financial management system.

From our interviews we learned that only a few organization-wide systems exist to support AOC property management activities. In an organization like the AOC, we would have expected to find a suite of real property management systems including those needed for space management, job/task order planning and costing, work order management, and maintenance scheduling.

Furthermore, the current financial management system for the AOC is the same basic system that was implemented prior to 1969. However, the accounting system has been modified over time to meet the expanding needs of the AOC and to conform with improvements in computer hardware.

During our interviews, AOC personnel indicated that the financial management system provides the financial information needed, but it is not user friendly. Although the system provides on-line access to information, monthly reports are still needed to find the account information for specific projects. Also, the system is not an accrual-based system and does not have an integrated cost accounting system for project costing. With an aged system containing these limitations, a new financial management system could provide capabilities to better support management's needs.

### **Project Planning Process**

This proposed audit combines the eighth and ninth highest ranked proposed audit areas presented

in Appendix C. The individual audit areas include Project Cost Estimates and Project Decision-making Process: In-house vs. Contract. The objectives of the audit would be to determine if: (a) the methodology for determining project costs is adequate; (b) the project cost estimates are in line with the actual costs; (c) a review process is in place to identify and correct the cause for deviations between actual and estimated costs; (d) the costs are communicated to the customers in a manner that can be understood for good decision making; and (e) the planning process fully considers in-house and contract alternatives for completing projects.

The audit could identify opportunities for: (a) improving the use of cost estimates to control project costs; (b) providing more reliable, easily understood information for customers to make decisions; (c) reducing project costs; and (d) reducing AOC staffing requirements.

As part of the approval process, the AOC prepares cost estimates for all projects on the House side of the Capitol and House Office Buildings. Upon request from Members and Officers for modifications to their office space, the AOC prepares cost estimates and submits the requests and the cost estimates to the House Building Commission for project approval. However, the adequacy or accuracy of those estimates has been questioned by the House Building Commission. For example, the House Building Commission requested the construction of a wall across the end of a hallway to form a suite of offices for the House General Counsel. The original estimate was \$24,000. After questioning the validity of the estimate, the estimate was reduced to \$12,000. When asked for the reasons for the difference, the AOC explained that the reason was the difference in the cost of in-house labor versus contract labor.

In addition, the AOC makes a determination on the method for accomplishing all approved projects. The alternatives for completing projects include: (a) utilizing AOC personnel; (b) using Davis-Bacon labor (employees hired from the union halls for specific projects in accordance with Davis-Bacon Act provisions) supervised by an AOC foreman; or (c) contracting the project out. Although the AOC normally contracts out the largest construction projects, the AOC used Davis-Bacon employees to renovate the Ford Office Building--a multi-million dollar project. Additionally, in selecting the method to accomplish a project, the AOC considers security, the level of AOC control necessary, and whether the scope of work is adequately defined to allow a contract. For example, the renovation of the electrical system in the Cannon Building is being performed by Davis-Bacon employees because the full extent of the renovations could not be established for a statement of work. Another reported advantage of using AOC staff and Davis-Bacon employees is that it allows the AOC flexibility on the work hours and eliminates contract cost adjustments. To illustrate, the Supervising Engineer of the Capitol Building stated that complaints are periodically received about construction noise interfering with a meeting or another House function. If the project has been contracted out, a postponement of work will result in a contract cost adjustment being made. However, if the project involves in-house or Davis-Bacon employees last minute adjustments in work schedules can be more easily made.

### **Building Space Utilization**

This proposed audit covers the tenth highest ranked proposed audit area, Building Space Allocations and Utilization, presented in Appendix C. The objectives of the audit would be to determine the: (a) effectiveness of space planning; (b) efficiency of space utilization; and (c) adequacy of the space assignment tracking system.

The audit could identify opportunities for improvement in managing the space in the Capitol Complex buildings. Specifically the audit could identify: (a) areas where space planning can be improved; (b) ways where space can be more efficiently utilized; and (c) ways to improve the space assignment tracking system.

During the transition, the Leadership of the House assumed responsibilities for assigning office space. Under the direction of the Leadership, the AOC has the overall responsibility for space management. The House Office Buildings Superintendent indicated that he maintains a database of the availability and assignment of space under his jurisdiction. He also stated that the AOC has begun updating the floor plans for all of the buildings to identify all available space. However, House customers we interviewed were not satisfied with the AOC's management of space. According to the customers, the AOC had no overall space management plan for buildings within the Capitol Complex. As a result, the AOC was not in a position to assist in space management during the recent transition for the 104th Congress. Another concern raised by customers was the amount of space that the AOC occupies in all of the Capitol Complex buildings. For example, the AOC occupies almost the entire basement of the Capitol Building. Improvements in the management of space in the Capitol Complex buildings would allow for a more efficient and effective use of a valuable and limited asset.

**APPENDIX A**

**OFFICE OF THE ARCHITECT OF THE CAPITOL  
LIST OF MANAGERS AND CUSTOMERS INTERVIEWED**

**ARCHITECT OF THE CAPITOL MANAGEMENT OFFICIALS**

**George M. White, Architect of the Capitol**

Greg Clark, Inventory Control Specialist

Jeffery Cooper-Smith, Executive Director Botanic Garden

Emanuele "Manny" Crupi, Budget Officer

Bill Ensign, Assistant Architect of the Capitol

Matthew Evans, Senior Landscape Architect

Dan Hanlon, Director of Engineering

Richard A. Kashurba, Director, Information Resources Management

Art McIntye, Internal Auditor

Richard Matullo, Accounting Officer

Robert R. Miley, Superintendent House Office Buildings

Roberto Miranda, Capitol Superintendent

Richard Mueller, Procurement Division

William R. Raines, Administrative Assistant

Robert Sherman, Director Human Resources Management

Ben Wimberly, General Counsel



**CUSTOMERS**

The Honorable Jim Nussle, Republican Transition Chairman

Karen Feaga, Assistant to the Chief of Staff, Office of the Speaker

Raymond Mock, Chief of Staff for Congressman Packard

Edward E. Lombard, Staff Assistant, Subcommittee on Legislative, Committee on Appropriations

**RISK ASSESSMENT**  
**OFFICE OF THE ARCHITECT OF THE CAPITOL**

The following table was used for all the assessable units identified in the Architect of Capitol. Using standard risk factors allowed for a systematic assessment of risk for all assessable units.

RISK FACTORS OF PROGRAM/FUNCTION	HIGH 5	MEDIUM 4-3-2	LOW 1
Purpose or mission			
Funding level			
Budgeting and reporting practices			
Controls or disburses items of high value			
Use of automated systems			
Organizational structure			
Degree of centralization			
Authority and responsibility delegated and communicated			
Policies and procedures			
Complexity of operation			
Impact on the organization			
Personnel practices			
Degree of attention by the Congress, general public, or media			
Prior reviews, studies, or audits accomplished			
Significant findings/corrective actions from prior reviews, studies, or audits			
Potential to improve economy and efficiency			
SUBTOTAL OF HIGH/MEDIUM/LOW SCORES			
TOTAL SCORE			

AUDIT UNIVERSE  
OFFICE OF THE ARCHITECT OF THE CAPITOL

- AOC Organizational Structure
- Building Superintendents' Organizations and Functions
- Inventory -- Supplies
- Inventory -- Property, Plant, and Equipment
- Procurement -- Major Projects
- Procurement -- Supplies and Services
- Procurement -- General Counsel's Office
- Contract Administration
- Legal Risks
  - Tort Claims
  - Contract Claims
- Long-range Planning
- Budget Formulation/Funding Structure
- Financial Management/Monitoring Budgeted Expenditures
- New Accounting System Development
- Information Resource Management
  - Automated Support and Services
- Management Reports
- Project Cost Estimates
- Project Decision-making Process -- in-house vs. contract
- Project Cost Accounting
- Construction Management
- General Building Maintenance and Repairs
- Complaint Management
- Resource Management -- Staffing Patterns
- Hiring Practices for Temporary Employees (Davis-Bacon)
- Personnel Management System
- Implementation of the Human Resources Act
- Career Development Programs
- Succession Planning
- Payroll
  - Overtime Pay
  - Evening Pay
  - Holiday Pay
- Workers' Compensation Program
- Unemployment Compensation Program
- Power Plant Utilization
  - Electricity Contract
  - Steam and Chilled Water Sales
- Internal Audit Function
- Capitol Grounds Maintenance

- Building Space Allocations and Utilization
- Gymnasium Operations
- Flag Office Operations
- Botanic Garden Operations
- Curator Functions/Art Restoration
- Parking Lot Maintenance
- Safety and Security
- Warehouse Utilization
- Waste Management
  - Hazardous Waste
  - Recycling Program
- Records Management
- Specialized Shops and Services
  - General Labor Services
  - Custodial
  - Carpentry
  - Masonry
  - Metalwork
  - Painting
  - Plumbing
- System Operations and Maintenance
  - Air Conditioning
  - Electrical
  - Telecommunications
  - Fire Protection
  - Elevators
  - Subway

## Architect of Capitol Organizational Structure

### Audit Objective

The objective is to evaluate the extent to which the current organizational structure supports the efficient accomplishment of the mission of the Architect of the Capitol.

### Background

The mission of the AOC is for the care, maintenance, and improvement of buildings and grounds. These structures collectively constitute a national treasure, provide for a national meeting place for its citizens, and provides suitable accommodations for its national leaders. An effective organizational structure should facilitate the AOC's efficient use of resources for (1) the structural and mechanical care of the Capitol and for making arrangements with the proper authorities for ceremonies held in the buildings and on the grounds, (2) the care and repair of all works of art in the Capitol under the direction of the Joint Committee on the Library, (3) the care, maintenance, and improvement of the Capitol Grounds including landscaping, parks, streets, and parking, (4) the structural and mechanical care of the House, Senate, Library of Congress, and Supreme Court Buildings, and (5) the planning and construction of such buildings as are committed to the AOC's care by Congress.

From the interviews we learned that the organizational structure is dictated by the different funding appropriations for the AOC operations. Such an approach tends to focus on the development and tracking of budget information rather than on the efficient application of resources to the successful accomplishment of the AOC's mission. The result is the creation of perceived barriers to efficient operation and the duplication of services and roles, for example, duplicate specialized shops and services.

### Potential Benefits

The audit results would identify those opportunities for aligning the organizational structure to best achieve the mission of the AOC. This, in turn, would (1) identify those functions that should be combined, realigned, or provided by the private sector, (2) describe a organization wherein performance and accountability are directly linked to the accomplishment of the mission of the AOC, and (3) assure the public and the Congress that the AOC is using its resources in the most efficient manner.

### Resources Required

(To be provided by the IG staff)

**OFFICE OF THE ARCHITECT OF THE CAPITOL**

**OFFICE RESPONSIBILITIES**

OFFICE OF THE ARCHITECT OF THE CAPITOL .....	1
<b>CENTRAL OFFICE ACTIVITIES .....</b>	<b>2</b>
<b>OFFICE OF THE ASSISTANT ARCHITECT &amp; DIRECTOR OF ARCHITECTURE</b>	<b>2</b>
Architecture Division .....	2
Construction Management Division .....	3
Construction Branch .....	4
Technical Services Section .....	4
<b>OFFICE OF THE ADMINISTRATIVE ASSISTANT .....</b>	<b>4</b>
Accounting Division .....	5
Accounting Branch .....	5
Inventory Management Branch .....	5
Flag Office .....	5
Human Resources Management Division .....	6
Office Services Division .....	6
Procurement Division .....	6
Contract Branch .....	7
Purchasing Branch .....	7
<b>OFFICE OF THE DIRECTOR OF ENGINEERING .....</b>	<b>7</b>
Air Conditioning Engineering Division .....	8
Electrical Engineering Division .....	9
Electronics Engineering Division .....	9
Elevator Engineering Division .....	9
Fire Protection Engineering Division .....	10
General Engineering Division .....	10
Safety Engineering Division .....	11
<b>OFFICE OF THE BUDGET OFFICER .....</b>	<b>11</b>
<b>OFFICE OF THE GENERAL COUNSEL .....</b>	<b>12</b>
<b>OFFICE OF THE EXECUTIVE OFFICER .....</b>	<b>13</b>
<b>INFORMATION RESOURCES MANAGEMENT .....</b>	<b>13</b>
<b>INTERNAL AUDITOR .....</b>	<b>13</b>
<b>OFFICE OF THE CURATOR .....</b>	<b>14</b>
Photography Branch .....	14
Records Management Branch .....	14
<b>PROPERTY MANAGEMENT / BUILDINGS AND GROUNDS .....</b>	<b>15</b>
<b>FACILITY OFFICE .....</b>	<b>15</b>
<b>UNITED STATES CAPITOL .....</b>	<b>15</b>
Office of the Supervising Engineer .....	15
<b>CAPITOL GROUNDS .....</b>	<b>15</b>
Office of the Landscape Architect .....	15
<b>SENATE OFFICE BUILDINGS .....</b>	<b>16</b>
Office of the Superintendent .....	17

**APPENDIX E**

HOUSE OFFICE BUILDINGS .....	17
Office of the Superintendent .....	17
CAPITOL POWER PLANT .....	18
LIBRARY OF CONGRESS .....	18
Office of the Supervising Engineer .....	18
U.S. BOTANIC GARDEN .....	19
Office of the Executive Director .....	19
SUPREME COURT .....	19
Office of the Facility Manager .....	20
SENATE RESTAURANTS .....	20



**OFFICE OF THE ARCHITECT OF THE CAPITOL**

The first Architect of the Capitol was appointed in 1793 by President George Washington. During the periods of the original construction (1793-1829) and major growth (1851-1865) of the Capitol, appointments were made to the position of Architect at such times and for such periods as the various stages of the construction work required. The Office of the Architect of the Capitol (AOC) has been continuous from 1851 to the present.

Originally, the duties of the Architect of the Capitol were to plan and construct the Capitol. The functions of the Office have changed materially through the years in accordance with the increased activities imposed upon it by Congress, due principally to the addition of new buildings and grounds.

Permanent authority for the care and maintenance of the Capitol is provided by the Act of August 15, 1876 (19 Stat. 147; 40 U.S.C. 162-163). This act has been amended as required to provide for the care and maintenance of additional buildings and grounds. The Architect of the Capitol, acting as an agent of the Congress, is in charge of the structural and mechanical care of the Capitol and of making arrangements with the proper authorities for ceremonies held in the building and on the grounds; he is also charged with the care and repair of all works of art in the Capitol, under the direction of the Joint Committee on the Library. He is responsible for the care, maintenance, and improvement of the Capitol Grounds, including 273.7 acres of landscaping, parks, streets, and parking; and he has responsibility for the structural and mechanical care of the Library of Congress Buildings and the United States Supreme Court Building.

Subject to the approval of the Senate Committee on Rules and Administration as to matters of general policy, the Architect is similarly charged with the structural, mechanical, and domestic care and maintenance of the Senate Office Buildings, including the maintenance and operation of the mechanical, electrical, and electronic equipment and the Senate subways. He is also responsible for the operation of the Senate restaurants.

Under the direction of the House Office Building Commission, the Architect is responsible for the structural, mechanical, and domestic care and maintenance of the House Office Buildings, including the maintenance and operation of mechanical, electrical, and electronic equipment.

He is also charged with the care, maintenance, and operation of the Capitol Power Plant, which supplies steam for heating and chilled water for cooling the Capitol, the Senate and House Office Buildings, the Library of Congress buildings, and other buildings.

Under the direction of the Joint Committee on the Library, the Architect serves as Acting Director of the United States Botanic Garden.

The Architect of the Capitol is also charged with the planning and construction of such additional buildings as are committed to his care by Congress. He serves by law as a member of the Capitol Police Board, the Capitol Guide Board, the House Page Board, the District of Columbia Zoning Commission, the Board of Directors of the Pennsylvania Avenue Development Corporation, and the

Advisory Council on Historic Preservation. He is also a member of the Art Advisory Committee to the Washington Metropolitan Transit Authority, the National Capital Memorial Commission, and the National Institute for the Conservation of Cultural Property, and he serves as Coordinator of Civil Defense for the Capitol Complex.

The Architect of the Capitol is assisted directly by the Assistant Architect of the Capitol, Administrative Assistant, Director of Engineering, Budget Officer, General Counsel, and Executive Officer, who serve as an ad hoc executive committee to assist him in policy determination. These individuals head the major divisions that comprise the Central Office of the Architect of the Capitol; they are responsible for the efficient management and operation of the office's various programs and activities. These include architectural and engineering design, construction management, and property management; they involve such diverse concerns as art, photography, and real estate planning and development. Other areas of management, such as legal, human resources, procurement, and financial analysis, are centrally administered as well.

Also reporting directly to the Architect of the Capitol are the Internal Auditor; the Director of Information Resources Management; the Supervising Engineer, Capitol Building; Landscape Architect, Capitol Grounds; Superintendent, Senate Office Buildings; Superintendent, House Office Buildings; and Executive Director, Botanic Garden. The Curator reports to the Architect through the Staff Assistant. The Supervising Engineer, Library of Congress; Supervising Engineer, United States Supreme Court; and Chief Engineer, Capitol Power Plant, report to the Director of Engineering. The Superintendents are responsible for the care and maintenance (i.e., property management) of their respective buildings under the jurisdiction and supervision of the Architect.

#### **OFFICE OF THE ASSISTANT ARCHITECT AND DIRECTOR OF ARCHITECTURE**

The Assistant Architect collaborates with the Architect in the management and direction of the functions of the Office of the Architect of the Capitol. The Assistant Architect is the principal advisor to the Architect in matters of architectural design of new buildings and renovations and improvements to existing buildings. The Assistant Architect serves as the Acting Architect of the Capitol in the absence of the Architect. The Architecture Division, the Construction Management Division, and the Technical Support Section are supervised by the Assistant Architect.

#### **Architecture Division**

The Architecture Division provides a variety of services, including architectural and interior design, space planning, architectural historical research, and structural engineering. In addition to producing design drawings for a continuing series of projects devoted to the renovation, restoration, and modification of existing buildings, the division coordinates and reviews the work of consulting associate architects, who are engaged to provide special expertise on a broader range of services in conjunction with projects that are new or complex.

The interior design staff specifies materials for refurbishing offices, committee and hearing rooms, eating facilities, public corridors, lobbies, and other spaces throughout the congressional facilities in the Capitol Complex. Typical design services include space planning, built-ins and furniture design, carpet and drapery design, and the selection of furniture, lighting fixtures, and fabric. The staff works with architects, construction management personnel, building superintendents, electrical engineers, painters, private consultants, curators, and the architectural historian to complete various assignments. Following office policy, the design team chooses fabrics and finishes with careful regard to price and country of origin.

The work of the Architectural Historian is essential for historic preservation and for research regarding the facilities in the Capitol Complex. Working closely with the Curator, the historian provides scholarly building documentation for use by the Architecture and Engineering Divisions. The historian researches and writes historic structures reports; provides educational services through writing, public speaking, exhibits, and publications; prepares historically appropriate designs for restoration and other improvement projects; and provides overall scholarly support throughout the agency.

The structural engineering work of the division includes the review of designs and drawings prepared by the architectural and engineering staffs and by consultants to determine structural adequacy or impact. The structural engineer regularly prepares structural analyses of existing conditions needing repair and those with unusual loading problems. He inspects load-bearing components of new construction projects and provides guidance for all structural modifications.

### **Construction Management Division**

The Construction Management Division is responsible for the management, inspection, and administration of major construction projects built by private contractors in any area under the jurisdiction of the Architect. In addition, selected projects that can be more suitably executed by in-house forces are performed by the Construction Branch with necessary oversight provided by the Construction Management Division.

Overall management and "owner" control functions are provided by the Construction Management Division. During the design phase, the division reviews drawings and specifications at progressive stages to eliminate ambiguities and thereby minimize future contractual disputes. In cases where construction contracts are awarded, bidding documents are issued to contractors. The Construction Management Division coordinates this effort with the Architecture, Engineering, and Procurement Divisions. During construction, job-site inspection, monitoring, and contract administration by the division ensures that work is progressing on schedule, within budget, and in accordance with design documents. The division negotiates proposals and claims, conducts progress and planning meetings, and prepares supplements and change orders. In addition, the division maintains complete project files on all submittals, including shop drawings, samples, and brochures. Payment recommendations are made for work completed, claims are reviewed, and technical assistance is provided to the Office of the General Counsel.

The division maintains its own technical specialists in several fields of construction, including administration, estimating, scheduling, stonework, masonry, architectural specialties, structural steel inspection, plumbing, heating, ventilating, air conditioning, control work, and electrical work.

#### CONSTRUCTION BRANCH

The Construction Branch engages in selected construction activities throughout the Capitol Complex. Some projects consist of alteration and renovation work, while others involve new construction. Over the past year, the branch's projects have included site work, waterproofing surveys and repairs, stonework, and several types of general architectural, electrical, and mechanical construction.

The Construction Branch is organized to provide its services in a manner typical of the construction industry. Quantity surveys are performed, estimates are prepared, and materials are procured. Subcontracts are let, quality control and scheduling are maintained, and punch-list items are completed. The construction trades are hired on a temporary basis and are staffed according to the size of the job at any particular time. This practice allows the office the necessary flexibility to increase or decrease staffing on short notice to respond to sensitive and special conditions within the Capitol Complex.

The Construction Branch performs the continuing program of preventive maintenance of the stonework for all buildings and grounds within the Capitol Complex, as well as special-situation stone repairs as required.

#### Technical Services Section

The Technical Services Section manages the AOC computer-aided design (CAD) system, provides construction and construction-related product specifications, and estimates construction project costs. These functions support the Architecture and Engineering Divisions. In addition, the head of the section coordinates graphic system evolution with Information Resources Management to assist in consolidating AOC computer use and distributing access to other Congressional entities.

The Technical Support-Estimating Group provides construction project cost estimates on an agency-wide basis. Cost reports are developed during the conceptual phase and carried through the production of construction documents.

#### OFFICE OF THE ADMINISTRATIVE ASSISTANT

The Administrative Assistant is responsible to the Architect of the Capitol for the direction, management, and operation of the Accounting, Office Services, Personnel, and Procurement Divisions; the Flag Office; and the general business affairs of the Office of the Architect of the Capitol. He also serves as the liaison for the Architect with the Director of Food Service on matters concerning the Senate Restaurants.



## Accounting Division

The Accounting Division renders accounting advice and formulates financial policy for approval of the Administrative Assistant and the Architect. The division designs, develops, establishes, operates, and maintains the accounting and inventory systems. These functions are performed by the Accounting Branch and the Inventory Management Branch under the direction of the Accounting Officer.

### ACCOUNTING BRANCH

The Accounting Branch administers annual, no-year appropriations, and prior-year appropriations. Its staff processes obligating documents, including AOC and U.S. Botanic Garden purchase orders and contracts; supplemental agreements; and contract change orders (e.g., for construction, personal service, and supply contracts). The branch also prepares rental and sales vouchers and makes collections for steam and chilled water furnished to various buildings in and around the Capitol complex. Monthly operating and financial position statements are prepared to track revenue, operating expenses, assets, and liabilities. Operating statements are prepared to track budgeted expenses submitted by the Property Manager. Additional reports prepared include financial statements, travel data reports, expenditure reports, statements of transactions, and others as required by the U.S. Treasury and other agencies.

### INVENTORY MANAGEMENT BRANCH

The Inventory Management Branch provides an automated perpetual inventory control system for the accountability and auditing of assets. The Inventory Branch also provides and maintains an automated bar-coded inventory system for the accountability and auditing of approximately 96,000 furniture and furnishing assets located within the Senate Office Buildings. These assets are perpetually controlled and decentralized fragmented into 180 sites, including Senator's offices and service organizations. Daily, bi-weekly, and monthly reports are produced to provide accountability support and audit trails for each inventory site under the Architect's jurisdiction.

### Flag Office

The Flag Office is responsible for acting on all requests to the Architect of the Capitol from Members of Congress to have special flags flown over the Capitol for their constituents and for presentations to various groups, organizations, schools, etc. In addition to coordinating the entire program, this office prepares commemorative certificates for Members to present to flag recipients and furnishes background information to answer questions by telephone or correspondence from Members, their constituents, news media, and others.

This office also distributes flags that have flown over the east and west central fronts of the Capitol. These flags are flown continuously 24 hours a day and are replaced only when they become worn and unfit for further official use. These historic flags are available to Members of Congress for

presentation to constituents.

### **Human Resources Management Division**

The Human Resources Management Division (HRMD) develops personnel management policy and programs for the approval of the Administrative Assistant and the Architect of the Capitol and implements them upon approval. The HRMD staff plans, conducts, evaluates, and improves programs for recruitment, placement, position classification, position management, pay administration, employee assistance, employee benefits, employee-management relations, employee development and training, and workers' compensation.

The division staff also provides counsel to management and employees regarding personnel matters and evaluates recommended employee, position, benefit, and pay actions for compliance with the law and the policies of the Architect of the Capitol. Proposed actions are effected by the division after they are approved.

The division processes and maintains records of personnel actions, including appointments, promotions, pay changes, training, and separations. The division also manages, processes, and maintains data for all personnel, payroll, and employee benefits functions; oversees time-and-attendance data and functions; conducts new employee in-processing; and processes and manages employee identification/security functions.

### **Office Services Division**

This division serves the entire Architect's Office by performing a variety of support functions, such as distributing mail, operating in-house printing and reproduction services, furnishing office supplies to the central staff, and maintaining official files of architectural and engineering drawings of buildings under the Architect's jurisdiction. Specific activities for which the division is responsible include running a daily messenger service for units of the Architect's Office throughout the Capitol Complex; reproducing monthly accounting statements, the annual budget justifications, contract bidding documents, and correspondence or reports distributed to staff members; meeting the Architecture Division's requirements for working drawings; and mailing purchase orders and other official communications issued by the office. In addition to its varied routine operations, the division provides assistance on special projects.

### **Procurement Division**

The Procurement Division, comprised of the Contract Branch and the Purchasing Branch, prepares and reviews contracts and purchase orders issued by the Architect of the Capitol (e.g., for construction; construction materials; equipment and supplies; and maintenance, repair, and other services). Procurements for supplies or services in excess of \$25,000 and not on the Federal Supply Schedule, as well as certain specialized acquisitions, are assigned to the Contract Branch for procurement by formal advertising or competitive negotiations. Upon receiving a request from a proper authority, the Division prepares and processes official obligating documents in accordance

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with established office policies and procedures governing such areas as competitive bidding, negotiated-price contracts, and open-market purchases, under applicable provisions of law and regulatory guidelines such as the Federal Acquisition Regulation (FAR). If the acquisition will be completed by purchase order, the request is assigned to the Purchasing Branch.

### CONTRACT BRANCH

The Contract Branch is primarily responsible for the procurement of supplies, materials, equipment, services, and new construction or renovation work through formally advertised invitations for bids and negotiated requests for proposals as allowed in certain instances by applicable provisions of law or by nature of appropriation.

### PURCHASING BRANCH

Purchasing Branch responsibilities include procurement of construction; construction materials; supplies; equipment; furniture; and any maintenance, repair, or other services necessary to maintain, operate, remodel, and restore the buildings under the jurisdiction of the Architect of the Capitol or to support the operations of organizations within the agency. Acquisitions are completed through the use of small-purchase procedures and applicable General Services Administration Federal Supply Schedules. The items procured range from standard stock items to special items that must be fabricated to conform with the architectural and artistic motifs of monumental structures. The Purchasing Branch is also responsible for purchasing certain equipment, supplies, and material for the Senate Restaurant, the House Restaurant, and the Botanic Garden.

Before issuing purchase orders for requisitioned materials and supplies, the Purchasing Branch ensures that quotations for prices are solicited. Once purchase orders are issued, the branch obtains all necessary follow-up or back-up information for resolving shipping, delivery, quality, or invoicing difficulties. All correspondence and amendments necessary for the satisfactory completion of each transaction are handled by branch personnel.

In addition to the above operations, the Purchasing Branch issues printing requisitions to the Government Printing Office for all printed material, such as standard forms, books, specifications, signs, office stationery, envelopes, and computer forms used in transactions of day-to-day business.

### OFFICE OF THE DIRECTOR OF ENGINEERING

The Director of Engineering advises the Architect of the Capitol regarding engineering planning, design, and maintenance, including work to be performed under contract. The Director coordinates and manages projects having implications across organizational lines. The Office of the Director of Engineering designs, implements, and controls preventive maintenance programs and procedures relating to engineering structures and equipment.

The Chief Engineer, Capitol Power Plant; Supervising Engineer, Library of Congress; and Facility

Manager, United States Supreme Court, report to the Director of Engineering. Their duties and Fiscal Year 1993 activities are described in this report in the sections related to their respective buildings.

The Director of Engineering is responsible for the implementation of the Solid Waste Management Program and the development of a plan for the Legislative Branch Telecommunications Network. The Director of Engineering is responsible for the operation of a number of engineering divisions within the Central Office of the Architect of the Capitol, including air conditioning, electrical, electronics, elevator, fire protection, general, and safety engineering, and is also responsible for interpretations of code provisions and applicable regulations.

### **Air Conditioning Engineering Division**

The Air Conditioning Engineering Division designs and/or redesigns heating, ventilating, air conditioning, and refrigerating systems and coordinates these designs closely with the Architecture Division and other Engineering Divisions. For proposed renovation projects, the division prepares cost estimates and working drawings for the Director of Engineering, develops specifications, and procures engineered products. The division coordinates procurement and installation of other equipment with the building superintendents' offices, supervising engineers' offices, facility manager's office, or Construction Management Division, as applicable.

The division provides planning, direction, and technical supervision to coordinate the activities of the various air conditioning maintenance and operating personnel in the Capitol Complex. Plans and specifications are prepared for system additions and improvements, as are specifications for the purchase of high-quantity or unique supplies and materials. Bids are taken and reviewed; materials, equipment, construction, and workmanship are inspected as required.

In addition, the division coordinates and implements the Program for Energy Conservation (PEC) for the Capitol Complex. The purposes of this program are (a) to investigate and catalog all energy-using equipment associated with normal building operation and (b) to develop and implement an organized system of automatic and manual control to reduce energy use without degrading the equipment's functional performance.

The various legislative, judicial, and other buildings on Capitol Hill receive chilled water for cooling, steam for heating, or both from the U. S. Capitol Power Plant. Of these buildings, only the Folger Library, Union Station, Government Printing Office, and Postal Square do not fall under the jurisdiction of the Architect. Two buildings under the jurisdiction of the Architect have their own air conditioning systems of various types whose capacities total approximately 400 tons of refrigeration. These buildings are the O'Neill House Office Building and the Botanic Garden Office Building. Steam and chilled water for the Ford House Office Building are supplied by the General Services Administration and by the Food and Drug Administration, respectively.



### **Electrical Engineering Division**

The Electrical Engineering Division advises the Director of Engineering and is responsible for the design, planning, installation, operation, and maintenance of all electrical equipment and systems under the jurisdiction of the Architect of the Capitol.

Assisting the Head of the Electrical Engineering Division are the Assistant Head, six electrical engineers, two engineering draftsmen, and an electrical power mechanic. These persons are involved with the design of numerous "in-house" construction projects, including many engineering and administrative support activities that relate to other groups, such as Construction Management, and the individual electrical shops under the jurisdiction of building superintendents. Their activities are coordinated with other engineering disciplines within the agency. They participate in design reviews along with architects and engineers engaged for major construction projects.

In addition to the staff group, which serves primarily as an engineering, design, and administrative office, the Electrical Power Branch maintains and operates all incoming electrical systems and equipment, from the utility point of termination through the building main secondary service switch gear, and all emergency generator sets. This includes work on the 15-kV switchgears, all 15-kV cables, network transformers and the associated load-carrying bus, all grounds lighting and power, parking lot lighting, and a major part of street lighting on the Capitol Grounds.

This group performs all of the routine high-voltage maintenance and responds to requests from a variety of outside groups using the Capitol Complex facilities for assistance in providing power for their activities. This branch has a permanent staff of 15 mechanics, three of whom are primarily concerned with the repair and maintenance of the 17 diesel-driven emergency power plants within the jurisdiction of the Architect.

### **Electronics Engineering Division**

The Electronics Engineering Division is responsible for the design, installation, interfacing, maintenance, repair, and improvement of all electronic security control systems installed by contract or division personnel throughout the Capitol Complex.

The division is also responsible for the installation and maintenance of the closed-circuit TV, data, and cable distribution systems throughout the complex and of the electronic HVAC, fire, life-safety, and book conveyor control system in the James Madison Memorial Building. In addition, the division manages the audio system, the Legislative Call System, and the electronic controls for the energy management and conservation system.

### **Elevator Engineering Division**

The Elevator Engineering Division performs engineering, planning, and management oversight for the installation, modification, and maintenance of over 300 vertical and horizontal transportation systems throughout the Capitol Complex. These systems include the House and Senate

subway/people-mover systems, elevators, dumbwaiters, escalators, subway cars, and kitchen conveyors; the division is also responsible for vehicular security barriers, overhead garage door operators, and related equipment. The division provides technical control and supervision over a work force of approximately 47 mechanics in the various buildings under the jurisdiction of the Architect. With support as needed from the Cable and Test Crew, the Director of Engineering and the Elevator Engineering Division provide oversight for the all major modernization programs, including the design and implementation of the new Senate Subway to serve the Hart and Dirksen Senate Office Buildings and the Elevator/ Escalator Modernization Program.

### **Fire Protection Engineering Division**

The Fire Protection Engineering Division is responsible for the fire-protection and life-safety systems in the buildings under the jurisdiction of the Architect of the Capitol. Its major functions include design engineering for all such systems, technical problem analysis and troubleshooting of emergency system failures, liaison with the District of Columbia Fire Department and other fire-protection organizations, emergency procedures training, on-site coordination of standby fire-suppression personnel during Presidential visits and other joint sessions of Congress, and fire incident investigation and fire cause determination. The division also provides technical assistance to the Fire Department Incident Commander during any fires that may occur.

The division performs risk analysis of the Capitol Complex facilities to identify fire and life-safety deficiencies and then presents improvement recommendations or emergency system designs as needed. The division supervises the installation of fire-protection systems to ensure that proper techniques are followed and recommends design modifications as necessary.

The division head functions as the primary liaison between the Architect of the Capitol and the District of Columbia Fire Department. Liaison work also occurs between this division and other fire-service-related agencies, equipment manufacturers, and organizations, such as the General Services Administration, the Metropolitan Washington Council of Governments, the U.S. Secret Service, the U.S. Fire Administration, the National Fire Protection Association, and the Congressional Fire Services Caucus.

Emergency procedures training is provided for individuals who may deal with fires. The largest number of training seminars is given to the United States Capitol Police. Fire seminars are also given to AOC personnel and congressional staff throughout the Capitol Complex.

### **General Engineering Division**

The General Engineering Division, consisting of the General Engineer and three sound system operators, advises the Director of Engineering. The General Engineer provides technical expertise and consulting service for a broad range of projects, including matters of design, construction, operation, and maintenance, involving mechanical, electrical, and electronic engineering. Projects include those relating to security system objectives, safety improvements, fire protection improvements, kitchen and sanitation equipment installation and operation, civil defense planning,

and supervision and maintenance of utilities.

This division also has administrative responsibility for the operation of the Congressional Speech Reinforcement Systems and assists in the daily office administration of the Director of Engineering for the Architect's Office.

### **Safety Engineering Division**

The Safety Engineering Division schedules and conducts occupational safety and health inspections and audits, investigates and analyzes occupational injuries and illnesses, investigates complaints and accidents, assists in the development of safety training, accepts and disposes of all hazardous waste generated in buildings under the jurisdiction of the Architect, and conducts the day-to-day affairs of an occupational safety and health program. Division personnel act as consultants for occupational safety and health matters to the staff and visitors of the buildings under the jurisdiction of the Architect.

Among the other routine responsibilities of the division are maintenance of an accurate OSHA 200 Log, continued contact with other Federal safety officials, and knowledge of safety-related reference materials and current technology. The division also reviews blueprints, plans, and specifications for new construction and renovation projects; division personnel attend formal and informal meetings and conduct inspections relating to such projects.

### **OFFICE OF THE BUDGET OFFICER**

The Budget Officer is responsible for the overall formulation, preparation, presentation, justification, and execution of the Architect's budget. To meet this responsibility, the Budget Officer develops and administers budgetary policy for the Office of the Architect of the Capitol. The Budget Officer also provides advice and assistance on budgetary and financial matters to the Architect and to top management officials.

The Budget Officer prepares the annual budgets for the Architect of the Capitol, for the United States Botanic Garden, and for the structural and mechanical care of the Library of Congress buildings and the United States Supreme Court Building and Grounds. The budgets are submitted to the Office of Management and Budget (OMB) for inclusion in the total federal budget requests. In addition, narrative detailed justifications for annual and supplemental appropriations are prepared for presentation before congressional committees.

The Budget Officer prepares and administers the financial plan for allocation and expenditure of funds and advises the Architect on reprogramming requests. The Budget Officer also tracks legislation affecting activities under the Architect of the Capitol and acts as the Architect's liaison with the staffs of the Appropriations Committees.

The annual appropriation items administered by the Architect of the Capitol are primarily for the

structural, mechanical, and domestic care (including maintenance and operation of equipment) and for heat, light, power, and air conditioning for the buildings and facilities under the jurisdiction of the Architect. Budget requests are for items deemed necessary to render proper service to the Congress and to maintain properly the buildings and equipment of the legislative establishment.

### OFFICE OF THE GENERAL COUNSEL

The Office of the General Counsel provides the Architect of the Capitol with legal services and advice concerning all functions of the agency. These functions may be divided into two broad categories: the performance of duties made the responsibility of the Architect of the Capitol by law and general internal agency administrative functions. In addition, the General Counsel represents the Architect of the Capitol in congressional and administrative hearings and other legal proceedings, where appropriate. When necessary, the General Counsel arranges for representation of the agency in judicial proceedings by attorneys of the Department of Justice, with the General Counsel acting as agency liaison. In certain administrative proceedings, the General Counsel arranges for representation of the agency by outside, private counsel on a contractual basis.

Legal advice and services supporting the Architect's statutory activities comprise the largest portion of this office's work load. The Office of the General Counsel prepares draft legislation on various matters and, in some cases, reviews and comments on proposed legislation affecting matters under the Architect's jurisdiction. The Office of the General Counsel prepares professional service contracts with consultants (e.g., architects, engineers, conservators, and designers) to the agency's major divisions. The office prepares the agency's defense of and represents the agency in bid protest hearings at the General Accounting Office. The office advises on matters arising from the Architect's statutory responsibility for superintendence of the buildings and grounds of the Capitol Complex and reviews major construction contracts as well as contracts for procurement of materials, services, and supplies for the Congress. The General Counsel performs legal services required for the execution of lease agreements and the acquisition of real property by the Architect for legislative branch purposes as authorized by law. The Office of the General Counsel also provides legal advice and drafts agreements where necessary regarding the use of the Capitol Complex for public concerts, demonstrations, and other assemblages.

In the area of internal agency administrative functions, the General Counsel advises the Architect on questions of authority and jurisdiction and on fiscal and budgetary matters. The office provides review and advice on personnel matters, such as agency employment practices and incorporating and implementing new personnel policies and procedures. The Office of the General Counsel is also responsible for drafting and reviewing legal documents, researching and issuing legal opinions, handling legal correspondence, and participating in the formulation of overall agency policy.

The Office of the General Counsel is responsible for litigation activities involving the Architect of the Capitol. The General Counsel handles claims arising under the Federal Tort Claims Act for incidents involving personal injury or property damage that occur within areas under the superintendence of the Architect, and serves as liaison with the Department of Justice in suits



resulting from the denial of tort claims. In addition, the office provides advice and support with respect to litigation brought or defended by the Architect of the Capitol arising out of contracts in which the Architect serves as Contracting Officer. The Office of the General Counsel also serves as counsel for the Construction Management Division, furnishing legal advice and related services regarding the administration of contracts, including direct participation in negotiation and settlement of claims and disputes arising out of construction contracts.

### OFFICE OF THE EXECUTIVE OFFICER

The Executive Officer collaborates with the Architect of the Capitol in the direction and accomplishment of the functions of the Office through coordination of other offices and the management of special projects as designated by the Architect.

### INFORMATION RESOURCES MANAGEMENT

The Director of the Office of Information Resources Management (IRM) is responsible for establishing, implementing, managing, and operating an agency-wide IRM program to ensure the efficient use of human and technical resources. By enhancing the ability of agency personnel to accomplish their functions, this office increases the agency's ability to accomplish its mission.

The office fulfills numerous responsibilities: serving as principal advisor to the Architect of the Capitol and his staff on IRM; recommending agency-wide policy on IRM; implementing IRM systems; developing plans to ensure that current and future needs are met in an efficient and cost-effective manner; evaluating all current and future hardware and software configurations to ensure that the agency's needs are met; providing advice and guidance on advances in the area of IRM; evaluating both technical and human resources to determine the Office's ability to provide required services; and providing technical guidance and coordination on the analysis, design, and implementation of automated information systems.

### INTERNAL AUDITOR

The role of the Internal Auditor is to review and appraise the efficiency and effectiveness of all Architect of the Capitol activities. This responsibility encompasses three basic types of auditing: financial and compliance, operational, and program results. Financial and compliance auditing determines whether financial operations are properly conducted, whether financial reports are presented fairly, and whether applicable laws and regulations are complied with. Operational auditing determines whether resources are managed and used in an economical and efficient manner and identifies the causes of any inefficiencies or uneconomical practices, including inadequacies in management information systems, administrative procedures, or organizational structure. Program results auditing determines whether the desired results or benefits are being achieved and whether lower-cost alternatives that might yield the desired results are considered.

## OFFICE OF THE CURATOR

The Curator for the Architect of the Capitol, under the administrative supervision of the Staff Assistant to the Architect, supervises the care and conservation of the works of art under the Architect's jurisdiction, maintains the historic records of the agency, conducts and coordinates research into the history of the building and the art collection, answers reference questions from congressional staff and the public, advises House Members and staff on art displays, and prepares exhibitions. The Curator's office also oversees, for the Clerk and the House Fine Arts Board, loans from museums to leadership offices. Annual assistance is given to the Congressional Arts Caucus in judging, hanging, and labeling art by high school students from 250 congressional districts. To assist the Speaker, regular reviews are made of exhibitions sponsored by Members in the Cannon Rotunda. The Curator also supervises and coordinates the activities of the Photography Branch and the Records Management Branch. In addition, the Curator is responsible for coordinating and executing numerous projects being planned to celebrate the bicentennial of the Capitol.

### Photography Branch

The Architect's Photography Branch is responsible for producing photographs relating to architectural design, construction, and restoration of the Capitol and the related buildings. Ceremonial events and works of art and their restoration are also photographed. In addition, this branch produces graphic slides and videotape for agency use and for public educational programs.

This branch supplies all still photographic services requested by the Architect's staff. Original photography is produced on location or in the studio. Black-and-white prints, color prints, color slides, large color transparencies, copy negatives, and videotape are routinely produced by the branch. Mounting and matting of photographs is provided. The branch also assists with the design of educational exhibits in the Capitol. An extensive photo negative and print filing system is maintained to preserve the resulting photographic documents for future use. A loan service makes materials for research, publication, and display available to the public and other government agencies through the Library of Congress and other commercial laboratories.

### Records Management Branch

The Records Management Branch is responsible for maintaining the noncurrent records of the Architect of the Capitol. It provides microfilming and security for records deemed appropriate for preservation and facilitates the segregation and disposal of records of temporary value. The branch is located in the Records Center at the Ford House Office Building. The Records Center has an archives area dedicated to preserving historical documents as well as additional space for document processing, microfilming, referencing, and disposal of records.

**PROPERTY MANAGEMENT / BUILDINGS AND GROUNDS****FACILITY OFFICE**

The Facility Office consists of one person, who reports directly to the Architect of the Capitol and is responsible for developing, implementing, and evaluating a comprehensive inspection and quality control program for the buildings, grounds, and other facilities under the jurisdiction of the Architect. The Facility Officer assists the building superintendents and supervising engineers, division heads, Members of Congress, and staff members in identifying and resolving service, maintenance, and safety problems; he also conducts special surveys at the request of the Architect in response to suggestions from Members of Congress or their staff. All reports are submitted to the Architect for review and comments; identified deficiencies are reported to the appropriate office or individual for correction. (Safety and fire-protection deficiencies, for example, are coordinated with the Safety and Fire Protection Engineering Divisions, as time permits.) The facility officer also assists in developing solutions to these problems by coordinating efforts with the appropriate superintendent or supervisor, and he initiates follow-up inspections to ensure that problems are corrected.

**U.S. CAPITOL****Office of the Supervising Engineer**

The Supervising Engineer, Capitol Building, under the direction of the Architect of the Capitol, is responsible for the day-to-day maintenance, alteration, repair, and operation of the Capitol, including the operation of the following divisions: Air Conditioning, Electrical, Elevator, Labor, Painting, Plumbing, Sheet Metal, and Wood Crafting.

**CAPITOL GROUNDS**

The Architect of the Capitol is charged by law with the care and maintenance of the Capitol Grounds and with any changes and improvements made to them.

**Office of the Landscape Architect**

Within the Office of the Architect of the Capitol, the Landscape Architect directs and supervises the day-to-day work of the Capitol Grounds professional staff, trades personnel, and labor forces.

The Capitol Grounds are comprised of approximately 273 acres of lawns, parks, trees, landscaping, horticultural display beds, plazas, terraces, courtyards, and atria; these areas are equipped with fountains, drinking fountains, outdoor seating, decorative stone retaining walls, lighting, an irrigation system, streets, sidewalks, and parking areas. The Capitol Grounds are maintained collaboratively by five in-house crews: the Gardening Division, the Plumbing Branch, the Tree Care

Branch, the Masonry Branch, and the Trash and Materials Handling Branch.

The Office of the Landscape Architect also has in its charge two additional crews: the Automotive Branch, which maintains and repairs all official vehicles, vehicular equipment, and grounds equipment of the Architect of the Capitol; and the Truck and Shuttle Operators Branch, which operates and maintains certain of the Architect of the Capitol trucks, as well as the shuttle buses that provide transportation between the legislative buildings for Members and officers of Congress and their staffs.

The Landscape Architect, as the Architect's representative, chooses the Capitol Christmas tree each year from one of the National Forests, and the Tree Care Branch, under the Landscape Architect's direction, is responsible for its placement, decoration, dismantling, and recycling.

In inaugural years the Landscape Architect works with the Supervising Engineer of the Capitol in preparing for the Inaugural Ceremony and in restoring the Capitol Grounds afterwards. Also, throughout every year, the Landscape Architect collaborates with the Office of Special Events of the U.S. Capitol Police in providing security fencing, certain outdoor facilities, and crowd-control measures for a wide variety of events, ranging from the President's State of the Union address, to summer Military Band concerts four nights a week, to the Fourth of July and Labor Day concerts of the National Symphony Orchestra, to political rallies and demonstrations.

In addition to horticultural and arboricultural planting and maintenance procedures, the Capitol Grounds crews routinely sweep and wash down exterior steps and sweep parking areas and streets, plant bulbs and annual flowers, remove leaves in autumn, salt and sand streets and sidewalks in preparation for snow and ice accumulations, remove snow and ice, and clean storm drains. Daily or weekly refuse removal from the legislative buildings is the responsibility of a private contractor via an invitation for bid. In recent years, certain areas that were previously planted with annual flowers have been planted with perennial flowers.

The Capitol Grounds staff also coordinates maintenance and improvements projects with other Federal agencies, the District of Columbia government, and private sector contractors whose work adjacent to or near the properties under the jurisdiction of the Architect requires scheduling coordination with Capitol Grounds personnel. Such projects include infrastructure repairs and modifications, street paving, signage, and restriping traffic lanes and parking spaces.

### SENATE OFFICE BUILDINGS

The Architect of the Capitol is charged by law with the structural, mechanical, and domestic care of the Senate Office Buildings (Russell, Dirksen, Hart, leased space at Postal Square, Capitol Police Headquarters, and the Legislative Garage), including operation of the mechanical equipment. The Architect is also responsible for the care, repair, and purchase of furniture and furnishings. (Furniture and furnishings for the Senate side of the Capitol are under the jurisdiction of the Senate Sergeant-at-Arms.) The Architect is responsible for the heating, air conditioning, and lighting of



the Senate Office Buildings as well as for all construction, structural improvements, and changes. The Architect is also responsible for the maintenance and operation of the subway transportation systems between the Senate Office Buildings and the Capitol and for the garages in the Dirksen, Hart, and Russell Senate Office Buildings.

The Architect, in performing his duties in connection with maintenance and operation of the Senate Office Buildings, is, under the Act of June 8, 1942, as amended, subject to the approval of the Senate Committee on Rules and Administration in matters of general policy. From 1910 to 1942, the Architect performed such duties under authority of a resolution adopted by the Senate Committee on Rules on February 18, 1910. Commencing with construction of the original three wings of the Russell Senate Office Building (1905-09), all construction work in connection with the Senate Office Buildings has been performed by the Architect under the direction of the Senate Office Building Commission.

#### Office of the Superintendent

The Superintendent of the Senate Office Buildings, under the direction of the Architect of the Capitol, is responsible for the day-to-day structural, mechanical, and domestic care of the Senate Office Buildings complex, including the operation of the following divisions: Air Conditioning, Cleaning (Night), Day Labor, Electrical, Elevator, Furniture, Inventory Management, Masonry, Painting and Finishing, Pipefitting-Plumbing, Sheet Metal, Subway, Upholstery, and Wood Crafting. He is also responsible for the operation of the Senate Gymnasium.

### HOUSE OFFICE BUILDINGS

Pursuant to the provisions of 40 USC 175, the Architect of the Capitol, subject to the approval and direction of the House Office Building Commission, is responsible for the structural, mechanical, and domestic care and maintenance of the five House Office Buildings, the underground garages, and the office building at 501 First Street.

#### Office of the Superintendent

Under the direction of the Architect of the Capitol, the Superintendent of the House Office Buildings is responsible for the day-to-day care of the buildings, including the operation of the following shops: Carpentry, Electrical, Elevator, Industrial Equipment, Labor, Masonry, Night Cleaning, Painting, Pipefitting-Plumbing, Refrigeration and Air Conditioning, and Sheet Metal.

The Superintendent's Office maintains confidentially the combinations of Members' safes and assigns office suites, rooms, and storerooms to Members of the House. The assignment of office suites is performed under rules prescribed by the House Office Building Commission. With the assignment of an office to a Member, the Superintendent's Office coordinates the move with all other support offices that are involved, including House Information Systems, Office Equipment, Office Furnishings, Office Systems Management, and the Office of Telecommunications. In

addition, a variety of internal activities are scheduled, including painting, computer cabling and electrical work, lock changes, and partition removal or installation.

The Superintendent's Office makes detailed suggestions to the Architect and the House Office Building Commission with regard to space requirements, remodeling within the buildings, and changes and improvements to existing facilities.

### CAPITOL POWER PLANT

The Capitol Power Plant employs 101 staff members to operate and maintain a central steam plant rated at 650,000 pounds per hour and a central refrigeration plant rated at approximately 40,000 tons capacity. This equipment provides steam for heating and chilled water for air conditioning in the Capitol Complex. Buildings served are the Capitol; Dirksen, Russell, and Hart Senate Office Buildings; Rayburn, Longworth, Cannon, and O'Neill House Office Buildings; Jefferson, Adams, and Madison Library of Congress Buildings; Supreme Court; House and Senate Garages; the Botanic Garden; Capitol Police Headquarters; and 501 1st Street, S.E. Steam is provided on a reimbursable basis to Postal Square and the Government Printing Office. Steam and chilled water are provided on a reimbursable basis to the Thurgood Marshall Federal Judiciary Building, the Folger Shakespeare Library, and the Union Station complex.

### LIBRARY OF CONGRESS

#### Office of the Supervising Engineer

The Supervising Engineer at the Library of Congress serves as the representative of the Architect of the Capitol, who is responsible for the structural and mechanical care of the four Library of Congress buildings (the Thomas Jefferson Building, John Adams Building, James Madison Memorial Building, and the Special Facilities Center). The office also provides technical direction for the maintenance of the elevators in the U.S. Supreme Court Building. The Supervising Engineer's Office operates under the Director of Engineering for general administrative purposes.

The organization consists of a Supervising Engineer, an administrative staff, and a Maintenance Division consisting of eleven branches: Air Conditioning, Carpentry, Electrical, Elevator, Grounds, Machining, Masonry, Painting, Pipefitting, Sheet Metal, and Supply. The major responsibility of the Supervising Engineer's Office is to provide the supervision and direction necessary for these branches to perform maintenance and construction work under the jurisdiction of the Architect of the Capitol. The administrative staff is responsible for a variety of office and clerical functions, which include processing daily service calls, preparing time sheets and personnel action forms, maintaining sick and annual leave records, scheduling and inspecting projects, preparing reports, and coordinating activities with the Library Environmental Resources Office and Library Support Services Office. Custodial maintenance of the buildings is performed under the jurisdiction of the Library of Congress.

Additional responsibilities include liaison with various offices of the Library of Congress to coordinate required activities and programs and coordination of construction management activities that affect the operation of the Library buildings.

### U.S. BOTANIC GARDEN

The Architect of the Capitol has served as Acting Director of the United States Botanic Garden since July 3, 1934. The Architect is responsible for the maintenance and operation of the garden and for any construction changes or improvements made to the garden. The Architect performs his duties in connection with the garden under the direction of the Joint Committee on the Library, which is charged by law with control over the garden.

#### Office of the Executive Director

The United States Botanic Garden is comprised of four related operations. First, the organization maintains a large public conservatory that displays plants from different parts of the world. Second, the Botanic Garden sponsors a number of public programs, including classes, special exhibits, and four annual flower shows. The third major function of the Botanic Garden is to maintain and develop its outdoor grounds. Until completion of the National Garden, the main responsibility remains Frederic Auguste Bartholdi Park, an outdoor display area located across Independence Avenue from the rear entrance of the conservatory. The fourth major responsibility of the Botanic Garden is the production of plants at, and maintenance of, the D.C. Village Production Facility, located adjacent to Shepherd Parkway in the Anacostia section of Washington, D.C. The facility includes approximately 85,000 square feet (2 acres) under glass and a 26,000-square-foot support facility. All of the plants used in the conservatory for annual shows, special displays, and replacement or additions to the permanent collections are grown at this facility. This facility also produces all the woody and herbaceous plants displayed in Bartholdi Park; those used on the conservatory grounds and in the Capitol Complex; the foliage plants lent to congressional offices; and the decorative foliage/flower arrangements used at congressional functions. In the future, the D.C. Village facility will assume responsibility for growing many of the National Garden's plants.

The Botanic Garden supports its key public programs with several additional activities: group tours by prior arrangement throughout the year, a series of classes held from September through June, and a plant information service, which is available by phone Monday through Friday. These services are provided free of charge. The conservatory is also the site of a variety of congressionally related functions that are held in the evening, after the building has closed to the public.

### SUPREME COURT

The Architect of the Capitol's staff for the Supreme Court consists of 30 employees who provide for the care and maintenance of the building structure, mechanical and electrical systems, elevator and food service equipment, and grounds and courtyards. In addition, the maintenance force assists the Marshal's Office with preparations for special functions sponsored by the Court.

### Office of the Facility Manager

Administration of the Supreme Court maintenance organization is provided by a Facility Manager under the direction of the Director of Engineering. The Facility Manager also coordinates daily work with the Marshal's Office.

The limited size of the work force requires that all employees engage in a broad range of activities. Work of general nature is assigned to the Pipefitting-Plumbing Division. Shift personnel and maintenance workers assist all the divisions with maintenance assignments. Those trade skills that are not available to the maintenance force are obtained from the Construction Management Division or from outside contractors.

### SENATE RESTAURANTS

The operation of the Senate Restaurants is overseen by the Director of Food Services. The Senate Restaurants Office provides support for operations including accounting and purchasing. This office directly manages the operation of the Capitol's four dining rooms, snack bar, and newsstand; the Dirksen Senate Office Building's cafeteria, buffet, carry-out, and sundry shop; the Hart Senate Office Building's carry-out and sundry shop; the Russell Senate Office Building's coffee shop and sundry shop; and the catering for special functions in the Capitol and Senate Office Buildings.

**LIST OF GAO AUDIT REPORTS**  
**OFFICE OF THE ARCHITECT OF THE CAPITOL**

TITLE: Senate Restaurants Revolving Fund for Fiscal Years 1994 and 1993  
RPTNO: AIMD-95-173  
DATE:07/31/95

TITLE: Legislative Branch Reductions  
RPTNO: GGD-95-55R  
DATE:12/15/94

TITLE: Senate Restaurants Revolving Fund for Fiscal Years 1993 and 1992  
RPTNO: AIMD-95-1  
DATE:10/12/94

TITLE: Architect of the Capitol's Personnel System Needs Improvement  
RPTNO: GGD-94-121BR  
DATE:04/29/94

TITLE: Operations of the Office of Fair Employment Practices Could Be Improved  
RPTNO: GGD-94-36  
DATE:12/09/93

TITLE: Capitol Preservation Fund--March 31, 1992 and 1991  
RPTNO: AIMD-93-14  
DATE:08/10/93

TITLE: Capitol Preservation Fund--March 1, 1991 and 1990  
RPTNO: AFMD-93-32  
DATE:04/14/93

TITLE: Uneven Protections Provided to Congressional Employees  
RPTNO: HRD-93-1  
DATE:10/02/92

TITLE: Comparison of Construction Costs for New Judiciary and Navy Buildings  
RPTNO: GGD-91-87BR  
DATE:05/30/91

TITLE: Legislative Branch's Efforts in Sharing Payroll/Personnel Systems  
RPTNO: IMTEC-90-20  
DATE:02/20/90

**INTERNAL AUDIT ACTIVITY SUMMARY**

**FISCAL YEARS 1990 - 1995**

**REGULAR AUDIT REPORTS ISSUED**

**REGULAR AUDIT REPORTS ISSUED****FY - 1990**

90-1	Apr. 30, 1990	Senate Chef, Cash and Cash Receipts Handling - Point of Sales System - Senate Restaurants.
90-2	Aug. 10, 1990	System Analysis, The Supply, Material and Equipment Inventory System.
90-3	Aug. 30, 1990	Administrative Costs - Perry Huston & Associates.

**FY-1991**

91-1	Oct. 17, 1990	Columbia Cutters, Inc. Contract ACho-89046. The operation of a Barber Shop/Beauty Salon located in House Office Building Annex 2.
91-2	Nov. 21, 1990	Gasoline Pump Operations, Capitol Grounds.
91-3	April 11, 1991	Operational Review, Human Resources Management Division.
91-4	Feb. 19, 1991	Administrative Costs - Perry Houston & Associates Contract ACIc 90071, Supplemental Agreement No. 4.
91-5	June 12, 1991	Administrative Costs - Perry Houston & Associates Contract ACIc 90071, Professional Services in Connection with the Conservation of Three Murals - Thomas Jefferson Building, Library of Congress.
91-6	June 13, 1991	Columbia Cutters, Inc. Contract ACho-89046, The Operation of a Barber Shop/Beauty Salon Located in House Office Building Annex 2 (Final Audit).
91-7	April 11, 1991	Special Audit Report - Human Resources Management Division.



## APPENDIX G

### FY - 1992

- |      |                |   |
|------|----------------|---|
| 92-1 | Nov. 20, 1991  | Operational Review, Botanic Garden.                                       |
| 92-2 | Feb. 7, 1992   | Tort Claims and Indemnities.  |
| 92-3 | May 4, 1992    | Administrative Costs - Perry Houston & Associates<br>Contract AC1c 91065. |
| 92-4 | May 21, 1992   | Plumbing Shop Incident Regarding Jerome Davis.                            |
| 92-5 | July 14, 1992  | Senate Restaurant Allegations - Committee on Rules<br>and Administration. |
| 92-6 | Sept. 18, 1992 | Window Washers, Senate Office Buildings.                                  |

### FY 1993

- |      |               |  |
|------|---------------|--|
| 93-1 | Oct. 1, 1992  | Senate Restaurant Washington Times Allegations<br>concerning the disappearance of \$20,000 and the<br>payment to top managers bonuses. |
| 93-2 | Dec. 17, 1992 | Accountability Audit, AOC-Wide Management<br>Information Systems (MIS) Hardware Equipment and<br>Application Inventories.              |
| 93-3 | June 24, 1993 | Factors Identified during AOC Position Study to<br>Improve operations efficiencies.  |
| 93-4 | Aug. 4, 1993  | Warranties/Correction of Deficiencies.   |

### FY 1994

- |      |               |  |
|------|---------------|--|
| 94-1 | Jan. 12, 1994 | Steam and Chilled Water Instrumentation Management-<br>Capitol Power Plant |
| 94-2 | March 2, 1994 | Energy Management and Control System                                       |

**APPENDIX G**

94-3	May 3, 1994	Use of Solar Energy, FHOB-Return on Investment and Cost Benefit Analysis
94-4	Apr. 28, 1994	House Office Building Paint Shop Allegations Concerning Falsification of Leave and Attendance and a Lack of Supervisory Oversight and Control
94-5	July 11, 1994	Analysis of Administrative Overhead Costs Prior to Contract Completion Perry Houston & Assoc. Contract AC1c 92044
94-6	Aug. 31, 1994	Senate Office Buildings, Furniture Division, Allegations Involving Leave and Attendance and Organizational Climate and Morale Problems

**FY 1995**

95-1	Mar. 2, 1995	Contract Administration and Management of Contractor Provided Computer Service and Support
95-2	Feb. 7, 1995	Use of Traveler Checks and Travel Advances
95-3	May 22, 1995	Metropool Public Transportation Fare Subsidy Program
95-4	Feb. 1995	Analysis of Administration Overhead Costs Prior to Contract Completion and Final Close-Out Perry Huston & Associates Contract AC1c-920441
95-5	Jul. 19, 1995	Cannon House Office Building Terrace Repairs, Contract ACho-94033, Audit of Southern Maryland Restoration Contractor Costs, Change Order No. 9

**MANAGEMENT ASSISTANCE LETTERS/  
ANALYSIS IN SUPPORT OF AOC  
MISSION**

**MANAGEMENT ASSISTANCE LETTERS/  
ANALYSIS IN SUPPORT OF AOC  
MISSION**

**FY 1990**

1. Imprest Fund Report of Findings - Operating Procedures
2. Internal Control Analysis Proposed Bulletin 90-02, Desk Review
3. Cashier continues to operate out of open cash drawer - Capitol Building Snack Bar.
4. Bulletin No. 90-02, Temporary Long Distance Duty Travel
5. Response to Senate Restaurant Re-organization Proposal
6. Inventory Working Group

**FY - 1991**

1. Implementation of Energy Management and Control System (EMCS) Annual Savings Report (December 13, 1990)
2. Food Production Planning and Control - Reorganization Plan - Senate Restaurant.
3. Cashier continues to operate out of open cash drawer - Capitol Building SnackBar. (March 20, 1991)
4. Perry Houston & Associates, Inc. Contract AC1c-90071, Draft Supplemental Agreement No. 4. (February 28, 1991)
5. Inventory Working Group (April 30, 1991)
6. Comments on Draft AOC/IRM - 5 Year Plan (April 2, 1991)

## APPENDIX G

7. Service America Payroll Investigation of House Restaurant Employees (April 26, 1991)
8. Tip, Gratuity and Labor Charge Distributions Assistance - Senate Restaurant (June 24, 1991)

### FY - 1992

1. Analysis of Statue of Freedom Restoration Estimate (December 30, 1991)
2. Review of Rayburn Garage Two Lamp Fixtures Fluorescent T-8 Lamps with Electronic Ballasts Retrofit Analysis (December '91)
3. Buy or Rent Analysis - Repair Pipe Tunnel North Carolina Avenue File No. 89106 (March 20, 1992)
4. Employee Assistance Program (EAP) Confidentiality (May 28, 1992)
5. OLIN Conservation, Inc. Cost Estimate for LOC Stone Restoration (May 22, 1992)
6. Management Agreement with Boston Properties (May 28, 1992)
7. Audit Opinion - U.S. Capitol Stair Repair at Document Room - Purchase Order No. 918898 (June 1, 1992)

### FY 1994

1. Comments on proposed Career Staffing Program (May 25, 1994)
2. Analysis of IRM Procedures as part of Fair Employment Practices Office Process (Feb. 23, 1994)
3. Senate Office Buildings, Plumbing Shop, Assessment of Organizational Climate and Morale Incident To Retirement of Foreman (May 27, 1994)

**AUDIT FOLLOW-UP**

FOLLOW-UP AUDITS

FY - 1990

1. Audit Evaluation of Senate Restaurant response to Audit Report 89-6, United States Senate Restaurants Operational Audit - dated November 29, 1989
2. Audit Evaluation of Capitol Power Plant response to Audit Report 89-5, Operational Management Audit.

FY - 1991

AUDIT FOLLOW-UP (AUDIT REPORT 89-5,  
OPERATIONAL MANAGEMENT AUDIT,  
CAPITOL POWER PLANT) (JUNE 10, 1991)

1. Audit follow-up to the subject report disclosed that the management responses to the five recommendations contained in the subject report were positive. Recommendation Number 5 had not been satisfactorily resolved and was considered open.

AUDIT FOLLOW-UP (AUDIT REPORT 89-4, GRIEVANCE  
OF CARLTON S. VAUGHAN - COAL AND LABOR ASSISTANT  
FOREMAN POSITION (WS-07) CAPITOL POWER PLANT  
DATED AUGUST 9, 1989) (MAY 21, 1991)

Audit follow-up to Audit Report 89-4 indicates that the action taken satisfactorily met the intent of the recommendation. I consider the management actions to be responsive and no further recommendation or action is deemed necessary.

**AUDIT FOLLOW-UP (AUDIT REPORT 89-1, TIME  
AND ATTENDANCE ACCOUNTING AND REPORTING  
DATED NOVEMBER 16, 1988) (APRIL 9, 1991)**

Audit follow-up to the subject report indicate that all four recommendations have been completed and the results were satisfactorily implemented.

**FY - 1992**  
**AUDIT FOLLOW-UP (AUDIT REPORT 92-1  
OPERATIONAL REVIEW, BOTANIC GARDEN**

The purpose of the first follow-up was to review, evaluate, and assess the organizational climate three months after leadership changes were made and to provide the feedback to management officials.

**FY 1993**

**Audit Follow-up to Audit Report 92-5 dated July 14, 1992, Senate  
Restaurants Allegations - Committee on Rules and Administration**

1. Audit follow-up was to determine the status of management actions contained in the subject report including as assessment of the Restaurant system organizational culture and climate.

**FY 1995**

**AUDIT FOLLOW-UP TO AUDIT REPORT 93-3  
DURING AOC POSITION STUDY TO  
IMPROVE OPERATIONAL EFFICIENCIES**

1. Follow-up was accomplished on the recommendations contained in Audit Report 93-3. The review was directed to determine whether management took the actions recommended or satisfactory alternative courses of actions, and whether the actions were effective in eliminating deficiencies.



**AUDIT FOLLOW-UP TO AUDIT REPORT 93-4,  
WARRANTIES/CORRECTION OF DEFICIENCIES**

Follow-up was accomplished on the recommendations contained in Audit Report 93-3. The review was directed to determine whether management took the actions recommended or satisfactory alternative courses of actions, and whether the actions were effective in eliminating deficiencies.

**AUDIT FOLLOW-UP LETTER TO AUDIT  
REPORT 94-3, USE OF SOLAR ENERGY,  
FHOB - RETURN ON INVESTMENT AND  
COST BENEFIT ANALYSIS**

1. Audit follow-up was accomplished on the recommendations contained in the subject report of audit. The review was to determine whether the recommended actions were made and whether those actions or other solutions were effective.

**AUDIT FOLLOW-UP REPORT 94-4 HOUSE BUILDINGS  
PAINT SHOP ALLEGATIONS CONCERNING FALSIFICATION  
OF LEAVE AND ATTENDANCE AND A LACK OF  
SUPERVISORY OVERSIGHT AND CONTROL  
DATED APRIL 28, 1994.**

Audit follow-up interviews and discussions disclosed that the recommendations contained in the time-line action plan were responded to and implemented.

**AUDIT EFFORTS IN SUPPORT OF AOC/  
GAO/CONGRESSIONAL COMMITTEE  
DIRECTION**

**AUDIT EFFORT IN SUPPORT OF AOC/  
GAO/CONGRESSIONAL COMMITTEE  
DIRECTION**

**FY - 1990**

1. Study Report, Use of Temporary Contract Labor versus Permanent Positions for Electronic Systems Maintenance - Advantages and Disadvantages, dated March 21, 1990.

**FY - 1992**

**SPECIAL PROJECT STUDY**

Conducted Study and Drafted Proposed policy instruction involving Architect controlled accountable property or supplies that is damaged or destroyed due to gross negligence, misconduct or deliberate unauthorized use.

**FY 1993**

**TASK FORCE STUDY OF AOC PERSONNEL POSITIONS**

During the hearings before the House Subcommittee on Legislative Branch Appropriations the Architect offered to have a study conducted of all permanent and temporary positions under the jurisdiction of the Office of the Architect of the Capitol. Conducted the study for reporting to the Appropriations Committee the findings and recommendations relative to the status of AOC positions.

**PROGRAM ASSESSMENT REVIEW (PAR) FOLLOW-UP**

Based on audit analysis of recent PARs and discussions with key recipients of the reports, upgraded the quality of PARs. PARs give the project director the opportunity to provide hands on data and information directly to the Architect of the Capitol on the status of their project.

**FY 1995**  
**STUDY REPORT 95-1. FULL COST RECOVERY**  
**FOR FLYING FLAGS OVER THE CAPITOL**

The Architect of the Capitol requested a review of flag office operations to identify and classify those costs associated with flying American flags over the Capitol for full cost recovery and reimbursement. Pursuant to H.R. 1854 as amended by amendment 18.

**INTERNAL CONTROL POLICY AND  
PROCEDURAL EVALUATIONS**

**INTERNAL CONTROL POLICY  
AND PROCEDURAL EVALUATIONS**

**FY 1990**

**INTERNAL CONTROL ANALYSIS - PROPOSED BULLETIN** - Imprest fund operating procedures.

Audit review of proposed operating procedures for internal control adequacy minimizing the opportunities for waste and abuse in the future. (March 26, 1990) (April 19, 1990)

**INTERNAL CONTROL ANALYSIS - PROPOSED BULLETIN** - Policy and procedures for authorization of long distance.

Audit review of proposed operating procedures for adequate audit trails as well as streamline the process. (May 3, 1990) (March 27, 1990)

**FY 1991**

**INTERNAL CONTROL AND OPERATIONAL ASSESSMENT ANALYSIS - DESK REVIEW - PERSONNEL MANUAL - CHAPTER 771 GRIEVANCES** dated October 3, 1990 and distribution in mid April 1991.

Internal and operational controls regarding the handling of formal and informal grievances were reviewed. (Issued May 17, 1991)

**INTERNAL CONTROL AND OPERATIONAL ASSESSMENT ANALYSIS - DESK REVIEW - PERSONNEL MANUAL - CHAPTER 752, DISCIPLINE** dated December 31, 1990 and distributed in mid April 1991. (Issued May 17, 1991)

The purpose of the analysis was two-fold, to evaluate the soundness of internal and operational controls as presented in Chapter 752 and to review procedural concepts as to their appropriateness for ensuring a fair, equitable, consistent and efficient program.

**INTERNAL CONTROL REVIEW PROCEDURAL CHANGE - LONG DISTANCE PHONE CHARGES.**

The proposed procedural changes in handling long distance phone billings and charges have a lot of merit. The consolidation of charges into single appropriations and accounts should reduce administrative paperwork and costs.

FY - 1992

INTERNAL CONTROL SURVEY OF STAYFREE AND PLAYTEX OPERATIONS

Internal and operational controls regarding stayfree and playtex operations. On-site tour of the physical operational layout was made as well as an examination of cash, inventory practices and documentation.

INTERNAL CONTROL REVIEW OF PROPOSED TRAVEL POLICY INSTRUCTIONS

Review travel policy and procedures primarily for accounting division manual use.

INTERNAL CONTROL REVIEW OF PROPOSED REGULATION ON PUBLIC TRANSPORTATION SUBSIDY PROGRAM

Review of proposed order for implementation of Public Transportation Subsidy Program.

FY 1993

INTERNAL CONTROL REVIEW, CASH HANDLING STANDARD FOR CASHIERS  
Review of cash handling standard and plan for cashiers, Senate Restaurants.

INTERNAL CONTROL REVIEW PROPERTY MANAGEMENT SYSTEM PROPOSAL  
Review proposed AOC-wide Property Management System for adequacy of controls.

INTERNAL CONTROL REVIEW USE OF TRAVELER CHECKS AND TRAVEL ADVANCES Review of policy regarding the issuance of travelers checks.