LEGISLATIVE BRANCH APPROPRIATIONS FOR 2017

HEARINGS

BEFORE THE

COMMITTEE ON APPROPRIATIONS

HOUSE OF REPRESENTATIVES

ONE HUNDRED FOURTEENTH CONGRESS

SECOND SESSION

SUBCOMMITTEE ON LEGISLATIVE BRANCH

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PART 2

FISCAL YEAR 2017 LEGISLATIVE BRANCH APPROPRIATIONS REQUESTS

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LEGISLATIVE BRANCH APPROPRIATIONS FOR 2017

TUESDAY, MARCH 1, 2016.

U.S. CAPITOL POLICE

WITNESSES

KIM C. DINE, CHIEF OF POLICE
MATTHEW R. VERDEROSA, ASSISTANT CHIEF OF POLICE
RICHARD L. BRADDOCK, CHIEF ADMINISTRATIVE OFFICER

OPENING STATEMENT OF CHAIRMAN GRAVES

Mr. GRAVES. Welcome, everyone. The subcommittee will come to order, and we will begin our hearings on fiscal year 2017's budget requests of the various agencies of the legislative branch.

I look forward to continuing our work with all the members of the subcommittee, including our ranking member, Debbie Wasserman Schultz of Florida, our vice chairman, Mr. Amodei; Mr. Rigell of Virginia; Mr. Jenkins of West Virginia; Mr. Palazzo of Mississippi, welcome you back; and Mr. Farr of California; Ms. McCollum of Minnesota.

I want to thank each of you for being here and appreciate your dedication and attention to the important issues of this subcommittee.

And as everyone of this subcommittee knows, our national debt is at the tune of now $19 trillion, and as we all know, this is unsustainable and unacceptable. While major reforms to the Federal programs outside the jurisdiction of this committee are certainly needed, we nonetheless must lead by example, and we will.

The budget that was submitted by the administration for this subcommittee to consider, not including the Senate items, or under the Architect of the Capitol for the Senate, is $3.6 billion, which is an increase of 6.8 percent over last year's enacted level. So when you include the Senate, the request is at $4.7 billion, or an increase of just over 6 percent over last year's enacted level.

Now, our job is going to be to scrutinize the request under our jurisdiction, and we will continue to lead by example by being efficient, effective, and doing more with less, as we have done in the past. I appreciate the hard work done to prepare these budget requests, and I look forward to the hearings from each of the agencies.

Now, today, we have with us the United States Capitol Police, the Chief of Police—thank you for being here, Mr. Dine; Assistant Chief Matthew Verderosa, who will be taking over as Chief—we

congratulate you—on March 20; and Mr. Braddock, the Chief Administrative Officer.

This will be Chief Dine's last testimony before this subcommittee.

And we are grateful for your service, Chief, in your capacity now. I know it is since December 2012, you were appointed to serve as the Chief of Police for the United States Capitol Police.

Now, during his tenure with the Capitol Police, he has overseen the 57th inaugural event of the President of the United States, 4 State of the Union addresses, thousands of visits from heads of state, dignitaries, and VIPs, joint meetings, summits, events, and demonstrations, over 30 million screenings for the Capitol complex in total, and the day-to-day operations of running a police department.

Chief, well done. Thank you. All of us on the subcommittee would like to thank you for your hard work and your dedication to the safety and the security of the entire Capitol complex, and we would also like to thank the officers and the civilians of the Capitol Police for their service.

Their presence has allowed Members and staff to safely conduct the people's work and ensure that all visitors can safely enjoy this rich history of the Capitol that we all endure and love.

Now, your budget request for fiscal 2017 is $409.6 million. This is an increase of just under $35 million, or around 9 percent, over last year's level. And while we understand your critical mission to ensure that our Nation's legislative and democratic process of government are conducted without disruption, our job, obviously, is to scrutinize this request and to make informed funding decisions as we move forward.

So with that, I would like to conclude my opening remarks and ask Ms. Wasserman Schultz, ranking member, if she has anything she would like to add, and then certainly recognize the ranking member of the full committee afterwards, Mrs. Lowey.

OPENING STATEMENT OF RANKING MEMBER WASSERMAN SCHULTZ

Ms. WASSERMAN SCHULTZ. Thank you, Mr. Chairman.

Chief Dine, really I want to echo the chairman's sentiment and add to it. Your service has been remarkable. To come into an agency that you did not grow up in, so to speak, and take command the way you did and be able to steer us through the myriad of challenges that a police agency faces every single day really reflects incredibly well on your management skills, and on the respect that your officers had for you. We were very fortunate to be able to have you lead the Capitol Police through this last 4 years.

I can tell you that I personally wish you extremely well moving forward. I enjoyed the conversations that we have had and always appreciated how you were readily available whenever we had questions and gave us really thorough and frank responses, because we don't always get those in the political process. So I just can't thank you enough for your incredible service.

Assistant Chief Verderosa, I'm looking forward to having that leadership continue. You have done a remarkable job. Now we will switch to an institutionalist, so to speak, to someone who did grow up inside the Capitol Police family, I'm looking forward to working

with you and having the same kind of relationship that I have enjoyed with Chief Dine.

As we are all aware, the Capitol Police was provided with the largest budget increase of any other agency in the fiscal year 2016 omnibus; $27 million, or 8 percent above fiscal year 2015. By comparison, the House was provided with a zero percent increase, the Library of Congress, a 1.5 percent increase, and the Government Accountability Office, a 1.7 percent increase. The budget before us today requests an additional $34.6 million, or 9.2 percent, in addition to the $27 million just provided in December.

Chief Dine, Assistant Chief Verderosa, we want security, but we do not want security to the detriment of everything else that makes Congress work, including our staffs. Part of the difficulty is the inability for this committee to see a force that is adequately preparing for current global threats.

In fiscal year 2016's request, as part of your $27 million increase, a $4 million carveout was fenced off until a plan was delivered by the Capitol Police Board. Those funds were provided was to prepare for threats after the tragedies in Paris and San Bernardino. Before receiving the plan, I expected initiatives that were focused on preventing and recovering from the type of mass casualty events that we have, unfortunately, seen play out across the country and the globe.

Instead, the plan that we received was to hire more police officers and place more magnetometers. That is no different than the basic Capitol Police budget and far from the forward-thinking vision that we need to prepare for our worst-case scenarios in an ever-changing world. In addition, 1-year infusions are meant to be just that, 1 year. Hiring officers is a 30-year financial commitment that grows with inflation each and every year.

Chief Dine, as you prepare to depart, we once again need your frank assessment on how the agency is prioritizing its resources and if we are being asked to fund a 20th century police force as our threats become more 21st century every year.

Just as important as how the decisions are being made within the department to prioritize funding, I would like to understand the process by which those decisions about preparing our force for how forward looking approaches are made. If we are having outside forces come in and make decisions for you, that is something that I would like to hear about during this hearing, and you should expect a healthy exchange from me during questioning.

Thank you, Mr. Chairman. I look forward to their testimony.

Mr. GRAVES. Thank you, Ms. Wasserman Schultz.

And I am delighted to have us with us the ranking member of the full committee, Mrs. Lowey.

Thank you for joining us.

OPENING STATEMENT OF RANKING MEMBER LOWEY

Mrs. LOWEY. I am delighted to be here, and I thank you very up much. And I thank the ranking member. It is a pleasure to be with you both today. And I am delighted to join you in welcoming the witnesses.

And thank you so much in advance for your testimony.

I particularly want to join my colleagues in commending Chief Dine on your years of hard work and service. You have been instrumental in ensuring the safety of this campus. And as I mentioned before, it is a real, real challenge. And we are very, very grateful. You will be missed.

And, Chief Verderosa, I want to congratulate you on your appointment as Chief of Police, and we look forward to working together.

Each year, my colleagues, between 3 and 5 million people from around the world visit the U.S. Capitol and surrounding buildings. The Capitol Police are tasked with protecting these sacred halls and the visitors, school groups, advocates, Members, and staff who come to the Capitol each day. This subcommittee has recognized the changing nature of global threats, has provided resources for the Capitol Police to prevent and respond to a worst-case scenario event.

For all those who visit the Capitol, it is imperative that funding from the Legislative Branch Subcommittee be used wisely to reduce our risk or respond capably during and after any incident. Addressing these needs, including enhanced security, the cost of necessary repairs to aging buildings and infrastructure, preservation of the Library of Congress, among others, is imperative for Members of Congress to meet the expectations of their constituents.

During these years of austerity, perhaps some of these agencies and initiatives could have been better addressed had the majority not spent over $6 million on a partisan political Benghazi investigation, 2.3 million defending the Defense of Marriage Act, and now hundreds of thousands more for legal action against the administration on the Affordable Care and Guantanamo Bay.

Since the elections will be over for the majority of fiscal year 2017, I hope we can set aside some of those excessively partisan endeavors to adequately invest in the legitimate security priorities before this committee.

So in closing, I want to thank you again, Chief Dine, for all your hard work, and I look forward to working with you.

And, Chief Verderosa, good luck to you. We know the enormous task ahead, and we look forward to working together.

Thank you, Mr. Chairman.

Mr. GRAVES. Thank you, Mrs. Lowey.

And, Chief Dine, now if you would like to give us a presentation of your written statement you have already submitted. I know that that is being submitted as part of the record, but we look forward to hearing from you as you want to describe some of your plans looking ahead and your final hearing and testimony.

STATEMENT OF CHIEF KIM C. DINE

Chief DINE. Yes, sir. Thank you, Chairman Graves, Ranking Member Wasserman Schultz, and members of the committee. I am honored to be here today, and I appreciate the opportunity to present the United States Capitol Police budget request for fiscal year 2017.

Before I begin, I would like to note that my full testimony, as you mentioned, outlining the Department's request has been submitted for the record.

I am joined here today by Assistant Chief Matthew Verderosa, our Chief of Operations and soon to be Chief of Police, and Mr. Richard Braddock, our Chief Administrative Officer, as well as some members of my executive management team and our Inspector General, Fay Ropella.

First, I would like to thank the committee for its sustained and unwavering support for the United States Capitol Police. I would specifically like to express our appreciation to the committee and to the Congress for providing the necessary salaries and general expenses funding for fiscal year 2016 to support our personnel and operations.

The women and men of the Capitol Police work tirelessly to ensure that the legislative process of our government functions without disruption or lapses in security or safety 24 hours a day, 365 days a year. But none of this would be possible without your support and that of the Capitol Police Board.

The Department's fiscal year 2017 request totals nearly $410 million and represents an overall increase of $35 million, or 9 percent, over the fiscal year 2016 enacted funding level of $375 million.

The Department's fiscal year 2017 personnel request reflects our continuous efforts at all levels of management to effectively and prudently manage our existing resources to achieve the best possible balance of staff versus overtime and to meet mission requirements. We are constantly analyzing our workforce to align job functions, assignments, workload, risk management, and organizational readiness, along with the ever-changing assessments and mandatory mission requirements within a dynamic environment.

Our fiscal year 2017 request includes base funding for 1,823 sworn officers and 373 civilian positions. These are the staffing levels funded during fiscal year 2016. In addition, the request also includes half-a-year funding for an additional 72 officers and 51 civilians.

With the rise of ISIL and continued efforts of Al Qaeda and other terrorist organizations to attack public venues, as well as increased occurrences of homegrown violent extremists and lone wolf-type episodes, we have seen a rise in the number of mass casualty events around the world and in the continental United States.

Based on this rise in terrorist events and the tactics displayed by the assailants, the United States Capitol Police have once again reviewed its operational and tactical posture to ensure that the department is taking every measure possible to maintain the security of the Capitol complex while allowing the legislative process to continue to function in an open environment.

In close coordination with the Capitol Police Board, the Department believes that the implementation of security measures to better secure and screen within House garages, the full implementation of additional screening and prescreening at various building access points, and the implementation of enhanced screening portals is necessary.

Before requesting additional personnel, the Department looked at its current mission load and worked closely with the Capitol Police Board to modify or eliminate mission requirements in order to offset new mission requirements. Additionally, the Department has

reviewed duties currently performed by officers that could be civilianized in order to repurpose current officers to better meet operational requirements. Funding for 48 new civilian positions requested will be utilized for this civilianization process, and funding for 3 new civilian positions will support the increased physical security infrastructure.

The funding request represents an overall increase of approximately 8 percent over fiscal year 2016 salaries enacted level, which includes funding for the 2017 Presidential Inauguration, natural salary increases, additional staffing requirements, and increased overtime costs, since the department's current sworn staffing levels do not entirely provide the necessary resources to meet all of our mission requirements.

The second area I want to cover in some detail is our requested general expenses budget, which includes protective travel, hiring, outfitting, and training new sworn personnel, supplies and equipment, management systems, nonpersonnel Presidential Inauguration support, and other nonpersonnel needs. We are requesting $76 million for general expenses, which is an increase of $10 million over the fiscal year 2016 enacted level.

The increase results from normal increases in operating costs, inauguration costs, cost to train, recruit, and outfit the new employees previously mentioned, the cost of life-cycle key items and routine equipment systems, and the restoration of annual levels, reduced in previous fiscal years, to meet regular department needs. The request also includes an additional requirement to equip a fully functional Alternate Command Center.

In closing, I am very grateful for your time today. As you know and as you mentioned, this is the last time I will appear before you representing this great organization. I have had the distinct pleasure of serving as the Chief of Police through one Inauguration, four State of the Union addresses, six Joint Meetings of Congress, historical events, the African Summit, which included over 50 heads of state at the Capitol, and as you noted, over 30 million screenings, over 600 demonstrations, the rollout of our new strategic plan, the achievement of the Gold Standard accreditation from the Commission on Accreditation and Law Enforcement, the implementation of our new digital encrypted radio system, the creation of a field commander program, the implementation a new field training program for new officers, the completion of active shooter training for the entire department, a new hiring process for recruits which has resulted in over 20,000 applications over the last 3 years, the hiring of a labor relations specialist to maximize labor-management relations, the hiring of a new chief information officer, a new diversity officer, and a new communications director, and lastly, the implementation of a new communication practice to better communicate with you and the greater congressional community.

All of this has been a possibility because of your support and the excellent work by the women and men of the United States Capitol Police.

I would like to make special note that all of this was done while keeping the congressional community safe. And so I would like to thank the women and men of the USCP for their commitment to

our mission and their unwavering dedication every day to ensuring the safety and security of our Members, staff, and many visitors who come to the Capitol to see our great democracy in action.

Thank you for the opportunity to appear before you today, and I would be pleased to answer any questions you may have at this time.

[The prepared statement of Chief Dine follows:]

Testimony of
Kim C. Dine
Chief of Police, United States Capitol Police
Before The United States House of Representatives
Committee on Appropriations
Subcommittee on Legislative Branch

March 1, 2016

Chairman Graves, Ranking Member Wasserman Shultz and Members of the Committee, I am honored to be here today, and I appreciate the opportunity to present the United States Capitol Police budget request for fiscal year 2017. I am joined here today by Assistant Chief Matthew Verderosa, our Chief of Operations, and Mr. Richard Braddock, our Chief Administrative Officer, as well as some of the members of my Executive Management Team and our Inspector General.

First, I would like to thank the Committee for its sustained and unwavering support of the United States Capitol Police. I would specifically like to express our appreciation to the Committee and the Congress for providing the necessary salaries and general expenses funding for fiscal year 2016 to support our personnel and operations. The women and men of the Capitol Police work tirelessly to ensure that the legislative process of our government functions without disruption or lapses in security or safety 24

hours a day, 365 days a year. But none of this would be possible without your support and that of the Capitol Police Board.

My management team and I are very proud of the close partnership that has evolved between us to make this possible. Your confidence in us, and the support you have provided to the Capitol Police over the years, has undeniably been a remarkable contributor to our success in achieving our mission. You and your staff have taken great time and made significant efforts to work closely with the Department's leadership team and we are truly grateful for your keen understanding of the complexity of our mission and the challenges we face.

While our mission has not changed, the scope of the threats that we face is changing – and the ways in which we must continue to adapt to those threats has to change. We will continue to meet our mission by adapting and improving our capabilities while remaining true to our core values. Our ability to thwart attacks and safeguard the Capitol Complex hinges on our flexibility to efficiently adapt operational and administrative capabilities to the ever-changing environment.

Before I begin the specifics of the Department's fiscal year 2017 budget request, I would like to express again our appreciation to the

Committee and the Congress for providing the essential salaries and general expenses funding for fiscal year 2016 to support our personnel and operations, which has ensured a high-level of capability and mission readiness. Since we last met, the USCP has been proud to support four Joint Meetings of Congress, which included addresses from the Prime Minister of Israel, Benjamin Netanyahu, the President of the Islamic Republic of Afghanistan, Ashraf Ghani, the Prime Minister of Japan, Shinzo Abe, and His Holiness Pope Francis of the Holy See.

During fiscal year 2015, we published and began the implementation of the USCP Strategic Plan – FY 2015-2019. I, along with my management team, worked to communicate the importance of this effort through a variety of efforts across various media, including videos, electronic messages, training for USCP employees (including new recruit officers) and face to face discussions at roll-calls, across all three shifts.

These efforts were meant to communicate the importance of our Strategic Plan as well as to answer any questions USCP employees might have relating to ongoing efforts to improve organizational effectiveness in the accomplishment of agency goals and our mission. We identified a vision for the future, articulated the USCP's Core Values, established transformational priorities and laid out a path for continuous improvement

and adaptation. This effort identified strategic mission stances, lines of business, and led to the development of purpose statements for all USCP programs and functions. To support these efforts, Strategic Working Groups have been convened led by USCP executive managers and senior staff to assist with addressing key transformational priorities outlined in the Strategic Plan.

During fiscal year 2015, we began the process of identifying and establishing key performance indicators, measures, and a formal process for monitoring program performance. This provides the foundation for the Department to continue to improve our programs and functions to meet Congress' expectations and our mission both today and tomorrow.

I was proud to discuss last year that the Department was awarded the Gold Standard from the Commission on Accreditation for Law Enforcement Agencies. This is the highest rating that a law enforcement agency can receive, and is reserved for organizations that exhibit strong organizational health. Efforts continue to ensure that we are prepared for our next accreditation which will occur in fiscal year 2017. We continue to refine our programs and functions and participate in mock assessments and work within our region with peer law enforcement agencies to share best practices and lessons learned.

Our fiscal year 2017 mission-focused request is grounded in the framework of our Strategic Plan. To achieve our vision as a nationally recognized results-oriented law enforcement organization, the Department continues to reinforce a culture that supports effective planning, performance management, communication, accountability, and employee empowerment. We are currently developing the internal framework to employ smart policing by taking a results-oriented, data-driven approach that effectively meets current and future threats and challenges. Further, we will continue to deliver safety and security by deploying effective law enforcement services through collaboration, adaptability and innovation. It is the Department's position that we will achieve organizational excellence by promoting accountability through employee engagement and a positive work environment, as well as maximizing our effectiveness through the adoption and implementation of best practices.

At this time, I would like to offer the Committee an overarching summary of our fiscal year 2017 request. I will follow this summary with a discussion of specific budget items of particular significance to you and the Department.

The Department's fiscal year 2017 request totals nearly $410 million and represents an overall increase of nearly $35 million or 9% over the fiscal year 2016 enacted funding level of $375 million.

As with other law enforcement agencies, personnel salaries and overtime represent the majority of our budget each year. As you know, we are a service organization, and we need dedicated and trained professionals to provide that service.

The Department's fiscal year 2017 personnel request reflects our continuous efforts at all levels of management to effectively and prudently manage our existing resources to achieve the best possible balance of staff versus overtime to meet mission requirements. We are constantly analyzing our workforce to align job functions, assignments, workload, risk management, and organizational readiness, along with the ever-changing threat assessments and mandatory mission requirements, within a dynamic environment.

Our fiscal year 2017 request includes base funding for 1,823 sworn and 373 civilian positions. These are the staffing levels funded during fiscal year 2016. In addition, the request also includes half year funding for an additional 72 sworn officers and 51 civilians.

With the rise of ISIL, the continued efforts of Al Qaida and other terrorist organizations to attack public venues, as well as increased occurrences of homegrown violent extremist "lone wolf" episodes, we have seen a rise in the number of mass causality events around the world and in the continental United States. Based on this rise in terrorist events and the tactics displayed by the assailants, the United States Capitol Police have once again reviewed its operational and tactical posture to insure that the Department is taking every measure possible to maintain the security of the Capitol Complex, while allowing the legislative process to continue to function in an open environment. In close coordination with the Capitol Police Board, the Department believes that additional screening of various means must be used. These include the implementation of security measures to better secure and screen within the House garages, the full implementation of additional screening and pre-screening at various building access points, and the implementation of enhanced screening portals. The additional sworn personnel are meant to enhance the Department's ability to detect, impede and address threats and risks that currently exist and that continue to evolve.

Before requesting additional sworn personnel, the Department looked at its current mission load and worked closely with the Capitol Police Board on areas to modify or eliminate mission requirements in order to offset new

mission requirements. Additionally, the Department has reviewed duties currently performed by officers that could be civilianized in order to repurpose current officers to better meet operational requirements. Funding for 48 new civilian positions requested will be utilized for this civilianization process and funding for 3 new civilian positions will support the increasing physical security infrastructure. The funding request represents an overall increase of approximately 8% percent over the FY 2016 Salaries enacted level. This increase is necessary to addresses the natural salary increases incurred by the Department, additional staffing requirements and increased overtime costs to meet our needs, especially for the 2017 presidential inauguration.

As you are aware, the Department's current sworn staffing levels do not entirely provide the necessary resources to meet all our mission requirements within the established sworn officer utility or the number of work-hours in a year that each officer is available to perform work. This utility number is used to determine overall staffing requirements, and balances the utility of available staff with annual salary and overtime funding along with known mission requirements such as post coverage, projected unscheduled events such as demonstrations, late sessions and holiday concerts, and unfunded requirements that occur after the budget is enacted, such as unforeseen critical emergency situations. Because of the need to fill

the mission requirement gap through overtime, the Department has struggled to pull our sworn personnel offline to conduct training. In order to achieve mandatory training, we must utilize overtime to ensure that the officers may be offline for training, while meeting our daily mission requirements. There are flexibilities in other law enforcement agencies in offsetting or deferring daily requirements to allow for training that our unique mission does not afford.

Thus, mission requirements in excess of available personnel must be addressed through the identification of efficiencies such as post realignment and/or reductions, technology, and cutbacks within the utility. Where necessary, we meet this requirement through the use of overtime. The Department is currently in the process of implementing an automated scheduling system to improve efficiency through information-based management. Once fully implemented, this will result in enhancements to a number of policies and procedures that have a direct and indirect impact on our overtime needs. At the requested funded staffing levels, the Department's fiscal year 2017 overtime projection is approximately $35 million. This amount will cover base mission requirements, the inauguration, our support of non-reimbursable events at the Library of Congress and the ability for sworn employees to be backfilled while they attend necessary and/or mandatory training.

The second area I want to cover in some detail is our requested general expenses budget, which includes protective travel; hiring, outfitting, and training new sworn personnel; supplies and equipment; management systems; non-personnel presidential inauguration support and other non-personnel needs. We are requesting $76 million for general expenses, which is an increase of $10 million over the fiscal year 2016 enacted level. The increase results from normal increases in operating costs, inauguration cost, cost to train, recruit and outfit the new employees previously mentioned, the cost to life cycle key items and routine equipment and systems, and the restoration of annual levels reduced in previous fiscal years to meet regular Department needs. The request also includes an additional requirement to equip a fully functional Alternate Command Center at a cost of $1.6 million. If the current Command Center at USCP Headquarters cannot be utilized due to power or access issues, a room at another building, with very limited equipment is the only other solution at this time. The proposed Alternate Command Center would include back-up power, emergency notifications systems, connectivity to the House, Senate and USCP messaging systems, secure communications, campus and airspace monitoring ability and stations for the commanders to conduct command and control oversight functions and to ensure stakeholders are continuously provided situational awareness.

With resources provided to the Department, our officers provide a safe environment for the facilities of Capitol Hill. For the U.S. Capitol Building alone, we provided a secure and open environment for well over 1.5 million square feet, over 600 rooms, approximately 850 doorways, and miles of corridors; which speaks to the vast magnitude of our mission and how our ability to remain agile and prepared to respond is key to the accomplishment of our mission. In fiscal year 2015, the Department performed over 8.9 million screenings of people entering Congressional buildings (including over 1.5 million visitors to the Capitol Visitor Center). Outside the buildings we kept the Capitol grounds safe by conducting more than 132,000 K-9 vehicle sweeps and nearly 33,000 offsite vehicle inspections.

For the sixth year in a row, the Department has implemented uniform procedures to effectively measure and justify USCP planning, program, and resource requirements through a comprehensive, standardized, and repeatable management process, which we call the "Force Development Business Process." It provides for a transparent decision-making process, including reviews and approvals by an Investment Review Board made up of key agency management, and provides a structure that is results-driven and based on meeting operational needs. In addition, to ensure the accuracy of our budget request, our fiscal year 2017 budget went through multiple

layers of review and validation, and is traceable to supporting documentation for each budget element.

Further, we continue our work to close audit recommendations and to address our material weaknesses from prior audits by working closely with our Inspector General and the Government Accountability Office to address identified issues and by providing the evidence necessary to close findings. In particular, I am pleased to report that the Department received a fifth consecutive unqualified "clean" opinion on our financial statements. Also in fiscal year 2015, we have worked closely with the Office of Inspector General to close 29 recommendations and have closed another 12 recommendations so far in fiscal year 2016. Additionally, we are working on the resolution of a number of other recommendations in order to achieve greater efficiency and effectiveness with our administrative programs. The long-term resolution of recommendations related to internal controls, business processes and material weaknesses remains of the highest importance to our management team.

In closing, I am grateful for your time today. The United States Capitol Police will continue to work closely with you to ensure that we meet the needs of the Congress and our mission in a reasonable and responsible manner. And lastly, I would like to thank the women and men of the USCP

for their commitment to our mission and their unwavering dedication every day to ensuring the safety and security of Members, staff, and the many visitors who come to the Capitol to see our great democracy is action. It is truly inspiring.

Thank you for the opportunity to appear before you today and I would be pleased to answer any questions that you may have at this time.

Mr. GRAVES. Thank you, Chief, for your testimony, and also you took a moment there to summarize your tenure and experience and a lot of the accomplishments you have seen and participated in. I really, on the onset, only have one quick question for you, and then I will go to Ms. Wasserman Schultz next.

FUTURE THREATS AND CHALLENGES

As you leave and as you are, so to speak, passing the baton to your right, what challenges do you foresee that you feel comfortable in sharing, that are looking at us in the horizon, aside from monetary, budgetary, those kind of things, but more just some of the physical threats or challenges you see that we should be aware of?

Chief DINE. Well, thank you, sir. That is a great question. I think the challenges we face are somewhat unique to this great organization. Police departments across the country face all types of challenges in terms of gaining the trust of the communities they serve, and that is no different here.

But as everyone here knows, we are essentially an antiterrorist organization. We face asymmetrical threats. We face a threat posture now that is much less clear than it has been in the past. As is publicly known, a lot of communication now is frankly in the dark, so we don't know what we don't know. We protect an open campus, it requires people paying attention, and it does require a lot of resources.

We are very much plugged into the intelligence community across the country at multiple levels in a number of task forces, and every single day we take the temperature of the threat posture. We also do that yearly as part of our own internal business process to see what type of budget we should build around these threats.

I think the challenges we face center around the fact that homegrown violent extremists are on the increase, the number of attacks over the years are on the increase. There have been 60 arrests of United States citizens since March of 2014 and August 2015. Since 9/11, there have been 144 terrorist plots; 85 percent of those have been since 2009.

Mr. FARR. There are plots on the Capitol?

Chief DINE. No, across the country. There have been 81 total arrests, ISIS-related arrests in the United States.

So we face all of those challenges and the day-to-day challenges of keeping everyone here safe in an orderly, open, free environment.

I will say, on a daily basis, and we are very proud of this, and this is also something other departments face also, we rarely make the news, the fact that every day we protect people's rights to be heard when they come here and express their first amendment rights. We manage those demonstrations with sophistication and communication and through teamwork, so you don't hear much about those.

It does require coordination and sophistication. As you know, we work very, very closely with the United States Secret Service, the United States Park Police, the FBI, the Metropolitan Police Department, pretty much all of the agencies in the National Capital

Region, as well as departments around the country, when we engage in our dignitary protection efforts.

Mr. GRAVES. Well, thank you. I know that myself and many of the members of the subcommittee had the opportunity to visit the headquarters and were greatly impressed with the assets, the intelligence, the information, all that you are working with and coordinating to keep this a safe environment, given all the threats you have identified.

Knowing that we have votes coming up at some point later this afternoon, I respect everybody's opportunity to have questions here.

Ms. Wasserman Schultz, let's go to you next, and then we will go around the room some.

LONG-TERM IMPACT OF THE SPENDING PLAN FOR ENHANCED SECURITY

Ms. WASSERMAN SCHULTZ. Thank you very much.

Chief, in my opening statement, I made mention of being surprised an additional $4 million was provided in the omnibus. Those funds were fenced off specifically to fund approaches to keep us safe in the wake of mass casualty attacks in places like San Bernadino and Paris, and require committee approval before they are used. But, again, as I mentioned, those funds are now simply going towards more officers and more magnetometers, 48 actually, and those funds are going to be used to hire, train, and equip those 48 sworn officers.

Since the plan came up after your fiscal year 2017 request, does your budget need to be adjusted to pay for those officers? And much has been made by many Members about the need for us to return to regular order in both the appropriations process and the process that we are using to move legislation, and that, to me, is not representative of regular order by any means, especially when we are obligating a lot of money through the balance of an officer's career. It is not 1-year money.

So if you could touch on that. Additionally, I want to ask you, as I asked you when we first had a chance to talk at one of these hearings, about the Capitol Police Board. Because, if you will recall, I asked your opinion of the Capitol Police Board and its structure, and you had only been on the job a couple of months and had good things to say, including positive reviews to the Board, and the direction that they provided.

So three years later, as you are departing this institution, I would like that same assessment. How has the governance structure of the Board worked? Has it allowed the Chief to function in a way that enables reasonable planning, allows the Chief to address appropriate security needs, and be held accountable for those decisions?

Specifically in the fiscal year 2017 request, how much of the Capitol Police budget would you estimate is due to direction from the Board or the Sergeant versus what your department has prioritized?

Chief DINE. Thank you.

Ms. WASSERMAN SCHULTZ. I told you it would be challenging.

Chief DINE. You did, and you were correct.

I think the first and third answer go together. It is a function of the threats we face, the timing of the threats, the timing of

things that happened in Paris and San Bernardino, and also some longstanding issues within the Capitol complex, such as garage security, so that has been sort of——

Ms. WASSERMAN SCHULTZ. Have we faced a credible threat similar to San Bernardino or any other——

Chief DINE. Well, the good news is at this time we do not have any current credible threat against the United States Capitol, although, as you know, there have been some. The challenge is we don't know what we don't know. Over the last four years we recovered 62 weapons, 60 tasers, 389 knives. Those are just some of the day-to-day police activities that our officers do either at checkpoints or traffic stops as they work to try to keep——

ROLE OF THE CAPITOL POLICE BOARD IN THE USCP BUDGET PROCESS

Ms. WASSERMAN SCHULTZ. How much of your request is due to your prioritization as the leader of the police force and your fellow officers and direction from the Capitol Police Board or the Sergeant?

Chief DINE. We worked with the Capitol Police Board to identify three priorities.

One was prescreeners, which we believe helps keep the Capitol safe and within the perfect world would be the best way to deploy staff around the Capitol. Without getting into too much detail about our security, but people know we staff our posts. In the best possible world, we would have multiple prescreeners at multiple doors to see a threat coming and engage that threat outside. That was the first priority.

The second priority was garage screening, and the third priority was enhanced portal screening for the chambers. Those are done in conjunction with the Capitol Police Board and ultimately the Board's direction as we formulate those plans together.

We formulated a strategic approach to address all three of those priorities, hence the budget as it was crafted, and the challenge, as you noted, is those are new tasks which require officers.

We have made a creative attempt to better utilize our manpower, to see what functions we can civilianize, which is why the 48 civilians are requested to move officers from our Communications Division and our Command Center and some sworn from the Training Division and reassign them to other posts to be efficient and make the best use of our sworn personnel.

There have been creative efforts to try to do that and to take on these additional tasks.

STATE OF USCP READINESS

Ms. WASSERMAN SCHULTZ. What is the readiness state of the police? we have given you upwards of 8 to 10 percent increases with flatlining the other agencies. How many officers is the ideal number? We all want to be safe, and we want to keep the visitors that join us here safe, but it does seem that there is never an ideal number.

I remember, Mr. Chairman, when I was the chair of this subcommittee, and it is a question that I still ask any agency head to respond to: there are the "got to haves" and the "nice to haves."

I have seen many, many bells and whistles that are available to the Capitol Police, and I could see the value in each and every one of those. But when we have just come through a recession and there are real needs for the rest this bill, we need to make sure that we are funding those real needs and not the bells and whistles that could maybe wait so that we can fund the overall needs of an agency that is an entire branch of our Government.

I know that is not your job to prioritize, but it is a question that is in need of an answer because it is hard to know when you are ready.

Chief DINE. It is a brilliant question, and it faces every Chief in the country.

Ms. WASSERMAN SCHULTZ. A brilliant question. Thank you very much.

Chief DINE. Well, and I don't think there is a Chief that knows, generally speaking, what that perfect number is, and in my previous lives, I have had that same conversation. I think in some ways it is easier for us because of the functions that we face, which are quite often specific.

We have a number of posts that, for a number of reasons, we have to staff. Because of the fact we have so many fixed posts and assigned specific duties, it makes, for instance, training those officers more of a challenge than it would your traditional police department where you literally could take maybe half the officers offline and the public might not even realize that there are half of the officers working for a 2-week period or a tour of duty.

Ms. WASSERMAN SCHULTZ. Are you in a posture where you will just ask for whatever we will give you and you will take whatever we will give you because you could always put it to good use?

Chief DINE. No, the——

Ms. WASSERMAN SCHULTZ. Or are you actually crafting a budget that is representative of what your actual needs are to be able to make sure that we can cover the Capitol complex and its security needs?

Chief DINE. Well, first of all, we will always do the best we can with the resources that you give us, and we appreciate those resources. We feel that Appropriations takes very good care of the department and the congressional community. That being said, this budget and the budgets that we craft are specifically crafted to meet the very specific and focused duties that we are being asked to do by the Capitol Police Board and our multiple stakeholders.

There are literally post-by-post reviews, and we scrub every assignment and we analyze every post. We want to have sufficient number of relief for those officers. We want to be able to have a response capability. In fact, we want to be able to have multiple response capabilities as we saw a couple of years ago when we had simultaneous disruptions in some hearings. We can't be equipped to only respond to one disruption. We need to be able to respond to multiple disruptions.

Ms. WASSERMAN SCHULTZ. Mr. Chairman, I yield back. I have other questions, but I will reserve them.

Mr. GRAVES. Thank you, Chief. And I think from the onset I mentioned there would be some scrutiny in questions, and as dem-

onstrated with the brilliant questions coming from Ms. Wasserman Schultz, with brilliant answers, obviously, from the Chief.

Mr. Amodei has indicated he has no questions at this time, but——

Ms. WASSERMAN SCHULTZ. My work here is done, Mr. Chairman.

USCP RADIO SYSTEM

Mr. GRAVES. Mr. Palazzo is next in the queue.

Mr. PALAZZO. Thank you, Mr. Chairman.

And thank you to our Chief and our Capitol Police. You make us feel safe, not just here in D.C. and our staff and our families, but also at home, being very responsive to possible security situations. I am glad to have you on our side.

In 2014, I believe you all upgraded to a new interoperable radio system after years of delay. Do you care to tell us, is it working?

Chief DINE. Thank you for that question. Yes, sir, I am proud to say, because of the work of Mr. Braddock and his entire team, that system, the minute we turned it on has worked flawlessly. We are extremely proud of the way that system works. There is not a day that goes by as I am traveling around on the campus or in the city or in the region where I don't marvel at the effectiveness of that system.

Just the other day, we were in a tunnel and there were some accidents there. We stopped to deal with that. It works pretty much everywhere, but it is built to be continually improved and upgraded as necessary, as we need to put things online.

Thank you for your support for that system. And yes, it is working very, very well. We are very proud of it.

Mr. GRAVES. Anything else?

Mr. PALAZZO. Well, Mr. Chairman, I do have some questions, so if we ever do a more secretive—probably more about the operations and the things that we don't see on a daily basis that they are probably doing to keep us safe.

Mr. GRAVES. Yes. All right.

Mr. PALAZZO. I don't think this will be the setting.

Mr. GRAVES. That might be a different setting, yes.

Mr. Farr.

Mr. FARR. Thank you, Mr. Chairman. I hope that after the votes we will come back, because this is a half-a-billion-dollar budget hearing, and we haven't even talked about the Architect of the Capitol.

Mr. GRAVES. I appreciate you bringing that up. That is the plan. That is probably likely after your question. We will see. Maybe Mr. Jenkins will have a question, and then we can go vote. We will suspend, recess for a moment, and then return.

Mr. FARR. Well, I would like to echo, Chief Dine and the others, your incredible public service.

Chief DINE. Thank you, sir.

Mr. FARR. I want to also thank you for allowing the kids to sled on the west slope after the Snowmageddon. I think that was a great uplift for the Hill, and I appreciate your tolerance in that.

Chief DINE. Thank you.

Mr. FARR. You just laid out, I mean, to me it seems have built an empire since you have been here. And that is a good thing. I

think people in charge need to build empires. But when you talk about an open campus, I would argue that your actions make it is less open. The garages are less open because we have closed permanent doors in Longworth and Rayburn garages. We have closed hallways. We now want to put a magnetometer and officers in the garage off of Longworth.

I am concerned because right now, as we speak, somebody just sent me a video—I mean, a picture of the long line outside of Longworth. All this week people have been out there, and last week in the rain, out to the sidewalk. You haven't changed the number of officers in that line, you have two magnetometers there, and only one is ever open. The same number of officers are on there. And we keep giving you more officers.

This building is owned by the American public, not by us in Congress. They lend us these jobs, and in turn we hire you. But our function for all of us here is to make government accessible and petitionable and all of those things, and I know we have to have all this security. We have to have good security. But I am concerned about sort of the mission creep, and I want to get into some questions.

COORDINATION WITH LAW ENFORCEMENT AGENCIES IN DC

One of them is, and I asked this last year, but I don't know if I got an answer about how many law enforcement agencies are there, including all the Federal agencies, the Park Service Police and the White House, both uniform and un-uniform. How many law enforcement agencies are there in the District of Columbia?

Chief DINE. There are about 32.

Mr. FARR. Thirty-two separate law enforcement.

Chief DINE. I believe so.

Mr. FARR. And do you have interoperable agreements with them, like the fire department does, on backup responding?

Chief DINE. Yes. We work very closely with many or most of them. We have interoperability with our radio system with many of them, and we do support each other. I think as time has passed, I was actually, as you may recall, with the DC Police Department during 9/11. After that, the departments, frankly, began to communicate better, and I think each of us also began to, it is sort of a double-edge answer, carve out our role and responsibilities.

Mr. FARR. Well, as I understand, last year, when you were asking for the increase, it was for overtime, and the overtime was being paid because we had to release officers on these new special duties. We have a canine team, we have a chemical team, we have a SWAT team, we have all kinds of different teams, and officers have to be specially trained for that, and we give them overtime. We suggested that, perhaps with mutual aid agreements, that these 32 departments together could probably respond to a lot of these specialty needs without having to have our own in, without having everything in-house.

I mean, this is the kind of problem the Government has everywhere, just needing more and more and more. We are coming to the end of the line of that. We are really looking for building of more cost-effective collaboratives.

Chief DINE. We do collaborate during our national security special events. There is great cooperation and teamwork among all the agencies. I think the challenge we face from a day-to-day perspective, those functions you just mentioned, those are daily tasks that we have to engage in at that time. There are layers——

Mr. FARR. Don't each of those 32 agencies have to do the same thing? I mean, doesn't the Metropolitan Police, which surrounds us, have all those functions? You have a 4-block jurisdiction, they are responsible for everything in that and outside.

Chief DINE. Right. Their role and responsibilities are different. Where our role and responsibilities are detecting both vehicle-borne explosives and personal-borne explosives, the Metropolitan Police Department deals with other issues. The challenges we face are separate and distinct in that regard, and I know that none of them have the ability to take on those functions for us.

In regard to the Department's overtime, as we often say at our budget hearings, we actually have more mission than we have people, which is why there is always some——

Mr. FARR. Well, that is what I am kind of hinting at, that maybe some of that mission ought to be more shared and more mutually responsive than just stand-alone here.

Chief DINE. Right.

Mr. GRAVES. Mr. Farr, before you go on to your next question, I am watching the vote clock behind you.

And Mr. Jenkins, if he could get in any kind of comment or question you have before we recess and come back, the chief and his team will still be here, and we will continue if that is OK with Mr. Farr.

Mr. Jenkins.

Mr. JENKINS. Just like those who are looking forward to retirement, they can count the days, the hours, and the minutes, we watch as well.

Chief, thank you for outstanding service. We wish you the very best. Thank you for all you have done to keep us safe and the public who comes to visit. So thank you for your service.

Mr. Chairman, I yield back.

Mr. GRAVES. OK. Thank you, Mr. Jenkins.

Well, this committee will stand in recess until we return, and we will be back in not too long, I would hope. Maybe 10 or 15 minutes, Chief.

Thank you all very much. We stand in recess.

[Recess.]

LONGWORTH MAGNETOMETERS

Mr. AMODEI [presiding]. We are going to call the meeting back to order. Thanks, Chief and Assistant Chief and Mr. Braddock, for your patience. I understand, Chief, you have leave at 2:45.

So we are going to start with the gentleman from California. I think he had some other questions.

Mr. FARR. Thank you.

Mr. AMODEI. So please proceed.

Mr. FARR. Thank you very much.

When you were in the office last Friday, we were talking about the new magnetometers that were going to be placed in the Long-

worth Building and the personnel that would be needed for that, for passage from the Longworth garage. You indicated that you would need no new personnel to staff those magnetometers, you would arrange it, it would be budget neutral. Well, I see in this budget that you have requested 72 new officers.

So which is it? Is it budget neutral, no new staff, or 72 new officers? Is it budget neutral when you are requesting $5.7 million more? I don't think that those magnetometers and officers truly are budget neutral.

But I am just curious as to where this suggestion originated. Was it something that came out of law enforcement or was it something that came more out of staff in Congress, leadership staff? Who comes and says we need this in light of San Bernardino? I am getting a feeling that some of this pressure on you is not necessarily originated in law enforcement circles.

Chief DINE. Well, there are probably a couple of answers to that. As you know——

Mr. FARR. You are leaving, so we can say anything.

Chief DINE. It has been an identified vulnerability for a number of years, probably over 10 years. That being said, we work very closely with the Board, and as you know, each Board member—even though I am a member of the Board, I am a nonvoting member—each Board member has their own role and responsibilities for their constituents. And that was a priority of the House as well.

We work with the Board as a whole to craft—in addition to our own force development process, every year we go through our own internal process to identify threats and vulnerabilities to build our budget.

Mr. FARR. Well, I appreciate that. I think what Congresswoman Wasserman Schultz was talking about is the Board's role.

I think, Mr. Chairman, one of the things that we need to do in Congress, and everything we do in government, is to be aware of mission creep. We gave no COLA to our employees last year. The budget by the Architect of the Capitol, I think requests about a—I forget the percentage increase, but it is a substantial percentage increase. And the Capitol Police, it is a 9, almost 10 percent increase in the budget request.

We all need to be focused on safety and morale. Poor morale could lead to crazy gun shooters. We can secure ourselves beyond necessity, at the same time leave ourselves vulnerable to disgruntled people. So I do think you always have to balance that.

I just wonder whether these new checkpoints—particularly setting up a magnetometer in the Longworth garage access point when staff have already been cleared to enter—is necessary. Drivers to go in with your their own car, you have to show your own ID, nobody can be in that car without an ID, officers look in your trunk, you park your car, you get out, then you got to do it all over again. That person is our staff.

In fact, you are going to hear, because I just, being late to this, I rushed my staff through the security downstairs because people said when you are in a hurry and your chief of staff is with you, you can do that. And the officer called me out, wanted to know my name, took it down, I gave it to him, and he said he was going to

talk to you about it. So you can say: Well, that Farr, he is just a troublemaker anyway.

I think that by doing this we are questioning the loyalty of our own staff. And, you know, you are only going to put this magnetometer in one garage, in one place. It is not going to be done in the Rayburn garage. So why not wait until it can be done in all garages? Instead you should have officers opening up building doors, so when the public is trying to get into Longworth, they can get in, and probably Cannon as well, and Rayburn.

If we need more officers for the door, that is fine, but do we need more officers to check our staff? I am not with it.

CONCEALED WEAPONS IN THE CAPITOL COMPLEX

Let me just ask you one last question and then I am finished. When we were talking, I went back and looked at the stated priorities of the department, and your stated priority is to provide comprehensive internal assessment, assessment capability to identify and validate threats.

Is it true that there are Members of Congress who carry concealed weapons on campus and even in the House Chamber?

Chief DINE. I don't know that for a fact.

Mr. FARR. Do they carry concealed weapons, some Members?

Chief DINE. I believe some Members have concealed carry permits.

Mr. FARR. You don't know about those?

Chief DINE. But as how they carry them or where they and when they carry them, I am not aware of it.

Mr. FARR. Can they get into their offices with those weapons?

Chief DINE. They are allowed to have them in their offices. How they get them there would be a subject of questioning. They are allowed to have them in their offices.

Mr. FARR. Do you know every Member who has one?

Chief DINE. No, sir.

Mr. FARR. Isn't that part of your role under your responsibility to know?

Chief DINE. That would be interesting information to have.

Mr. FARR. Well, interesting? It is essential. Here we are trying to create a really secured campus, and we don't even know how many Members are essentially violating the rules. the law allows them to have a concealed weapon, I guess, but it is not necessary to bring that weapon into the House and certainly not on the floor.

Chief DINE. They may in fact be comporting with the rules, and this is probably one place where the Sergeant at Arms—the role of the Sergeant at Arms does come into play since they are the direct liaison to the Members.

Mr. FARR. Would carrying a weapon onto the House floor be committing an illegal act?

Chief DINE. That would be something that the Sergeant at Arms and Capitol Police would not want to have happen.

Mr. FARR. Maybe with the Sergeant here tomorrow we can get to the bottom of this.

Thank you.

Mr. AMODEI. Thank you.

Anything from the gentleman from Mississippi?

Mr. PALAZZO. I have already asked my question.
Mr. AMODEI. Thank you.
Mr. PALAZZO. And he answered, so thank you.
Mr. AMODEI. The gentlelady from Florida.
Ms. WASSERMAN SCHULTZ. Thank you very much.

HOUSE GARAGES AND ENHANCED SECURITY

Chief, I want to just go more specifically into the issue of the House garages and the security screenings that are in the process of being implemented, or at least getting ready to be implemented.

Why has a proposed security in the House garages suddenly gone through an implementation process that did not go through the normal appropriations process, was never discussed by any elected Member of Congress, hasn't gone through regular order, or allowed us to prioritize how much that would cost compared to competing needs? I'm concerned this new proposal is causing shifts of officers and causing what I would view as a shoddy, disorderly process. This process ultimately will likely not result in our being able to make sure that the security goals are achieved. We should rather be going through an orderly process that allows for people who were elected to make funding decisions, and who were selected for this committee to do that; to do our jobs.

So I have several questions in that category. Will the screening of staff at garages mean that the screening of staff and visitors at the Cannon and Rayburn tunnels are going to be eliminated? For example, the Senate screens all the staff, so they have closed out the screening in other places because they have one sort of central point. I know they screen a lot less people than we do.

Chief DINE. Yes, ma'am. Ultimately, yes. The answer to that is long term, yes.

Ms. WASSERMAN SCHULTZ. OK. I thought that would be your answer. We are only in the process of trying to do this in Longworth. So, how are you going to achieve that if we are not doing the same in Rayburn, which has, perhaps 80 doors inside the garage? Let me preface this by saying I am absolutely 100 percent behind necessary security measures. I mean, we absolutely should have these in place. But we have a process that exists for us to follow as appropriators, and it has not been followed.

Now you have to come up with how many officers you are having to shift midstream that you haven't planned for. Are you going to leave them wherever they were uncovered, or have those slots covered by something else or someone else?

Why would we partially implement a garage security project? It seems to me like you should do it all or you don't do any of it until you can do all of it. What is the total startup cost to fully implement garage security? How much is it going to cost us in staffing each year after it is up and running? Because it is not just a cost now. That is the first one, for starters.

Chief DINE. I think the timing is a function of a couple things, what has happened recently across the country and as well as working with the Board. And as I mentioned——

Ms. WASSERMAN SCHULTZ. But what is the urgency? I mean, do we have—you mentioned earlier we don't have a credible threat. Of course, anything could happen at any time and you always have to

be ready. But we are 15 years past 9/11, and we have been functioning, and it has been a concern the whole time, but we have been functioning without that security at the garages. What is the "all-fire emergency" that it has to be done outside the appropriations process, outside regular order? And essentially, where did this order, where did this come from?

Chief DINE. As we work with the Board in terms of our own internal force development process and threat assessment, we also work with the individual Board members and their desires, as really they are stakeholders. This initiative clearly was a desire on the part of the House Sergeant at Arms to move this forward as——

Ms. WASSERMAN SCHULTZ. I just met with the House Sergeant at Arms in my office, and without discussing our conversation, that is not my understanding. Where did this come from?

Chief DINE. Well, we work with the Capitol Police Board and the various Sergeant at Arms——

Ms. WASSERMAN SCHULTZ. I know you are just doing your job and you have to follow the direction that you are given.

But I would like someone, Mr. Chairman—I realize you are the acting chairman for the moment—but I absolutely would like an explanation as to why we have gone outside regular order. No one on the Capitol Police Board is elected to anything. And we have an Appropriations Committee for a reason, and we are the ones that spend time, over many years, prioritizing what our needs are.

Perhaps we would decide that this is an urgent need that has to be done immediately. Then we could prioritize where we shift funds, and decide what is going to be at the top of the priority list and what we reduce down lower, if this is an all-fire emergency. But it has not been an all-fire emergency for 15 years, so I don't know how it is now.

I need a more specific explanation, which I am happy to further explore with the Sergeant when he is here tomorrow.

Mr. Chairman, this is no way to run a rodeo, and this might prove to be a need that is more urgent than it has been up to now. However, that is our responsibility as appropriators to make that decision, not for it to be imposed upon us and dropped in, in the middle of what we all committed to and that I heard the leadership pledge fealty to when the current Speaker took his office, which is to return to regular order.

And this is anything but that, and it is a very significant amount of money, millions upon millions of dollars committed many years in the future. I mean, I think you have asked for something like 57 officers to cover this, and they serve until they are 57. That is 57 officers who will serve until 57. That is a very large commitment to never actually have gone through the planning process that we have here.

So, Mr. Chairman, I would like you, if you could relay to Chairman Graves that I would like to have my questions submitted for the record, and whoever is responsible for beginning the process of the House garage security project outside of the Appropriations Committee should be asked and required to answer our questions.

Mr. AMODEI. OK.

Ms. WASSERMAN SCHULTZ. My questions.

Mr. AMODEI. Thank you.

Chief, I want to thank you for your response to requests to me, which kind of ties into the ranking member's stuff in terms of—and I know you are getting a little loose in the saddle or whatever. But I do appreciate the fact that having got a C or above in civics, I think I understand something about oversight.

So perhaps—we have had some luck with this in the future, subject to the chairman's approval—if we ask you to put together a briefing, with you and the Sergeant at Arms, we will have a chance to ask him tomorrow, to schedule that, as opposed to a letter, which in my experience, nobody else's, tends to take about a quarter of most congressional Members' terms around here. Not your agency specifically, that we can put together a briefing perhaps and get the Sergeant at Arms in the room, you guys in the room to basically have that discussion.

If that is appropriate, we will forward that on to the chairman and see if we can't get that done before you go join the "older I get the better I was" club.

Ms. WASSERMAN SCHULTZ. Mr. Amodei, are you suggesting that we come back together so that we can have that conversation? We can even do it in closed session.

Mr. AMODEI. Well, my thought is we will just set a meeting, and the Members that are interested in it attend the meeting and can have the discussion.

Ms. WASSERMAN SCHULTZ. Right. I think that would be extremely helpful.

Mr. AMODEI. Great.

Chief, we kept you for 3 minutes, but over the course of how many years, that is probably about as good as it gets, so thank you for your service.

And thank you, folks.

Chief DINE. Thank you all for your support.

Mr. AMODEI. As always, members can submit questions in writing. We will work on that briefing.

Mr. FARR. Can you answer that question on the budget neutral, whether it is budget neutral or not?

Chief DINE. Right now it is, but long term, clearly it is not because we are taking on new tasks. Right now, in the short term, as the ranking member said, we are moving folks around and we are trying to make the best use of the resources we have to implement this as asked. Long term, obviously—

Mr. FARR. So you don't need the 72 officers for this.

Chief DINE. No. We will long term, because we are taking on new tasks. We will, absolutely.

Mr. AMODEI. OK. Thank you.

This session of the meeting is adjourned.

[Questions submitted for the record follow:]

Hearing on the U.S. Capitol Police FY 2017 Budget Request

Questions for the Record
Tom Graves, Chair

New Positions

Question: The funds requested will support a total of 2,319 positions. This is an increase of 72 sworn and 51 civilians. Please explain what these positions are needed for.

Response: Based on the rise in terrorist events and the tactics displayed by the assailants, the United States Capitol Police has reviewed its operational and tactical posture to insure that the Department is taking every measure possible to maintain the security of the Capitol Complex. To mitigate these methods of attack, the Department believes that additional screening of various means must be used. These include implementation of security measures to better secure and screen within the House garages, the full implementation of additional screening and pre-screening at various building access points, and the implementation of enhanced screening portals. The Department is requesting an additional 72 officers to be added in FY 2017 to meet additional requirements for prescreening and enhanced security requirements in coordination with the Capitol Board. Additionally, we will reassign 48 sworn positions that can be civilianized to provide prescreening/additional screening. The 51 civilian positions requested will be used for the 48 newly civilianized positions and 3 new civilian positions for the additional screening equipment throughout the campus.

FY 2017 Flat Budget

Question: If left at a flat budget, how would the Department manage under this scenario?

Response: To begin with, the FY 2017 Budget request includes approximately $3.2 million one-time cost for the protection we provide for the Presidential Inauguration. This is a long standing function we perform every four years and requires additional funds in those years primarily for additional overtime and travel costs. Nearly $2.7 M of overtime/additional pay and $500K of non-personnel go to fund these activities.

Secondly, the enacted level of FY 2016 for Salaries is less than the amount needed in FY 2017 to fully fund the 1823 Sworn and 373 civilians, overtime, FY 2017 cost of living increase and the training costs. There are also other increases in salaries due to normal salary increases for existing staff, Annualization of the 2016 cost of living increase, and increases in benefits costs, primarily related to health and retirement costs

If the funding levels for FY 2017 are to be frozen at the FY 2016 levels, it will require us to absorb the above increases in salaries and the one time Inauguration cost. That will require us to reduce the staff strength by at least 150 positions that were funded in FY 2016 or severely deplete our General Expenses (more detail below). In addition we would have to cancel the necessary training planned for the officers. Such reduction in staffing will force us to curtail the

coverage in critical areas, impacting the security normal functioning of the Capitol Complex such as:

- Reduction or elimination of mission support to minimal levels
- Reduced protection coverage to congressional leadership
- Reduced threat validation
- Significantly reduced post coverage
- Inability to provide 24x7 coverage for certain response capability and services
- Increased risk due to inadequate and/or untimely Hazardous Material and Hazardous Device responses.
- Postpone or abandon the proposed increase in additional screening and augmentation of garage security through an increased staffing of 72 sworn and 51 civilians.

The FY 2017 General Expense request is formulated using a zero-based approach. The Department reevaluated the mission requirements starting from a zero-base, emerging threats and risks, and projected for those requirements. Freezing the budget for FY 2017 at the FY 2016 levels the Department will either have to defer or eliminate security measures or severely impact non-personnel (GE) expenses, especially if we have to move funds to cover personnel costs. GE reductions could include, but are not limited to, the ability for travel of DPD agents at current levels with protected leadership; radios removed from civilian Directors and Sergeant at Arms personnel for new recruits and no new uniform requests for all sworn staff; reduced ammunition for qualifications and no new weapons; severely reduced systems and staff to resolve IT network issues, cyber-attacks and physical security projects; reduced vehicles and vehicle repairs on the Hill and at protectee locations; less hiring due to fewer background investigations; and multiple deferrals of critical training for operational and administrative staff.

What will be required is to work with our stakeholders to make the required reductions without creating security issues. These reductions will result in impacts to access and convenience across the complex.

Metrorail Coordination

Question: Last year the Subcommittee included language directing the Capitol Police to provide a report detailing the standards of operations that are in place to coordinate incident responses at area Metrorail stations with other law enforcement agencies. Can you provide any preliminary findings on that report that is due in April?

Response: Beginning in 2013, the United States Capitol Police (USCP) participated in Washington Metropolitan Area Transit Authority (WMATA) table top exercises. In early 2014, the USCP was a partner at the table when WMATA began to prepare its Emergency Response and Evacuation Plan (EREP) for 25 Metrorail stations. These plans were designed to support the whole community regional effort when responding to an emergency and evacuating Metrorail stations. As a member of the EREP Task Force, the USCP played a critical role in helping WMATA develop this tool, ensuring that collaboration and coordination took place for regional partners as well as the stations that had a direct impact on USCP (i.e. Capitol South, Union Station, and Federal Center Southwest Metrorail stations). At the request of the USCP,

WMATA graciously included the three Metrorail stations in close proximity to the Capitol Complex in the first round of plans. In April 2014, Capitol South Metro station was assessed in WMATA's Phase 1. Union Station and Federal Center Southwest were included in Phase 2 and were completed in 2015.

USCP was able to review the plans to create an organized response capability for responding to the three stations within the USCP jurisdiction. As part of the development process, a select group of USCP officers participated in tunnel training, station walk-throughs to gain familiarity, and emergency response coordination. Since the initial stages of developing this capability, the Department has instituted close coordination with law enforcement partners, WMATA and medical and utility assets. USCP's emergency management personnel have been developing internal response plans for the three Metrorail stations. They have worked closely with WMATA on integrating the WMATA emergency response plans into the standard operating procedures using the universal protocols found within the National Incident Management System (NIMS) incident command system (ICS). All USCP officers are fully trained on ICS procedures.

It should be noted that due to the close proximity to the Capitol Complex, the USCP responds to the three adjacent Metrorail stations for critical incidents, injuries and crimes in progress. USCP officers are familiar with the station designs and layout. We communicate on a regular basis with Metro Transit Police for issues involving any of the three local stations.

In 2015, the USCP coordinated a table top exercise with partner law enforcement agencies including the Metro Transit Police, District of Columbia Metropolitan Police, District of Columbia Fire and Emergency Medical Service, WMATA officials, US Park Police, and other emergency management entities. We focused on critical incidents in and outside the Capitol South and Federal Center Southwest Metrorail stations. The scenarios included medical and criminal mass casualty situations that focused on USCP coordination with other entities, USCP response responsibilities at WMATA properties, and critical issues relating to Congressional staff occupying offices in close proximity to these stations. USCP emergency managers attend periodic briefings, tabletop and practical exercises at other WMATA stations as well as the AMTRAK station located in Union Station.

The next steps include completing the USCP standard operating procedure, including annexes containing WMATA and USCP response plans, coordination activities, and exercising these capabilities in real time at one of the three Metrorail stops adjacent to Capitol Hill. These periodic exercises and drills will be scheduled at each of the three adjacent Metrorail stations to which the USCP could be an initial first responder.

TUESDAY, MARCH 1, 2016.

ARCHITECT OF THE CAPITOL

WITNESS

HON. STEPHEN T. AYERS, ARCHITECT OF THE CAPITOL

Mr. AMODEI [presiding]. We are going to restart this section of the meeting devoted to hearing the budget request of the Architect of the Capitol.

Mr. Ayers, welcome.

Mr. AYERS. Thank you.

Mr. AMODEI. I have got some stuff that talks about your statistics here, which is very good, and I will keep that in case I ever need to know that. But I don't think I am going to—since we are a little bit late, I will go ahead and forego that and defer to the ranking member from Florida.

Ms. Wasserman Schultz, your opening remarks, please.

Ms. WASSERMAN SCHULTZ. Thank you very much, Mr. Chairman.

And welcome back to the committee, Mr. Ayers. It is always a pleasure to work with you, and I enjoyed the opportunity to briefly review your budget request, which is $694.3 million and 13.3 percent above the enacted.

I am pleased to see that the budget includes some funds for the Historic Buildings Trust Fund, and I appreciate the chairman keeping the Historic Buildings Trust Fund alive last year while separately funding the Cannon project. Funding Cannon's restoration as its own line item was the right thing to do, really important for us to use the Historic Preservation Trust Fund to bank resources for future restoration and renewal. We have got hundreds of millions of dollars in front of us, and so one of the things I am concerned about, as I mentioned to you, is, while our oversight is important and we want to make sure that we can have as much transparency as possible—that is why the separation was important—this year's budget request for the Historic Buildings Trust Fund is only $10 million. I am concerned that we are not banking enough funds to save for future large-scale projects. Cannon is $800 million by itself, and we know Longworth and Rayburn will be even more.

So, in 10 years, if we keep going at this rate, we would only save $100 million for future projects. The Cannon House Building alone, as I said, will cost close to $800 million. I am certain the next building to need major renovations won't be any less. So saving $10 million a year for the next big project is not enough, in my opinion. And I would ask my colleagues to consider that as we go through the process of crafting this budget.

As we consider a budget that reflects our interests, our values and our needs, we have to start with responsible planning within our own walls.

In addition to the Cannon project, the Architect is in the home stretch of restoring the Capitol dome. Congratulations on that. This subcommittee funded the $126 million needed to restore the dome and the rotunda to its former glory. I am looking forward to seeing it before the inauguration next year, and that project is the most visible example around the world of our roles as stewards of these great institutions that make up Congress.

And I look forward to your testimony.

Thank you, Mr. Chairman.

Mr. AMODEI. Thank you.

Mr. Ayers, we have your opening statement. If you want to summarize that or remove that from the record and start from scratch, the option is yours.

SUMMARY STATEMENT OF THE ARCHITECT OF THE CAPITOL

Mr. AYERS. Thank you, Mr. Chairman and Ranking Member Wasserman Schultz and members of the subcommittee, I am delighted to be here today to present the Architect of the Capitol's 2017 budget request.

2016 promises to be a banner year for the Architect of the Capitol as several important projects will be coming to a close. Most visibly, before the 2017 Presidential Inauguration, restoration work on the Capitol dome and rotunda will be complete. On the dome, the installation of cupola windows is complete. The reinstallation of large ornaments is in progress and, in fact, scheduled to be completed today. The cast iron repairs continue through the mid and lower section of the dome. Inside the rotunda, coffers have been stripped of old paint, and new painting is about to get underway. Here on the House side, work is progressing well on the initial phase of the Cannon House Office Building renewal.

STEWARDSHIP THROUGH PRIORITIZATION

Updating and improving our facilities through fiscal responsibility continues to be the most important priority for us. For example, the redesign of the Bartholdi Park project, as you see under construction now, resulted in a cost reduction of nearly $4 million. Over the course of the past 10 years, the installation of over $90 million in energy conservation measures in our buildings using energy savings performance contracts significantly aided in our ability to achieve the legislated 30 percent reduction in our energy intensity in our buildings. In fact, we exceeded that with a 30.9 percent reduction. This exceeds the target set by the Energy Independence and Security Act and is something that we are very, very proud of.

These projects are all success stories but are also compelling examples of the need for sustained, significant investment in our deteriorating infrastructure. Continuing to defer our needs results in critical damage that compounds and becomes costlier to repair. Safety and state of good repair upgrades are the centerpiece of our 2017 request of $694 million. We continue to address an enormous backlog today estimated at $1.49 billion.

FISCAL YEAR 2017 REQUEST

Our 2017 budget request builds on our successes, seeking $165 million for major capital projects deemed urgent or immediate. These include replacing obsolete chillers at the Capitol Power Plant to ensure safe and efficient air distribution throughout 23 buildings across the Capitol campus; eliminating water infiltration that has deteriorated facades of most of our buildings on Capitol Hill, in particular, the Rayburn House Office Building garage is in need of a comprehensive project to address concrete delamination and, if not funded, will jeopardize the structure of the garage; repairing leaks, corrosion, and aging piping systems in the Capitol Building threaten to affect the operation of this building; improving the life safety of the Library of Congress buildings through the second phase of the Thomas Jefferson Building North Exit Stair B project, which will increase the capacity to quickly evacuate that building in an emergency.

Failure to address these and several other critical projects in the short-term will exacerbate the aging process and facilitate new deterioration and failures, ultimately increasing the cost of these repairs.

I believe that working together we can remain a strong and healthy symbol for our Nation's growth and prosperity, and I thank you for the opportunity today, and I would be happy to answer any questions you may have.

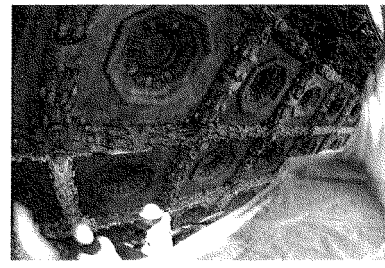
[The prepared statement of Mr. Ayers follows:]

Statement of the Honorable Stephen T. Ayers, FAIA, LEED AP
Architect of the Capitol

ARCHITECT OF THE CAPITOL

Chairman Graves, Ranking Member Wasserman Schultz, and members of the subcommittee, I appreciate the opportunity to testify today and discuss the Architect of the Capitol's (AOC) Fiscal Year (FY) 2017 budget request.

The AOC values our unique mission to *serve* Congress and the Supreme Court, *preserve* the historic facilities and grounds of the Capitol campus and *inspire* generations of Americans through art and architecture.



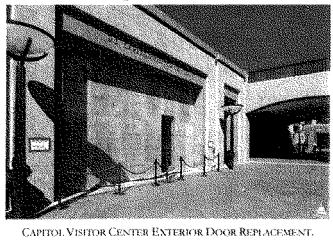
WORKERS PREPARE THE ROTUNDA'S COFFERED DOME FOR NEW PAINT.

Thanks to your support, 2016 promises to be a banner year as several major projects are scheduled for completion. These projects mark important milestones in our ongoing efforts to preserve our infrastructure, enhance the beauty of our historic buildings and improve safety and security for all employees and visitors.

By the 2017 Presidential Inauguration, work on our most visible projects, the Dome and Rotunda restoration, will be complete.

Work progresses on the restoration of the Ulysses S. Grant Memorial, accessibility improvements to Bartholdi Park and the first phase of the Cannon House Office Building renewal. All of these projects are nearing completion.

At the U.S. Capitol Visitor Center (CVC), 2016 will bring the installation of lighter weight entrance and exit doors to ease access for the more than 2 million annual visitors. We are also extremely proud of the CVC's Rotunda App, which was recently honored by ADOBE in their public service category for "Most engaging citizen-facing campaign." ADOBE lauded the App for providing "Videos, infographics, photography, and historical illustrations [that] provide the next best experience to actually touring in person."



CAPITOL VISITOR CENTER EXTERIOR DOOR REPLACEMENT.

Off campus, we are constructing new storage space for precious Library of Congress collections at the Fort George G. Meade military installation in Maryland.

These examples illustrate the broad range of the AOC's unique mission responsibilities and our focus on strategic investments to update and improve our facilities.

They are also compelling examples of the need for a sustained, significant investment in our deteriorating infrastructure. Deferring investment results in critical damage that only gets worse with time. Without immediate attention, problems become costlier to repair, more intrusive to Congress' daily operations and a campus that is less available to our visitors.

Statement of the Honorable Stephen T. Ayers, FAIA, LEED AP
Architect of the Capitol

ARCHITECT OF THE CAPITOL

People First, Safety Always

We take seriously the responsibility to protect the physical and human resources entrusted to our care. Our commitment to excellence is buoyed by our steadfast efforts to maintain a safe, effective workplace for Congress and a welcoming destination that millions of Americans visit and enjoy all year long.

THE CAPITOL BUILDING PAINT BRANCH PUTS THE FINISHING TOUCHES ON THE SAFETY BANNISTER IN PREPARATION FOR POPE FRANCIS' VISIT.

With a staff of more than 2,100, AOC employees are our most precious resource. These highly dedicated and talented employees are sought out by other agencies and by people across the nation and around the world to share their unique expertise and knowledge. Imparting best practices in risk assessment, and partnering on quality contracting procedures, top notch professionals strive to meet our goals and performance metrics year-after-year.

In order for our employees to succeed and continue to deliver positive results, increased resources are required for necessary projects identified by the AOC. The U.S. Capitol and the buildings that make up the Capitol campus are losing key elements – such as stone, cast iron and bronze – that define these iconic symbols of democracy and are critical to their structural integrity. **The resulting impact is that a quarter of our buildings are in poor condition, according to our Facility Condition Index.**

Restorations are necessary not only to preserve these symbols of American democracy but also to ensure the health and safety of those who work at and visit the Capitol campus each day. Safety and state-of-good-repair upgrades are the centerpiece of our FY 2017 budget request of $694.3 million that emphasizes prioritization, effectiveness, efficiency and accountability to provide the most beneficial and economical use of funding.

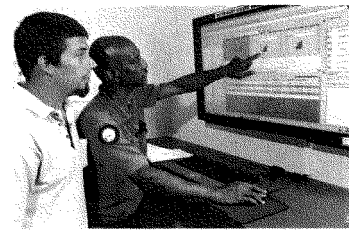
Our request is a 13.3 percent increase over FY 2016 enacted funding levels and, we believe, the minimum amount needed to begin to address decades of reduced investment and an enormous **backlog estimated at $1.49 billion at the close of FY 2015**.

The Building Research Board at the National Research Council recommends a minimum of two to four percent of the current value of a building be reinvested on an annual basis to reduce the backlog of deferred maintenance. Unfortunately, less than one half of one percent of the value of the buildings within the AOC's purview is currently reinvested in our infrastructure.

While these statistics are unacceptable, we continue to make strides by prioritizing our most urgent needs.

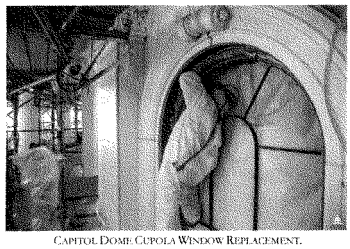
Stewardship Through Prioritization

The AOC is keenly aware of how far every taxpayer dollar must go to meet our stewardship responsibilities. As our needs grow, we recognize the importance of leveraging staff expertise, collaborating across the agency and engaging in partnerships that have proven to help stretch limited budgetary resources. There is a balance in addressing repairs and upgrades while also attending to necessary security requirements, energy-saving projects, code-compliance issues, historic preservation measures and the needs of AOC clients.


AOC EMPLOYEES MONITOR ENERGY USAGE.

Operationally, over the past 10 years the AOC has successfully implemented a plan to exceed the energy reduction target established by the Energy Independence and Security Act of 2007, achieving a 30.9 percent reduction from the 2003 baseline. The installation of **over $90 million in energy conservation measures** in our buildings using energy savings performance contracts significantly aided in this effort. These contracts are also great examples of public-private partnerships.

Additionally, in 2013 we began work to implement a shared-service model with the Department of Agriculture's *EmpowHR* Human Resources Information System. By consolidating our efforts and resources, this strategic partnership allows us to curb future operational cost increases.

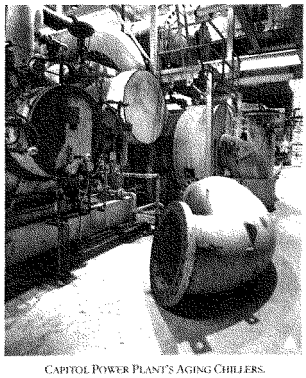

CAPITOL DOME CUPOLA WINDOW REPLACEMENT.

On the construction side, a redesign of the Bartholdi Park project at the U.S. Botanic Garden resulted in a cost reduction of approximately $4 million. And on the Dome Restoration project, we were able to negotiate the purchase of additional cupola windows that will reduce the cost of future window replacements.

The AOC's investment approach is also focused on the most immediate capital needs and operational requirements. The projects AOC recommends for funding are prioritized through a rigorous analysis, which includes consultation with industry experts and the utilization of best practices. Through this process, in FY 2015 we were able to bring down the capital program backlog by $61.1 million and prevent our current and future needs from growing at a much larger rate.

The project development process is adjusted annually within the framework of our long-range master plan. Projects are classified according to the type of work the project addresses. Deferred Maintenance (DM) and Capital Renewal (CR) projects are derived from the Facility Condition Assessment surveys. The Capitol Complex Master Plan is the principal source for identifying new Capital Construction needs as well as major Capital Improvement needs. Urgency, classification and importance result in a Composite Rating used to recommend projects for funding.

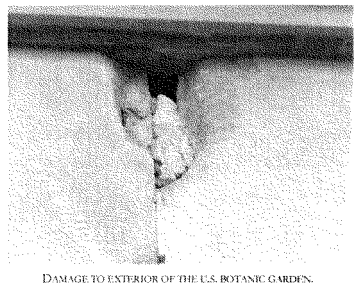
Our FY 2017 request builds on our successes, **seeking $165.5 million for capital projects.** Of this, $100.6 million (or 61 percent) is specifically for DM – projects where maintenance, repair or replacement is past due, in some cases significantly. In addition, $23.4 million (or 14 percent) is for CR projects that will be added to the growing DM list if not funded in FY 2017. The remaining $41.5 million (or 25 percent) is to upgrade critical safety infrastructure that will improve emergency response capabilities. While significant, our request does not address all of our needs and recommends that $118 million in capital projects be deferred to a future year.


CAPITOL POWER PLANT'S AGING CHILLERS.

We are requesting funds for several **critical safety projects at the Capitol Power Plant (CPP).** To ensure safe and efficient air distribution and reduce the risk of system failure, we need to replace the obsolete 5,000-ton variable speed chiller and controller, along with the chillers at the Alternate Computer Facility. These projects will impact all of the buildings on the Capitol campus along with the U.S. Government Publishing Office, the Thurgood Marshall Federal Judiciary Building, the Postal Square Building, Union Station and the Folger Shakespeare Library.

In addition, the CPP's historic clay tile roof is experiencing structural deficiencies. During storms and high winds, the loose elements of the roof are a safety concern, posing a significant risk of water damaging the offices and the more than $700 million worth of equipment that is housed at the CPP.

Water infiltration continues to be a major concern. Water has marred the sandstone and marble encompassing the facades of most of our buildings. As a result, the masonry is cracking and spalling and is causing residual damage within the facilities – rusting of steel structures, mold, mildew and energy loss – threatening the health and safety of our building occupants. We have begun the stone preservation efforts on the Senate Extension of the Capitol as well as the Olmsted Terrace, U.S. Botanic Garden and the U.S. Supreme Court. Intensive studies on the remaining buildings are nearing completion, which will allow us to identify future needs.


DAMAGE TO EXTERIOR OF THE U.S. BOTANIC GARDEN.

In the near term, we must address the growing safety risks to personnel and property due to the deterioration of the parking garages on the Capitol campus. The Rayburn House Office Building garage is in need of a comprehensive project to address the concrete delamination. If not funded, continued deterioration will jeopardize the garage structure resulting in increased localized slab failures, unsafe conditions for personnel and property and increased rehabilitation costs.

The domestic water, storm, sanitary and vent piping in the U.S. Capitol Building has deteriorated to the point where frequent repairs are required due to leaks, corrosion and pipe aging. Continued deterioration and leaks may affect operations of building systems and facilities leading to a whole or partial shutdown of the building.

At the U.S. Botanic Garden, continued deterioration of the greenhouse superstructure does not support the current and expected mission requirements of the USBG's world renowned and rare plant collections. Without the addition of a quarantine facility, the USBG runs the risk of introducing a pest or disease, which could be catastrophic to the broader collection.

Several projects in the Library of Congress buildings are necessary to address urgent life-safety needs, including the second phase of the Library of Congress' Thomas Jefferson Building North Exit Stair B, which will provide increased capacity to quickly evacuate the building in an emergency. If the deficient egress capacity is not corrected, the building occupants will not have the number of available exits required by code for the building. In addition, we are seeking to replace an emergency generator in the Thomas Jefferson Building; modernization of elevators in the John Adams and James Madison Memorial Buildings and the final phase of the digital controls for the HVAC systems in the James Madison Memorial Building.

AOC SAFETY EMPLOYEES PROVIDED DC FIREFIGHTERS WITH FAMILIARIZATION TOURS OF THE LIBRARY OF CONGRESS BUILDINGS.

Failure to address these critical projects in the short term will exacerbate the aging process, facilitate new deterioration and system failures and increase the cost of repairs. Our FY 2017 budget request steers us away from this unadvised and dangerous approach and builds on our growing list of successes.

Conclusion

This fall, we will begin work in support of the 2017 Presidential Inauguration. The Inauguration is a time for us to showcase American democracy, and we are proud that the restoration of the Dome and Rotunda will be complete.

As a passionate advocate for the Capitol campus, I believe that with Congress' support, we can build on our successes and remain a strong and healthy symbol for our nation's growth and prosperity.

The U.S. Capitol complex houses numerous symbols of an elected government created to *serve* the American people; where representatives from all corners of this great nation gather to *preserve* the ideals and tenets of our constitution and where we *inspire* citizens to take up the mantle of democracy and freedom.

While we exercise our faithful stewardship and fiscal responsibility, we appreciate the support of Congress to provide us with the resources needed to support these lofty goals.

Mr. AMODEI. Thank you.

The gentlelady from Florida.

Ms. WASSERMAN SCHULTZ. Thank you very much.

Mr. Ayers, I have a few questions.

I will try to flip through them, but you might want to bounce back and forth to other members, Mr. Chairman.

I wanted to ask you about the page dorm because if you remember, in fiscal year 2014, I included language in our bill to make sure the committee is notified before any work is done to the page dorm or there is any discussion or proposal to use it for a different purpose. Has there been any work done to the building since the page program was eliminated, and have there been any discussions about the future of that building that you are aware of?

Mr. AYERS. I am not aware that we have done any work to that building other than routine maintenance to keep it from deteriorating. So we have done no new construction work there. However we have received a request from the Speaker's Office to begin reviewing that building for potential future uses.

Ms. WASSERMAN SCHULTZ. Are there specific future uses? Have they been specific?

Mr. AYERS. Yes.

Ms. WASSERMAN SCHULTZ. And what are those?

Mr. AYERS. They have asked us to look at a potential childcare center in that space.

Ms. WASSERMAN SCHULTZ. OK. So the language in the fiscal year 2014 bill directed you to make sure that you made the committee aware before you made any changes. So I would very much appreciate if we make sure that those discussions don't go any further without including the subcommittee in those discussions.

Mr. AYERS. Of course.

Ms. WASSERMAN SCHULTZ. There is nothing wrong with child care, but the purpose of it was to make sure that we could make a decision, as I keep raising, that is ours to make when it comes to prioritizing how funds are spent and the appropriate use for the facilities that are on the Capitol, that are in the Capitol complex.

Also, just to give Members something to chew on, while that is an interesting proposal—and as a mother of young children, I certainly understand the need for expanded childcare opportunities. But any decision that we make that permanently alters the ability for us to maintain that building as a dorm, as a dormitory, forever precludes us from reinstituting the page program if future House leadership ever chooses to do that.

I, for one, lament that we do not have a House page program any longer. There are generations of young people who were inspired by their participation in that program to engage in public service. I remain convinced that we could go back and try to reform that program and make sure that if it were reinstituted, we could keep young people engaged.

Mr. FARR. The Senate still has one.

RAYBURN SMALL ARMS FIRING RANGE

Ms. WASSERMAN SCHULTZ. Yes, they do. They do, and they have their own dorm. Ours is closed.

OK. The Rayburn firing range, as you know, is closed. It is a brand-new firing range that the AOC was responsible for managing the construction. How long was it open before the problems of ricocheting bullets were identified, and what is the timeline for reopening it? What happened with the contractor that the design of the firing range resulted in ricocheting bullets? I mean, it is sort of baffling how this could occur.

Mr. AYERS. The range was open for approximately 2 weeks, and we were notified by the police officers' union of a number of safety concerns with the range. The Capitol Police, I think appropriately, shut it down while we could investigate and understand what all of those issues were. We don't know today whether it is an operational issue, meaning a usage issue, or whether it is a design flaw. We are in the middle of working through all of that right now.

We have a really good team of people from my organization and Chief Dine's organization that are working together with the designers, the contractor, and the manufacturer of the range to understand whether or not there are any design flaws. Second, the police are working apace to determine what are the operational requirements that they need to have in place, and they are bringing the range manufacturer on board as a consultant to them to help them design systems and procedures to safely and effectively use this range.

Ms. WASSERMAN SCHULTZ. What is the timetable for determining why this happened and what the cause was and/or reopening the range?

Mr. AYERS. I think my best guess——

Ms. WASSERMAN SCHULTZ. Are there any additional costs that we are going to be incurring as a result of the process that they have to go through now?

Mr. AYERS.My best guess is, perhaps 2 months as we work through possible causes. There are 15 issues on the table. Three or four are closed out already, and as we work through all of those, it is going to take a little time to do that.

We don't know whether there is a design problem which would result in us having to reconstruct something, so we don't know when the range will reopen or if there will be a future expense. There are, I think, expenses that we are incurring today and Capitol Police are incurring today. For example, bringing in a third-party consultant to help us understand whether there is a design issue or not. The police bringing in a team to help them write their operation and maintenance procedures, the cleaning procedures, and the procedures for effectively using this range will cost a small amount of money out of their budget.

Ms. WASSERMAN SCHULTZ. Is there a provision in the contracts that you had with the vendors that designed it, or built it for reimbursement of costs incurred from design flaws or errors that are determined ultimately to be the fault of the contractor, rather than the fault of the Architect of the Capitol's personnel?

Mr. AYERS. There are those provisions in our contracts, and we have used them before, not on this contract, obviously, but on other contracts, and if we find there are errors, or omissions, or negligence, we will take the necessary action to recover our costs and protect the government's interest.

Ms. WASSERMAN SCHULTZ. How much would you say you plan to spend to address the problems thus far, and what do you anticipate it costing going forward?

Mr. AYERS. I don't think we have actually spent any money yet, but if we hire a third-party consultant, we could spend $20,000, perhaps, to have someone work with us for a few weeks to help us work through all of the design details and determine whether they are produced correctly.

Ms. WASSERMAN SCHULTZ. But, potentially, we could have to have a reconstruction or a redesign that could cost far more than that?

Mr. AYERS. That could be the case. We really don't know, but it could be the case.

Ms. WASSERMAN SCHULTZ. And the range remains closed. Was anyone hurt during the use of the range from the ricocheting bullets?

Mr. AYERS. No, and these, of course, are fragments of bullets, and they bounce back off of the end wall and tumble across the floor.

U.S. CAPITOL DOME

Ms. WASSERMAN SCHULTZ. I mentioned in my testimony the Capitol dome project being in the home stretch, and I wanted to ask you whether you expect that it is going to come in at the full $126 million expenditure, or do you anticipate there being any funds that will remain at the end of the project that could possibly be used for other projects.

Mr. AYERS. That is a very distinct possibility. You know, the dome is in three phases. On the outer phase, we are 87 or 88 percent complete. We are really in the home stretch there. We will see the top portion of the scaffolding coming down this month and then 63 or 64 percent complete on the interstitial space and about 50 percent complete with the rotunda work. And, given all of that, we still have ample contingency amounts available to us should we need them. But we are so far along in the job, that it is very unlikely that we will need to use those. I think there is a very distinct possibility that we will have money left over.

Ms. WASSERMAN SCHULTZ. About how much, do you think?

Mr. AYERS. I couldn't wage a guess on that.

Ms. WASSERMAN SCHULTZ. If you could let us know, that would be helpful.

When the scaffolding is removed, what will people notice? What is the biggest differences that people will notice about the dome, the most visible change after the restoration?

Mr. AYERS. It is interesting that, on the outside, as you take off 13 layers of lead-based paint, the dome and the detail really come alive, and I have been able to see it up close, and I am really excited about taking the scaffold down and unveiling it for the country, if not the world, to see. I think there is going to be a renewed

sense of beauty and a renewed sense of the incredible detail that went into building this dome.

Similarly, I think, on the inside, you will see a slight change in color of the rotunda. The rotunda has been painted four times since it was first constructed in the 1860s. And the color scheme that we have chosen goes back to the 1906 and 1946 era. The current colors that you see are from the early 1970s and really don't have a historical precedent to them. So there will be a slight change in color.

Ms. WASSERMAN SCHULTZ. Mr. Chairman, just one more question, and then I will just be done instead of coming back to me, if you don't mind.

Mr. AMODEI. OK.

WORKING CAPITAL FUND

Ms. WASSERMAN SCHULTZ. We talked about the working capital fund in my office earlier, but can you explain what the Architect's personnel believe is wrong with the way that we fund your construction division through separate appropriations that we provide? And can you address the real issue of reduced oversight on our part if we allow you to move some of those separate appropriations to a working capital fund?

Mr. AYERS. Sure, I would be happy to. Thank you. We have a 200-person construction team that does work throughout the Capitol complex on a daily basis. And the way they are paid are from our appropriation in the Senate, our appropriation in the Library, our appropriation in the House. There are no appropriated dollars to pay their salaries. They are reimbursed from projects they undertake across the Capitol campus. And so it is an accounting nightmare for us to be able to track all of that. And a great example of that is: You take a plumber that is doing work today in the Senate Office Buildings installing a wet pipe sprinkler system, and that employee is earning annual leave and benefits and sick leave. And he will take those, perhaps, 2 or 3 months from now, while he is working on another job. Well, appropriations law will require us to find a way to take that leave entitlement and pay it from the job he was working on when he earned it. That is an accounting nightmare for us to do that, one that is recognized by our inspector general. Our inspector general recognized our inability to effectively and consistently do that through the long term and suggested that a working capital fund would be a much better way to run that operation. And we agree.

And, of course, any controls that are necessary to ensure that the Congress has oversight and that we are transparent about that and that we are not spending money in any way that hasn't been authorized by this committee I think we would certainly welcome that.

Ms. WASSERMAN SCHULTZ. Well, it would be important if we allow that shift to make sure that we put a mechanism in place that ensures that we can maintain the same oversight we have been able to under the current way you do it.

Thank you, Mr. Chairman. I yield back and thank you for your indulgence.

Mr. AMODEI. Yes, ma'am. The gentleman from California.

ENERGY SAVINGS

Mr. FARR. Thank you very much, Mr. Chairman.

How much money do you save from these energy investments, on the bill, on just the, you know, the monthly bill?

Mr. AYERS. The three energy savings and performance contracts that we installed—one in the House, one in the Senate, and one in the Capitol—was an investment of about $90 million of private money, and we pay back those vendors through the energy savings. The money that we are saving, we are actually paying back to those contractors because of that investment. And so today we have saved over the course of these projects, $7- or $8 million. The rest of that has been used to pay back the vendors for their investment.

Mr. FARR. Did that investment include changing the light fixtures?

Mr. AYERS. It did include changing the light fixtures.

Mr. FARR. Are these LED lights? They don't look like it.

Mr. AYERS. Carlos, do you know if these are LED lights?

Mr. ELIAS. Yes, they are.

Mr. AYERS. They are LED lights.

DATA CENTER RELOCATION

Mr. FARR. I need some. Great. We are moving the House data center to southwestern Virginia. Right?

Mr. AYERS. Correct, yes, we are.

Mr. FARR. And you are very involved in that.

Mr. AYERS. Actually, I am involved tangentially in terms of my agency has a small data center, and a number of years ago we colocated our data center into the House's data center instead of running our own. So if the House moves their data center, to us, it makes sense that we continue to stick with the House and go wherever the House goes.

Mr. FARR. Yes, I presume that the decision to move sort of out of the Washington area was a strategic one, plus probably cost-effective for real estate purposes.

Our leg branch services, the Library of Congress, wants to colocate their data center with ours. It makes a lot of sense. They are part of this family. Are you involved in that? I mean, we ought to be doing this. Who is accountable for—they say they have gotten no response from anybody and are suggesting they have got a huge cost involved. And it certainly makes sense if we are going to build one data center for ourselves, that we ought to include our family members in that design.

Mr. AYERS. So the data center——

Mr. FARR. Is that your responsibility?

Mr. AYERS. It is not. It is with the House Chief Administrative Officer.

Mr. FARR. Do we have jurisdiction for that office?

Ms. PANONE. I think so.

Mr. FARR. So the Chief Administrative Officer is in charge of the building for the House itself, for our data center. Right? And yours, because you are colocated with them, or you are part of that?

Mr. AYERS. The data center in Virginia, that we are speaking of, they are responsible for that.

Mr. FARR. And they are also responsible then if the Library of Congress wants to be there? Are they responsible for that capital outlay?

Mr. AYERS. I think they are negotiating the real estate deal and the lease deal, and so they would be the ones that would expand those negotiations to include others. I am not involved in that.

Mr. FARR. How about for the design of the center? Wouldn't they use your resources? I mean, you are the Architect.

Mr. AYERS. No. We are not involved in the design of that data center.

Mr. FARR. Well, Mr. Chairman, I hope that we can use—I mean, the dream here, the idea is, if we are going to move one, let's move all, and let's all be in one place.

Ms. WASSERMAN SCHULTZ. Well, the Library is planning on piggybacking on this as well.

Mr. FARR. They want to piggyback, but they are not getting—as I understand it—they are not getting any help or invitation to piggyback.

Ms. WASSERMAN SCHULTZ. I am sorry, Mr. Chairman, if I might. My understanding is that it is in their budget request, and also, in last year's bill, we put language that allowed them to review, and study piggybacking onto this data center.

Mr. FARR. OK. So everybody agrees it makes sense.

Ms. WASSERMAN SCHULTZ. I just met with the acting Librarian, and he expressed a strong desire for it to happen, and they need it.

Mr. FARR. Yes.

Ms. WASSERMAN SCHULTZ. He didn't suggest to me—you should check with them, Mr. Chairman—but he didn't suggest to me that there was a challenge.

Mr. FARR. From what I understood is that they have really gotten no feedback, no response from wanting to be a partner in this.

Ms. WASSERMAN SCHULTZ. From the House?

Mr. FARR. Maybe they don't know that it is the Chief Administrative Officer, thinking it was your—I have the question to be asked of you. So they might think that—they have been asking you. And, obviously, you don't have the responsibility for it.

Mr. AYERS. No, I don't.

Mr. FARR. All right. Well, we will check on it.

Ms. WASSERMAN SCHULTZ. Yes, the information that I got a few hours ago from the acting Librarian is that they are working with House Administration, the Chief Administrative Officer in the House, and——

Mr. FARR. Well, let's check on that.

Ms. WASSERMAN SCHULTZ. They will be with us tomorrow, so we can ask them then.

ADVICE AND LESSONS LEARNED

Mr. FARR. OK. Fine. Thank you. This is probably my last question. I am leaving, and I am always asking this of everybody because I am always curious as to lessons learned. Is there anything in your career that you want to—lessons learned or advice you would give to us about the role of the Architect? I mean, it is an old role. It has been around for a long time.

Mr. AYERS. It has been around since 1793, when George Washington first laid the cornerstone. And, you know, I think one of the challenges that all building managers face is managing a massive backlog of work that needs to be done, and you can't quite get it funded. I think this committee made such an important strategic decision in establishing the House Historic Buildings Revitalization Trust Fund that will really enable us to make the best, the proper investments in our buildings over the course of generations to come. And, so, I know, as I look back, that is one of the things that is so important for me as the steward of the buildings that you all use on a daily basis.

Mr. FARR. Did that trust fund receive private contributions as well?

Mr. AYERS. I don't believe it can receive private contributions. But it can receive contributions from a wide variety of efforts, not just appropriated dollars or sweeping up unused dollars from the Architect. It has the ability to receive other dollars as well, but not private dollars.

Mr. FARR. Well, like foundation dollars, or no outside—it has to be public money?

Mr. AYERS. Correct.

Mr. FARR. Why is that?

Mr. AYERS. As I look back on my nearly 20 years here, we have had a number of opportunities to receive public money for a variety of projects. And I think it is not something that the Congress—I don't want to speak on behalf of the Congress, but my personal view of the situation is that it is not something that the Congress is eager to enter into agreements like that, for fear that there is perhaps some influence or quid pro quo of someone donating dollars. And the Congress, in my personal experience, has always wanted to fund projects themselves.

Mr. FARR. I am looking at the Washington Monument right now, which was restored with private money.

Mr. AYERS. It was.

Mr. FARR. And Members enjoy the President series at the Library of Congress, paid for by a private individual. I think it is time that we revisit that. Families or foundations may want to contribute. I think there has been a call for why the private sector doesn't do more to support all of these incredible public assets, as they do in the national parks, as they do in our communities and libraries and so on, schools. Why not also allow them to contribute privately to this fund, which is so necessary to preserve the history of the political history of America?

Mr. AYERS. We did accept some very generous donations when we constructed the Capitol Visitor Center. And we did accept some very limited funds when we constructed the National Garden at—west of the United States Botanic Garden. So there has been some very limited use of that in the past. And there is perhaps opportunity to expand that.

Mr. FARR. Perhaps that could be some report language just to explore it.

Mr. AMODEI. I would imagine that the devil would be in the details: Who do you contribute to? How is it insulated from your concerns?

Mr. FARR. Firewalls.

CANNON RENEWAL

Mr. AMODEI. Thank you.

Mr. Ayers, just a couple of things. Where are we at—and these are just kind of housekeeping. So Cannon costs, is that on track? Guaranteed maximum price, all of those fancy things that you guys are up on, but there is no warning signs on the horizon as far as Cannon costs go.

Mr. AYERS. That is correct. In fact, just the opposite. We have recently completed our third cost and schedule risk analysis, and both of those say we have a greater than 80 percent chance of achieving this project for the cost that we have identified and the schedule that we have identified, number one.

Number two, we have also received the guaranteed maximum price from our contractor for all four phases coming up. And we are comfortable with that number. And it is within our cost estimate, and it is our desire to notify you in the coming weeks and move out and award that guaranteed maximum price contract in the middle of April.

We have no warning signs, only signs of success at this point.

Mr. AMODEI. Good. Congratulations. How about the disruption stuff? When are the musical chairs going to start? Is that still scheduled based on the original information put out? And I know you could go on a long time. Please don't. Although you are not in Cannon anymore. Are you?

Mr. AYERS. She is in Longworth.

Mr. AMODEI. And I know you are not in Cannon. Just supposed to be junior Republicans that are in Cannon.

Ms. WASSERMAN SCHULTZ. That is what you do when you are in the know about what is coming.

Mr. AMODEI. Only if you plan to sleep there. So how is that going?

Mr. AYERS. We have moved over 400 people to the O'Neill Building already, and as we approach phase 1, it is in December that we need to move Members out of the west wing in Cannon and move them to Longworth and Rayburn. And we are on track to do that.

Mr. AMODEI. OK.

Mr. AYERS. Prior to December, we will be moving non-Member spaces, so late summer, and early fall, we will clean up a few other committees that are still in that space, and we don't see anything holding us back from emptying out a wing of that building and being able to turn it over to our contractor in January.

Mr. AMODEI. Does that have anything to do with why you decided to leave, Mr. Farr? You are just like: I am not hanging around for that program.

I do want to let the ranking member know that I had some questions about future use of the page dorm. Took a tour of it a while back, shared those with the Architect's staff and House Administration's staff, and they did a phenomenal job of saying in a very professional way that those are some of the dumbest ideas that they have ever heard. And so I am not going to speak for the Architect's Office, but when they get back to you with their report,

please have your heavy coat on and stuff like that, even if it is a warm day for: Well, have you thought about this, that, or the other sort of thing? And it has basically just kept me minding my own business, even though I walk by it every day.

But I completely agree with you in terms of the oversight stuff. It would be nice to know beforehand and have some meaningful input into that process.

I wanted to thank you publicly for the access that we have had to your divisions, whatever they are called, in terms of going through the various shops. You know, with your folks in the paint department, the folks downstairs in the metal stuff, the wood shop people and all of that have been absolutely great. You have been very responsive, which means that we don't have a lot to do in these formal settings.

I still do want to talk to the yard guys, though, because I am a frustrated farmer that lives on a 90–by–110 subdivision lot. So don't take that seriously. But anyhow, I want to thank you for that in terms the transparency and our requests have all been timely.

CAPITOL POWER PLANT

Finally, the last thing I have is just an update on how things are going at the Power Plant. We have boiler things. We have chiller things. What is the quick and dirty on that?

Mr. AYERS. So, on the boiler side, obviously, we need to replace a boiler now, so we have entered into a contract with Washington Gas to provide a cogeneration system that makes electricity and steam at the same time. That contract is signed, and in the fall of 2018, that will be fully operational and part of our inventory.

Our work on the chilled water side is moving out very, very well on the refrigeration plant revitalization project, and we have the last of the chillers that we think we are going to need in our 2017 budget request.

Mr. AMODEI. OK. Good. Well, we have got to keep those pansies in Longworth cool in the summer. So that is good.

I don't have anything else. Is there anything else of the other committee members? Then this meeting is adjourned.

The committee will get back together tomorrow at 1:30 to hear from House Administration and Leadership. Thank you.

[Questions submitted for the record follow:]

FY 2017 Legislative Branch Appropriations
Subcommittee on Legislative Branch
U.S. House of Representatives

Questions for the Record
March 1, 2016

CANNON HOUSE OFFICE BUILDING

To date, $390.4 million of the projected budget of $752.7 million has been provided toward the Cannon Renewal Project.

To clarify, the project has received $378.9 million in authorized funds to date. In 2016, $11.5 million was reserved in the House Historic Buildings Revitalization Trust Fund.

PROJECT SPENDING

GAO's monitoring of project spending (S-curve) may indicate that while the overall project is still on schedule, construction momentum has started to slip a little – your contractors aren't billing at the same rate as they projected they would.

- What do you think is causing this and at what point should the Committee become concerned?

  Response. We are proactively reviewing the schedule and this project is on track.

  The primary change in the projected spending was the result of a purchasing issue not a construction issue. In September and October, 2015 the contractor spent less than anticipated on materials and equipment planned to be used later in the project. Since that time, the contractor's spending has been trending satisfactorily. The construction contractor has met all major milestones to date.

DISRUPTION TO HOUSE BUSINESS

The project has had a couple serious issues which have impacted the House's ability to efficiently conduct business in the Cannon Building – including asbestos-related concerns.

- What were the financial impacts to the project and what steps have your office taken to ensure this won't happen again?

  Response.

  The only financial impacts to the project to date were associated with the October 30, 2015, release of asbestos. Additional U.S. Capitol Police (USCP) support is estimated at $5,000, and independent asbestos testing is estimated to cost $1,200. All AOC employees responding to the event are salaried and did not incur additional expense. In response to this incident, the construction contractor implemented a new policy that requires the disturbance of any existing building materials to be inspected by three separate oversight personnel and testing of the materials if any of the three believe the materials are suspected of containing hazardous materials. No cutting, drilling, cutting or disturbance of any kind of existing building materials is authorized until the check sheet, which acts like a permit, is completed and posted to allow work to commence.

RISK ANALYSIS

We understand that following best practices you have conducted a schedule risk analysis of the project. Out of that exercise you identified a number of risks to the project that need to be mitigated in order to stay on schedule.

- I know that all risks are not created equal, but how many risks are you trying to mitigate all at once to keep the project on schedule?
- What do you see as the number one risk?

  Response. Our most recent risk assessment, completed in late 2015, identified 40 risks that could affect the project's cost or schedule. The assessment prioritized these risks based on their likelihood of occurring and if they do, the impact they could have on cost or schedule. Looking at the risks identified in the risk assessments completed in 2014 and 2015, the project team considers the possibility of not having enough time to complete the construction work associated with the fifth floor renovation during Phase 1 as the number one risk.

  The entire team has focused a great deal of attention on mitigating this risk and believes that the most effective way to address it is to begin preparatory work for Phase 1 much earlier than planned. To enable this early start, the team plans to award the construction contract for Phase 1 in mid-April 2016.

PROJECT SCOPE

Most projects encounter necessary changes as construction continues, and I'm sure the Cannon project has not been an exception to that rule. Unfortunately, there are many more ways for project costs to go up than for them to go down. One of the ways to stay within budget when costs go up is to reduce project scope – do less.

- What work has been taken out of the project scope originally described to this Committee?
- Will you be coming back to us later to possibly add this work back in?

Response. Since the completion of the March 2009 Facility Planning Study Verification, which laid out the broad scope requirements and conceptual cost estimate of $752.7 million, the design has evolved. The basic scope to renovate the Cannon House Office Building has remained essentially the same, which is to address major building and systems deficiencies as well as enhance life safety, security, energy reduction and accessibility, while maintaining the historic integrity of the building.

In addition to value engineering, the team also identified scope items that were desirable but were not absolutely necessary to accomplish the goals of the renewal. In order to maintain the project budget, these desirable items were removed from the scope to accommodate the unforeseen work identified during the inspections and added as contractual alternates to be executable during each phase under construction to allow for maximum flexibility to best balance scope and cost.

GUARANTEED MAXIMUM PRICE

- What is the status of the contractor's Guaranteed Maximum Price (GMP) bid proposal for Phases 1-4 of the Cannon Renewal Project?
- Do you have a plan if it comes in over budget?

Response. The contractor's initial GMP proposal has been received for Phases 1-4. The project team is clarifying information and is in negotiations. The team does have a plan to address any cost issues that may arise and they would be happy to brief oversight staff as soon as the procurement process is complete.

CAPITOL DOME RESTORATION

The Subcommittee has provided a total of $126 million for restoration of the Capitol Dome. The final phase is expected to be concluded before the inauguration.

- Have you encountered any major problems that may have caused the project timeline to slip and will they interfere with completion prior to the next inauguration?

Response. Work on the Dome is progressing as expected, and project completion will not interfere with the next inauguration.

Looking forward to the project's demobilization, the Dome and Inaugural project teams have been working together to take maximum advantage of any project infrastructure that can be transferred from the Dome project to the Inaugural planning team. We expect to be able to make use of much of the compound installed under the Dome project for the Inauguration.

- Has there been any adjustment to the original budget estimate?

Response. No, the project continues to trend on budget.

RAYBURN BUILDING GARAGE REHABILITATION

Your request includes $30.8 million for the second phase of a four phase rehabilitation program for the Rayburn House Office Building garage. We provided $17.8 million last year.

- What is the total project amount requirement when all is said and done?

Response. The total funding requirement for this multi-phased project is $136.139 million for study, design, and construction.

- What will be the impact be on Members and staff that utilize parking in the Rayburn garage?

Response. The Rayburn Garage Rehabilitation project will be executed in multiple phases. Members and staff displaced by the construction will be relocated to other parking lots and garages across the House campus. Work on the Rayburn Garage would **not** occur while the Cannon Garage is closed. The Rayburn Garage Rehabilitation project work will begin after the completion of the initial Phase of the Cannon Renewal.

FTE's

We have found that your budget justifications show a request for funding for FTE's that you are not actually utilizing. While your office has provided us with the correct numbers, I see some jurisdictions have requested additional FTE's yet others haven't. In your future budget justifications, we hope to see funding for what you are actually using and if any more FTE's are needed they are requested through the budget process.

- Are these additional "Unfunded Payroll Requirements" actually needed? I would think they would have been requested as additional FTE's if needed.

Response. The Architect of the Capitol (AOC) develops budget requests for personnel based on mission requirements. The AOC has determined its required personnel level, per appropriation, in order to meet these mission requirements. In FY 2017, the AOC is requesting funds to cover the effects of five years of increased mandatory personnel pay requirements without an associated increase in funding. These mandatory pay increases have resulted in a continuous downward reduction on the number of AOC personnel hired and puts the AOC at risk of being unable to meet its mission requirements. Additionally, in FY 2017, the AOC is requesting funds for nine new full time equivalents (FTEs). The AOC is requesting two personnel to support health units workload throughout the Capitol complex, three security FTEs to support the employee security background screening program, three Inspector General positions to oversee facility construction projects, and one facility operation specialist to support facility management workload.

ZERO BASED BUDGETING

Year after year the Subcommittee repeats language concerning developing requests from a zero base because of the value and savings it achieves.

- Is the Architect of the Capitol using this tool across the board in each and every account?

Response. The Architect of the Capitol (AOC) continues to utilize the zero-based budgeting tool to develop budget requests. As an example, the Line-item Construction Program (LICP) uses zero funding as the starting baseline for funding projects. During the budget development process requirements are identified, cost estimates are formulated, and subsequently added to the AOC budget request.

CAPITOL POLICE BUILDINGS AND GROUNDS

You are asking for "three Suitability professionals to fulfill the requirements under the new AOC suitability process" for Capitol Police Buildings and Grounds. Currently the Capitol Police do your fingerprints and run criminal checks on all AOC employees and they adjudicate your support staff.

- Would you explain what this new AOC suitability process is and the need to duplicate what the Capitol Police are currently doing?

Response. Currently the USCP only provides the AOC criminal history records on new employees and contractors based on the FBI National Criminal History Check (fingerprint check) with no adjudication services. This process does not include a full National Agency Check and Inquiries (NACI) which consists of credit search and written inquiries to current and past employers, schools, references, and federal and local law enforcement agencies over the past five years.

The AOC process further provides a basic level of suitability review for the risk a potential new employee or contractor poses to the AOC and Congressional community. Unfortunately, this process is below the standard other Legislative Branch agencies follow which include the Library of Congress, the Government Accountability Office and the Government Publishing Office, as well as major Executive Branch agencies where a full NACI-based suitability determination is the minimum requirement for employment.

The new AOC process will include a more robust system and resources for checking and verifying employee suitability. This process will feature a software program for NACI rated screening procedures, a multi-tiered classification methodology for employees utilizing high, medium and low risk levels based on their position, access to critical infrastructure, sensitive information and offices.

- What breaches have you experienced that justify doing suitability checks?

Response. The AOC has not identified any breaches in security due to suitability checks, however the overall security posture of the Congressional community remains at risk without improved suitability determinations, especially for those high and medium risk positions that are in direct contact with member offices, staff and sensitive information. The additional AOC resources and improved standards for suitability checks will significantly strengthen security and safety measures and bring the AOC in line with federal best practices.

GRANT MEMORIAL

The AOC assumed responsibility for the care and maintenance of Union Square in December 2011. Funding was provided in 2013 in the amount of $4.8 million for the Grant Memorial Stabilization project.

- What is the status of the restoration efforts?

Response. Since the property transfer from the National Park Service, the AOC addressed the immediate safety issues and repaired the most visibly deteriorated conditions throughout Union Square. Sidewalk replacements, step repair, and trip hazards were corrected in Fiscal Year 2013. The AOC has identified more than $18.7 million in Deferred Maintenance and Capital Renewal issues to be addressed throughout Union Square. With regard to the Grant Memorial, AOC staff have implemented a preservation strategy to address safety and maintenance concerns, to stabilize the site, and to identify future site requirements.

Conservation of the Grant Memorial's bronze elements began in spring 2015. To date, the Grant Memorial Central Group, Artillery Group, and Calvary Group have been completely cleaned, patinated, and have received one coat of lacquer (lacquer will be built up to a three millimeter thickness as additional coats are applied). The molding and casting of 106 missing bronze elements has begun with final sculptural reattachment scheduled for spring 2016. The final work includes buffing and waxing of all bronze work.

Work also continues on the stone pedestal cleaning. The stone work includes the Grant Equestrian stone pedestals, four lion stone pedestals, and the Artillery and Cavalry stone pedestals. The conservation efforts involve applying poultice to the marble surface to draw out initial copper staining. In addition, a stone cleaning solution is being used to clean, remove, and kill biological growth on the stone surfaces, and mortar joints are being repointed.

STONE PRESERVATION

You are requesting $5.6 million for Phase III of the exterior stone and metal preservation of the West Front of the Capitol. The total project is estimated at $50 million.

- Please update us on the progress of the first two phases that have already been funded.

Response. This multi-phased project is designed to repair, clean, and stabilize the exterior stone and metals of the U.S. Capitol Building to preserve its historic, architectural features. Making repairs to the stone will prevent water infiltration, slow deterioration of the stone, replace missing stone, and remove soil and stains. The cast iron, wrought iron, and bronze elements, such as lampposts, railings, hanging lamps, and entrance doors, also are being cleaned, repaired, and restored from the effects of corrosion, exfoliation, and pitting.

Phase I was funded in FY 2014 in the amount of $16.6 million. Scaffolding was erected and the metals preservation work began in June 2015. The project includes stone cleaning and restoration at the North Extension's east and north sides as well as the Senate Carriage Entrance. In addition, the painted ornamental ironwork, bronze lamp posts and bronze pendant light fixtures are being repaired and preserved. The scaffolding is scheduled to be removed this fall in advance of the inauguration preparations. Terrace-level stone cleaning and restoration will continue while weather conditions permit.

Post-inaugural work will begin in Late-January 2017. This second phase includes reconstructing the scaffolding system from the Northwest balcony around to the West Senate Connecting Corridor, and the cleaning and restoring of the remaining stone at the North Extension's west side.

Initial funding for Phase II was received in FY 2015 for $2.5 million, and the balance in FY 2016 in the amount of $14.3 million. The focus of this phase is on the South Extension, House Carriage Entrance, and West House Connecting Corridor.

- What is the schedule for completion of this project?

Response. Phase III is comprised of two parts: (1) West Front stone restoration, and (2) East Front, East Senate and House Connecting Corridors, and ACM abatement followed by stone restoration. The AOC plans to request $5.6 million in FY 2017 for the West Front work, and $10.5 million in FY 2018 for the East Front work.

WEDNESDAY, MARCH 2, 2016.

HOUSE OF REPRESENTATIVES

WITNESSES

HON. KAREN L. HAAS, CLERK

HON. PAUL D. IRVING, SERGEANT AT ARMS

WILL PLASTER, CHIEF ADMINISTRATIVE OFFICER

OPENING STATEMENT OF CHAIRMAN GRAVES

Mr. GRAVES. I will go ahead and call the subcommittee to order. Welcome, everyone.

Today we will begin our hearings on the Fiscal Year 2017 Budget Request of the House of Representatives. I would like to welcome the officers of the House.

Ms. Haas, thank you for joining us, Clerk of the House.

Sergeant Paul Irving, Sergeant at Arms, thank you.

And, our new Chief Administrative Officer, Mr. Plaster. Welcome. Congratulations to you on your new assignment. I look forward to working with you.

Also in attendance we have Mr. Kerry Kircher, the General Counsel; Ms. Strokoff, who is Legislative Counsel; and Mr. Seep, who is Law Revision Counsel. I also understand that we have Ms. Theresa Grafenstine, the Inspector General, with us as well.

So thank you, everyone, for joining us.

This 2017 budget request for the House agencies is just under $1.2 billion, which is a little over $6 million more than last year's enacted amount. Much of the work that each of you and your offices do on a daily basis in an ideal world is certainly invisible. And if everything goes well, your work stays behind the scenes and generally unnoticed.

However, we wanted you to know that this committee appreciates you and all the work you do for the House; and to keep the House secure, virtually and physically, and to ensure that we have all the proper tools. So we certainly recognize all the work you do for our work environment and keeping the environment safe.

So, I look forward to working with each of you as we have certainly some challenges facing us in this fiscal year 2017. As we had a discussion yesterday, obviously there will be questions, and our job is to review the request and scrutinize where possible and save taxpayer dollars where possible. But I know that you all have presented something that is responsible, that accomplishes the objectives you have in mind. The committee will certainly take that into consideration.

And at this point, I would like to welcome our ranking member, Ms. Wasserman Schultz, for any remarks she might have.

OPENING STATEMENT OF RANKING MEMBER WASSERMAN SCHULTZ

Ms. WASSERMAN SCHULTZ. Thank you very much, Mr. Chairman.

I join the chairman in welcoming our witnesses.

Mr. Plaster, welcome to your first hearing in Appropriations. I know you are new to the job and that you are acting in a so-called interim capacity. But you have been of service to the House of Representatives for many years. We are looking forward to working with you and looking forward to your insights.

The budget before us, unfortunately, provides no increases for the Members' Representational Allowance, our office budgets, committees, or leadership offices, with some increases for the officers of the House and for hearing room renovations.

Mr. Chairman, I consider the House, as you know, the staff, operations, and its buildings, our primary ward. We are responsible. As unsexy as our portion of the budget for the United States of America is, it is a critical component because we are helping to make sure that the greatest democracy the world has ever known is able to function.

It is in both parties' interest to ensure that the House functions at the highest levels so that we can attract and retain the best and brightest talent. We have heard countless discussions here where we lose to other agencies because we continue to be less and less competitive when it comes to the salaries that we pay, the benefits that we provide, and our ability to make sure that we can provide the best and brightest with enough attraction and reason to come and work for us instead of other competing potential opportunities.

We have to leave this institution better than we found it, and that is our challenge and our responsibility as members of this subcommittee. I don't believe that we will accomplish such a laudable goal by providing the Capitol Police, for example, with an 8 percent budget increase while providing the House with a zero percent increase, which we did in the Omnibus that we just passed in December 2015. We cannot carry out our constitutional duties with those types of priorities.

Assuming that our allocation remains the same in fiscal year 2017, I certainly hope that we can realign our priorities.

I know I might be starting to sound like a broken record. I don't mind that. I am going to continue to advocate for our staff and for the institution.

If you recall last year, Mr. Chairman, I reported that in 2013, legislative assistants who work for the House of Representatives were being paid $6,000 less than they were in 2009, when adjusted for inflation. And just in case we forgot how difficult it is to survive when you are just starting out in your career, I will point out that a median-priced one bedroom apartment in the DC area costs $2,000 a month. After paying for rent and eating in the House cafeterias, we are lucky that we can keep anyone on staff.

Now, let me highlight something in the Fiscal Year 2016 Omnibus that we were able to accomplish. With the help of the Clerk of the House, the committee funded $7 million in the Financial Services bill to increase the capacity of the National Archives and Records Administration to store archives of the House and Senate. The National Archives and Records Administration, which is fund-

ed in the Financial Services bill, is running out of space to store Legislative Branch archives. So that is not in our bill. NARA is, though, of great benefit to future Congresses, to historians and researchers, who will use this information to judge us when we are long gone.

That was phase one, and I hope we can impress upon our colleagues on that subcommittee to keep this project going. And I would recommend to any member who has not been over to the Archives and been in the Legislative Vault, it is a sight to behold. And, you have an opportunity to have that.

Mr. Chairman, you may even want to bring us on a field trip, as you have been wont to do, to the Archives, because the things that we will have an opportunity to see will, I think, motivate all members of this subcommittee to impress upon our Financial Services colleagues how important that is.

But before I conclude, Mr. Chairman, I do want to voice my frustration at how our committee continues to be circumvented outside of the regular order, which I know is a top priority of Speaker Ryan.. Decisions about funding are being decided in ways that cannot be brought to light through congressional oversight because they are being made outside of our ability to oversee them.

We have spent from Federal appropriations more than $6 million combined on the Benghazi Select Committee and on the Energy and Commerce Committee for the Select Investigative Committee on Planned Parenthood. The House budget presented to us to consider does not reflect the increased budget requirements for these partisan lawsuits, the Benghazi Committee, or the additional needs for the Planned Parenthood panel under Energy and Commerce.

To add insult to injury, the Benghazi Committee, unlike every other committee of the House, and a committee that has existed for years now, does not receive its own appropriation and does not even receive funds through the Committee Funding Resolution that is voted on by the whole House. In other words, we have unelected people deciding how much money that committee gets.

To add insult to injury, unlike every other committee of the House, it does not receive its own appropriation and it does not receive funds through our Committee Funding Resolution.

We may never agree whether these activities are worthwhile, but for the sake of regular order, a refrain I have heard is being important to your side of the aisle over and over and over again, we must insist that these items be funded through the regular appropriations process and authorization processes. Not only do we not have oversight of how millions are being siphoned for political games, but this is threatening Congress' real work.

These new political committees and panels come at the expense of our standing committees that have enacted very little authorizing legislation on important issues of our day. We can only surmise that if we funded those committees for their real policy work, that this Congress could actually begin working for the American people again and pass—shudder the thought—bipartisan legislation.

Mr. Chairman, if for no other reason than for transparency for the American people, this subcommittee should insist on regular order and require the justifications to provide budget details on

these committees and on the partisan lawsuits that we have, unfortunately, been funding at every turn. We know that they can provide that. They have gone on long enough.

I have heard the General Counsel answer questions of mine, Mr. Chairman, in the past, where he said, we just don't know what the costs might ultimately be. Well, neither does the Department of Justice. But they are required to provide us with a budget justification and anticipate what their needs are, even when it comes to the uncertainty of their lawsuits.

So within our limited scope, I look forward to hearing the testimony of the witnesses that are here today, and I yield back.

HOUSE OFFICERS OPENING REMARKS

Mr. GRAVES. Thank you, Ms. Wasserman Schultz.

And now we will take an opportunity to hear from the officers. I would love to start with Ms. Haas first, ladies first, and then Mr. Irving and then Mr. Plaster. If each of you could just go in that order, and then we can have questions after that. Members will likely direct questions to one or all of you at some point.

My understanding is our calendar, as long as yours allows for it, goes to about 2:30, that is what we were expecting here, no later than that, then we will have Library of Congress after that. So that sort of gives the Members a lay of the land here.

So, Ms. Haas, thanks for joining us, and look forward to your comments. If you can briefly share what you have already prepared and know that your written statement will be submitted for the record.

OPENING REMARKS—CLERK OF THE HOUSE

Ms. HAAS. Thank you. Chairman Graves, Ranking Member Wasserman Schultz, and members of the subcommittee, I appreciate the opportunity to testify before you regarding the operations of the Office of the Clerk and our fiscal year 2017 budget request. Thank you for providing the resources and guidance to allow us to continue to carry out our duties and responsibilities for the legislative and institutional operations of the House.

There is much to report since our last hearing. We have made great progress on our Web site redesign and expect a beta version to be available in January of 2017. The Web site will focus on our legislative responsibilities and have a robust search function that will include more advanced vote searches.

We have completed updates to the *docs.house.gov*. Web site, the financial disclosure electronic filing Web site, and an internal requisitions program. The requisitions project will streamline internal functions and make it easier to reconcile GPO billing.

We continue our efforts to make legislative information more accessible. I am proud to report that, working with our partners, the Bulk Data Task Force released bill status information in bulk form. This was a significant step forward and well received by those that use our data regularly.

Outreach to Members and committees regarding their records continues to be a priority. With the support of this subcommittee,

we were able to make progress on the storage challenges we face for House records.

Working with the House Historian and his team, we have seen tremendous growth in the use of the *history.house.gov* Web site. This unique historical content is available to the public and used frequently by teachers and researchers.

The robust hearing schedules have increased the demands on our Official Reporters. I expect that these services and others provided by our office will continue to see growing demand.

With our professional staff and the support of this subcommittee, we are ready to meet those challenges.

Thank you for your time, and I am happy to answer any questions.

[The prepared statement of Ms. Haas follows:]

OFFICE OF THE CLERK
UNITED STATES HOUSE OF REPRESENTATIVES

THE HONORABLE KAREN L. HAAS
CLERK OF THE HOUSE OF REPRESENTATIVES

STATEMENT BEFORE THE HOUSE APPROPRIATIONS SUBCOMMITTEE ON THE LEGISLATIVE BRANCH ON THE OFFICE OF THE CLERK, FY2017

MARCH 2, 2016

Chairman Graves, Ranking Member Wasserman Schultz, and Members of the Subcommittee, I appreciate the opportunity to testify before you today regarding the operations of the Office of the Clerk. As you know, the Clerk's Office supports the core legislative operations of the House of Representatives and its committees. From the introduction of new bills on the House Floor to the presentment of enrolled bills to the White House for signature by the President, our office is integral to the legislative process. The Clerk's Office ensures the integrity of the legislative process while making technological progress to improve the transparency and availability of the legislative operations for Members, staff, and the public.

HOUSE LEGISLATIVE OPERATIONS: SUPPORT, ACCESSIBILITY, AND TRANSPARENCY

The Office of the Clerk plays a central role in the legislative activities of the House. Clerk staff facilitate House Floor proceedings, report and transcribe House Floor and Committee hearings, and provide streaming video and legislative activity updates. The Clerk's office compiles and distributes legislative records and documents through print and digital channels.

Support for House Floor Operations

The Clerk's Office is responsible for supporting the legislative process in its many dimensions, as required by statute and the *Rules of the House of Representatives*. Our bill clerks process all newly introduced bills and accompanying Constitutional Authority Statements. Tally clerks record all votes cast in the House through the Electronic Voting System (EVS) or manually in the House Well. They also create the official House Calendar and process all committee reports filed in the House. Our journal clerks produce the constitutionally mandated *Journal of the House of Representatives* and handle all Presidential Messages received by the House. As bills pass in the House, our enrolling clerks prepare the official text for transmission to the Senate or the White House. In addition to their duties of announcing pending business on the House Floor, our reading clerks deliver bills and messages to the Senate. Whenever the House is in session, our staff is hard at work supporting Floor operations.

Transparency and Accessibility of House Floor Proceedings

While supporting these key aspects of the legislative process, the Clerk's office is also responsible for making House Floor proceedings transparent and accessible to the public. In FY2016, the Clerk's Office was involved in the following efforts.

Webcasting House proceedings using HouseLive brings real time legislative activity to the public but also allows users to research previous proceedings through archived video. Use of this service continues to increase with Member offices actively using the "clipping tool." During the second half of 2015, HouseLive had nearly 117,000 visitors, and House offices used its video clipping tool to create and download 1,177 videos of Floor activity. In December, the 10,000th video clip was produced.

Improvements are needed to the current system and we look forward to future upgrades that will enhance capabilities.

During the current fiscal year, we worked with our EVS vendor to create and install voting display board covers in coordination with upgrades performed by the Architect of the Capitol. Our office also upgraded the EVS system servers to a new operating system. We are currently working with our vendor to update the voting stations, voting card technology, and the voting station network. This is a multi-year project and work will proceed through FY2017 and beyond.

For the last several months we have been fully engaged in the re-design of the Clerk website (clerk.house.gov). This project will continue into the next fiscal year with a beta version of the main page anticipated in January 2017. The new website will greatly improve ease of navigation, provide robust search capabilities, and allow increased access to legislative information.

Support for Committee Operations

In addition to its support for legislative operations on the House Floor, the Clerk's Office provides a number of services to assist House committees in fulfilling their legislative responsibilities. The Legislative Computer Systems team provides the XML editor XMetaL to committees (and to the Office of Legislative Counsel) to assist in the production of legislative documents. The division also maintains the Committee Repository (docs.house.gov) and provides technical support to committee staff as they add meeting information for markups and hearings and other data to this publicly available site. In addition to transcribing Floor activity, the Office of Official Reporters transcribes Committee hearings and markups, depositions, and field hearings. Our House librarians provide research services for committees and offer regular training through the House Learning Center to assist legislative staff with their research needs. Our professional archivists provide regular consultations and assistance to committee staff in complying with their archival obligations under House Rules. They also oversee all committee records maintained at the National Archives and Records Administration and assist committees in recalling their archived records as needed.

Transparency and Accessibility of Committee Proceedings

The Office of the Clerk is proud of the progress being made to improve the transparency of the committee process. The Committee Repository has been enhanced over the last year to allow for expanded committee information. This site remains a one-stop shop for the Members, staff, and the public to access daily committee schedules, hearing and mark-up notices, testimony, text of amendments, and tally sheets for recorded votes. Working with our partners, we have provided assistance to the Hearing Modernization Project to include writing document standards and updating docs.house.gov in support of the project.

Access to Legislative Documents

The Clerk's Office continues to chair the Bulk Data Task Force, which was established at the direction of this Subcommittee in 2012. The task force has made great progress in providing access to legislative documents via bulk data download. As you know, this has been a very successful collaboration and has improved transparency and access to legislative information. Just last week, Bill Status information was released in bulk format. Releasing Bill Status data in bulk is an important milestone in modernizing congressional data because data users who currently "screen scrape" Thomas.gov can transition to using this bulk data, and the Library of Congress is one step closer to retiring Thomas.gov. This latest step has been well received by those that frequently use congressional data. Also, we are assisting the Rules Committee in publishing the *House Manual*, including the House Rules, in XML format. For FY2017, I expect the task force to continue to work in collaboration with all stakeholders and partners to make additional progress in transparency and access to the work of the House of Representatives.

I would be remiss if I did not mention the outstanding contributions of the late Chuck Turner. He and his helpful participation and insights into the legislative process will be greatly missed by all the members of the task force.

THE HOUSE LIBRARY, ARCHIVES, ART AND HISTORY OF THE HOUSE: PRESERVATION AND PUBLIC ACCESS RESPONSIBILITIES

The Clerk's organization serves as the custodian of all noncurrent records of the House and oversees the curatorial care of fine art and artifacts in the House Collection. This support extends to the dissemination of information about House records and the Collection. We also provide guidance to committees and Officers on managing and archiving records and consultation with Member offices on records management and courtesy storage.

Public Access to Archived House Records

The House has assigned the Clerk's Office the important work of preserving its archived records. To do so, our professional archivists provide all House committees and offices with ongoing training and consultation for proper records management. As required by House Rules, each committee transfers its noncurrent records to the Clerk's Office at the end of each Congress. Our office in turn transfers those records to the National Archives and Records Administration's (NARA) Center for Legislative Archives, where they are professionally maintained and made publicly available in accordance with House Rules. The Center for Legislative Archives ensures House records are accessible, given that electronic records are received in a variety of formats, including new technologies.

From July to December 2015, we archived 181,500 pages of House records, assisted committees as they retrieved 58,500 pages of archived records and returned 78,250 pages lent, and transferred 20.8 GB of electronic records to NARA.

Securing space to store these records has been an ongoing challenge. With the support of the Committee and collaboration with our partners, we believe a solution is near that will resolve this problem for the foreseeable future.

The House Library provides legislative research resources and assistance and online database access to Members and staff. To continue to improve and streamline the research capabilities offered to the House community, library staff are preparing for a transition from the Library's current cataloging software to a more robust system. To simplify user research, we also developed a new portal for the House Library's public computers. This system is in the testing phase and features comprehensive guides on legislative research topics. Work on this project will continue into FY2017. The Library continues to add subscription research databases and make them available to Members and staff. These services are a useful resource to the House and save Member and Committee offices funds.

The Library space in the Cannon House Office Building has served an increasing number of patrons this fiscal year. As part of our ongoing efforts to increase our support of and engagement with Member offices, the Library has hosted several events so far this fiscal year, including a well-attended open house and the first program in a new series of book talks. We plan to host book talks on a regular basis and teach legislative research classes in the House Learning Center.

Art and History

Along with our efforts to make House records open and accessible to the public, the Clerk's Office continues to make the art and history of the House publicly accessible in a variety of ways.

In 2015, we, along with the Historian's office, promoted the History, Art & Archives website (history.house.gov) to the House community and the public in a variety of ways. This effort resulted in a 28 percent increase from 2014 to 2015 of unique visitors to the site (more than 2.1 million total). It also resulted in 7 million unique page clicks on the site, a 38 percent increase from 2014. We also increased the visibility of the @USHouseHistory Twitter feed, which now has nearly 150,000 followers.

We are planning two major efforts in this area during the upcoming fiscal year. First, we will be commemorating the election (in 1916) and the swearing-in (in 1917) of Representative Jeannette Rankin, the first woman to serve in Congress. Plans to commemorate these anniversaries are underway and include an exhibit to mark the 2017 centennial of her arrival in the House and the first generation of women in Congress.

The major themes of the exhibition will be the election, congressional service, and door-opening career of Jeannette Rankin; the first generation of women in Congress (1917–1945); and the

legislative interests and accomplishments of these women. The estimated $65,000 cost for this project is included in our FY2017 budget request and includes outside contractor assistance to develop, design, and build a museum-quality exhibition that will be durable and appropriate for the public spaces of the U.S. Capitol. It will also include costs related to research in the Rankin papers and outside assistance to include video, artifacts, historic documents, photographs, and interpretive and interactive elements in the display.

The second major project concerns upgrading the *The Biographical Directory of the U.S. Congress* website (bioguide.congress.gov), known as the Bioguide. As you know, the Bioguide is based on a print publication dating back to 1859. The Office of the House Historian, the Clerk's Office of Art and Archives, and the Senate Historical Office provide and maintain the content of this important reference resource. The website includes standard biographical information and, when available, images, bibliographic information, and relevant archival resources. Launched in 1998, the online database provides biographical data on each current Member and each of the more than 12,000 former Members of Congress. Multiple applications within the House, Senate, and Library of Congress organizations rely on information from this database. In its nearly 19-year existence, the website has not been upgraded and the database portion has had only minor software upgrades. With the retirement of the Thomas.gov website, it is the oldest website on Capitol Hill.

Working with the Clerk's Legislative Computer Systems, the Historian's office and the Clerk's office are taking an incremental approach to the Bioguide upgrade. In 2015, a vendor was hired to create a technical requirements document for an upgraded website and database. Our estimate of the total multi-year cost to overhaul the Bioguide is between $150,000 and $300,000, based upon our experience building the History, Art & Archives website (history.house.gov). The requested FY2017 sum ($75,000) is the estimated amount needed to initiate the second phase of the website upgrade, which includes back-end infrastructure improvements and front-end design.

PUBLIC DISCLOSURE RESPONSIBILITIES

In addition to its work supporting the legislative operations of the House and preserving its records, art, and history, the Clerk's Office plays a major role in providing public disclosure information, as required by law and the Rules of the House.

Financial Disclosure

Our records and registration staff process financial disclosure and periodic transaction reports submitted by Members, Officers, candidates, and House and legislative branch employees who qualify as senior staff, and make them publicly available online and through the Legislative Resource Center, as required by law. Our office is working on enhancements to the Financial Disclosure Online Reporting application (fd.house.gov) to update multiple filer and administrative functions. We will continue to work to improve this site and anticipate this effort will be ongoing.

Lobbying Disclosure

The Clerk's Office also continues its efforts to enhance its lobbying disclosure filing system in coordination with the Secretary of the Senate, who shares responsibility for administering the filing requirements of the Lobbying Disclosure Act. To ensure compliance with the act, the Office emailed reminders to approximately 12,000 registrants before the deadlines and sent follow-up notices after due dates. The Office sends additional notifications throughout the filing period to keep users informed of filing requirements. As with financial disclosure, this work will continue through FY2017 and beyond.

PLANNING AND BUDGET REQUEST FOR FY2017

The Clerk's Office seeks to carry out its legislative, preservation, and public disclosure responsibilities in an efficient and cost-effective manner. Currently, the Office is operating 19 percent below its peak budget. Even so, we anticipate growing demand for our services, especially our efforts to further enhance the transparency of the House's legislative operations and the accessibility of its legislative data, official reports, and public disclosure filings. Much of this work falls to the Legislative Computer Systems division as they design programs and applications to facilitate and provide access to information. I expect this to continue to be a major area of growth for our office in the foreseeable future. In addition to the examples previously mentioned in my testimony, we are working to modernize the current requisition system. Our current upgrades will allow us to better track and reconcile Government Publishing Office orders. In the future, we hope to create an online venue for Member Offices and committees to input letterhead and stationery orders. This ongoing effort will benefit all House offices, but it is just one of the many projects currently being developed by our programmers. All of this work would not be possible without the dedicated group of professionals that compose the Clerk's organization. Our staff appreciate the many opportunities to assist the House in support of its legislative duties. We continue to work to maximize our efforts in the most efficient manner that will result in the best value for the House.

We appreciate the Subcommittee's ongoing support for the operations of the Office of the Clerk. For the upcoming fiscal year, we respectfully request $26,411,000 to carry out our existing and new responsibilities to the House. In addition to the previously mentioned projects and anticipated increases in software license and maintenance costs, this $1.4 million increase includes additional personnel costs, such as filling vacant positions to meet increasing demand for our services. Personnel costs make up more than 80 percent of our budget. In the past, we have been able to lower non-personnel costs to cover anticipated payroll increases; however, the growing demand to modernize systems and applications to carry out the core functions of the House does not allow us to continue that practice for FY2017.

Thank you again for the opportunity to testify.

Mr. GRAVES. Thank you.

Mr. Irving, thank you.

OPENING REMARKS—HOUSE SERGEANT AT ARMS

Mr. IRVING. Good afternoon, Mr. Chairman, Ms. Wasserman Schultz, and members of the committee. I appreciate the opportunity to appear before you to present the Sergeant at Arms Budget Request for Fiscal Year 2017.

Before beginning, I would like to say that it is truly an honor to have an opportunity to serve this institution, and I look forward to continuing to work with you and the other members of the committee as the year progresses. My full testimony, which I have submitted for the record, has my entire fiscal year 2017 budget.

As you know, the Office of the Sergeant at Arms provides security, safety, and protocol services to Members, committees, and the staff who serve them. To accomplish our mission, we have an extremely dedicated team whose diverse strengths provide the highest level of professionalism and expertise.

Employees of the Sergeant at Arms have supported numerous special events over the past year, including the unprecedented visit of His Holiness Pope Francis of the Holy See, the annual State of the Union address by the President, off-site retreats, visits by heads of state, honorary ceremonies, concerts, and other events throughout the year. Planning is currently under way for the inauguration of the 45th President of the United States.

As Sergeant at Arms, I receive real-time intelligence information providing an overview of campus wide, local, national, international events which may have an impact on the safety and security of the House of Representatives. The information is gleaned from a myriad of sources through a partnership with Federal, State, and local intelligence and law enforcement agencies.

However, as a point of note, despite our best intelligence assessments, prudent security protocols are always our best measure to keep Members, staff, and visitors safe. All of these resources and efforts in intelligence gathering assist me in evaluating security countermeasures in the context of new and emerging threats. And, I want to assure this committee that I carefully evaluate and balance the security protocols and security posture of the House with the effects that any new security protocol may have on the business process of the institution.

In partnership with the Capitol Police, my office maintains a strong, effective outreach program with Member offices regarding district office security. We offer guidance on best practices, providing information on how to obtain a thorough security review and how to coordinate security surveys when requested. We will continue to provide this essential service to offices, remaining mindful of the need to provide cost-effective recommendations and solutions.

Two of our most successful initiatives to date have been the implementation of mail hoods in the district offices and our Law Enforcement Coordinator program.

In closing, I would like to thank the committee once again for the opportunity to appear before you. I want to assure you of my deep commitment, and that of my entire office, to providing the highest

quality services for the House of Representatives, while maintaining the safest and most secure environment possible. We remain vigilant and focused on security preparedness, striving to adhere to the strict level of fiscal accountability entrusted to us by the House of Representatives.

As always, I will keep the committee informed of my activities, and will be happy to answer any questions you may have.

[The prepared statement of Mr. Irving follows:]

Office of the Sergeant at Arms
Fiscal Year 2017 Budget Submission

Statement of the Honorable Paul D. Irving
Sergeant at Arms
U.S. House of Representatives
Before
The Subcommittee on Legislative Branch
Committee on Appropriations

Good morning Mr. Chairman, Ms. Wasserman Schultz, and members of the Committee. I appreciate the opportunity to appear before you to present the Sergeant at Arms budget request for fiscal year 2017. Before beginning, I would like to say that it is truly an honor to have an opportunity to serve this institution, and I look forward to continuing to work with you and the other members of this Committee as the year progresses.

As you know, the Office of the Sergeant at Arms provides security, safety and protocol services to Members, Committees and the staff who serve them. To accomplish our mission, we have an extremely dedicated team whose diverse strengths provide the highest level of professionalism and expertise in each of our divisions: Police Services and Law Enforcement, Protocol and Chamber Operations, Parking Security, House Security, Information and Identification Services, and Emergency Management.

As Sergeant at Arms, I am responsible for the oversight of all security matters which relate to the House of Representatives. I serve as a member of the U.S. Capitol Police Board, which establishes policies and guidelines to protect the Capitol complex and its occupants. I also serve as a member of the oversight board of the Office of Congressional Accessibility Services. This small and essential office provides accessibility services for individuals with disabilities, including Members of Congress, officers and employees of the House of Representatives, and visitors to the Capitol complex.

At the beginning of each day, I receive real-time intelligence information providing an overview of campus-wide, local, national, and international events which may have an impact on the safety and security of the House of Representatives. These events include identified criminal activities, threats to Members of Congress, families, and staff, as well as those events and information that might be more closely associated with terrorism and other potentially disruptive activities and actions.

All of this information is gleaned from a variety of sources and through partnerships with federal, state, and local intelligence and law enforcement agencies. In addition to these law enforcement relationships, a critical component of our intelligence network is the USCP Liaison Agent Program, wherein USCP agents are assigned to the various law enforcement task forces, such as the FBI's National Capitol Region Joint Terrorism Task Force and other law enforcement and intelligence liaison divisions.

All of these resources and efforts in intelligence-gathering assist me in evaluating security countermeasures in the context of new and emerging threats, thus providing a more secure environment, both for allowing the House to conduct its business and also for allowing visitors to safely view and participate in the legislative process of government. I want to assure the Committee that I carefully evaluate and balance the security posture of the House of Representatives with the effects that any new security protocol may have on the business process of this institution.

Thanks to the support of this Committee, the Office of the Sergeant at Arms is involved in a number of important new and ongoing projects which I would like to highlight. As I submitted for the record last year, the ongoing Garage Security Enhancement project will address existing vulnerabilities and provide a greatly improved level of security in the House Office Buildings. I am grateful that the Committee has recognized the need for this crucial initiative, as this project would not be where it is today without the sustained support of this Committee these past few fiscal years.

This project is designed to move the entire Capitol complex closer to 100% screening by bringing the House Office Buildings into the secure perimeter and in line with the Senate Office Buildings and the Capitol. The Office of the Sergeant at Arms continues to work in conjunction with the Architect of the Capitol (AOC) and the USCP to implement this important initiative. With the Committee's help, the AOC and the USCP have already installed much of the necessary infrastructure to provide lockdown capability to the building entrances from the garage, thus nearly completing the first phase of the project.

The next phase will include the implementation of standard security screening equipment (x-ray machines and magnetometers) at the established access checkpoints from the garages into the House Office Buildings. We will gradually move forward in implementing a phased-in approach to all the House garages, beginning with the Ford garage and then the Cannon and Longworth House underground garages (the HUGs). Currently, the USCP Board is working with the USCP to identify staffing efficiencies to implement this portion of the project as cost-effectively as possible. This initiative will then incorporate the Rayburn garage into the screening protocol and will be completed in coordination with the Rayburn garage renovation project.

The next AOC portion of the project will be the build out of selected elevator lobbies to accommodate the screening equipment in the Rayburn Garage, dedicating certain elevators to access the screening areas into the building, and repurposing other areas of the garage as support office and storage space. The objective of this phase is to maintain an organized garage with ease of traffic flow and a smooth transition from unscreened to screened areas.

I fully understand that this initiative will eventually have an effect on the business process of the institution. I am actively working with the USCP and AOC to minimize the inconvenience and impact of this project on Members, staff, and others who work in the House Office Buildings. I deeply appreciate the Committee's leadership and support in sharing our firm commitment to bringing the House Office Buildings into our secure perimeter.

In addition to the Garage Security Initiative, I have also been prioritizing various security enhancements to further augment our security posture during FY17. The following projects, coordinated with House Leadership, the AOC and the Senate, will help to enhance the security coverage of the Capitol, while maintaining the openness and park-like setting of the grounds:

The last phase of the multi-part Capitol Security Enhancement initiative is a proposal to install an underground alarm around the perimeter of the Capitol building and provide full camera coverage of Capitol grounds; to bolster the physical structure of the outer planters and the Olmsted wall; and to finance a study to upgrade the lighting on the Capitol East Plaza. The additional alarm would assist with the alert and further enhance the USCP coverage of individuals approaching the base of the Capitol, as well as provide full integration with the existing cameras. Bolstering the planters and the Olmsted wall will complete the outer perimeter security and help prevent breaches onto the Capitol Square. Upgrading the lighting systems will provide illumination levels necessary to meet current security and safety standards and would ideally have the capability of adjustable lighting levels to be utilized after dark during votes or in emergency situations.

In addition to these new initiatives, the Office of the Sergeant at Arms sustains a number of ongoing projects, the continuation of which would not be possible without the shared commitment and support of this Committee.

The installation of new storm windows in the House Office Buildings is a vital part of the initiative to upgrade and strengthen the facades of the House Office Buildings. These windows are also designed to be blast- and shatter-resistant for greater protection of occupants inside the offices, as well as maintaining the structural integrity of the buildings. The Architect is currently reviewing the design of these windows, and installation is anticipated to begin later this year, starting with the Longworth Building.

Within the Capitol itself, in addition to existing magnetometers, continued implementation of enhanced screening portals within the House Gallery check-in area in the Capitol Visitor Center will provide an additional layer of security to the galleries of the House of Representatives. Visitors are now able to be screened for powders, liquids and other non-metallic objects prior to entering the House galleries.

For the Sergeant at Arms Office in particular, the upgrade of a new server infrastructure will provide for "virtual machines" (multiple server instances running in memory) that provide ease of management and processing speed optimization. This includes a primary system installed in the Ford HOB and a secondary system being replicated to the alternate computing facility for failover purposes. We are currently consulting with our technical support contractors, as well as other House system administrators, to determine the best options for the appropriate hardware and server software for the server upgrade. We expect to have a plan for moving forward in the next few weeks. At that time we will solicit quotes from a number of vendors with the intention of issuing a purchase order by the end of March 2016.

Additionally, as you know, my office implements a comprehensive Emergency Management Program for the House of Representatives, planning for the continuity of operations of the House and the safety of House Members, employees and visitors during emergencies. As part of our emergency preparedness strategy, my office oversees planning, training and exercises - including notifications, evacuations, and shelter-in-place activities - to ensure readiness to respond to a variety of emergency scenarios affecting the House. For example, we place strong emphasis on our Active Shooter Training program, an initiative designed to instruct Members and staff about the life-safety skills necessary to respond to and protect themselves against an active shooter threat. After the events in Paris and San Bernardino, requests for this training by Members and House support offices have increased significantly.

Employees of the Sergeant at Arms have also supported numerous special events over the past year, including the unprecedented visit of His Holiness Pope Francis of the Holy See, the annual State of the Union Address by the President, off-site issues retreats, visits by heads of state,

honorary ceremonies, various concerts, and other activities throughout the year. Planning is currently underway for the Inauguration of the 45th President of the United States.
Finally, in partnership with the USCP, my office maintains a strong, effective outreach program with Member offices regarding District Office security. We offer guidance on best practices, providing information on how to obtain a thorough security review and how to coordinate security surveys when requested. We will continue to provide this essential service to offices, remaining mindful of the need to provide cost-effective recommendations and solutions. Two of our most successful initiatives have been the implementation of mail hoods in the District Offices and our Law Enforcement Coordinator program.

I appreciate the opportunity to speak to the Committee about the Sergeant at Arms' new and ongoing security initiatives, and now I would like to turn your attention to our more specific FY17 requests. As always, the employees in the Sergeant at Arms organization are our most important assets and have a shared responsibility in fulfilling the Sergeant at Arms mission. While we were authorized for 132 FTE in fiscal year 2016, we are requesting funds for 130 mission-critical positions in Office of the Sergeant at Arms.

Non-personnel expenses for fiscal year 2017 will continue to support travel, for which funding is primarily required for the advance and support of large scale off-campus events involving Members of Congress; telecommunications funding will support telephone, cell phone, air cards and wireless service for all divisions of the Sergeant at Arms; printing funding will support general printing needs as well as the preparation of emergency training materials; training and contracting services will include funding for job-specific training for Sergeant at Arms staff, as well as for contractual services in the areas of threat mitigation, force protection, counterterrorism, emergency preparedness, response and recovery, and Chamber and Gallery operations; supplies and materials funding will be utilized for the purchase of office supplies, ID supplies, parking security uniforms; and finally, general equipment funding is requested for the life-cycle replacement of PC's, software systems, laptops, wireless devices and cellphones.

The FY 2017 Sergeant at Arms budget request has been prepared in the spirit of zero-based budgeting – without jeopardizing mission-critical services provided to the House community. In order to fund on-going efforts, the Office of the Sergeant at Arms requests **$15,571,000** for fiscal year 2017. This includes **$9,952,098** for personnel expenses and **$5,618,902** for non-personnel items.

In closing, I would like to thank the Committee once again for the opportunity to appear before you. I would like to reiterate how grateful I am for the Committee's unyielding support as we strive to maintain the delicate balance between implementing strong security measures while simultaneously allowing free and open access to the Capitol complex. I want to assure you of my deep commitment – and that of my entire office – to providing the highest quality services for the House of Representatives and maintaining the safest and most secure environment possible. We remain vigilant and focused on security and preparedness, striving to adhere to the strict level of fiscal responsibility entrusted to us by the House of Representatives.

As always, I will keep the Committee informed of my activities and will be happy to answer any questions you may have.

Mr. GRAVES. Thank you, Mr. Irving. Thank you for your service too.

Mr. IRVING. Thank you.

OPENING REMARKS—CHIEF ADMINISTRATIVE OFFICER

Mr. GRAVES. Mr. Plaster, welcome. Your first hearing before us in your new capacity.

Mr. PLASTER. Thank you, Mr. Chairman.

Mr. GRAVES. And we certainly congratulate you and welcome you.

Mr. PLASTER. Thank you. Mr. Chairman, Ranking Member Wasserman Schultz, members of the committee, I appreciate the opportunity to appear before you today on behalf of the entire team of women and men who serve the House in the Office of the Chief Administrative Officer.

This is the first time I have appeared before the committee, and I am quite honored to be here today alongside the Clerk and the Sergeant at Arms. While I have only been in this position for 2 months, I have served the House for over 25 years, and I can safely observe that the close working relationship that the House officers have fostered in recent years, among themselves and with the other service providers in the House, has been vital in ensuring that the institution is supported effectively and efficiently.

I look forward to collaborating with the committee on this budget request in order to tackle the many issues and challenges facing us in fiscal year 2017, particularly our work to improve the delivery of services to the House community and our comprehensive program to protect House IT systems from a persistent and evolving threat.

The Fiscal Year 2017 Budget Request for the Office of the Chief Administrative Officer is $117,165,000, which is flat with the Consolidated Appropriations Act of 2016. This request will support the CAO priorities in information technology and improving CAO core services, such as financial management, acquisitions management, logistics, human resources, and other support services.

Within these core services are activities supporting cybersecurity, payroll and benefits, mail delivery, food services, broadcasting, human capital, furniture and furnishings.

Although our request is flat, the CAO does anticipate increases for fiscal year 2017 in personnel, annual maintenance, and licensing, Housewide subscriptions, and key projects, such as knowledge management. However, we also anticipate savings due to decreases in contractor support, modular furniture installations because of the Cannon Renewal Project, and project initiatives that will be transitioning from implementation to operational status.

We are confident that by utilizing available funds efficiently, and working in concert with our House partners, we will be able to meet and exceed the expectations of House Members and staff.

Again, I appreciate the opportunity to be here today, and look forward to addressing your questions.

[The prepared statement of Mr. Plaster follows:]

Statement of

The Honorable Will Plaster

Chief Administrative Officer

United States House of Representatives

Before the

House Appropriations Subcommittee on Legislative Branch

March 2, 2016

Chairman Graves, Ranking Member Wasserman Schultz and Members of the Subcommittee, I appreciate the opportunity to appear before you today on behalf of the entire team of women and men who serve the House in the office of the Chief Administrative Officer.

This is the first time that I have appeared before the Committee and I am quite honored to be here today alongside Clerk of the House Karen Haas and Sergeant at Arms Paul Irving. The close working relationship that the three House officers have fostered in recent years among themselves and with our fellow service providers has been vital in ensuring that the institution is supported effectively and efficiently. I look forward to collaborating with the Committee on this budget request in order to tackle the many issues and challenges facing us in fiscal year 2017, particularly our work to improve the delivery of services to the House community—an effort that is increasingly coordinated across the House officers—and our comprehensive program to protect House IT systems from a persistent and evolving threat.

The FY17 budget request for the Office of the Chief Administrative Officer is $117,165,000, which is flat with the Consolidated Appropriations Act of 2016. This request will support the CAO priorities in information technology and in improving CAO core services such as financial management, acquisitions management, logistics, human resources, and other support services. Within these core services are activities supporting cybersecurity, payroll and payments, mail delivery, food services, broadcasting, human capital, furniture and furnishings.

Although our request is flat, the CAO does anticipate increases for FY17 in personnel, annual maintenance and licensing, house-wide subscriptions and key projects, such as knowledge management. However, we also anticipate savings due to decreases in contractor support, modular furniture installations (the Cannon Renewal Project budget will fund furniture for the renewal project), and project initiatives that will be transitioning from implementation to operational status. As in prior years, this budget request was derived using zero-based budgeting principles. We are confident that by utilizing available funds efficiently and working in concert with our House partners we will be able to meet and exceed the expectations of House Members and staff.

ANNUAL FINANCIAL AUDIT

Mr. Chairman, I am pleased to report that shortly after last year's subcommittee hearing the House received its 17th consecutive clean audit opinion on its financial accounts for the fiscal year ending September 30, 2014. While clean audit opinions won't ever be front page news, they are the result of a tremendous amount of work that involves almost everyone within the CAO. Clean audits confirm that the finances of the House are properly managed in accordance with established standards and guidelines and each year we gain valuable insight from these audits to help us continuously improve our financial management practices.

INFORMATION TECHNOLOGY

Cyber Security

The CAO's Information Security Office, in coordination with this Committee and the Committee on House Administration (CHA), will continue to evaluate cyber security threats and risks to the House enterprise network. As part of that effort, we have implemented the following changes in order to increase the overall security posture for the House:

- Approved a new policy to identify and restrict the use of privileged access accounts. This policy reduces risks associated with users with elevated system privileges by requiring them to create separate user accounts and receive targeted training.

- Updated the House's mandatory information security awareness training. The on-line training provides more useful material available in short video segments. The segments allow staff to retain more relevant material when they take the 35-minute course. Member and staff awareness of information security threats and safe IT practices will likely become increasingly important to our overall information security posture in the coming years. We will continue to evaluate our user training in light of evolving threats to maximize the effectiveness of that aspect of our security program.

- Implemented a threat detection system as part of our effort to evolve our secure configuration management program (SCMP). SCMP ensures all systems are maintained in a manner consistent with security best practices. The threat detection system, Tripwire, improves our ability to monitor the operating status of all devices attached to the House network. Further, we are developing House-wide encryption strategies that will reduce risks associated with securing sensitive House data on laptops and portable devices.

- Initiated a bi-annual self-assessment program utilizing a structured set of criteria so the House can empirically measure the effectiveness of our Information Security program. The results from the initial assessment established FY16 House Security Program benchmarks and will serve as the basis for strategy development and prioritization for achieving enterprise information security goals.

- Deployed the National Institute of Standards and Technology Risk Management Framework to provide a structure which comprehensively manages the lifecycle of risks for critical House information systems. This framework focuses on the programmatic, CAO-wide information security requirements that are essential for information security governance across the organization.

- Applied Active Directory Federated Services (ADFS) to allow staff to use their House authentication to access external sites. Currently, ADFS is being used with the 2016 security awareness training, providing secure access to an external website that hosts the training content while using single sign-on to authenticate House staff to the House of Representatives network.

Our cyber security posture evolves and becomes more sophisticated as threats do. At the core is a layered defense and in-depth strategy to alert us of attempts and actual intrusions on the network.

This comprehensive strategy positions the House effectively against advanced threats, but continuous review of technologies, policies, and systems is necessary to ensure our defenses keep up with the ever changing threat environment.

House Technology Task Force
At the direction of the Committee in last year's Legislative Branch Bill, the CAO has taken initial steps toward establishing a House Technology Task Force modeled after the Bulk Data Task Force.

Representatives of the House Officers and Inspector General met on February 17th and are currently developing a charter for the Task Force. The Task Force will identify and report on opportunities to enhance coordination of information technology efforts in the House. Based on the directive established by the Committee, initial meetings with representatives from the House Officers and other offices will be held to formulate the Task Force's short-term and strategic goals and evaluate technical initiatives to accomplish them. The Task Force will report to the Committee every six months, or more frequently if needed.

New Data Center
After years of preparation and close coordination with this Committee, the CAO awarded a contract in 2015 to lease new data center space. Studies supported a new data center outside of the National Capital Region (NCR) instead of renovating the existing facility to enhance security and improve efficiency. It also eliminates the expense to upgrade the existing facility. The state-of-the-art center will be operational in October 2016 and be able to support the House and all other legislative organizations.

Innovation Project
This is a new technology project for FY16 providing funding for emergent innovation projects submitted through the Innovation Center of Excellence. Project business cases will be submitted and evaluated based on established criteria such as efficiencies, cost savings, technological advantages, and customer value.

Identity Access Management
During FY15, we completed a planning initiative on the methodology for implementing an Identity Access Management (IAM) program. This planning initiative was in response to recommendations from both the House Inspector General and the outside auditor that the CAO tighten controls over its privileged or shared accounts related to financial systems. Implementing this type of technology will significantly enhance our security controls around identity management and user access and will close the outstanding audit findings related to privileged users. Future years will leverage the lessons learned from the FY15 planning initiative by establishing an IAM program office and governance framework. Additionally, the CAO will formalize the IAM technology roadmap and evaluate additional technology solutions for implementation.

FINANCIAL MANAGEMENT

Budget Planning and Execution
Hyperion Budget and Planning was rolled out to CAO's Office of Budget, Policy and Planning in October 2015. This system will be opened up to all offices who budget on a fiscal year for FY16 execution and FY18 formulation. Preparations are already underway for Phase 2 of the project. Phase 2 will involve a tiered roll-out to an initial pilot group in January 2017 with the intent of ultimately providing Hyperion Budget and Planning to all Member, Committee, and Leadership offices. The long term goal of the project is to replace the need for the Congressional Accounting and Personnel System (CAPS) and to be a central repository for all budget execution and formulation data, creating efficiencies and eliminating the maintenance of external files.

Voucher Processing
In October 2015, the Committee on House Administration (CHA) adopted changes to regulations governing Member spending. Since then, the CAO's Office of Financial Counseling has retired the Travel Subsistence budget object class (BOC) and is coding travel expenses to the specific BOC code. Future improvements include providing the 2016 first quarter Statement of Disbursements (SOD) in a searchable and sortable format available for public download on House.gov.

Asset Management
Proper management of the House's finances requires the accurate accounting of our physical assets from the time they are received to the time they are disposed of. At the recommendation of our auditors, the CAO initiated a comprehensive program in 2015 to implement new processes and procedures for tracking our assets. This program has been realigned within our Logistics and Support division and will be responsible for all aspects of managing the assets of the House, including developing processes and procedures, receiving all assets for the House, managing the assets in our asset-tracking system and then properly disposing of those assets. After the program has been fully implemented within the CAO, we will expand this service to the other House Officers and then ultimately to all House offices.

ACQUISITIONS MANAGEMENT

Food Services
Last August, Sodexo Government Services assumed responsibility for all House food services, including cafeterias, carry outs, in-house catering, and vending.

CAO Acquisitions Management led a two-year competitive procurement process which featured customer surveys, focus groups and site visits to facilities operated by a number of the bidders. For the first time, the panel reviewing and evaluating the proposals included several individuals from outside of the CAO, including a representative from a Member office, to broaden the range of perspectives in the competitive bidding deliberations.

Sodexo has already implemented several changes in our food service locations, including opening a new Subway Cafe in Rayburn. This spring a Dunkin' Donuts/Baskin-Robbins will open in the Longworth House Office Building. Additionally, Sodexo has hired a full-time ambassador to serve as a liaison between the customers of House food services and Sodexo.

LOGISTICS

Transition/New Member Orientation
Preparations for the 115th Congressional Transition are well underway. Nearly all CAO staffers contribute to this effort by preparing and producing online and printed materials and holding briefings for both departing and new Members and their staffs, facilitating Member office moves for returning Members and initiating outreach by the Office of Employee Assistance to departing staffers.

Cannon Renewal/O'Neill Occupancy
The CAO has now moved more than 900 committee and support staff from offices in the Cannon, Longworth, Rayburn, and Ford House Office Buildings because of the Cannon Renewal Project. Of these moves, over 300 staff have moved into the O'Neill Building. Another 500 or more staffers will also move from Cannon in 2016 and 2017.

House Floor Seat Reupholstering Project
Following a tightly-orchestrated schedule around the House's legislative calendar, the CAO continues the rebuilding and reupholstering of more than 400 seats on the floor of the House Chamber. This project will be complete by November 2016.

HUMAN RESOURCES

Privacy Program
At the recommendation of the House Inspector General, the CAO has created an Office of Privacy to ensure the protection of Personally Identifiable Information (PII) in our custody. This office continuously monitors all offices within the CAO to ensure that policies and procedures are appropriately followed to protect the PII of Members, staff and contractors.

During the second half of 2015, the office monitored and coordinated the dissemination of information about the cyber breaches at the Office of Personnel Management, which affected thousands of current and former Members and House staff.

The Office of Privacy will release Privacy Policy and Privacy Statements for internal and external customers in early 2016 and will incorporate privacy statements each time we collect PII. Additionally, we will continue to integrate privacy guidelines throughout the organization, transition to a web-based PII inventory system, provide specialized privacy training in the CAO and work with Acquisitions Management to incorporate PII protections into standard contract clauses.

Office of Employee Assistance
The Office of Employee Assistance (OEA) in collaboration with House Information Resources implemented a new records management solution, Medcom Premier. This replaces their legacy software database Episoft. The new system will enable the OEA to encrypt and secure confidential records of staff utilizing their services.

CLOSING REMARKS

Mr. Chairman and Ranking Member Wasserman Schultz, thank you again for the opportunity to testify today. Please be assured that our entire CAO team remains committed to providing House Members and staff with the tools and resources they need to work efficiently, effectively, and securely.

I look forward to working with the Committee and would be pleased to answer any questions you may have.

Mr. GRAVES. Thank you very much.

I know each of the members of the committee have done their diligence and read through each of your proposals and recommendations from the budget requests. I want to start off today, I am going to yield my time to Mr. Rigell, who is a great advocate of good government and has done an amazing job on the Appropriations Committee. We were sad to see him announce that he wasn't going to run again this year.

Mr. RIGELL. That is quite an introduction, Mr. Chairman. Thank you.

Mr. GRAVES. You have been a great member of the committee and we appreciate you.

Mr. RIGELL. I appreciate that.

REMARKS—MR. RIGELL

Mr. RIGELL. First, I am a student of management, and I have been so impressed by the House leadership and management on the support side since I have gotten here. And, so I appreciate the good work that you do for the American people.

Let me say that there is not a whole lot of common ground in this institution, unfortunately, but the comments that the ranking member made, I think that she has made a good point there. You know, I feel like in some ways at the House we have kind of flogged ourselves on the back of cutting our own budget, which I think is a principle of leadership by example I very much respect and try to integrate into my own life. In the administration there wasn't any commensurate sacrifice there. That troubled me.

But as I see the young people who work in our offices, and how they do struggle, and the distances some of them are driving to get away from the high cost of living here, that I think this needs to be looked at again, and it is part of maybe, ideally, a comprehensive fiscal solution.

ELECTRONIC VOTING MACHINES

But there was just one question, Mr. Chairman, I had, that I would like to direct to Ms. Haas, Office of the Clerk.

You had mentioned in your testimony that there are some challenges with the voting machines, the cards themselves, things like this. And, I had not experienced any trouble whatsoever. I am not saying they don't need attention, but what are you experiencing that causes you to want to address that?

Ms. HAAS. Sure. Well, the one challenge that we ran across this particular Congress was on the voting cards. The cards are old technology. They haven't been updated in the last 15 years. So it was difficult to get those cards. They no longer make those, so we had them specially made.

Mr. RIGELL. I see. I see.

Ms. HAAS. So the voting system itself, we have been going through a multiyear upgrade of the system. So the next part of that upgrade includes the voting stations, the cards, and then the wiring under the floor. All of the wiring needs to be upgraded.

Mr. RIGELL. I see.

Ms. HAAS. It has not been done in quite a long time.

The stations themselves, another thing that we are looking towards updating, is in the most recent election we had two candidates that ran that were visually impaired. Our current system doesn't allow for visually impaired, doesn't assist them in any way. So we are looking at adding Braille type to the new stations.

Mr. RIGELL. I applaud that.

Mr. Chairman, my questions are quite simple today, and that is it. And, I thank you for the opportunity and yield back.

Mr. GRAVES. Thank you, Mr. Rigell.

Ms. Wasserman Schultz.

CAPITOL POLICE BOARD

Ms. WASSERMAN SCHULTZ. Thank you very much.

Sergeant, I would like to start with you. Good afternoon. I have asked you and the Chief over the years about the appropriate layout and management structure for the Capitol Police Board, on which you sit.

For others that are not aware, the Chief, as I mentioned yesterday, is not a full member of the Capitol Police Board. He or she is only an ex officio member. And that setup really cripples our ability to conduct oversight. We can't question the Senate Sergeant. The Senate can't question our Sergeant. So the Chief is left to answer for decisions that, frankly, were set in motion by the Board, yet we don't have consistent oversight over those decisions because we can't ask everyone making them questions about them.

Now, I know the Senate appropriators and the authorizers have asked GAO to update a review of the Capitol Police Board, and that is ongoing. I support that.

STRUCTURE OF THE CAPITOL POLICE BOARD

But I would like to ask you, does the Board in its current iteration and management structure remain useful? Should there be changes to the way it makes decisions and its oversight responsibilities? And how would you address my concern that Congress really doesn't have enough ability to conduct oversight over the Board's decisions? Because we can't do that with the entire Board.

I have other questions. For example, like, how much of the Capitol Police budget would you estimate is due to the directions from the Board or from the Sergeant versus what the Capitol Police believes are priorities? And then I want to ask you also about the garage security initiative.

So if you could address the management structure first with the Board's role?

Mr. IRVING. Of course, Congresswoman. The management structure as it currently exists, as you know, as House Sergeant at Arms I am very responsive to Members of the House, leadership, and my committees of jurisdiction. When there is a concern, I raise that, obviously, before the Board, if there is a House concern. The Senate Sergeant at Arms does the same. When he receives an issue from his leadership or his committees of jurisdiction or his Membership, he will raise that to the Capitol Police.

Many times the issues are in synch, we have the same issues. Sometimes not. Each Chamber has its own, as you know, set of

unique circumstances. We work very closely together and with the Chief. The Chief, we consider him a full partner.

Ex officio, there is a historical aspect to that. The Capitol Police Board hires the Chief, and I believe that is one reason why, for that matter, may be ex officio.

THE HOUSE SERGEANT AT ARMS VS. THE SENATE SERGEANT AT ARMS

Ms. WASSERMAN SCHULTZ. Let me give you an example of what I am talking about.

Mr. IRVING. Yes.

Ms. WASSERMAN SCHULTZ. I appreciate that the Sergeants each go to one another when there is concern from the other side. But we have had conversations outside of this setting when you and the Senate Sergeant disagreed on the appropriate response to a security concern.

Mr. IRVING. Yes.

Ms. WASSERMAN SCHULTZ. They made a different decision than you chose to when it came to an evacuation issue.

Mr. IRVING. It was the lockdown during the Navy Yard.

Ms. WASSERMAN SCHULTZ. Right, that lockdown issue.

Mr. IRVING. Yes.

Ms. WASSERMAN SCHULTZ. So if that was something that this subcommittee chose to review, I could only talk to you about it, to the Chief, and maybe the Architect of the Capitol, who, by the way, also sits on the Police Board, which most people don't realize. I don't have the ability, if there was a difference of opinion, to hold the Senate Sergeant accountable.

Mr. IRVING. I will say that later this month the Capitol Police Board will be meeting with the committees of jurisdiction on both sides, House and Senate, authorizers and appropriators. This is something, actually, that we have been discussing for some time to increase the transparency.

CAPITOL POLICE BOARD OVERSIGHT

Ms. WASSERMAN SCHULTZ. So this subcommittee is going to be meeting with the Capitol Police Board along with the House Administration?

Mr. IRVING. Yes. There is an invitation, I believe for the 16th of this month, but if not, forthcoming. We have discussed this issue of transparency, and we think it is important for our oversight committees on both sides to hear what the Capitol Police Board has to say, listen to how we make our decisions, talk about some of our agenda items.

REFORMING THE CAPITOL POLICE BOARD

Ms. WASSERMAN SCHULTZ. My specific question is, do you think there needs to be reform to the way the Capitol Police Board functions and makes decisions in order for us to ensure that we don't have to rely on you being willing to sit down with us in a meeting?

Mr. IRVING. I don't think so. I believe that I, as I report to your committee, to the appropriators, to the authorizing committees, to leadership, I believe that I receive clear direction and oversight, and I carry that to the Board. I also make recommendations to you,

to leadership, to authorizing committees, to Members on my best view on our security posture.

But at the end of the day, it is a combination of working within the business process of the institution and those security parameters that I would recommend, and as you know, all the other factors that go into it, our fiscal resources and what have you.

There is that same dynamic on the Senate side. And we do our best to let the Chief of the Capitol Police be the Chief, and run the department. And, as we get together as a Board, talk broad policy oversight issues, strategic plan, the future of the department, and those sorts of things.

So, I think the Board's structure is small, it is nimble, with both Sergeants at Arms, the Architect, and the Chief. We can get together pretty quickly on the fly and make some pretty quick decisions. But I am always available to interact, obviously, with our committees of jurisdiction and leadership if there is anything that is concerning to you that I must bring before the Board.

Ms. WASSERMAN SCHULTZ. I look forward to the GAO recommendations, but I remain concerned.

GARAGE SECURITY INITIATIVE

I want to ask you about the garage security initiative.

Mr. IRVING. OK.

Ms. WASSERMAN SCHULTZ. The Chief was clear yesterday in my questions of him that he was directed to initiate the garage security project by you as the Sergeant at Arms and by the Board, and you as a Board member. He did not deny that it is a vulnerability that we are only doing it in one part of the garage. And he was not able to explain why we needed to bypass the appropriations process, as we were able to previously put it through prior to this year.

My question is, Mr. Irving, why wasn't this project justified and explained as part of the budget justifications in previous years? Why did funding need to be added and moved around during the year after we held hearings and allowed all Members to vote on the Legislative Branch appropriations bill in the House?

The Chief was clear that the direction to do this project in what I see as a potentially shoddy and haphazard manner, was outside of the regular order. Again, the strength of our security is reliant upon its weakest link. We are not securing all the garages. So if I am a terrorist, I am going to go to the garage that is not secure.

Can you explain why this had to be done outside of the regular order? The Chief, in answer to my question, said there were no specific credible threats that were pending or that we were concerned about. So what pressure did you have to do this project without full funding and in the middle of the appropriations process?

Mr. IRVING. OK. Let me see if I can address your concern.

Over the last number of years, I have received some degree of funding for the initiative from this committee. And, I cannot thank you enough for your support in beginning to move the process forward, because we have identified the House garages as a vulnerability, one of our big vulnerabilities.

So we did receive funding in fiscal year 2014—to begin to implement the initiative, which would start with the infrastructure. It

was a combination of infrastructure money for the Architect of the Capitol to run conduit, wiring, and such to our doors so we would be able to control the doors from the garages into the House office buildings. And there was also some funding provided for security-related equipment for the doors, locking mechanisms and such.

NEED FOR THE GARAGE SECURITY INITIATIVE

So as we were at the point in time whereas that phase one was nearing completion, we were looking at world events. We had a particularly tough year 2015 relative to terrorist hits. We have had, based on world events, intelligence, we felt——

Ms. WASSERMAN SCHULTZ. Elsewhere in the country.

Mr. IRVING. Elsewhere in the country, correct. We felt it was important to move forward on the initiative as quickly as possible.

Ms. WASSERMAN SCHULTZ. Who is "we"?

Mr. IRVING. I would say the Capitol Police Board. The Capitol Police Board.

The fact that we had the infrastructure in place and the Capitol Police had surplus, had equipment, magnetometers, x rays. The missing piece, frankly, was the manpower piece, the FTE piece. In working with the Chief, we realized that we could rearrange some internal posting and find some efficiencies, some short-term efficiencies, to begin to move forward with the initiative.

Ms. WASSERMAN SCHULTZ. So the Capitol Police Board on its own initiated a mid-appropriations cycle addition to this project without any credible threat or indication that there was anything that required us to move outside the appropriations process even though that is how we were proceeding prior to this fiscal year?

Mr. IRVING. I will say that I take responsibility for any action that is taken, decision that is taken——

Ms. WASSERMAN SCHULTZ. I know you take responsibility. I am asking if it was your and the Capitol Police Board's initiative to take this initiative outside the appropriations process even though there is no credible threat, there is no emergency, and we were proceeding in an orderly way?

Mr. IRVING. I will say that the fact that we had reached the stage in the garage security initiative that allowed us to do some initial screening, even though it is not the full screening that you alluded to, but it is incremental——

Ms. WASSERMAN SCHULTZ. Did you feel that you were not going to be able to accomplish what you needed to by going through regular order in the appropriations process that we are in the middle of right now, which is a matter of a couple of weeks' difference?

Mr. IRVING. No, I felt that we could find some efficiencies to get the process underway. The garages have been a tremendous vulnerability for us. I understand that we did not have intelligence that was—any real-time intelligence. But nonetheless——

Ms. WASSERMAN SCHULTZ. Sergeant who directed you to initiate this project in this way?

Mr. IRVING. I have to tell you that I take responsibility.

Ms. WASSERMAN SCHULTZ. I know you take responsibility. That is not my question.

Mr. IRVING. It was a Board decision.

Ms. WASSERMAN SCHULTZ. Only a Board decision? No one else was involved?

Mr. IRVING. I work with staff, with leadership, with the committees of jurisdiction, both authorizers and appropriators.

Ms. WASSERMAN SCHULTZ. Who directed you to initiate this project outside of regular order?

Mr. IRVING. I have to take responsibility for that, Congresswoman. I can't tell you——

Ms. WASSERMAN SCHULTZ. So you initiated it on your own because in your analysis you decided, without any outside influence or pressure, that this was necessary and so essential that we remove it from the regular order process.

Mr. IRVING. I did not view it as outside of the regular order process considering the fact that——

Ms. WASSERMAN SCHULTZ. Did you decide this on your own, of your own initiative, with no outside pressure or direction?

Mr. IRVING. No, I worked very closely with the Committee on House Administration on this project. But I would say that ultimately the decision was mine to move the process forward.

Ms. WASSERMAN SCHULTZ. So no one else but House Administration and you?

Mr. IRVING. The leadership staff was also involved. But again, I was the one who——

Ms. WASSERMAN SCHULTZ. Did the direction come from the leadership?

Mr. IRVING. I wouldn't say that I—the relationship is such that direction comes from leadership when we are putting a security posture in place. The implementation of a security posture is my decision. It is a give and take with the staff in terms of what our vulnerabilities are, intelligence. And ultimately, I have to take the responsibility for——

Ms. WASSERMAN SCHULTZ. Was this brought to you?

Mr. GRAVES. Ms. Wasserman Schultz, let me hit the pause button——

Ms. WASSERMAN SCHULTZ. Mr. Chairman, I am getting extremely frustrated. I don't think I am getting veracity in the responses to my question.

Mr. GRAVES. I can understand that and sense that and understand the Sergeant to say he takes responsibility for the decisions that have been made, and he made that clear.

Ms. WASSERMAN SCHULTZ. I understand that. That is not my question. I will have other questions for the other remaining officers, Mr. Chairman.

Mr. GRAVES. And let's all keep in mind that the Sergeant at Arms and his team has a responsibility to keep this complex safe.

Ms. WASSERMAN SCHULTZ. They also have the responsibility to be truthful when they are asked questions.

Mr. GRAVES. I wouldn't suggest that he was anything but truthful. He took responsibility, is how I understood it to be.

Ms. WASSERMAN SCHULTZ. OK.

REMARKS—MR. PALAZZO

Mr. GRAVES. Mr. Palazzo.

Mr. PALAZZO. Are we sticking to the 5-minute rule?

Mr. GRAVES. We will see how you do.

Mr. PALAZZO. Thank you, Mr. Chairman. Yes, I will keep it short.

Thank you, Mr. Irving, for what you do to keep us safe here. And I think anybody in certain positions, we have to take actions to make sure that they are protected and taken care of.

I appreciate everybody's service. It is sometimes not a thankful job, but we thank you.

I would like to lend some of my remarks to my colleagues and the ranking member. I think I was hearing it right, you know, some of the cuts that we made to our representational accounts have been ridiculous. Over a 3-year period, 20 percent in cuts.

We are all elected to come up here by our constituents and do a job. There are several components of our job. One is legislatively. But you can be here 20 years and never pass a bill. But back home, we have casework, we have interactions where constituents come to us. And when they come to their Member of Congress, they are desperate, right? They don't come to us first. They usually come to us last. They exhaust whatever approach they have with whatever Federal agency.

In my district, we have the Veterans Administration, we are heavily military-oriented. So we do a lot of VA work—a lot of VA work—and I want to have talented staff that is not afraid to work hard and make sure our constituents are taken care of.

So I just think any restoration to our MRA that we can make it is good business, because we want to keep talented people around so we can take care of our customers, which are our constituents. Twenty percent cuts, I mean, I won't beat it to death—I might—but it worked so well for us the first year we came back and cut the other wrist. It just makes no sense.

But we have to lead by example, and I think we have done that by freezing our salary increase for, what, 5, 6 consecutive years.

Mr. FARR. Ten years.

Mr. GRAVES. Ten?

Mr. PALAZZO. It shows that wage increases, we have seen that flat in the real world, and we should only be held subject to that, unless of course we are performing. But our performance hasn't been quite that stellar.

HOUSE CYBER SECURITY

But getting back, can we talk cybersecurity? Mr. Plaster, I think that would be you. From time to time we get pop-ups warning us about scamming and phishing. And some staff takes that as, you know, it is like they lock up for a minute because they are maybe doing some research and they go to a site that they shouldn't, and they have to do, I guess, control-alt-delete and start over.

I am OK with that. I think we need to have strong IT protections in place because cybersecurity is real. There are bad actors out there that want to know what we are doing, whether we are talking about maybe Armed Services or Homeland Security issues, they want access to our servers and our communications. We are not always—we think we are safe and secure in our office and we can type and say or do anything that we want. Might not always be the case.

Can you tell me what we are doing to try to get into the 21st century and not lag behind the people that are out there trying to steal our secrets, steal our information?

Mr. PLASTER. Yes.

Mr. PALAZZO. And are we investing enough? Because I think it is extremely important. But there is a perfect world and there is a realistic world, and try to get somewhere in-between.

Mr. PLASTER. I will try to cover all of those.

What we are doing to adjust our cyber defenses against an evolving and very sophisticated threat, as you point out, is we are evolving our defenses from an older model that came up over the last 10, 15 years that was more—it was more focused on perimeter security on the House network. We had very sophisticated tools that were put in place, in layman's language, to stop the bad guys at the front door. And that was, I am oversimplifying our model for IT defense.

Lately, as has been evidenced by events that have been in the news, OPM, Target, and others, the nature of the threat has changed fairly dramatically and the sophistication of those who are trying to infiltrate our network has increased dramatically. And they are not knocking at the front door anymore, they are finding much more creative ways to get into our network and then move within our network once they are inside.

THREE GENERAL AREAS OF CYBER SECURITY

So looking forward, we are concentrating, if you will, on three general areas. One is the perimeter defense. Those are, again, very sophisticated tools run by very, very smart people that are monitoring what is coming and going out of our network.

Just to give you an idea of the volume of network traffic, we received in 2015 about 200 million emails into the House of Representatives. Roughly a third of those could be categorized as virus, malware, or spam. So we are stopping, roughly, a third of 200 million emails coming into the House—that is just emails—using our tools.

We have in place, and we are putting more into place, tools to monitor the traffic within the network because the threat now is the very bad guys, if you will. Once they get in they move around. So they may come in through one office, but once they are on the network what they try to move around within the network to get, kind of information you are talking about, financial information, communications, and then they want to take that and get it out of our network without us knowing.

So we are putting in place additional tools to monitor for that kind of activity so that we can stop it if they try to do that. And we are segmenting up, if you will, the network to make it harder to move around from one office to another.

And then the third component really is the users, 12,000 users on the House network. Every one of them is a potential vulnerability. And that is why you see the requirements on password changes and information security training.

The 12,000 users that we have are the subject of threats. The very sophisticated threats are coming after the users. They are looking for user passwords. They are looking for users outdated

software and equipment that hasn't been patched, even in district offices, because they can get a toehold into our network that way.

So users and the awareness of users about the security threats, about the phishing, and how to combat that on the user level is important. And we are going to have to do more to make sure that Members and staff are aware of the scope of the threat and the role that they play in combating that.

ADEQUATE RESOURCES FOR CYBER SECURITY

Mr. PALAZZO. Do you believe that we are giving you the resources to make sure we are safe? And again, I think we have talked about this is a must-have versus if-we-could-afford-it-have. Are we doing that?

Because cyber warriors or people involved in the IT, it is such a huge demand. Are we paying them to keep them in or do you see a turnover? Because if you hire good staff, you train them up, and they become very proficient with the system, you don't want to lose them to a private contractor or public company, because they are having their own issues and threats to deal with, like our military and homeland security.

Because something as simple as your itinerary, we could very easily become a soft target if someone wants to do something with your calendar. Of course, I am not near as important as many of the other Members or people in leadership, but travel in the district or going on a codel, that information in the wrong hands could be dangerous.

Mr. PLASTER. It could. And, I can tell you that it is not a hypothetical threat, There are people who are pursuing that kind of information for whatever reason, whether or not it is for a physical threat or not. But there are plenty of attacks on our network, and they are looking for all of that information, all of your information. So it is not hypothetical, it is happening.

RECRUITING AND RETAINING QUALITY STAFF

In terms of recruiting and retaining the quality staff so that the folks on our team are better than the folks on the other team, that is a struggle. A lot of these guys probably could command multiple times, not just more in the private sector, but multiple times what they can here. So we have to provide them with other reasons that aren't financial for working for the House and for staying here, and we have to work very hard to give them those sorts of rewards.

But we have very good people, and I am very content with the quality and the dedication of the staff that we have. We have a new CISO, relatively new CISO, who, again, I am glad is on our team.

So in terms of are we spending enough? I think a lot. I can answer that question in the same way you could answer, are we spending enough on physical security? You could spend more. You could always spend more and be more safe. So where is the sweet spot? We are spending a lot. We are not uncomfortable with our current budget request. We could probably spend more and be marginally more secure. We probably could not spend a lot more and do so in any justifiable way. You want to give me a lot more, I will spend it, but I would have a hard time——

Mr. PALAZZO. Might not be the most efficient.

Mr. PLASTER. Right. I would have a hard time defending it.

Mr. GRAVES. It comes out of your MRA, by the way.

Mr. PALAZZO. I can't afford anymore.

Mr. GRAVES. Another thought-provoking questioner of our committee, Mr. Farr, who has served well for many, many years.

this is your last term as well. We appreciate your work on the committee.

REMARKS—MR. FARR

Mr. FARR. I am getting congratulated by everybody. Half of them are friends and the other half of them are congratulations and good riddance.

Thank you very much, Mr. Chairman.

First of all, I just want to make a comment. The spam screening, they are pretty good. They pick out my wife's emails and send them to spam and then I can clear them. But the Arabic messages in Arabic get all the way through, right to me. I don't know how those escape the spam filter.

I want to go back to this issue that Congresswoman Debbie Wasserman Schultz talked about. What triggered it is this magnetometer, putting it in the Longworth Building, in the garage. And it just seemed, in looking at it, is why here, why now, why this place?

You said you initiated this from what happened in Riverside and so on, in San Bernardino County, as an intel sort of problem. Yesterday, the Chief told us we have 32 police departments in this town. If it is an intel issue, it ought to be shared with all them and they ought to be involved in perimeter security, because I always learned what you want to do is perimeter security.

I know you have plans for installing an underground alarm around the perimeter of the Capitol, providing full camera coverage of the Capitol Grounds, to bolster the physical structure of the outer planters and Olmstead wall, to upgrade the lighting on the Capitol plaza. I hope that is not going to create light pollution. All of these would be enhancements to counter outside threats. Why don't we do that before we install just a magnetometer in Longworth when we are not going to do anything about Rayburn, which has 80 doors?

We always thank all of you for your leadership role. I would like to thank everybody in this room. We all work for the same government. This is what I love about this committee: It is the only time that everybody in here is part of this family. These discussions on our budget essentially are our household finance. It is about how do we pay these people and do the things that we have hired them to do.

And when I asked about this in my office it was: Well, don't worry, it is not going to cost us anything. But it is not in your budget. It is in the Chief's budget. And here they asked for 72 new officers, 48 civilian positions, and more.

MAGNETOMETERS THROUGHOUT THE HOUSE CAMPUS

So I pointed out to him yesterday, as we were speaking, there was a line to enter Longworth, as I see all the time. My office is

on the first floor of Longworth and I go through the front door. Often that door, you have two magnetometers in there, one of them is just totally there, never manned.

We had people last week, when it was raining, standing in the rain all the way to the curb. When I go in there and ask the officers, I say, "Can you call and see if you can get some more up here to help you?" because I am out there telling people to go around to the sides or whatever, the officers on duty just kind of shrug their shoulders and say, "We can't get any help."

ACCESS TO THE CAPITOL CAMPUS

So why don't we prioritize where our problems are right now rather than building that magnetometer at the Longworth garage? You are not going to have the manpower to do it. And it hasn't, as Debbie pointed out, it hasn't been discussed and budgeted.

But I think the most thing that it does, it is just an affront to staff So much since 9/11 has happened. The whole West Front of the Capitol is shut off, this incredible space and beauty of this spot where you really see the Mall. But the public can't go there. I don't know why not.

Then, we close the garages. And so what we are doing is shutting it down so the people who work here have a harder time getting in. I do my town hall, electronic town hall meetings at night. It starts at 9 o'clock or 9:30 Washington time. That is 6:30 California time. So my staff isn't out of the building until 11 o'clock at night, and the garage is closed, or they can't get in at 9 o'clock to come back and do the town hall meeting because we don't have enough people to man the garages.

So why don't we create the priority that really allows us to do our work rather than distrusting our staff?

And lastly, I would just like to ask you as part of this question, how many Members carry weapons?

GARAGE SECURITY INITIATIVE CONTINUED

Mr. IRVING. OK. First, Congressman, I appreciate very much your thoughts on the garage security issue, because, believe me, these decisions weigh heavily on me.

The vulnerability of our House garages has been something that has been in the background for a long time. We feel that proper security protocol would be to include the House garages or the House office buildings in our secure perimeter. So similar to the Senate and the Capitol, once you enter, you are in the secure perimeter, and then you, for example, would not need to get, let's say, rescreened going from the House office buildings to the Capitol.

Mr. FARR. So you have put one in Longworth now. When are you going to put them in Rayburn?

Mr. IRVING. Well, it would be incremental. That would be something, obviously, working very closely with the committee to eventually work toward.

Mr. FARR. So you get screened coming in from Longworth garage, but you can drive in the Rayburn garage, get out of your car, no screening, take the underground, and go right in the Longworth Building. You will make those Rayburn parking places a premier place for the Longworth employees.

Mr. IRVING. It is such a large project getting all our House garages secure that we felt an incremental approach, little by little. To do it all at once would be——

ORDER OF THE LONGWORTH SECURITY INITIATIVE

Mr. FARR. Why pick on Longworth then? I mean, what is the impact on the morale of staff? You know, this isn't fair.

Mr. IRVING. Well, the Longworth, Cannon, the east and west underground were certainly the easiest, along with the Ford Building. The Rayburn, as you have said, is quite a bit more of a challenge.

Mr. FARR. Why not do it all at once?

Mr. IRVING. We could do that, but we would rather get some——

Mr. FARR. Is it such a high priority you have to do that right now? I mean, we are going to solve the San Bernardino threat by putting up one magnetometer in Longworth?

Mr. IRVING. It is a judgment call, but I think those of us in the security field would like to put as much security in place as possible.

Mr. FARR. Sure you would love it. That is mission creep. I think mission creep is, one of the criticisms I have of your team. You even suggested that we could do a lot more through interoperability of all our other law enforcement agencies. You are building an empire on the Hill. Your budget is bigger than my town of 200,000 people that has a gang killing almost once a week.

I would love to have this budget for my town, where we really do have threats. And those are drive-bys, innocent people getting killed, kids walking home from school, mistaken identity, and boom, you are dead.

I don't talk about this budget back in my hometown because people would be angry as heck. They would think that weYou are sort of taking care of ourselves first and not taking care of them.

I think that we have to set priorities. I think the Longworth magnetometer just doesn't seem to have gone through a normal process of thinking this out. I think you ought to be more involved with working with all these other law enforcement agencies. Why do we have to have our own SWAT team, our own dog team, our own bomb squad, our own chemical squad just among the Capitol Police?

CAPITOL POLICE BOARD CONTINUED

And as I understand it, the Board sets all of those mandates, then they come in here and need all this money for overtime. I mean, the budget is just expanding. At the same time, our Member budgets don't expand. The airfare to California has just doubled. GSA just negotiated a wonderful Government rate with United, and it is double what it was. Do you think our MRA gets bigger? So what does staff do? I let off, so I can fly home.

If we are going to take care of the family, let's take care of everybody, not just say that law enforcement gets it and everybody else has to wait their turn.

SCREENING MEMBERS

So, Mr. Chairman, I am concerned that if we don't do this right, we create an internal dissension. Staff is not getting COLAs, but

seeing others getting it. And finally I would like to know if, with all this security, how many Members of Congress carry weapons?

Mr. IRVING. We don't know that number, considering that Members don't get screened. We don't know that number.

Mr. FARR. But they do?

Mr. IRVING. I am sorry?

Mr. FARR. Members do have weapons and they can bring them into the Capitol?

Mr. IRVING. They are permitted by statute to——

Mr. FARR. Statute? I thought it was against the law to bring a weapon into the Capitol.

Mr. IRVING. There is statutory authority within the Capitol. For example, they can bring firearms to their office. I can provide you with all that information. And because of that, we don't, as you know, we don't screen Members, so we just have no——

Mr. FARR. You have no idea?

Mr. IRVING. No.

Mr. FARR. So here we are going to take all our staff, and you have got to go through double, triple inspection, but Members can walk in here with a weapon and you don't even know if they have it, to get away with it.

Mr. IRVING. That is the statute.

Mr. FARR. That is a statute.

Mr. GRAVES. Mr. Farr, you have done a great job of taking us exactly to 2:30.

Mr. FARR. I have another question.

Mr. GRAVES. And I appreciate that.

Mr. FARR. One more.

Mr. GRAVES. I know Ms. Wasserman Schultz does as well. And as I think about this, and I know we do have the Library of Congress next, there is probably more to discuss, I would suspect, and I am open to that. And if the Sergeant at Arms is open to that, I would suggest that we meet together again at another time and.

Ms. WASSERMAN SCHULTZ. In an open hearing?

Mr. GRAVES. We can have that—why don't you and I have that discussion together, because I think you bring up some fair points, Mr. Farr does, and there might be other members on our side that would have some other questions as well. But as we end the committee.

Ms. WASSERMAN SCHULTZ. Mr. Chairman, I did have other questions for the remaining officers. And I would think there would be more questions for this group than there is going to be for the Library and for the Copyright Office.

Mr. GRAVES. You think so?

Ms. WASSERMAN SCHULTZ. Just a guess.

Mr. FARR. I have a question of the Administrative Officer. I don't know how you are going to do this.

Ms. WASSERMAN SCHULTZ. I would just request, respectfully, that if we could lengthen this meeting, because I don't think the next meeting is going to be quite as long.

Mr. GRAVES. If we can——

Ms. WASSERMAN SCHULTZ. Even though I am asking the most questions, Mr. Chairman.

Mr. GRAVES. I would suspect to lengthen this meeting a little we would have to shorten the questions a lot, because our questions tend to be very long.

Ms. WASSERMAN SCHULTZ. I will do the best I can. But we have an abbreviated hearing schedule, so we are having to cram a lot in, in just a few minutes.

Mr. GRAVES. I understand.

Let me say for the Sergeant at Arms real quick, just hearing the discourse here a second, I don't in any way want you to sense that there is disrespect for what you or your team does. We are grateful for the security you provide. And, I don't personally believe it is the role of this committee to micromanage each and every activity you do. It is, obviously, our role to take heed to the requests you have made, the spending, and then to make our recommendation back as we pass the bill through.

But I suspect there is an opportunity for each of us to get back together to maybe resolve some of the questions that are still outstanding.

Mr. IRVING. I would look forward to that. I really would.

Congresswoman, I do want to address some of your points as well, because I don't want there to be a question, a veracity question in your mind. If we have more time we can chat a little further about this. I just want you to know that I do make ultimately—many Members coming to me day in and day out—I don't really make those. But I would like to engage in a little more conversation with you on this.

Ms. WASSERMAN SCHULTZ. As would I.

Mr. GRAVES. You have a very challenging role, but a great track record with this complex. We are grateful for that.

So one question each? Is that what I understand?

Mr. Palazzo, you have a question for anyone else on the panel?

Mr. PALAZZO. Was Mr. Farr trying to make a point to let our staff carry weapons? I think it is only fair, if Members are carrying weapons and if you go through enhanced security, maybe we should let our staff carry as well?

Mr. FARR. Well, I think I was agreeing with your suggestion that we ought to lead by example. If we are going to not allow anybody else to have weapons in this Capitol, you certainly shouldn't allow Members to have them.

Mr. PALAZZO. I apologize. Like my wife says, I only hear what I want to hear. I am just exercising my second amendment.

AMOUNT OF DOLLARS REPROGRAMMED FOR LAWSUITS

Mr. GRAVES. Ms. Wasserman Schultz.

Ms. WASSERMAN SCHULTZ. Thank you, Mr. Chairman. I have two questions for the CAO. So I would ask your indulgence in asking both of them.

Mr. GRAVES. You asking them together, jointly?

Ms. WASSERMAN SCHULTZ. They are completely different questions, but I am happy to ask them together. And I can assure you that the CAO knows they are coming.

Mr. GRAVES. OK.

Ms. WASSERMAN SCHULTZ. Briefly, last year Mr. Kircher and I went round and round over his inability to budget for the partisan

lawsuits that appear to be cropping up against the administration over the Affordable Care Act. Guantanamo Bay now is being prepared, as is Planned Parenthood and the Planned Parenthood Select Committee. We recently learned that Mr. Kircher has hired another law firm to eventually enter into legal action against the Obama administration to prevent their efforts at Guantanamo Bay.

We might disagree on the merits of the cases, Mr. Chairman, that is not my issue. But again, you can sense the running thread through everything I have asked in our last two hearings is that we are doing things that we absolutely could anticipate and have the right to exercise oversight for here outside of the regular order process. As a result, unelected—no disrespect to Mr. Kircher, but he was never elected to anything, and neither was the CAO—unelcted people are making these decisions. So the decisions about millions upon millions of dollars made outside our regular order process aren't responsible.

There is no agency that knows exactly what litigation they are going to enter into, but there is a possibility of, as the Department of Justice does, anticipating what their needs are going to be. But we are doing a disservice to the House if we continue to fund lawsuits through reprogrammings, because those are not public documents, no one sees that. And I know, Mr. Chairman, you are committed to regular order, and so many of your members are.

So since we don't get an estimate of the lawsuits, I do want to enter this article into the record, if I might, because we do need to know what the House majority has spent thus far on taking this administration to court.

[The information follows:]

The Washington Post

Opinions

A dangerous Obamacare lawsuit

By Irvin B. Nathan October 4, 2015

The writer, a senior counsel at the law firm of Arnold & Porter, was general counsel of the U.S. House of Representatives from 2007 to 2010.

As general counsel of the House of Representatives in 2008, I brought the first successful lawsuit by the chamber against the executive branch. But I do not celebrate the recent House victory in federal District Court allowing it to proceed with its ill-considered litigation over appropriations under the Affordable Care Act, known colloquially as Obamacare. If not overturned, this decision could have seriously adverse consequences for our democracy, as well as for millions of needy Americans.

The suit that I brought on behalf of the House sought the enforcement of House Judiciary Committee subpoenas issued for the testimony of former White House counsel Harriet Miers and for documents in the custody of the White House chief of staff. The White House refused to comply with the subpoenas, claiming that such high-level administration officials were "absolutely immune" from House subpoenas. The District Court found that this was a purely legal issue, which the courts were uniquely situated to resolve.

Enforcement of subpoenas is routine fare for the courts. And in the Miers case, the court found that the House had no effective recourse other than a lawsuit, that the parties were at an impasse and that a ruling from the court could help the House perform its constitutional function to provide oversight of the executive.

The current case, *House of Representatives v. Burwell*, is quite different. In this dispute, the House claims that subsidies the executive branch is paying to insurance companies to provide health insurance for low-income individuals have not been properly appropriated by Congress. Not only is it unclear how the House has been injured by these payments (a concrete injury being a prerequisite for any lawsuit in federal courts), but, more important, the claim can more appropriately be handled by Congress. The courts have no particular facility with the arcana of the appropriations process and have less authority and ability to remedy the alleged problem than Congress does.

District Judge Rosemary Collyer's opinion in *House v. Burwell* appears to recognize that the court will have no ability to provide relief for past payments and suggests that if it finds that there has been a violation of the appropriations laws, the only available remedy would be an injunction against future payments.

But appropriations for future payments are peculiarly the province and responsibility of Congress. Unlike the Miers subpoena, the remedy lies within the power of Congress, precisely as the framers of the Constitution intended. The two houses of Congress are quite able to prohibit (or permit) future payments of these subsidies. That is a far more democratic way to deal with this critical issue of public policy.

If this precedent were allowed to stand, there would be no limit to the kinds of lawsuits that could be brought by one house against the president. The Senate, which has responsibility to ratify treaties, could sue any time it believed an executive agreement had undermined its authority. The House could sue whenever a majority believed that a law that it had had a hand in passing was not being enforced as it intended by an executive agency. Implementation of the laws is purely an executive function and neither house of Congress is authorized to try to enforce the laws in court. Particularly since the House has tried and failed more than 50 times to repeal Obamacare, it should not be able to circumvent the legislative process and obtain its policy goal in the courts.

Before the court delves into the merits of this case — which it repeatedly wrote that it had not yet done — it should grant a petition by Health and Human Services Secretary Sylvia Burwell for immediate review of this decision by the D.C. Circuit Court of Appeals. Federal court procedure allows for what is called an "interlocutory appeal" of a denial of a motion to dismiss a suit only when the losing party petitions for such an immediate appeal and when the District Court authorizes it. On a matter of such significance for our country and the functioning of our Constitution, the District Court should allow such an appeal in this case.

Read more here:

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Greg Sargent: A Court decision gutting ACA could be a lot worse than you think

Greg Sargent: Anti-Obamacare lawsuit comes under intense media scrutiny

Ms. WASSERMAN SCHULTZ. I would like Mr. Plaster to give us an estimate of the total cost that has been reprogrammed from other House offices since 2011 until now to the Office of the General Counsel. And I would like Mr. Kircher to provide details of his budget, including how much has been spent or budgeted for each litigation that he has entered into from 2011 until now. If they can get me that information outside the meeting, I would appreciate it, because it is important.

SODEXO—HOUSE FOOD SERVICE VENDOR

Mr. Plaster, the other question I have is regarding Sodexo, the new vendor that has taken over the cafeterias, as well as our convenience store and dining room. I don't have to tell you that there has been an explosion of complaints about both the quality of the food and the cost of the food. Again, we have hard-working young people here who are not earning very much money, and it costing them an arm and a leg to eat is really unfair. I mean, when you have The New York Times write an article about how bad and expensive the food is in the House cafeteria, you know you have a problem.

So I would like you to answer, when the contract is up for review? We are putting up a lot of money for infrastructure to redesign the House cafeteria, and I want to make sure they succeed. But what are we going to do to turn this problem around in the confines of the contract?

FEMININE HYGIENE PRODUCTS AVAILABILITY

The other thing I want to raise here is the Longworth convenience store. We seem to have forgotten that there are women who work in the Capitol complex. It has come to my attention that the convenience store has stopped stocking feminine hygiene products. I know that some might be concerned about my going there. But if you are not a woman, it is tough to understand that when you need a feminine hygiene product you need one immediately. So for the convenience store to stop stocking products like that is really inconvenient, the opposite of the purpose of a convenience store.

The other thing, which I know may have more to do with the Architect, but if you could take it as your responsibility to communicate with the Architect, every woman has faced the frustration, whether it is a staff person, a visitor, a Member, of going into one of the women's bathrooms anywhere in the Capitol complex and finding a completely broken feminine hygiene products machine. I had my staff text me today a machine that has an out of order sign on it, and I will show it to you. It is right here. Out of order. Just today.

These are essential items that are just as essential as toilet paper is, and it is absolutely a necessity to remedy this situation. I would like to ask you what we can do about making sure that the convenience store is stocked fully with the range of feminine hygiene products that women need, and also to make sure that we have functioning machines—which, quite frankly—my colleague, Grace Meng has raised this as well—should be free. It is like charging for toilet paper. And we certainly wouldn't want to do that. So if you could respond to that concern.

CAO RESPONSE FOR LAWSUIT REPROGRAMMING QUESTION

Mr. GRAVES. Mr. Plaster, real quick. The question on the dollars from 2011 forward. If you happen to have that, feel free to share that figure. I imagine that is a pretty simple number.

Mr. PLASTER. $2.891 million since 2011.

CAO RESPONSE FOR SODEXO QUESTION

Mr. GRAVES. And then I know the cafeteria question is something you are probably prepared to give a bit of response to. And then the other questions, I don't know if you are ready for a response today.

Ms. WASSERMAN SCHULTZ. He is ready.

Mr. GRAVES. And welcome to your first hearing.

Mr. PLASTER. Obviously, food service, to no one's surprise, has been often brought up and brought to my attention since my first day on the job, and with a variety of complaints. It is a daily occurrence where I am engaged with our contract management folks and the Sodexo management in an effort to help Sodexo better adjust to the environment that they are now working in here at the House.

I believe they are committed to making those adjustments. They may not be happening as fast as all of us would like them to. But I think they are sincere in their efforts to effect the changes and the improvements that have been asked of them. So we are working on that every day.

TERMINIATION TIMELINE FOR SODEXO FOOD SERVICES CONTRACT

Ms. WASSERMAN SCHULTZ. And we have the ability to terminate their contract for cause?

Mr. PLASTER. For cause we would, as in any contract.

The specific answer to your question is, when is their contract up for review? It would be 2019. The contract started last year. So their base period ends in 2019.

As for the other issue, I found out this morning that complaints similar to yours had already been registered, and the vendor has responded already with some additional stock. I was in contact with the Superintendent of the House office buildings this morning and made sure they understood your concerns.

Ms. WASSERMAN SCHULTZ. Thank you.

Mr. PLASTER. As we speak, I believe, making sure that those are addressed.

FEMININE HYGIENE AVAILABILITY (CONTINUED)

Ms. WASSERMAN SCHULTZ. Thank you. I mean, not to go into too much detail, but I saw what was added to the inventory in the convenience store today, and that is insufficient.

Mr. PLASTER. We will continue to review it.

Ms. WASSERMAN SCHULTZ. So if we could expand the availability, that would be great.

COMMITTEE AND CAPITOL POLICE BOARD MEETING

And, Sergeant, the meeting you referenced is a staff meeting, it is not a meeting with Members. So that is not the same thing. Re-

lated to the Capitol Police Board and House Administration, that is a staff-level meeting.

Mr. IRVING. Yes, that is staff, but we can certainly, absolutely, do Members as well. So I will address that with my counterpart, with the Senate Sergeant at Arms.

Mr. GRAVES. Mr. Farr, you had an additional question.

INCREASING MEMBERS' REPRESENTATIONAL ALLOWANCE BUDGET

Mr. FARR. Just a suggestion on the Sodexo issue. My staff gave me this note that Francisco Fimbres, who is supposed to be the liaison with Sodexo, never responds to emails and has no on-site phone. There is not even a suggestion box in the cafeteria anymore. You have got to give some way to get complaints. They are all going to come—the main issues are all going to end up in your office.

But I have a bigger question, and I think it has been a theme all around here, is that, why doesn't your office ask for a bigger budget for Members' offices? I mean, this budget that we are dealing with, the appropriations bill deals with, is Library of Congress, Capitol Police, the Architect of the Capitol, the GPO, Congressional Budget Office, Library of Congress, CRS, and that is just to name a few. All those budgets request funds to cover natural salary increase, merit awards, and COLAs. For fiscal year 2017, the COLAs for these agencies is 2.6 percent, which is exactly what the President asked for in the pay raise request, plus locality pay.

Last year, this committee was forced to return $33 million to the Treasury because the House had hit its authorized cap and could not use these funds to increase allocations to House offices. These could have been used for our COLAs. Staff hasn't had a COLA increase in 5 years Members in 10 years. That is our fault because we don't vote for it.

But not our staffs. Haven't had a COLA increase in 5 years. But in the interim, the inflation costs have risen 7.7 percent. That means our offices had to do the same or better jobs with less money, and that stretch is really causing problems in our office now.

So my question to you is, why don't you ask for an increase in our Members' offices? And what is keeping you from bumping up the budget number?

DETERMINING THE MEMBERS' REPRESENTATIONAL ALLOWANCES BOTTOMLINE

And I want add to that, as I said, GSA just came out and negotiated the new Government rates which Members fly by, and from Washington to San Francisco it is double what it was. And so we have to just eat that. And what happens is you end up, frankly, having to let people go who thought they had a career here, or at least whatever career you have in politics.

You ought to be the champion for our own offices.

Mr. PLASTER. Remember, I have only been on the job for 2 months. Hopefully, I can have a little bit of leeway in not having to relate exactly what the deliberations were prior to my being in the office between the budget office and the various stakeholders

that weigh in on the budget formulation numbers before the CAO's office is submitted.

It is a discussion between our budget office and this committee and the House Administration Committee and others that leads to a consensus about what the submission is. If the committee——

Mr. FARR. Well, why did $33 million have to be returned?

Mr. PLASTER. I can't speak to that. I am not familiar with the circumstances around that. We can find out and we certainly get back to you on that.

Mr. PLASTER. From last year you are talking about?

Mr. FARR. Yes.

Mr. PLASTER. But in terms of the request for fiscal year 2017, if the committee feels that it is important to add money to the budget request for the MRA, that is certainly within your prerogative.

Mr. FARR. Do you take into considerations like this GAO? We all have to travel with that rate. Maybe in some areas it has gone down. But transcontinental traffic has really gone up.

Mr. PLASTER. I believe the travel costs are somewhat factored into the formulation of the MRA allocation by the committee. But I don't want to speak for the House Administration Committee.

Mr. FARR. Say that again?

Mr. PLASTER. Not all MRAs are the same. Not every Member gets the same MRA.

Mr. FARR. I know the California delegation wrote a letter, presumably to you, asking that we get—or I guess to the committee, asking them to increase the MRA for travel, long distance travel.

Mr. PLASTER. That would have been probably to the Committee on House Administration.

Mr. FARR. There was no response.

Mr. GRAVES. That it, Mr. Farr?

Mr. FARR. Yes, sir.

Mr. GRAVES. I would recommend also, and we can do this from our office, is just reach out to the House Administration Committee as well. They are heavily involved in formulating what MRAs are comprised of for each and every Member based on some formulary calculation that is adjusted based on cost of living and other things. That is my understanding.

Mr. FARR. We don't go over the Senate's budget, but the rumor was that the Senate gave their staff COLAs.

Mr. GRAVES. That is quite possible. As you will recall, the Senate has not cut any spending in the Senate or Senate offices or any of their funds or COLAs since, I guess, since 2010. While we have taken the 21 percent cuts, they, in fact, were increasing their office budget.

Mr. FARR. It is a good thing we are leading by example.

Mr. GRAVES. The Senate doesn't often follow our great example, trust me.

CLOSING REMARKS—MR. GRAVES

To each of you, thank you for joining us today and for the extended time you gave us.

Ms. Haas, you had the easiest question of the day apparently.

Mr. Irving, we will look forward to following up.

And, congratulations on your successful completion of the hearing today, Mr. Plaster.

And I guess we will hang around a few minutes then for Library of Congress.

[Questions submitted for the record follow:]

Subcommittee on the Legislative Branch FY2017 Budget Request Hearing
Clerk of the House Responses to
Questions for the Record

Bulk Data Task Force

The Bulk Data Task Force (BDTF) which was directed by this Subcommittee has been in existence for over three years now, is it still needed?

Yes, the Task Force continues to play an important role in the overall coordination of transparency efforts. There are many projects still in the Legislative Branch pipeline and it provides BDTF participants with the opportunity to share and discuss these projects. There are also some projects (i.e., more legislative documents in XML such as Public Laws, Statutes at Large, Enrolled Bills, etc.) that cross entities and will require technical coordination and the approval of resources to complete. Task Force members approach each meeting thinking about transparency and how they can make data more available to internal and external users in standard formats.

Electronic Voting System

The Electronic Voting System upgrade has been an ongoing project.

Why are we upgrading the Electronic Voting System (EVS) voting stations?

As members of the Subcommittee are aware, we have had an ongoing effort to upgrade the electronic voting system. The next phase includes the voting stations, the card technology and the connectivity. These upgrades will provide us with more advanced technology and greater flexibility. We will also be adding capabilities to accommodate the visually impaired. Our goal with any upgrades to the system is to maintain the integrity, dependability, availability and security of the system.

Will the changes to the Electronic Voting System (EVS) voting stations make them work any differently?

From the user's perspective, the new vote stations will look and operate in the same way. We expect to include some minor changes such as braille type on the vote buttons. The changes will primarily be to the internal system.

Jeannette Rankin Exhibit

In your FY17 budget request you have asked for $65,000 for activities including an exhibit in honor of the first women elected to Congress - Jeannette Rankin and other early women pioneers.

Can you provide the subcommittee with additional information on how you plan to us these funds?

As you point out, Jeannette Rankin of Montana, whose service began in 1917, three years before the 19th Amendment granted women the right to vote, was the first of an important group of women elected to Congress. We are planning an exhibit that will commemorate the centennial of that path-breaking moment, using Rankin's election to explain how the pioneering generation of early women Members shaped our institution and American society. The funds we request will be used for research, development, design, and fabrication of an exhibition designed to serve the congressional community, teachers, and students. For example, it will allow my staff to conduct research in the unpublished Rankin papers, and in the archives of other important early women Members. It will also support contractor assistance to design an exhibition structure of museum quality that will be durable and appropriate to the public spaces of the U.S. Capitol. Finally, it will enable us to fit out the display with artifacts, historic documents, photographs, video, and interpretive and interactive elements.

Subcommittee on the Legislative Branch FY2017 Budget Request Hearing
Sergeant at Arms Response to
Questions for the Record

Garage Security Project

As you are moving forward on Phase 1 of the garage security project, what are your plans to integrate the Rayburn garages into the security plan as well as dealing with the upcoming renovation of this garage?

The Sergeant at Arms, AOC and USCP regularly meet to discuss the multiyear Rayburn Garage Security project and the impact it will have on the business process of the House. The current plan is to coordinate the construction for garage security with the Rayburn garage renovation.

Phase 1 of the garage security plan entails the installation of locking mechanisms and proximity card readers at the entrances from the House Garages to the House Office Buildings. Locking mechanisms allow the House Garages to be locked down in the event of an emergency situation preventing access to the House Office Building. It is currently anticipated that the installation of this equipment will be completed by September of this year.

Phase 2 of Garage Security involves the re-design and build-out of the Rayburn Garage. The AOC engaged URS Architects, Engineers and Security Professionals to develop the requirements needed for the design of the project, and this was completed in August of 2015. The design for the build-out of the Rayburn Garage Security plan is currently underway and is anticipated to be completed by July. This will identify the extent of the construction required to build out the lobbies to accommodate screening equipment, to address additional elevator shafts that may be needed, and to potentially reconfigure the fourth and fifth levels of the Rayburn Garage.

Phase 2 of the Garage Security Project has already been partially funded by the Committee. I would like to thank the Committee for its past and on-going support for this initiative.

Security

What anticipated changes have been made to the campus security posture for FY 17?

The Capitol Police Board and the USCP have identified three crucial areas that need to be addressed in FY 17: garage security, pre-screening and portal scanners. In addition, I have requested security items in my FY17 request.

First, as noted above, Phase 1 of the garage security plan gives the USCP the ability to lock down the garages in an emergency, and Phase 2 (i.e. the build-out of the Rayburn Garage lobbies) is currently in the design stage.

Secondly, pre-screening will place officers outside of the Capitol and the Congressional Office buildings to begin the screening process by having a more robust presence outside of the building entrances. This will also include adding K-9 assets, such as Person Borne Improvised Explosive Device (PBIED) canine teams, to assist in identifying individuals carrying explosives or weapons as they approach the buildings. These enhancements will help to minimize the threat from an individual intent on doing harm within the buildings by addressing the potential threat on the outside.

Additionally, portal scanners in the CVC will help to protect the House Chamber by preventing an individual from carrying a hazardous substance or item into the House Galleries and releasing it in the Chamber. A release of a powder or liquid into the Chamber would result in the Chamber being locked down until the item can be identified, which would also result in a significant disruption to the business of the House. The scanning portals will detect non-metallic items, powders and liquids prior to entering the House Galleries. Presently, the scanning portals are being utilized only for Joint Sessions or on a random basis. The ultimate goal is to use the scanning portals whenever the House is in session and Members are present on the House Floor.

In order to strengthen the exterior of the House Office Buildings, installation of blast windows in the Longworth Building exterior along Independence Avenue will begin in approximately July of 2016. This multi-year effort will ultimately include the Cannon and Rayburn House Office Buildings. I would like to thank the Committee for its support and funding for this initiative.

Finally, I have included in my budget a request for funding of the House portion of a foundation alarm around the Capitol, the integration of planters into the Olmstead wall, and a study of the lighting on the plaza.

Post Paris and post San Bernardino, what steps have you taken to educate staff on safety protocols on similar types of events?

Following the terrorism incidents in Paris and San Bernardino, the Sergeant at Arms and USCP participated in numerous briefings coordinated by the Committee on House Administration for all House Chiefs of Staff, District Directors and Committee staff directors, emphasizing the importance of active shooter response and emergency preparedness in general. In the second half of 2015, my office conducted over thirty sessions on responding to active shooter threats,

including sessions offered through the House Learning Center and in-office briefings to any requesting Member offices and Committees. An active shooter training booklet is also available on the Sergeant at Arms intranet website and distributed by SAA and USCP. This training program continues to be a focus of our outreach efforts for 2016.

With the advent of new technologies, what steps has the Sergeant at Arms taken to ensure that all staff are notified of emergency situations throughout the campus?

A significant enhancement to our emergency notification capabilities in 2016 will be the implementation of the Joint Emergency Mass Notification System by the House, Senate, AOC and USCP. This application will allow Capitol Police to send emergency notifications from a single interface through email, SMS/text, voice, mobile application, and desktop computer to the entire Congressional community. Each organization will also have the ability to send messages to their own community as needed. This effort has been funded jointly, with a contract awarded to AtHoc/Leidos in February 2016. The initial estimate for implementation is 6-7 months.

Subcommittee on the Legislative Branch FY2017 Budget Request Hearing
Chief Administrative Officer Response to
Rep. Tom Graves' Questions for the Record

Cyber Security

On a routine basis, breaches and hacks are recorded in the news of both private companies and federal agencies.

- **How confident are you in the House's cyber security posture?**

The CAO's Information Security Office continuously evaluates cyber security threats and risks to the House enterprise network. As part of that effort, we have implemented the following changes in order to increase the overall security posture for the House:

- Approved a new policy to identify and restrict the use of privileged access accounts. This policy reduces risks associated with users with elevated system privileges by requiring them to create separate user accounts and receive targeted training.

- Updated the House's mandatory information security awareness training. The on-line training provides more useful material in short video segments. The segments allow staff to retain more relevant material when they take the 35-minute course. Member and staff awareness of information security threats and safe IT practices will likely become increasingly important to our overall information security posture in the coming years. We will continue to evaluate our user training in light of evolving threats to maximize the effectiveness of that aspect of our security program.

- Implemented a threat detection system as part of our effort to evolve our secure configuration management program (SCMP). SCMP ensures all systems are maintained in a manner consistent with security best practices. The threat detection system, Tripwire, improves our ability to monitor the operating status of all devices attached to the House network. Further, we are developing House-wide encryption strategies that will reduce risks associated with securing sensitive House data on laptops and portable devices.

- Initiated a bi-annual self-assessment program utilizing a structured set of criteria so the House can empirically measure the effectiveness of our Information Security program. The results from the initial assessment established FY16 House Security Program benchmarks and will serve as the basis for strategy development and prioritization for achieving enterprise information security goals.

- Deployed the National Institute of Standards and Technology Risk Management Framework to provide a structure which comprehensively manages the lifecycle of risks for critical House information systems. This framework focuses on the programmatic, CAO-

wide information security requirements that are essential for information security governance across the organization.

- Applied Active Directory Federated Services (ADFS) to allow staff to use their House authentication to access external sites. Currently, ADFS is being used with the 2016 security awareness training, providing secure access to an external website that hosts the training content while using single sign-on to authenticate House staff to the House of Representatives network.

Our cyber security posture evolves and becomes more sophisticated as threats do. At the core is a layered defense and in-depth strategy to alert us of attempts and actual intrusions on the network.

- **How do you stay ahead of constant evolving and emerging threats?**

The House's cyber security posture will always change based on the threats from various sources both externally and internally. Cyber security threats continue to evolve and the threat actors targeting House systems continue to become more sophisticated. In response, the CAO has begun to develop and implement a comprehensive strategy to detect and rapidly respond to cyber-attacks targeting the House network.

We continue to advance our secure configuration management program, which allows us to ensure all systems are maintained in a manner consistent with security best practices. Initiatives are currently underway to greatly enhance our ability to monitor the operating status of all devices attached to the House network, including the implementation of a threat detection system called Tripwire Enterprise. Moreover, we are developing House-wide encryption strategies that will reduce risks associated with securing sensitive House data on laptops and portable devices.

The CAO's comprehensive strategy postures the House effectively against advanced threats, while continuously reviewing technologies, policies, and systems that are necessary to ensure our defenses keep up with the ever-changing threat to our environment.

House Technology Task Force

Last year the Subcommittee included report language directing your office to establish a House Technology Task Force to enhance coordination of information technology efforts in the House.

- **Can you give us an update on the status of this task force?**

At the direction of the Committee in last year's Legislative Branch Bill, the CAO has taken initial steps toward establishing a House Technology Task Force modeled after the Bulk Data Task Force.

Representatives of the House Officers and Inspector General met on February 17th and are currently developing a charter for the Task Force. The Task Force will identify and report on opportunities to enhance coordination of information technology efforts in the House. Based on the directive established by the Committee, initial meetings with representatives from the House Officers and other offices will be held to formulate the Task Force's short-term and strategic goals and evaluate technical initiatives to accomplish them.

Food Service

A new restaurant contract was awarded to Sodexo and they assumed control over House Food Services mid-August of last year.

- **Is there a formal avenue set up to receive feedback from customers on food service operations?**

Sodexo maintains a House specific web portal with menus and other information for customers. There is a feedback page associated with this portal. Questions and comments received are answered by Sodexo. Copies of the correspondence between Sodexo and customers are then sent to the CAO food service contract administrator for review. The administrator looks for trends and repeat problems which are reviewed with Sodexo at the weekly meeting held by the contract administrator.

- **If so, has any of the feedback been actionable and in what way?**

Many of the comments and questions Sodexo receives deal with specific issues and incidents relating to quality and service. Sodexo makes every effort to resolve customer comments and complaints with 48 hours.

For example, several issues have been identified by the contract administrator during the review of the Sodexo feedback correspondence.

- Sodexo's proposal for Capitol Market replaced the salad bar with a hot food bar. There were numerous complaints through the feedback page during the first couple months of operation and as result Sodexo installed a salad bar in Capitol Market.
- Sodexo's design of the mini-markets did not include fresh popcorn. After a number of suggestions both through the Sodexo feedback page and verbally to the contract administrator, fresh popped popcorn was recently added to Longworth mini-mart.

- **Do you foresee adjustments in selections, pricing, and quality in the near future?**

  Food service is a constantly changing business. It is expected that the food service contractor will adjust selections and quality on an on-going basis to meet the needs of the House.

Cannon Building Renovation

- **In preparation of Phase I of the Cannon Renewal Project, how have the necessary staff moves gone so far?**

The moves have been successful. To date, we have relocated more than 900 committee and support staff from offices in the Cannon, Longworth, Rayburn, and Ford House Office Buildings. Of these moves, over 300 staff have moved into the O'Neill Building. Another 500 or more staffers will also move from Cannon in 2016 and 2017. These moves include transferring telephones, computers, office furnishings, and equipment. Each move is completed with minimal interruption so offices can be up and running in a timely and efficient manner.

- **What more needs to be completed before the end of this year in the way of necessary staff relocation?**

  As we continue the planning efforts for Phase I of the Cannon Renewal Project and the 115th Transition, another 500 or more staffers are scheduled to move from Cannon in 2016 and 2017. Below is a list of next steps for the Cannon Renewal Project.

  - Partner with the AoC for the final development of the new Member office suites.
  - Relocate services for tenants affected by the renewal project.
  - Plan aspects to remove all furniture and equipment from phase 1 locations in Cannon (December 2016).
  - Plan and review procurements for services needed to support the project.
  - Support for the O'Neill Federal Building tenants.
  - Review resource needs and funding requests to support the project.
  - Plan aspects for the procurement of the furniture for the project.

Wounded Warrior Program

The Wounded Warrior Program was established to create fellowships that provide employment opportunity for wounded or disabled veterans within the House of Representatives.

- **How many fellows are currently working in Member offices?**

There are currently 37 fellows assigned to Member offices and 3 more are scheduled to come aboard between February 29, 2016 and March 14, 2016. Recruiting for the remaining 14 open fellowships is continuing at various stages of the process.

One of the stated objectives of the Wounded Warrior Program was to help transition Veterans into full time employment.

- **Do we track the number of fellows that do end up obtaining full time employment after the fellowship ends? If so, what is the success rate of this program?**

Yes, we do track the number of fellows that obtain full time employment after the fellowship ends.

- 23 out of the 130 fellows have transitioned to a Member's staff upon completion of their fellowships. This number is much lower than was anticipated at the inception of the Wounded Warrior Program.
- 63 fellows transitioned to agencies throughout the government (one agency is the Department of Veterans Affairs).

19 fellows decided to return to school. We believe the experience in the Member office may have been a catalyst to encourage them to further their education before returning to the workforce which ultimately will impact their marketability.

A roster is maintained of the 130 fellows who have left the program which indicates why they left and, when applicable, the job they transitioned to. The following information was gathered at the time of resignation/completion/dismissal:

Transitioned Fellows	#
Fellows hired to Member Offices	23
Fellows hired to Department of Veterans Affairs	17
Fellows hired by Other Agencies	46
Fellows who returned to school upon completion of fellowship	19
Fellows dismissed; status unknown	6
Fellows who resigned or completed fellowship with no future jobs at time of departure; status unknown	19

Subcommittee on the Legislative Branch FY2017 Budget Request Hearing
Chief Administrative Officer Response to
Rep. Sam Farr's Question for the Record

Cafeteria

Question for MR. PLASTER: The cafeteria continues to have issues. I'm sure you've heard all of them. But my big beef is: who do we complain to? Sodexo has no one on site to interact with customers. The person who is supposed to be the liaison, Francisco Fimbres, never responds to emails and has no on-site phone. There isn't even any "suggestion box" in the cafeteria anymore.

- **Can you make sure customers have access to a live, responsive person with whom they can register complaints or offer suggestions?**

The CAO is working to improve services provided by Sodexo. We are engaging an outside consultant to objectively evaluate Sodexo services through the use of a variety of assessment tools including focus groups, secret shopper visits and annual surveys currently in place. The CAO is in the process of setting up a House phone number for customers to call with any comments or suggestions for Sodexo. Staff can also direct calls regarding food services to First Call at extension 5-8000.

Another resource for staff feedback is the House specific web portal (https://thehouse.misofi.net) maintained by Sodexo. Along with menus and other information for customers, the web portal has a feedback page. Questions and comments received are answered by Sodexo. Copies of the correspondence between Sodexo and customers are sent to the CAO food service contract administrator. The CAO food service contract administrator reviews the correspondence looking for trends and repeat problems. The contract administrator discusses any issues during the weekly meeting with Sodexo.

WEDNESDAY, MARCH 2, 2016.

LIBRARY OF CONGRESS

WITNESSES

DAVID S. MAO, ACTING LIBRARIAN OF CONGRESS

ROBERT R. NEWLEN, CHIEF OF STAFF

OPENING STATEMENT OF CHAIRMAN GRAVES

Mr. GRAVES. If everyone is ready, we will start our next hearing. Thank you for joining us today.

We would like to welcome acting Librarian of Congress David Mao and the Library's Chief of Staff, Robert Newlen. Thank you all for being with us today and for your patience as we were getting through the last hearing.

We will start this panel concerning the Library's 2017 budget request, and then we will have an additional panel after we go through some of the questions with the Library itself, and that is to discuss bringing the Copyright Office into the digital age.

I am personally pleased to see that the Library is positioning itself for the future through a lot of the critical improvements to its information technology. It is something I know we discussed a lot last year. Additionally, the Library continues to make available its collections in digital as well as physical form, all while transitioning to the new leadership.

The Library is requesting $667 million, which is an increase of over $73 million from 2016's appropriation. That is just over a 11 percent increase that they are requesting. And as we have shared with all the panels before us, obviously that is your request. Our role, and as you have seen and heard, is to question, scrutinize, and see if there are areas of savings that we can achieve for the taxpayers, but also respecting that your request was put forward in good faith in order to carry out the acts and the duties that you see fit.

And next, I would like to welcome Ms. Wasserman Schultz for any opening remarks she might have.

Ms. WASSERMAN SCHULTZ. Thank you.

OPENING STATEMENT OF RANKING MEMBER WASSERMAN SCHULTZ

Thank you, and welcome back to the subcommittee, Mr. Mao. There have been many changes at the Library since you were in front of the subcommittee last year as the Deputy Librarian. We continue to honor the service of 28 years of our retired beloved librarian, Dr. Billington, who now has moved to his new role as Librarian of Congress Emeritus, which I know we were really thrilled to be able to bestow upon him. It was well deserved.

We also have a new nominee for this esteemed position. The President just nominated Dr. Carla D. Hayden, who I am looking forward to meeting, who has admirably served in a variety of roles in libraries across the Nation, and she will bring a wealth of experience and knowledge. She would be the first woman and the first African American to become the Librarian of Congress if the Senate moves forward with her confirmation, and I hope they will do so in a timely fashion.

I would be remiss, though, if I did not thank Mr. Mao and the Library of Congress Chief of Staff, Robert Newlen, for their extraordinary leadership during what has been a significant time of transition. Mr. Mao and Mr. Newlen have not missed a beat, and they have not waited to make necessary improvements, notably regarding governance issues and the Office of Copyright. You both stepped up to the task and provided leadership and service, and we thank you all for your efforts.

The Library, as I have said many times, is the jewel of this bill and of our jurisdiction, and the return on investment that we get from your work is immeasurable. The Library has always had a robust campaign to leverage private sector dollars for important programming, and Congress, researchers, and eager learners everywhere immensely benefit from it.

One fantastic example of this collaborative nature of the Library is the Rosa Parks Collection. The collection, on loan for the Library for 10 years from the Howard G. Buffett Foundation, has made approximately 7,500 manuscripts and 2,500 photographs available to researchers and the public.

Looking more closely at this budget writ large, the Library has appropriately put forth a request that prioritizes IT needs, information technology needs, storage deficits, and data management. Our Library must keep pace with rapidly changing technology and have the right staff to do so.

Two of the Library's components are seeking increases that deserve serious consideration, Mr. Chairman, if for no other reason than their importance of their mission to Congress and the Nation.

CRS' budget has remained virtually flat since fiscal year 2014. For reference, CRS was funded at $112.5 million in fiscal year 2010, and their current appropriation is only $106.9 million, $5.6 million less than levels provided 6 years ago. So not adjusted according to inflation, actually less.

As our own staff budgets remain flat, Members and committees continue to rely on CRS experts to provide critical analysis of legislation and quick turnaround of information that are used by Members and committees. I mean, I would argue that our need to rely on CRS is even more critical given the flat funding that we have had in our MRA budgets.

Although this subcommittee oversees the smallest bill, the Library is an example of why we must fund agencies that have high returns on our investment. GAO and CRS both fall into that category by helping Congress analyze the vast executive branch, its many programs, and other critical information that benefit the American people.

Mr. Chairman, I appreciate you having a second panel with Maria Pallante, the Register of Copyrights. We put a lot of require-

ments in the bill last year to put Copyright on a path to modernization. We just received a 5-year plan that we asked for in the omnibus on Friday. I am looking forward to reviewing it.

Finally, as a result of our bill, the public will provide comments on ideas for funding strategies to accomplish this critical modernization. Ultimately, it will require some combination of Federal appropriations and increases in user fees. We should have those comments back before we mark up a bill. So we have a lot of ground to cover today with the Register, and I look forward to hearing from both panels of witnesses.

Mr. GRAVES. Thank you.

We will invite Ms. Pallante to join Mr. Mao in a few minutes, after we go through this panel, but feel free to summarize your statement and know that your statement will be submitted for the record as well as your statement for the Register of Copyrights and the Director of CRS.

OPENING STATEMENT OF THE ACTING LIBRARIAN OF CONGRESS

Mr. MAO. Thank you very much.

Chairman Graves, Ranking Member Wasserman Schultz, members of the subcommittee, good afternoon. Thank you very much for the opportunity to provide testimony in support of the Library of Congress fiscal year 2017 budget request. We are very grateful for the continued support that you and the Congress give to the Library. And in particular, I want to express deep gratitude for your help last year with some of our urgent fiscal collection management needs.

The Congress has sustained its Library for more than 215 years. It is the largest collection of the world's recorded knowledge ever assembled by one institution. And now, with over 162 million items, the Library includes the world's largest collection of legal materials, films, recordings and maps.

Library staff have provided research and analysis to the Congress for more than 100 years through the Congressional Research Service and almost 200 years through the Law Library. And the Library has supported and protected U.S. creativity and innovation since it became the national home of the copyright function in 1870.

But the Congress has been and remains the Library's primary focus. Our highest priority as an institution is to support the legislative, oversight, and representational work of the Congress.

I appear before you today during a time of significant change and opportunity for the Library of Congress. As we prepare for new leadership for the first time in almost three decades, our goal is to position the Library to serve the Congress and the American people in a future where technological advancement drives change at an accelerating pace. The Library must adapt to this rapidly changing environment.

Over the last year, we reconfigured the Library's organizational structure to meet increasing demand. We also released a new strategic plan for 2016 through 2020 that provides a path forward and is deliberately flexible to accommodate needs as they evolve.

As part of the realignment and to support the new organizational structure, the Library made critical leadership appointments of a

Chief Information Officer and a Chief Operating Officer, which centralize oversight of the Library's information technology and operational infrastructure functions.

Additionally, we appointed a director of the newly created National and International Outreach unit to lead consolidated outreach activities, including collaborative efforts with other institutions.

The Library of Congress fiscal 2017 budget request is for approximately $667 million. It is a 11 percent increase over the Library's fiscal year 2016 budget. And of this, 3.5 percent covers mandatory pay and price level increases, or approximately $23 million.

The balance of the increase represents critical investment in information technology and related infrastructure, the care of and access to our digital and physical collections, and human capital with new expertise.

As the important work of the Library continues, demand for our services grows. We therefore seek to achieve much-needed transitional improvements, particularly in response to the Government Accountability Office findings on the Library's management of information technology.

We are dedicated to strengthening our information technology and physical infrastructure that will significantly leverage the Library's capabilities and capacities. Because complete transition cannot be accomplished in one year, however, we must first address the most urgent shortfalls in key infrastructure areas: information technology, care of and access to our collections, developing and maintaining human skills.

Through several years of declining budgets, we compromised and took risks in these areas, often making difficult choices to cover mandatory cost that ensured current operations while sacrificing investment for the future. Continually funding near-term operational demands at the expense of long-term investment has allowed some mission critical areas, such as the data center/primary computing facility, to reach the point where they represent serious risks.

Much has changed since the Library put key infrastructure into place in the 1990s and early 2000s. Technology has advanced, congressional and public demands have changed, and some infrastructure has become outdated. The Library's budget request, which represents transition and transformation, aims to position the Library to move forward.

To avoid mortgaging the future by continuing to support infrastructure that cannot handle current and future demands, we must make long-term investments that move us in the most economical way and bring in new expertise. Our future service to the Congress and the American people depends on having a modernized infrastructure and one that is efficient, proper, and lasting.

Chairman Graves, Ranking Member Wasserman Schultz, and members of the subcommittee, the Library is both America's first cultural institution and part of the innovative infrastructure of America. So I thank you again for supporting the Library of Congress and for your consideration of our fiscal year 2017 request.

[The prepared statements of Mr. Mao, Dr. Mazanec, and Ms. Pallante follow:]

Statement of David S. Mao
The Acting Librarian of Congress
Before the
Subcommittee on Legislative Branch Appropriations
U.S. House of Representatives
Fiscal 2017 Budget Request
March 2, 2016

Mr. Chairman, Ranking Member Wasserman Schultz, and Members of the Subcommittee:

Thank you for the privilege to provide testimony in support of the mission and fiscal 2017 budget request of the Library of Congress.

The mission of the Library of Congress is to provide the Congress and the American people with a rich, diverse, and enduring source of knowledge that supports the Congress in fulfilling its constitutional duties and empowers America in its intellectual, creative, and civic endeavors.

The Congress has sustained this library for more than 215 years. It is the largest collection of the world's recorded knowledge ever assembled by one institution. The Library holds over 162 million items and includes the world's largest collections of legal materials, films, sound recordings, and maps. The Library's staff has provided research and analysis to the Congress for more than 100 years through the Congressional Research Service (CRS) and for almost 200 years through the Law Library; and the Library has supported and protected U.S. creativity and innovation since it became the national home of the copyright function in 1870. Today, "The Library embodies key ideals on which this nation was founded: the right of a free people to have unfettered access to knowledge, the necessity for a productive people to have material incentives for innovation, and the need to preserve the record of our citizens' creativity."*

I come before you today during a time of significant change and opportunity for the Library. As we prepare for new leadership for the first time in almost 29 years, our focus is on positioning the Library to serve the Congress and the American people in a future where change, driven in particular by technological advancement, occurs at an accelerating pace. Our fiscal 2017 budget request represents the beginning of a transformation and transition process for the Library. Looking across the Library's

* Dr. James H. Billington, fiscal 2012 House Appropriations Testimony

diverse mission areas, successful transformation to an infrastructure that can accommodate this fast-moving environment will require increased capacity and capability in computing power, information technology, and unique human skills.

Storage space for our collections continues to be a high priority in this transition period. Beginning construction on a fifth preservation and storage module at Ft. Meade is a tremendous step forward, and the Library appreciates congressional support of the project. The Ft. Meade modules reduce deterioration of the Library's collections, provide for better access, and help alleviate an urgent situation with the management of physical materials. We also are grateful for congressional funding and support in fiscal 2016 to start the design of modules 6 and 7. Committed to our overall mission of distributing knowledge and information and preserving American heritage and culture, we take very seriously our duty as stewards of these precious resources and as servants of current and future generations.

Over the last year we implemented a major realignment that reconfigured the Library's organizational structure to meet accelerating demands. The Library's streamlined organization will set the conditions for providing comprehensive information technology planning and execution; centralizing management of key support functions to serve the Library's mission areas; consolidating management of digital and analog collections; and improving the support structure for staff. To enhance the Library's outreach efforts, we brought together under one organization the outward-facing activities and programs that were previously scattered throughout several Library units. They are the foundation for the new National and International Outreach service unit.

As part of the realignment and to support the new organizational structure, the Library also made critical leadership appointments of a chief information officer and a chief operating officer, which will centralize oversight of and make more efficient the Library's information technology and operational infrastructure functions. Additionally, a director of the National and International Outreach service unit was appointed to spearhead oversight of the consolidated outreach activities, including collaborative efforts with other institutions.

Development of the Library's Strategic Plan for 2016-2020 was another key component in preparing for transformation. Released in October 2015, the plan sets forth primary strategies that are deliberately flexible in order to accommodate future needs as they evolve. Our commitment to the following seven strategies will provide the basis for comprehensive planning and programming to ensure the Library's transition to being a much stronger service provider.

1) Service: Deliver authoritative, authentic and nonpartisan research, analysis and information, first and foremost, to the Congress, to the federal government, and to the American people.

2) Collections: Acquire, describe, preserve, secure and provide access to a universal collection of knowledge and the record of America's creativity.

3) Creativity: Work with the U.S. Copyright Office to develop modernized copyrights systems and practices, in accordance with copyright laws and public objectives.

4) Collaboration: Stimulate and support research, innovation, and life-long learning through direct outreach and through national and global collaborations.

5) Empowerment: Empower the workforce for maximum performance.

6) Technology: Deploy a dynamic, state-of-the-industry technology infrastructure that follows best practices and standards.

7) Organizational structure: Organize and manage the Library to facilitate change and adopt new methods to fulfill its mission.

As the important work of the Library continues, demand for its services grows. We therefore are taking aggressive action in this budget request to achieve much-needed transitional improvements, particularly in response to Government Accountability Office findings on the Library's management of information technology, as well as findings from several reports by the Library's Office of the Inspector General. We are dedicated to strengthening our information technology and physical infrastructure core that will significantly leverage the Library's capabilities and capacities.

For fiscal 2017, we ask for $719.260 million, a 12 percent increase over our 2016 budget. Of this, 3.24 percent covers mandatory pay and price level increases ($23.332 million). The balance of the increase represents critical investments in three focus areas that will immediately advance the Library's capabilities across its diverse mission areas. It is a significant request that represents the beginning of modernization, transition, and risk reduction.

While complete transition cannot be accomplished in one year, the process for positioning the Library to adapt effectively to accelerating demand and advancing technologies requires that we first address the most urgent shortfalls in key infrastructure areas. These areas primarily include information technology, the care of and access to our digital and physical collections, and developing and maintaining the unique human skills needed to fulfill the Library's mission. Through several years of declining budgets, we compromised and took risks in these areas, often making difficult choices to cover mandatory costs that ensured current operations while sacrificing investment for the future. Continually funding near-term operational demands at the expense of long-term investment has allowed some mission-critical areas, such as the data center/primary computing facility, to reach the point where they present serious risks.

Addressing significant long-term information technology issues is of the highest importance for the Library. IT infrastructure is the foundation for all of the Library's mission areas: a central IT operation supports everything from congress.gov and crs.gov to the copyright online registration system and collections that embody America's heritage and culture. IT is the backbone for much of the services the Library provides; it runs the online catalog, operates the Braille and Audio Reading Download (BARD) application for the blind and physically handicapped on mobile devices, and enables the Library to put online rare documents and images that cannot be found anywhere else in the world. While the demand for computing power continues to increase, our current capacity is restricted and in dire need of modernization to ensure continued operations of essential services and to reduce risk.

Thus, a major focus of this budget is to modernize our computing capability. We ask for the first year in a three-year investment to begin building a hosting environment for the Library's primary computing facility (PCF) away from Capitol Hill at the shared legislative branch hosting site. The root of many of the Library's IT challenges is the insufficient computing capability and capacity of the Madison Building primary data center. The current center is an Uptime Institute Tier I facility that lacks power or cooling redundancy. Library customers rightfully demand that the system is always "on," but our infrastructure struggles to keep pace. In 2008, for the first time, the PCF was shut down during the annual fire and safety check due to the deteriorating capability of the Uninterrupted Power Source (UPS) to pick up the load once Madison Building power was turned off. In August 2011 the PCF was shut down twice: once due to the August 23 earthquake, and again due to Hurricane Irene. Again the UPS was not trusted to pick up the load during a power loss. Last summer, we experienced a serious hardware failure and outage of Library systems—including a costly nine-day outage of the copyright registration system—when the PCF was shut down during the

Architect of the Capitol's annual fire and safety check. Annual shutdowns are required because the generators are 35 years beyond their service life and are unable to pick up the full data center power demand during the required electrical power shutdown to the building. Currently, the demands of the Library's mission make it the biggest power draw on Capitol Hill. The PCF infrastructure is near capacity and carries a high risk of unplanned shutdowns. Moreover, it is not a matter of if, but *when* there will be a major mechanical failure—exclusive of the risk of a natural disaster or terrorist attack. In our opinion, it is imperative that the PCF be modernized, and preferably as part of the House data center initiative.

We therefore strongly recommend modernization as well as locating our primary computing facility away from Capitol Hill. The risks of remaining in the current aged and inadequate data center on Capitol Hill are significant. A modernized and remote PCF will greatly reduce risk, allow for double the capacity, and achieve Tier III capability, which Capitol Hill renovation alone will not. It is clear that additional capacity and modernization will greatly reduce the risk of shutdown under a multitude of circumstances.

The exposure of the Library's IT infrastructure to cybersecurity threats is another area of serious concern, and is one weakness identified by Government Accountability Office and Office of the Inspector General findings. The information and knowledge that the Library houses and distributes to customers in all mission areas is critical to the nation and must be protected in order to reduce cyber-attack risks and ensure mission continuance. For these reasons, we also seek funding for IT security enhancements that will strengthen critical security protection of the Library's IT network and resources as cyber threats continue to grow exponentially.

The Library's pace of digital collecting surpasses current collection infrastructure capabilities and is another area of concern. For example, the Library's web archives are three times larger than they were in 2010. We are currently at capacity and request funding for a digital collections management unit to collect and manage content for the Library's digital format collections. The unit will work closely with the chief information officer to collect, preserve, and deliver digital collections. It will assume responsibility for key born-digital acquisitions programs and digital materials not supported elsewhere in the Library and will provide significantly leveraged capacity and capability needed to manage the explosion of content in this area.

The Integrated Library System (ILS) is a mission-critical enterprise Library system that integrates major operational functions through the use of a common bibliographic database. The ILS supports the acquisitions, cataloging, circulation, and

loan of Library material and provides online public access to Library collection metadata. The Library's requirements have evolved substantially since the system was installed in 1999. Because the current system cannot accommodate all of our electronic resource-management needs, the Library must operate several smaller ILS systems. We request funding to examine the business needs not currently supported in the ILS in order to develop requirements for the next-generation system which will electronically manage the Library's collection and provide discovery and delivery of the Library's collections to users worldwide. This investment will enhance the Library's capability to access and deliver critical material across all mission areas. We seek this funding in order to plan responsibly for the replacement of a core system.

One of the seven strategies in the Library's strategic plan for 2016-2020 is support for the U.S. Copyright Office in its efforts to develop modernized copyright systems and practices. For example, one reason for the request to move the PCF away from the Washington, D.C. area is to ensure against another outage of the copyright registration system like the one experienced last summer. Well-developed and flexible information technology systems are critical to the administration of a modern Copyright Office. The Library's systems are supporting the Copyright Office's efforts to improve internal operations and better meet customer needs.

In support of the Copyright Office's modernization efforts, we request programmatic increases to address critical staffing needs, ongoing efforts to make historic records searchable, data planning and management, and essential upgrades to software and hardware. Many policy issues, including improvements to copyright registration, copyright recordation, fee schedules, music licensing, orphan works, and small claims solutions, are directly related to the modernization goals of the U.S. Copyright Office, and are fully supported in this budget request. Seventy-two percent of the request would come from fee revenue and prior year unobligated funds.

The Congress remains the primary client of the Library. As such, our highest priority as an institution is to provide all Members and committees with authoritative, timely, and nonpartisan research and analysis to support the legislative and oversight work of both houses of Congress through the Congressional Research Service (CRS) and the world's largest Law Library. CRS works constantly to position itself for the future by systematically anticipating congressional needs three years out. We request enhancements to analytic capacity in areas of high congressional demand such as defense policy, and emerging issues such as technology policy. Because staffing in CRS has declined by nearly 10 percent over the past five years, and retirements of senior experts continue steadily, support for these requests will help CRS maintain

appropriate capabilities to offer effective responses to issues that become priorities on the congressional agenda. These are unique, not easily acquired, human skills required by CRS in order to process superior research products essential for decision making.

The Law Library has urgent collections needs to strengthen current and future service to congressional and other clients. We seek funding for a seven-year project to complete classification of the Law Library's multi-national legal collection of current and historic legislative documents, as well as primary and secondary sources of American, foreign, and international law. The collection is not fully classified according to the Library's own classification schedule. The Law Library must depend for access on staff members with many years of experience and specialized knowledge of where the materials are located. Reclassification and re-shelving of approximately 367,000 volumes will provide better service to Members of Congress and the general public through faster retrieval of requested volumes.

Current and future access to some of the Law Library collections depends on the replacement of compact shelving in storage areas. Initially supplied by a company now defunct, the compact shelving was retrofitted 15 years ago with a hand-crank system, operated by bicycle chains. The retrofit solution is failing and in some instances staff cannot fit carts or ladders—or themselves—into aisles to retrieve or re-shelve books. The estimated lifespan of the compact shelving was estimated to be 25 years; the shelving is now 30 years old. The situation presents serious staff safety issues, makes some collection items inaccessible, and takes some storage space out of service.

To sum up, much has changed since the Library put key infrastructure into place in the 1990s and early 2000s. Technology has advanced, congressional and public demands have changed, and some infrastructure has become outdated. The Library's budget request, which represents transition and transformation, aims to position the Library for the future. We laid the groundwork with a realignment and new strategic plan for 2016-2020. To avoid mortgaging the future by continuing to support infrastructure that cannot handle current and future demands, we must make long-term investments that move us forward in the most economical way, and also bring in new expertise.

We are mindful that the Library is an integrated institution. The Law Library, for example, obtains materials through copyright deposit, depends on the Library's IT services, and works closely with Library Services staff. All units in the Library—the Congressional Research Service, the U.S. Copyright Office, the Law Library, Library Services, National and International Outreach—are increasingly interdependent in

accomplishing their missions. We are collaborating in new and better ways to ensure we make the best use of our resources.

Our future service to the Congress and the American people depends on having a modernized infrastructure—an infrastructure that is good, lasting and right.

Mr. Chairman, Ranking Member Wasserman Schultz, and Members of the Subcommittee, the Library is both America's first federal cultural institution and part of the innovative infrastructure of America. I thank you again for your support of the Library and for your consideration of our fiscal 2017 request.

Statement of Mary B. Mazanec
Director, Congressional Research Service
Before the
Subcommittee on the Legislative Branch
Committee on Appropriations
U.S. House of Representatives
Fiscal 2017 Budget Request
March 2, 2016

Mr. Chairman, Ranking Member Wasserman Schultz, and Members of the Subcommittee,

Thank you for the opportunity to present the fiscal 2017 budget request for the Congressional Research Service (CRS). I would also like to describe some of the Service's accomplishments of the past fiscal year, our planning for this year, and steps we are taking to ensure continued success in our mission to support the Congress for the future.

FISCAL 2017 BUDGET REQUEST

The CRS budget request for fiscal 2017 is $114,408,000, with almost ninety percent devoted to pay and benefits for our staff. Most of the seven percent increase we are requesting would serve simply to keep inflation and pay increases from eroding our base budget even further. The remainder of the requested increase is a modest programmatic increase to enable the Service to address areas of high demand, plug gaps in our coverage of emerging issues, and deliver on a statutorily mandated product. I think that this is a reasonable request given the challenges facing CRS and the extensive support we provide to the Congress.

LEGISLATIVE SUPPORT FOR THE CONGRESS

For over 100 years, CRS has worked closely with the Congress on a daily basis. Members know they can count on CRS to be confidential, objective, nonpartisan, authoritative, and timely. Experts at the Service align their work with the congressional agenda from the moment a new issue arises and continue to meet the needs of lawmakers throughout all stages of the legislative process. CRS analysts proactively examine the nature and extent of the full range of problems facing the Congress, anticipate upcoming issues, identify and assess policy options, and assist with hearings on legislative proposals and on implementation of existing policies.

In the last fiscal year, the Service offered Members and staff multifaceted, in-depth support across a wide spectrum of complex and diverse issues, with our experts providing more than 62,000 responses to requests for custom research and analysis. By the end of the fiscal year, CRS produced over 3,600 new or updated written products, summarized over 8,000 bills for the legislative digest, and hosted over 300 seminars, briefings, and other events for more than 7,400 congressional participants.

With respect to specific policy issues, on the domestic front, the budget, debt, and deficit continued to drive significant demand for research and analysis. Experts supported the debate over the fiscal 2015 and fiscal 2016 budgets by analyzing budget trends and the impact of recent legislation. The Congress called on CRS to examine a number of specific issues such as the impact of the Budget Control Act on federal spending, and issues associated with reaching the debt limit.

Immigration and healthcare remain major issues for the Congress. On immigration, CRS wrote extensively on legal and policy issues raised by the executive branch's actions, "sanctuary" jurisdictions, and related national security concerns. With respect to the Affordable Care Act (ACA), CRS provided broad and deep coverage for the Congress on the law's implementation and potential legislative alternatives. CRS health experts also provided research and analysis pertaining to emerging health reform legislation and worked extensively on issues relating to the passage of the Medicare Access and CHIP Reauthorization Act (MACRA).

CRS supported deliberations on several other major congressional initiatives. Analysts and attorneys worked closely with both the House and Senate on the Elementary and Secondary Education Act (ESEA). Our finance and trade staff worked extensively on issues around the reauthorization of the Export-Import Bank. We also provided in-depth support for congressional action on transportation and energy legislation, and defense department reform efforts.

When Congress sought to develop a compendium of tax expenditures, CRS analysts provided a comprehensive assessment of each and every one. Analysts also reviewed the potential policy and economic consequences of the various tax reform initiatives proposed by Members, the White House, and outside think tanks, and supported the deliberations over extending expiring tax provisions.

The fiscal year also saw several major social issues capture congressional interest. The Supreme Court decision in *Obergefell v. Hodges*, legalizing same-sex marriages, raised a host of questions for CRS attorneys. CRS provided analytical support and

consultative service to the Congress as it held hearings, introduced legislation, and debated issues pertaining to fetal tissue donation and funding for reproductive health services. Mass shootings and questions about race relations and the proper use of force by law enforcement required impartial CRS policy and legal analysis.

In the international arena, ongoing violent conflicts abroad, political upheavals, power disputes, nuclear proliferation pressures, and major refugee and humanitarian dilemmas captured significant congressional attention in the past fiscal year. CRS experts were readily on hand to help with these critical issues.

CRS assisted the Congress by analyzing the international struggle against the Islamic State and other terrorist groups, not only in Syria and Iraq, but also in Libya, Yemen, Egypt, and various sub-Saharan African countries. The Congress also sought CRS assistance as lawmakers considered presidential authority to engage in military operations against the Islamic State and debated options for new or revised congressional authorization for the use of military force.

The Iran nuclear deal prompted numerous requests for legal and policy analyses by CRS on what the agreement required of Iran, the United States, and the other parties; the current status of Iran's nuclear program; and the role of the International Atomic Energy Agency (IAEA). Experts assisted with issues such as how the deal might alter Iran's regional policies, including aid to terror groups, and how key U.S. partners in the region, including Israel and Saudi Arabia, viewed the agreement. CRS also examined the sanctions provisions of the agreement, including which sanctions were designated to be lifted, which ones would remain, which sanctions would be brought back into effect if warranted, and the nature of the authority to waive or lift sanctions on Iran.

CRS foreign affairs and legal experts also supported a number of global trade issues, including the reauthorization of Trade Promotion Authority (TPA), negotiations on the Trans-Pacific Partnership (TPP), the U.S.-EU Transatlantic Trade and Investment Partnership (T-TIP), U.S. trade relations with China, and economic sanctions against Russia.

Finally, I would like to note another important aspect of CRS's support for the Congress – the congressional operations work. The Service's expertise on congressional procedure is unparalleled and we make that expertise available not only through reports and tailored work by legislative procedure analysts but also through an extensive seminar program on all aspects of the legislative process.

That is just a sample of the breadth and depth of services that meet continuing congressional needs for legislative assistance. Many of these issues will continue to be of interest to the Congress in this session. We have completed our annual legislative planning process, identifying over 140 issues likely to be on the congressional agenda. To ensure we are prepared to meet congressional needs, we have formed multidisciplinary teams which are preparing and updating reports and organizing our product line and web resources around those issues. We are also meeting with oversight and leadership offices to ensure that CRS is well positioned to support the Congress's legislative agenda.

This anticipatory legislative planning process spanned several months and resulted in CRS being well placed to provide products and services to the Congress this session. However, even the best planning cannot anticipate all issues that may suddenly confront the Congress. CRS has the analytical flexibility to quickly address emerging issues. For example, the terrorist attack on Paris last year turned attention overnight to a number of international and domestic security issues. As events unfolded, we quickly updated our reports on the Islamic State, terrorism, immigration, and domestic security and highlighted that body of work on the home page of our web site. In addition to products focused on those issues, our experts conducted in-person briefings and prepared tailored analyses of questions raised by the attack. CRS staff stand ready to respond to emerging issues like the Paris event at all times.

CONGRESSIONAL SATISFACTION

As the Committee noted in its Fiscal 2016 Committee Report, it is a good business practice for any customer service organization to periodically survey its customer base to determine if the products and services being provided are meeting the expectations of its customers. With that in mind, and given our close working relationship with the Congress, CRS was tasked with leading a Library-wide initiative to survey Members of Congress and their staffs. The Library of Congress recently entered into a contract with Gallup, which has an 80-year history of conducting cutting-edge survey research. Gallup will conduct Member and staff surveys and interviews to determine their fundamental and optimal requirements for services and support from the Library and especially CRS and what, if any, actions are necessary to provide those services. We expect their final report later this year.

STRATEGIC PLANNING

Although CRS's statutory mission remains the same, the Congress and the environment in which it works are rapidly evolving. To ensure that the Service is well

positioned to meet the information and research needs of a twenty-first century Congress, we launched a comprehensive strategic planning effort that identified priorities, goals, and objectives that will enable us to move effectively into CRS's second century. One of the first tasks identified is a review of our operations, beginning with an assessment of how we can better manage and utilize the latest technologies. This CRS plan is compatible with the Library's overall strategic plan. CRS has kept its congressional oversight committees informed of the goals as well as progress on the plan. This five-year strategic plan will be implemented beginning in 2016, through 2020.

NEW MEMBERS SEMINAR

We are beginning planning for *Legislative Issues and Procedures: The CRS Seminar for New Members* for the 115th Congress, which will take place in January 2017 in Williamsburg, Virginia. The previous New Members Seminar was well received by newly elected House Members, and we anticipate another productive exchange with the next freshman class. The program, offered in conjunction with the Committee on House Administration, provides new House Members an overview of the range of issues that they will confront in their initial months in office as well as briefings on legislative and budget processes.

NEW AUTHORING AND PUBLISHING TOOL

The Service's information technology infrastructure shapes our daily operations, the research we are able to conduct, and how we are able to deliver our products and services to the Congress. CRS made significant progress in fiscal 2015 on a multi-year effort to identify and assess options for updating our existing system for authoring and publishing written products distributed directly to the Congress. A special working group composed of a cross-section of staff from across the Service continues to develop a detailed set of requirements and technology options for the future of the authoring and publishing system.

PRODUCT ENHANCEMENTS

In order to meet evolving congressional needs, new "In Focus" and "CRS Testimony" products were developed for release on CRS.gov in FY2015. In Focus products are concise, two-sided, one-page summaries of key issues on a given topic. They are available in printable PDF format as well as standard HTML pages. CRS produced approximately 250 In Focus products during the fiscal year. In addition, a template was developed to provide congressional staff with easy access to

congressional testimony submitted by CRS experts. Both In Focus and CRS Testimony products can be located on the CRS website by key word or author search, similar to CRS Reports.

To help meet the growing congressional demand for visual information, CRS launched a pilot study of a new product line devoted to stand-alone, high-quality "infographics." These products present complex information in a condensed visual form that is easily understood. Multiple infographics have been posted on CRS.gov, covering a wide range of diverse topics such as regulatory burdens on small banks, economic effects of the fiscal 2014 government shutdown, and military casualty statistics. Additional infographics will be developed as we determine the effectiveness and usability of this product type. CRS also collaborated in the Library-wide project to develop a geospatial hosting environment which will allow the creation of interactive maps for congressional use.

CRS continues to explore additional product formats for presenting key information and analysis in ways that meet congressional needs for authoritativeness, accuracy, and brevity. As part of this effort the Service is developing one-page summaries of CRS reports that will be published as stand-alone products. The Service is also developing new Issue Pages for CRS.gov that will provide a one-place stop for products on specific issues, like defense and healthcare. The Issue Pages are intended to align the organization of CRS products to the portfolio structure of congressional offices and make them more easily accessible for Congressional staff.

CONGRESS.GOV ENHANCEMENT

Working in collaboration with the House, Senate, GPO, and the broader Library, CRS significantly contributed to the continuing development of Congress.gov as the official source for federal legislative information that will fully meet congressional needs. CRS provided data analysis, subject matter expertise, consultation, system testing, user testing, coordination of data partner relationships, and support for congressional users and data partners. CRS also continues to support the use of the Congress-only LIS until equivalent capability is fully developed for the new Congress.gov.

FISCAL 2017 PROGRAMMATIC INCREASE REQUEST

As stated above, the CRS budget request for fiscal 2017 is $114.4 million with almost 90 percent devoted to pay and benefits for our staff. Of our requested $7.5

million budget increase, more than half is needed just to meet mandatory pay increases and inflation.

To help ensure that CRS will continue to meet congressional expectations, the budget request includes a programmatic increase of $3.106 million to fund a total of 22 FTEs to allow the Service to secure additional specialized technical skills and policy expertise necessary for research and analysis in support of the Congress.

This funding would allow CRS to add twelve FTEs to strengthen capacity in issue areas of high demand which are currently significantly understaffed. Many of the key analysts in areas such as defense, education, healthcare, appropriations, and budget are handling two to four times the average number of requests per analyst, per year.

The increased funding would also allow the Service to hire seven FTEs to fill emerging gaps in technology policy, data management and analysis, and data visualization – three areas identified in our strategic planning effort that would have a widespread, positive, and immediate impact on service to the Congress. Of the seven FTEs, the funding would provide for four analysts focused on technology policy – enabling CRS to better respond to questions around the use of emerging technology in areas like national security, e-finance, transportation, and biotechnology; all of these are areas of growing congressional interest, which we anticipate will spur an increasing number of requests for the Service.

The Service is receiving more requests to analyze 'big data' sets that can help inform policy decisions. Of the seven FTEs, the funding would also provide two positions focused on data management and analysis and an additional position focused on data visualization – to enable us to deliver complex information in a more readily digestible format.

The budget increase would also allow the Service to make improvements to the *Constitution of the United States of America: Analysis and Interpretation* (popularly known as the Constitution Annotated or CONAN), the highly regarded and widely used comprehensive treatise on constitutional law that CRS maintains pursuant to statutory mandate. We recently brought in a prominent constitutional scholar to review CONAN and make recommendations on how to modernize and increase its accessibility and usability for Congress, constitutional scholars, and the public at large. The budget increase would support three legislative attorneys with expertise in constitutional law to perform the complex legal research and analysis that is critical to the success of this modernization project.

BUDGET CHALLENGES

The Congress expects CRS to maintain the ability to offer timely and authoritative research and analysis on the full range of issues important to the American people. In addition, we are expected to employ the most up-to-date analytical techniques and methodologies, and to present our analysis in readily accessible and highly usable formats.

In this time of static budgets and reduced purchasing power, meeting congressional expectations is growing more challenging for the Service; particularly in a research setting characterized by increasingly complex issues, the explosion of data sources and the fast moving information environment in which the Congress operates. CRS must be positioned to nimbly navigate these challenges to support a twenty-first century Congress.

Since 2010, CRS's purchasing power has been reduced by 13 percent. Cost containments and increased operational efficiencies have mitigated the effects of this shortfall on the ability of the Service to provide timely support to the Congress. Existing CRS capabilities are stretched exceedingly thin to meet current congressional requests, while maintaining the high quality of our research and consultative services. CRS staff levels have decreased by nearly 10 percent over the past five years, and CRS experts are performing more work with fewer resources. For example, 17 active staff in the defense policy and budget areas are now performing the work done by 25 just a few years ago. In the current budget climate, the Service is unable to hire behind every analyst who retires. As a result, portfolios have been divided and reassigned to the remaining staff.

If CRS capabilities are not enhanced commensurate with the Congress's increasing demand for our services over the next few years, we anticipate that:

- existing gaps will intensify as the Service will be unable to acquire necessary new expertise, and will face challenges in retaining its invaluable cadre of experienced experts, to address ongoing and emerging issues of strong interest to Congress;

- the Service will not be able to effectively procure and utilize new technologies and leverage the increasingly vast amount of data that could provide critical insight for congressional decision making;

- the ability to exploit current and future technological developments that can strongly enhance the presentation and use of our research results will be reduced or, in some instances, eliminated;

- areas of consistently heavy congressional demand, including education, health care, defense, and appropriations will increasingly be impaired by staffing constraints;

- the Service's ability to effectively perform all of the functions required by statute will diminish;

- timeliness of responses to requests and updating of research products may be adversely impacted due to staff workload; and

- the ability of the Service to conduct in-depth research and analysis will be adversely impacted.

CONCLUSION

By delivering research and analysis without advocacy or agenda for over 100 years, CRS provides a unique service to all Members of Congress and committees. The Congress relies on CRS to marshal interdisciplinary resources, apply critical thinking, and create innovative frameworks to help legislators evaluate and develop sound legislative options and make decisions that will guide and shape present and future national policy.

Over the last several years, CRS has taken necessary steps to increase efficiency and reduce expenditures, consistent with the challenges many agencies, as well as the Congress itself, have had to face in times of severe budgetary constraints. To ensure the most effective coverage for the Congress, recruitment has been targeted to filling positions necessary to address the Congress's most critical needs, staff have been reassigned, and portfolios have been broadened. These adjustments have enabled CRS to meet the full range of requests made by the Congress. However, there is a practical limit to the capacity and flexibility of CRS staff to absorb additional subject-area assignments. The fiscal 2017 budget request identifies critical needs of the Service to ensure its ongoing ability to robustly fulfill its statutory mission.

I would like to close with my appreciation for the Committee's continued support for the Service — which, in turn, allows CRS to support the work of the entire Congress. I would also like to recognize my CRS colleagues for their hard work and

dedication. We are proud of our unique role as extended congressional staff that provide comprehensive, confidential, objective, nonpartisan, authoritative, and timely research and analysis to the Congress, and we thank you for your support.

Statement of Maria A. Pallante
United States Register of Copyrights and
Director of the U. S. Copyright Office

Before the
Subcommittee on the Legislative Branch
Committee on Appropriations

United States House of Representatives

Fiscal 2017 Budget Request for the U.S. Copyright Office

March 2, 2016

Chairman Graves, Ranking Member Wasserman Schultz and Members of the Subcommittee:

Thank you for the opportunity to present written testimony in support of the Fiscal 2017 Budget Request of the United States Copyright Office. Thank you as well for your previous support and recognition of the importance of the Copyright Office to the U.S. copyright system.

Before addressing the Office's budget request, I want to take the opportunity to briefly highlight the vital role the Copyright Office plays in supporting the vibrant and growing creative economy. The Copyright Office administers the Nation's copyright laws, and through its legal and policy experts provides assistance throughout the government on both domestic and international copyright matters. To highlight just a few of the Office's varied responsibilities:

- Examining copyright claims in a broad range of creative works, including software, movies, music, books, and websites.
- Registering copyrights to preserve full legal protections for creative works.
- Maintaining authoritative records on authorship and ownership of creative works so that companies can properly license them.
- Providing Congress and Executive Branch agencies with impartial, expert advice on matters of domestic and international copyright law.

The businesses we support—from video game developers to mobile device manufacturers, from movie studios to internet streaming companies, from music creators to online music services—are worth trillions of dollars to the global economy. The challenge today is ensuring that the U.S. Copyright Office can meet the future needs of these essential industries.

That challenge is highlighted by the evolving role of technology in creative enterprises. At the time work began on the current online copyright registration system in the early 2000s, high-speed internet access was not yet widespread, smartphones were an uncommon sight, and Pandora had yet to launch its music service. To take one example, if you were a musician, it was unlikely that you would use a phone to capture a newly created song.

Today, it is commonplace for musicians to record songs on a smartphone or tablet, capturing in real time all the data needed to satisfy copyright registration requirements. It therefore makes no sense to require a musician to put down her smartphone, log on to the Copyright Office website, and complete a lengthy online process just so she can protect her work. Instead—with the press of a button in her music recording app—she should be able to seamlessly send her song and the associated data to the Copyright Office for examination and registration. By the same token, a digital music service trying to license that song and millions of others shouldn't have to slog through the Office's website, searching for songs one at a time. Instead, the service should be able to connect its servers directly to the Copyright Office via an API and search our data in real time. It is thus clear that making incremental improvements to our existing systems will not be enough. We must shift the approach entirely, and provide a flexible platform that others can build upon for the effortless protection and licensing of copyrighted works.

And this is just one example of our comprehensive vision for a modern Copyright Office. Since I was appointed to the positon of United States Register of Copyrights on June 1, 2011, I have focused on developing the details of that vision, as evidenced by the many studies and reports mentioned below. In this work, I am indebted to my talented staff who every day support the copyright system that Congress enacted, while also assisting Congress and the Executive Branch with expert advice about legal revisions to or interpretation of the copyright laws.

Turning to our budget request, the USCO has three line items, as follows:

(1) Copyright Basic budget, which funds most USCO operations — $66.870 million

(2) Copyright Licensing Division, which is a fiscal operation that disperses royalty income after statutory distribution proceedings and is funded by fees from private parties — $ 5.531 million

(3) Copyright Royalty Judges, who report to the Librarian but are included by the Library under the Register's budget for administrative convenience — $ 1.625 million

We have provided budget justifications for all of the above items through the agency appropriations process. The justifications are available on the Library of Congress's website.[1] The first item, Copyright Basic, is the focus of my testimony today.

Our appropriations request is tied directly to the U.S. Copyright Office Strategic Plan for 2016-2020, *Positioning the United States Copyright Office for the Future*, published on December 1, 2015.[2] The Strategic Plan draws on four years of deliberative assessment and public review regarding current and future services, including all aspects of administration of copyright registration and recordation, legal requirements, and IT needs. This groundwork was carried out by staff at all levels, and involved a number of internal committees, public meetings and public reports. These significant efforts include a completely revised Compendium of Copyright Office practices, published on December 22, 2014,[3] a major report that informs the legal parameters of transforming and automating the copyright recordation system, published on January 7, 2015,[4] and a report recommending technological upgrades to the registration and recordation functions, published on February 18, 2015.[5] The Strategic Plan not only sets a path for copyright administration in the twenty-first century, but also provides a flexible basis for supporting such further statutory duties, databases, and regulatory programs that Congress may choose to assign to the Office going forward.

The Strategic Plan is conditioned upon having a clear IT plan and corresponding funding strategy. At the Committee's request,[6] the Copyright Office has completed a provisional IT Plan,[7] and posed questions to the public about the funding and

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[1] LIBRARY OF CONGRESS, FISCAL 2017 BUDGET JUSTIFICATION 109, *available at* https://www.loc.gov/portals/static/about/reports-and-budgets/documents/budgets/fy2017.pdf.

[2] http://copyright.gov/reports/strategic-plan/USCO-strategic.pdf.

[3] *See* U.S. COPYRIGHT OFFICE, COMPENDIUM OF U.S. COPYRIGHT OFFICE PRACTICES (3d ed. 2014).

[4] *See* U.S. COPYRIGHT OFFICE, TRANSFORMING DOCUMENT RECORDATION AT THE UNITED STATES COPYRIGHT OFFICE (Jan. 2015).

[5] *See* U.S. COPYRIGHT OFFICE, REPORT AND RECOMMENDATIONS OF THE TECHNICAL UPGRADES SPECIAL PROJECT TEAM (Feb. 2015).

[6] In the House Report accompanying the FY2016 appropriations bill, the Committee stated:

> The Committee fully understands the importance of the Copyright Office as it relates to creativity and commercial artistic activity not only within the United States but also on a world-wide basis. In order to serve the copyright owners and the copyright community in the 21st century, a robust modern information technology (IT) operation will be necessary. . . . [T]he Committee directs the Register of Copyrights to report, to the Committee on Appropriation and relevant Authorizing Committees of the House on a detailed plan on necessary IT upgrades, with a cost estimate, that are required for a 21st century copyright organization. In addition to the cost estimate, the Register shall include recommendations on a funding strategy and a time frame for completion of a new IT system that is necessary to better serve the public in the digital age. The Register should seek public comments to help inform the Copyright Office with the funding strategy and implementation timeline.

H. Rep. No. 114-110 (2015).

[7] *See* www.copyright.gov/reports/itplan/.

timeline for implementation of that plan.[8] As set forth in the IT Plan, comprehensive IT modernization requires upfront capital investments as well as ongoing operating expenses. The Copyright Office projects that the modernization effort will cost in the range of $165 million over a five-year implementation timeframe. Thereafter, operating costs would require approximately $25 million annually. To accommodate appropriations cycles and ensure adequate time to engage in restructuring of fees with appropriate public input, the IT Plan would commence in FY2018.

In general, the IT plan recommends a clean slate approach, in which the Copyright Office is responsible for building new mission critical applications within a dedicated enterprise architecture, and retiring rather than migrating legacy systems. The IT plan leverages flexible cloud technologies, while minimizing the need for an unwieldy and capital-intensive data center. This approach will allow the Office to remain nimble, and adapt to the ever-evolving needs of the copyright marketplace. We will report back to the Committee as we move forward.

In FY 2017, for Copyright Basic, the Copyright Office requests (1) authority to spend $33.619 million of offsetting collections, *i.e.,* fees collected from customers for services during that fiscal year; (2) authority to utilize $6.147 million from the Office's reserve account, *i.e.,* unobligated fees collected during prior fiscal year(s); and (3) $27.104 million in taxpayer support.

The request prioritizes an increase in FTEs because, as noted in the Strategic Plan, the Copyright Office needs to ramp up transition and planning for its modernization efforts, while ensuring we have sufficient staffing to meet our current responsibilities under the Copyright Act. Accordingly, some of these FTEs would be devoted to planning and project supervision related to modernization activities, for example, a Chief Information Security Officer to lead the evaluation of necessary security protocols for future IT hosting environments. Others, however, would be dedicated to improving existing services, for example, technicians to speed the production of certified copies of copyright deposits and other materials.

The Office is prepared to recalibrate the 2017 request for FTEs at the further direction of the Committee, if necessary to proceed with the larger modernization effort. In such a case, we would eliminate FTEs that assume the continuation of the current IT organization, and would ensure that all FTEs are tied to the future IT plan. Similarly, we would align all funding requests related to the website, data management and architecture to the future state.

The Office's 2017 request represents an increase in the basic budget of $14.967 million over FY 2016. The great majority of the $13.634 million in programmatic increases, $9.766 million, would be covered by fees collected in FY 2017 or prior fiscal years, should the Committee authorize increased spending authority. As

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[8] *See* http://copyright.gov/policy/itupgrade/index.html.

explained in the budget justification,[9] we have aligned the request for increased spending authority with those program changes that support copyright owners paying fees into the copyright system, *e.g.*, increased staffing in our copyright registration and recordation groups. The remaining increase, $5.201 million, would require taxpayer support. We have aligned the latter increase to program changes that serve the general public or businesses taking advantage of public data, such as increased staffing of the legal and policy departments and public information office. While the general public may access Copyright Office data for free, copyright owners pay fees to register their works and record information about those works. Accordingly, services to copyright owners should be given priority in terms of how fees are spent. Again, we are prepared to recalibrate these requests at the Committee's direction, as we recognize that 2017 may well be a transition year for operational expenses.

[9] LIBRARY OF CONGRESS, FISCAL 2017 BUDGET JUSTIFICATION at119.

CONGRESSIONAL DIALOG

Mr. GRAVES. Great. Thank you. Thank you for your statement there.

And I was just thinking back as you were giving your comments there, I know in the past you have generally sat in that seat and with Dr. Billington sitting where you are. So it is big shoes you are filling, I know a big void, but tremendous history and heritage that he has provided, and we are grateful for that. And appreciate you stepping in during this interim period and look forward to continuing working with you.

Quick question from my end and then I will go to Mr. Palazzo, I will yield the rest of my time to Mr. Palazzo, if you have a question.

PRESERVATION—MASS DEACIDIFICATION

Last year, a lot of focus was spent on protection of books and manuscripts and such through the deacidification process. What is the plan for fiscal year 2017? Is it maintaining the 200,000-book level of protection?

Mr. MAO. Mass deacidification is one of the preservation tools that we have in our toolkit for preserving all of our materials. It is one of the ways that we will continue to preserve our materials going forward.

Mr. GRAVES. And you suspect you will stay on the goal? I know that you have a lot to get to over the years.

Mr. MAO. Yes.

Mr. GRAVES. Are there objectives, number of books or manuscripts over time?

Mr. MAO. Exactly, and we will tweak those as we see fit. Certainly, we have done a large amount of mass deacidification, and we see less material as a whole coming in that may need mass deacidification. And we try to balance all of our preservation needs. Certainly if we do one type, it comes at the expense of another, as with any budget. And so we are looking at all of our preservation needs, and certainly mass deacidification is something that we plan to continue.

Mr. GRAVES. Thank you.

Mr. Palazzo, I yield the rest of my time to you.

MASS DEACIDIFICATION PROGRAM

Mr. PALAZZO. To kind of follow up on the chairman's question, I know we budgeted $5.5 million and we got 200,000 books—I think that was part of that fiscal year 2015 budget—and a million manuscripts, and then the same amount of money for fiscal year 2016. Have we done the same amount of books? Can you give me a number? Are we projected to do again another 200,000?

Mr. MAO. We are projected to continue on with the plan that we have moved forward, yes. It depends. The quantity will be tweaked depending on how many books actually come in and how many actually need the treatment, and the increase in unit costs.

Approximately 190,000 books and 1 million manuscript sheets will be treated.

Mr. PALAZZO. And so it leads me to ask, there seems to be a slight uptick in fiscal year 2017 of 121,000. Is that because you are

going to do more books, or is that covering something different? Or do you expect more books because it is a budget request increase.

Mr. MAO. Exactly. And there is additional cost for that. We are moving forward, and we anticipate that there might be some more books. It really is a little hard to tell the exact numbers, but I can certainly get back to you with some firm numbers, if you would like.

Mr. PALAZZO. And I could have done some more digging of my own, but the $5.5 million, is that personnel? Is it process? Is it materials? Chemicals?

Mr. MAO. It is a combination of all of that. Part of it is, of course, we have a contract on mass deacidification, so certainly there are costs associated with that, and there are costs associated with the different pieces of the project.

Mr. PALAZZO. Is this off-site?

Mr. MAO. Yes, some of it is.

Mr. PALAZZO. Is there a way a Member can walk over to the Library and get you all to show us how you actually——

Mr. MAO. Sure, certainly. Come over, and we would be happy to show you what we do.

Mr. PALAZZO. All right. That was my primary question. Thank you.

Mr. GRAVES. Ms. Wasserman Schultz.

CONGRESSIONAL RESEARCH SERVICE

Ms. WASSERMAN SCHULTZ. Thank you, Mr. Chairman.

If I can ask Dr. Mazanec to come to the table, please.

Thank you very much. Thank you for the work that you do to—and all of the folks that work at CRS—to support Members of Congress who really need the information that you provide to be able to represent our constituents effectively.

Your request is $114.4 million. That is a 7 percent increase over last year, which I don't find excessive, given the reference I made to how flat your funding has been. Not only flat, it has been concave over the last 4 years. You are currently funded, as I mentioned, at $5.6 million less than in your fiscal year 2010 level.

Can you outline for us, one, if the subcommittee continues to deny your budget request increases, what are the consequences? What is the impact? Second, what has been the effect of absorbing inflationary increases and mandatory pay increases with additional appropriations as you have gone through that process?

I have another series of questions for you as well.

Dr. MAZANEC. OK. Our FTE ceiling is 651. But in reality, last year, in fiscal year 2015, our budget was able to support an FTE count of 609. We have a flat budget in 2016. That will require us to reduce our FTE count to approximately 599 in order to absorb the increase in personnel costs and inflationary costs.

CRS PERSONNNEL

Ninety percent of the CRS budget is personnel cost. During my tenure at CRS, we have taken measures to increase our operational efficiencies. As an expert left, we would look at their portfolio and divvy it up and assign issue areas to other analysts. But there is

only a finite capacity there, and CRS analysts are now spread exceedingly thin. In many areas, we are one deep.

So what would be the consequences of a flat budget? If CRS capacities are not maintained, gap areas will intensify. Right now we have a gap due to an unanticipated departure in Russian and Ukrainian foreign policy. In these areas, as gaps develop, we cannot always immediately backfill, which means it becomes a challenge for us to produce the highly analytical, nuanced work that you expect of us.

I can almost state with 100 percent assurance that timelines will increase, especially in the areas that are high volume: education, health care, defense, appropriations, and budget. Analysts will be challenged to update and maintain the currency of their reports.

And finally, one more thing. I don't think we will be able to effectively leverage the vast amount of data that is currently being collected to better inform the work that you expect of us.

Ms. WASSERMAN SCHULTZ. Thank you.

And that is my concern as well, is we need CRS to be responsive. I know when I have asked for CRS reports, Mr. Chairman, you want to know what you want to know when you want to know it, and it often is time sensitive. And so this constant flat funding or even reduced funding will continue to cause us problems.

PUBLIC ACCESS TO CRS REPORTS

Dr. Mazanec, I am anticipating that we are going to have another debate about the release and public posting of your reports.

And, Mr. Newlen, I would like to also ask your opinion on this since you were there at CRS for a very long time.

My concern with basically making CRS like GAO, where you post your reports on a Web site, is that it would basically bring all the work that you are doing to a screeching halt. I mean, GAO, we have great respect for the work that they do. They have a completely different function. They provide comprehensive analysis on complex topics. They make recommendations to Congress.

And what they are not billed to do though is act quickly and responsibly and privately. And my concern is that CRS, if you have a new interface that is public, in other words, your interface is with the public not with Congress, that we are going to create another GAO.

So could you share with the subcommittee your insights, both of your insights, on CRS' culture and how any change to those policies related to releasing reports could change that culture. And I know supporters of releasing reports to the public on the CRS Web site point to language in the appropriations bills as the reasons that reports are not listed. So if this language was removed, would that then allow CRS to release their reports?

And lastly, so I am mindful of the time, is there a middle ground on this issue that we could release certain informational reports through the House Clerk and the Secretary of the Senate so that the House itself is controlling what gets released as opposed to turning you into an agency that basically directly serves the public instead of serving as a service for the Congress?

Because there are times when, as I have said before, Mr. Chairman, you and I might have an idea that we may never decide to

explore. But if we change the way CRS works and suddenly everything, every idea we ever explore is immediately posted on a Web site, then a lot of things that you begin to explore as a Member of Congress, as a legislator with the speech and debate clause being in the Constitution, wouldn't be ripe or ready or even appropriate at the incubator stage of preparation.

So I just would love to have both of your thoughts.

Dr. MAZANEC. Do you want to start?

Mr. NEWLEN. Go ahead.

Dr. MAZANEC. As you know, CRS—and I think I can speak for the Library—does not take a formal position on this. It is a complex situation, but there are potential impacts and unintended consequences. And let me just run through three, one of which you already mentioned, which is that as we release our reports and our products more broadly, it may alter the way we conceptualize and perform our work for Congress.

Right now, we work for a congressional audience. We write for a congressional audience. We meet your timelines. And we are high volume. As we take on more of a public presence, that may shift. Analysts may feel they have to vet their work more carefully. They may feel that only certain topics should be written about; realizing that their reports will be released into the public domain.

Another potential or unintended consequence could be the erosion of the speech or debate protection that CRS has for the confidential work it does for Congress. As we take on more of a public persona, so to speak, the Service may be viewed differently by the courts. Previous decisions that have upheld the speech or debate protection for CRS, have been predicated on the fact that we work exclusively for the Congress.

The other thing is there are going to be tangible costs to publish our reports. We have to put them in a format for public release. We would also have to manage the expectations from the public for us to be responsive to them.

Ms. WASSERMAN SCHULTZ. Thank you.

IMPACT ON CRS

Mr. NEWLEN. I think Dr. Mazanec covered the concerns that Congress needs to think about. You hit the nail on the head in terms of options. That is making the least impact on CRS analysts and any kind of outside pressure that they might experience. You suggested that the House would work with CRS.

I think these are all options worth exploring, we should outline those options that are most cost efficient, have the least impact on CRS, and provide you with the kind of information and analysis that you need.

Ms. WASSERMAN SCHULTZ. Seems to me that that, Mr. Chairman, is a way that we could provide transparency. I am from the Sunshine State. That is not being funny—we have the most stringent sunshine law in the country. So I am from that culture.

But I also know that there are things that we all do as legislators that are the dumbest ideas on the face of the Earth, and when you consult an expert at CRS, they help shut you down right away. You may not want to expose that dumb idea or it is not the direction that you ultimately choose to go.

So there are unintended consequences. There are fully baked reports that we could share. I just think to protect the speech and debate requirements that we have here, that that is something that should be initiated and controlled by the House of Representatives and the Senate rather than it forced on the people who are providing a service to us to be able to do our jobs effectively.

So thank you. I yield back.

CONGRESSIONAL DIALOG

Mr. GRAVES. Thank you. Yes, well said.

In addition to, I think it is not the intent of this committee to put any additional duties or responsibilities or CRS whatsoever. You are doing a great job with limited resources, and we are grateful for that. And I have read your testimonies. Remarkable work.

Ms. WASSERMAN SCHULTZ. Let's get them more money, Mr. Chairman.

Mr. GRAVES. We are very limited here.

Mr. Farr.

USE OF CRS

Mr. FARR. Thank you very much.

I have to confess something here: I am an addict. I have been told that our office is one of the 10 top users of CRS. So I am really addicted to it. I think that the worst thing in the world would be to allow CRS opened up. It will become the biggest recipient of homework assignments in the United States.

We don't allow our lawyers to draft bills for the outside world. That is done inside. I think that the reference research service is ours and we ought to use it as such. I say that because I just learned from CRS that as a retired Member, you still get to get access to it.

David Mao, I just want to tell you, I have so enjoyed your leadership and your spirit. I wish you weren't the acting Librarian. I wish you were the permanent one.

USE OF PRIVATE DONATIONS

But I just thought of something. We were discussing whether private donations can be used for restoring the Capitol and the Grounds, and it seems to me the Library of Congress, don't you have the ability to receive private gifts from foundations and individuals and things like that?

Mr. MAO. Are you talking about money or books?

Mr. FARR. Money.

Mr. MAO. Yes, we can certainly receive donations, and we do receive donations.

Mr. FARR. Have there been any problems with people sort of saying, well, you know, if you get a private donation, like from the Ford Foundation or something, is there a concern that it is going to be used for commercial purposes?

Mr. MAO. No, not at all. And we have lots of donations and gift agreements with people, individuals, companies, and corporations, that may have a particular interest in a particular collection area to help supplement or they may encourage us to have programs in certain areas. And it allows us to do these extra things that our

sparse appropriated dollars don't necessarily allow us to do. And so we do accept donations.

Mr. FARR. I think this is going to generate another research question for CRS, the question being why can't we use private donations for restoration projects here in the Capitol, because that was brought up yesterday when we were talking about it.

PRIMARY COMPUTING FACILITY

We talked a little bit yesterday, I don't know if you were here, but we talked about this co-location of the data center in southwest Virginia. the chair and ranking knew more about it than I did, that that seems to be on target. But I don't think any money has been appropriated for it.

The question here is, if the Library does not get the funds requested in the fiscal year 2017 budget, what would be the impact on the Library's services? What would be the fiscal impact on the Library if it is required to build its own new data center? I don't even know if that is an option. I don't know if the House has agreed to accommodate the Library in co-location.

Mr. MAO. Well, thank you. The Library is interested, as you know from our budget request, in participating with the House in the legislative branch data center. We have had great support from the House in working with the House, and, in fact, we have based a lot of our decisions on the great studies that the House has done and working in tandem with them in providing us with the great studies that they have already done so that we don't have to recreate the wheel.

The key question is the money. So we don't have the funding to actually move our data center.

Mr. FARR. Is that in your budget?

Mr. MAO. What?

Mr. FARR. The funding. Is the money there to—well, if you co-locate, that means that the design of this center is going to have to be bigger, right?

Mr. MAO. No. There would be room at the House data center for a Library of Congress to—legislative branch data center—for the Library to participate along with the House. What we are asking for is to actually move, and that is what the funding is for. There is approximately $55 million total.

Mr. FARR. I don't mean to ask this question if it is all on track, but I got the feeling somehow, either discussing with you or others, that there was some glitch in this process.

Mr. MAO. No, we are very happy with moving forward. It is just the money to be able to afford to do it.

Mr. FARR. But that is in your budget?

Mr. MAO. That is in the budget request, yes.

Mr. FARR. So the question is for Congress to approve it or you can't do the co-location.

Mr. MAO. That is correct. We would submit it again next year because we do believe that it is the best practice moving forward and that we would need to do that, if not now then at some point.

Mr. FARR. Have we ever denied that before or cut back that request?

Mr. MAO. We haven't asked for it before.

Mr. FARR. All right.

VETERANS HISTORY PROJECT

The other question I have is on the Veterans History Project, which, by the way, was created 10 or 12 years ago.

Mr. MAO. Fifteen.

Mr. FARR. Fifteen years ago. Congress created the authorization that we could go out and collect oral history projects from veterans of any war. Usually it's all the heroes who get the medals. But part of our national cultural collection is what grandpa did during the war, a sort of Story Corps-type things.

I have used it in my district and it is just—I mean, everybody who sees these things ends up in tears. People, families, spouses even say: My husband never told me about his war experience. But he will tell his grandson or granddaughter, who usually gets an assignment as a school project, to go out and interview grandpa, and the vets decide at that age, well, maybe—I have never told these stories, never wanted to, but I will do it. Then we can archive these stories in the Library of Congress. I think it has really taken off and it gives our veterans a chance to feel like they are really appreciated.

I see that you ask for a 4 percent increase. I want to know, is that enough? Because I think every 435 Members of Congress are now starting to use this process as a constituent tool, especially now that we have troops back from Iraq and Afghanistan. Are there any special plans to reach out to this particular group of veterans to record their stories?

Mr. MAO. Yes. And so to answer your first question, we certainly would take more money and would appreciate having that. But seriously, it is a great project and it is a great program that Congress——

Mr. FARR. But 4 percent will allow——

Mr. MAO. Allow us to keep pace. And, in fact, we just passed our 100,000 mark. We celebrated receiving our 100,000th oral history to add to the archive, and it is now the largest oral archive history in the United States. And it is a great way for us to continue to honor the men and women that have served.

Mr. FARR. I, frankly, think that every library in the United States ought to have oral history of that community. That ought to be just part of the American culture. We need to always tell our stories.

Mr. MAO. Yes.

Mr. FARR. That is how all information was passed along in the early days. So we ought to go back to capturing that.

SPOKEN LANGUAGES

Mary, how many languages are there, do you speak in your Service?

Dr. MAZANEC. That is an interesting question. I don't have the answer to that.

Mr. FARR. Are all your area specialists also linguists?

Dr. MAZANEC. No, not necessarily.

Mr. FARR. So not all of them can read the local——

Dr. MAZANEC. No. But I can find out how many different languages are represented in the CRS staff and get back to you.

Mr. FARR. I have traveled mostly in Latin America and everybody is fluent in Spanish. But we were talking the other day about how thin CRS is. It has area specialists, just like the military has foreign area officers. FAOs really live in the culture, they live in those countries and in those regions. For CRS area specialists to really catch up and sort of have a refresher, CRS ought to be give sabbaticals for your area specialists. But you told me that there is nobody to fill in while they're gone.

Dr. MAZANEC. Well, our travel and training budget has also been one of the line items that we have reduced in order to maintain the expertise across all the issue areas. And I know that in my Foreign Affairs, Defense and Trade Division, the analysts that do the regions or the countries do feel they need in-country experience in order to be credible.

Mr. FARR. Well, we just ought to think about that when we are looking at that budget.

FOREIGN EXPERTISE—INTRA-LIBRARY PARTNERSHIPS

Mr. MAO. If I may, Mr. Farr, sorry to interrupt, but that is one of the great reasons why the Library is such a fabulous institution where we can all help each other out. Certainly in the Law Library there is a large staff of foreign-trained attorneys, and they are all foreign-born and speak the language.

And to the extent that CRS analysts need assistance with a specific language or linguistic skills, we try to help out across the entire Library, and that is not necessarily even the Law Library. We have catalogers, people in our reading rooms, in our area study reading rooms, that speak the language.

Mr. FARR. What I am really keen on, and this is for everybody in this room, are lessons I learned while negotiating with Plan Colombia. There we ended up trying to revitalize or upgrading all the institutions in the Columbian Government. The United States was angry with the military in Colombia because they were violating all kinds of human rights and stuff.

We finally got around to realizing that the military is an institution of government. You can't just ignore the military and fund everything else. You have to train and upgrade and clean up parts of the Colombian Government. Now Columbia is one of our key allies in the world, including their military. Very professionalized.

HOUSE DEMOCRACY PARTNERSHIP COMMITTEE

What we always forget to do is to help professionalize the legislative branch of government. The House Democracy Partnership Committee is reaching out to do this. Members of Congress talk parliamentarian to parliamentarian to emerging democratic nations.

I think what we need to do is leave behind or allow staff members from the Library of Congress and CRS to travel to these emerging democracies and work with their staffs. Many of these countries tell us: We want some independent information. We want a budget office. We want a Library of Congress.

But that is not in our budget. I know we have had difficulties asking the Library to sponsor Open World. The ranking member and I have had two different opinions on that. But I understand the Senate reauthorized it and appropriated money last year.

But I understand that Open World directed to create a strategic plan on how it could collaborate with other congressional engagement activities, like the House Democracy Partnership Committee. That plan is due at the end of this month, right? Is it ready? Or who does that?

Mr. MAO. Not sure.

Dr. MAZANEC. To engage with HDP?

Mr. FARR. Yes, that plan is supposed to be due to Congress on March 31.

Do we know?

Mr. GRAVES. I don't know. We will have to get back with you on that one. The question continues, yes.

EMPLOYEE MORALE

Mr. FARR. Last one. Just a question on how you do your professional sort of upgrading. I mean, there have been rumors around that among staff at around CRS is, in some reports, declining morale. I don't know whether it is true or just, you know, there are always people who are complaining.

I wondered whether you might have thought about bringing in an independent outside management consultant to perform an assessment and recommendations on possible improvements to morale and welfare of the Library and CRS.

EMPLOYEE FEEDBACK

Mr. MAO. Well, I mean, I will certainly defer to Dr. Mazanec to talk specifically about CRS. But what I would say is, I think the morale question at the Library, my experience in walking around and speaking to employees and meeting with employees over the last—I guess since October, when I assumed this position—is that they are a very dedicated staff and all very concerned and really into the work of the Library of Congress and want it to continue to be the great place that it is.

And we have walked around, both Robert and I, and we have met with small groups to hear what people think about different areas, because certainly it has been a long time since there has been a transition. And during the time of transition we want to make sure that we engage the Library and have them involved in setting the course for the Library moving forward. And from my experience, we have gotten a lot of great, great feedback from employees about different things at the Library. And so certainly we will take those into consideration.

Mr. FARR. Well, I guess it depends on the extent of—if there is nothing broken, don't fix it. But there have been complaints.

CRS STAFF

Dr. MAZANEC. Let me just make a few points.

First of all, I would echo what David said about the dedication of the CRS staff. It is one of the—actually the best staff, the best

group of colleagues that I have been associated with in my professional career.

I think, though, we are asking them to do more with less, and they are stretched, and they are feeling that. And that sends a message to them about the value that is placed in CRS.

I just finished a 5-year strategic plan for CRS. I held over 40 hours of all-hands and brown bags and there was a tremendous engagement. They are interested in the institution. They are very dedicated to the mission. They love working for Congress.

Mr. FARR. We just don't pay them enough, or we give them too much work.

Dr. MAZANEC. They are here to support you. They are here to support you.

Mr. FARR. Well, maybe, I don't know——

Mr. GRAVES. Mr. Farr, we actually have one more panel, if you are open to inviting Ms. Pallante up, and we will ease into the next panel.

Doctor, thank you very much for all you are doing, for answering the questions.

Mr. NEWLEN. Mr. Chairman, could I just make one remark.

Mr. GRAVES. You could. Could I invite Ms. Pallante up to join the panel.

DEDICATED STAFF

Mr. NEWLEN. I just wanted to thank Ms. Wasserman Schultz for bringing up the Rosa Parks Collection today, because this is just a recent example of what our talented and dedicated staff do so well: acquire, preserve, and make accessible rare and unique material. And this is a wonderful, wonderful example of that.

Ms. WASSERMAN SCHULTZ. And have the opportunity for people to see it.

Mr. NEWLEN. Exactly. So thank you for bringing it up.

Ms. WASSERMAN SCHULTZ. You are welcome.

WEDNESDAY, MARCH 2, 2016.

U.S. COPYRIGHT PROGRAM PROJECT AND ACTIVITY REVIEW

WITNESSES

DAVID S. MAO, ACTING LIBRARIAN OF CONGRESS
MARIA A. PALLANTE, REGISTER AND DIRECTOR

COPYRIGHT MODERNIZATION

Mr. GRAVES. Well, thank you. That is nice.

Thank you for joining us. We will sort of step into a second panel here, to discuss the digital age and Copyrights just a little bit.

I know in fiscal year 2015 the Senate requested, and GAO, to examine the Copyrights' information technology infrastructure and to identify any deficiencies or obstacles to serving the copyright community in a modernized environment. Now, this report was released almost 1 year ago.

Last year, this subcommittee included report language requesting a detailed plan on necessary IT upgrades that are required for a 21st century copyright organization.

Now, we received this report this past Friday, the 26th. We want to thank you for your work on the report. And I know there have been some hearings held by some other committees. But this committee as well wants to hear your thoughts. And understand that you have a very different mission than the Library, the broader Library in itself.

So the purpose of this hearing is not to talk about making the Copyright Office an independent agency—I know that has been a topic in past, but not today—but to focus on the future of the Copyright Office within the Library of Congress and what is needed to ensure that we are able to meet the demands of the digital age.

So I know there is not a statement or such that we would ask you to present, but I know that we will have some questions. And I might start off, if that is OK, and then Ms. Wasserman Schultz, because I think mine is rather simple because it just comes from questions you have probably already received from those who are really trying to utilize the Copyright Office in the right way and have access to it. you have discussed in your report that the IT in the Copyright Office is behind the times, and that may be a little bit of your quote there.

COPYRIGHT OFFICE IN THE DIGITAL AGE

So when, at this point when our Nation has been online for about 20 years now, will we be in the right spot when it comes to the Copyright Office? And why is it taking so long, in your opinion?

Ms. PALLANTE. Well, thank you, Chairman Graves. And before I answer your question, thank you for the support of the committee

the last couple of years, with respect especially to our registration program. We were able to add to our depleted staff and that has really made a difference.

So this report is part reacting to what experts in the office know to be deficiencies currently, but it is very much looking to where the copyright system is going as well. So I wanted to make that point because I think good government is future focused.

And we know that, for example, people will be registering on phones. They want to look on their tablets to find out who owns what. They want to create software APIs to collect our data and create, say, a new delivery service. And so we are focused on that, where is the system, where is the marketplace.

COPYRIGHT INFORMATION TECHNOLOGY

What I would say in direct response to your question is that when the Copyright Office—and this is all before our time—first went online, the way that it was constructed was that the Copyright Office would control at the application level the software interface that customers see, but the underlying IT would be controlled by the Library agencywide.

Over time, I think that has broken down, in part just because what we do is incredibly complex. It is a 24/7 focus. It is inefficient to try to explain our needs to a different department. And that department doesn't have the benefit of working side by side with the experts in the Copyright Office.

So everybody else—and some of my division heads are here today—are by my side. The recordation staff, the registration staff, the statutory license experts, the policy team, the lawyers, the operations people. But the IT is not with us. And that is, I think, where we are. I also think that we have been underresourced.

Mr. GRAVES. So it will take time, still a little more time.

Ms. PALLANTE. Which I thought you probably knew I would say. I mean, we have a plan. That was the long history. But the good news is we can not only fix the deficiencies, but I think get ahead of them. That is the goal.

Mr. GRAVES. That is good news. Good news.

Well, one other question, then Ms. Wasserman Schultz.

SEARCHABLE COPYRIGHT REGISTRATION SYSTEM

What I hear probably the most about when it comes to the Copyrights is why is there not an updated searchable registration system that is available to all the users who are really trying to use a system correctly and not violate anyone's copyrights?

Ms. PALLANTE. Yes, no, I agree. That has been my talking point from the moment I became Register 5 years ago.

So you are talking about the back end of the system as opposed to the filing side of the system. So the system, I think, probably was designed primarily to allow people that used to register with paper to do the same thing online. And it is searchable. I mean, I don't know if you are hearing that it is not searchable. It is not whiz, bang, Internet savvy searchable. I think that is what people are saying, and we agree, and it should be.

And why is that important? Because you want to generate participation in the system and you want people to be found once they

have registered with the government. And they don't have to. It is a voluntary system.

And we are trying to create a platform where people can find out that so-and-so owns the rights or part of the rights. You have many rights holders owning various parts of work, music, the audio-visual, the underlying text, and you want to be able not just to find them and then call them, you want to be able to connect to the metadata and know exactly who owns what. But you also want to know if there are no rights owners, it is in public domain, you can use it.

Mr. GRAVES. Maybe I left out a phrase, maybe updated and searchable.

Ms. PALLANTE. Yes.

SEARCHABLE HISTORIC COPYRIGHT RECORDS

Mr. GRAVES. I understand that something can be searchable, but if something is current today, is it available and searchable on the other end today? That that might be the question.

Ms. PALLANTE. It is searchable within a reasonable timeframe.

Mr. GRAVES. A day or 2 or a month.

Ms. PALLANTE. But not all records going back to the Civil War are searchable. So it is basically after 1978. And most of those things are what people are using, but there is a historical piece that has not yet been digitized, because the system started—it was a different system starting at that point in time.

So the modernization effort would be comprehensive. You have to fix the filing side. You have to generate interest and participation and encourage people to put their data into the government system. And then you want to make it clearly searchable, user friendly, so that people can come and use that data and use it for a different kind of business on the back end.

Mr. GRAVES. Is that true with music or everything?

Ms. PALLANTE. Yes, music is a great example. Music is the best example, because if you are a music creator, you want to be able to tap into an app or a program that you are creating the music in and register seamlessly, not log off, log onto our funky system, put your data in, hope that it catches up.

Then on the back end, if you are an innovative music delivery service, you should be able to come and get all of the benefit of the government data on equal footing and build your business from that.

And so we are supporting industries on both sides of the copyright equation. That is a good use of government. That is what we have been saying.

Mr. GRAVES. Thank you for your explanation.

Ms. Wasserman Schultz.

Ms. WASSERMAN SCHULTZ. Thank you.

I also want to acknowledge that we are not talking about the future status of the office here, but the confines of the Library.

COPYRIGHT BUDGET REQUEST

Your budget request was built many months ago and we did just receive your plan on Friday.

Ms. PALLANTE. Yes.

Ms. WASSERMAN SCHULTZ. We received it early, which was nice and refreshing. But I am concerned that you built a budget request that doesn't probably line up with your report.

Ms. PALLANTE. Yes, that is correct.

Ms. WASSERMAN SCHULTZ. How are we going to reconcile that we have to build a budget but not ignore the report until we build the next budget. I will just ask my questions all at once and expedite this.

COPYRIGHT STAKEHOLDERS

The other fiscal year 2016 requirement was that your office was to go out and ask stakeholders for their opinion of how we fund the Copyright Office and take their temperature in terms of their willingness to pay to improve IT infrastructure. I am guessing that there is probably willingness out there.

I don't want to prejudge what we are likely to hear from the public when you go through the comment period, but I would like you to prejudge what we are likely hear from, large versus small copyright owners. Also, if you could just give a brief explanation of what we are allowed to pay for through fees versus appropriations at the moment.

Ms. PALLANTE. Sure. So we have gone out with the Federal Register process. It is in motion. You will have comments from us, I would say, the first week in April. It closes on the 31st of March, I think.

If I were to prejudge it, I think what you are going to hear is that it should be a mix of appropriations and fees, as it always has been, especially because you are potentially asking, if you focus mostly on fees, one group of contributors to the economy to fund the other part of the economy or subsidize them. It will feel that way to people because we don't charge them——

Ms. WASSERMAN SCHULTZ. To large copyright holders.

Ms. PALLANTE. I wasn't even getting into the small versus large. I just mean the copyright owners who are filing and paying to put the data in versus those who would benefit from using it and building different businesses on the back end based on the fact that they have access to the licenses or the data or the royalties, whatever it might be. And that is free, and I think it has always been free. And again, we want to government to provide a platform for that kind of exchange.

So, I guess, I am just saying that I think it is probably not the case that you are going to hear that the people paying into the system feel like they should pay for all of the modernization, especially because, as the chairman said, some of the complaints are on the back end. They want to be able to search on the back end.

So because it is a voluntary system, it is an art. You will also see that big copyright owners are probably willing to subsidize small copyright owners. We already took their temperature on that a little bit this last fee schedule. But they also expect better service, and they expect their fees to be put directly back into the copyright system. And that is, I think, part and parcel to this plan.

Ms. WASSERMAN SCHULTZ. A little more whiz, bang.

Ms. PALLANTE. Yes. I think, because, again, because we haven't——

COPYRIGHT FEES

Mr. FARR. Where do those fees go now?

Ms. PALLANTE. The ability of the Copyright Office to spend fees for IT is very limited because the IT is not ours. It is agencywide IT. And so if you are asking them to pay more, I think—and this is what we are hearing—the fees have to be put back directly into the copyright system infrastructure, planning, IT, operability, focus.

Mr. FARR. So they are just going in the general fund, are they in the Treasury?

Ms. PALLANTE. Well, eventually they go to the Treasury. They come through *Pay.gov*. I think the issue is the more you charge, the more that they want to see the results.

Ms. WASSERMAN SCHULTZ. They are not plowed back into the service right now?

COPYRIGHT IT SYSTEMS

Ms. PALLANTE. I don't think you could say that they are—because we are not picking IT systems based on the copyright system, we are picking agencywide systems. There is that concern then of course the system is not working right now for copyright owners or for copyright users.

That doesn't mean there aren't synergies. That doesn't mean that the Copyright Office and the Library shouldn't have shared services, that we shouldn't have points where we touch. It just means that we have to recognize that there may not be a one-size-fits-all.

And this has been a very long time coming, and I think most people agree with that. It is just figuring out what the points of alignment are and allowing the office to take over the IT that it is an expert in or allow them to work next to the experts.

Ms. WASSERMAN SCHULTZ. you are building, it looks like, an independent IT system, but you are still housed within the Library?

Ms. PALLANTE. Oh, yes. I mean, it doesn't have anything to do with the constitutional, legal arguments about whether there are conflicts and what the structure should be and the interagency process with other IP organizations and the government.

It only is saying that we built it, we built an online registration system. Recordation is still paper. We have all of these other things we need to connect. It is unlikely we can do that in the current paradigm where we are going to a central IT office and saying, as one of your many clients, here are our needs, because this plan is a 24/7, 5-year plan and it is going to take that. And it takes being in the Copyright Office.

So we have a tiny, little team right now, and we have no responsibility for administering IT as to the underlying systems, the servers, et cetera. And it is stressful. We had an outage. It was extremely stressful for the Copyright Office. Because in part—I mean, things happen—but in part it is because we are on the outside of those failures or plans.

I don't know if I answered your question.

Ms. WASSERMAN SCHULTZ. You did. Thank you.

Mr. GRAVES. Mr. Farr, any questions?

Did you have anything you wanted to add, Mr. Mao?

Anything additional?

AGENCY SUPPORT

Mr. MAO. No. We look forward to this plan as well and we are looking to working together, because that is what we need to do. The Copyright Office, their clients are clients of the Library of Congress and the Library wants to make sure that all of the clients are being served. And that is why our budget proposal is what it is, to make sure that our infrastructure can support all of our clients.

CHAIRMAN'S CLOSING REMARKS

Mr. GRAVES. Great. Well, if there are no other questions, let me thank you all for joining us today, for working together for the betterment of what we are all trying to do here for our constituency across the country. And we will stand in recess until we are called back.

[Questions submitted for the record and additional statements for the record follow:]

House Subcommittee on Legislative Branch Appropriations
Hearing on the Library of Congress Fiscal 2017 Budget Request
March 2, 2016

Questions for the Record
Chairman Tom Graves

MASS DEACIDIFICATION PROGRAM

Question: In FY15, Congress funded the Library's mass deacidification program at $5,500,000, and the Library treated 200,000 books and approximately 1 million manuscript sheets. In FY16, Congress, again, allocated $5,500,000 toward the mass deacidification program with the directive to maintain the deacidification program at not less than the 'current level.' For FY17, the Library has asked for $5,621,000 for the deacidification program. Do you intend to maintain a treatment rate of, at least, 200,000 books in FY17 – and if not, why not?

Response: The Library's new contract with Preservation Resources calls for the treatment of approximately 170,000 books. Price increases and the inclusion of inventory services will result in fewer items treated with the requested funding. The current severe collection storage situation combined with fewer new books received on acidic paper precludes a more aggressive treatment approach at this time. We believe the level of requested funding is more than adequate.

Question: How many books do you intend to treat in FY16, given the language in the House and Senate reports?

Response: The Library intends to treat approximately 190,000 books and one million manuscript sheets.

Question: Do you intend to deacidify the remaining 3.3 million books?

Response: Based on a FY2013 survey of untreated portions of the collections, the Library estimates that fewer than 3 million books remain to be treated. Provided the per unit price of deacidification treatment remains stable, and funding for preservation treatment of other collections does not erode, the Library plans to deacidify not more than 170,000 books and one million manuscript sheets per year for the next five years. After five years the Library will reassess the need for additional deacidification treatment based on overall collection need and available alternatives.

Question: Given the longstanding funding of this program, the congressional intent, and the content of past Library testimony on the program's role of preserving the Library's unique collection as a "service to the nation", would such cuts put treasured pieces of the collection at risk of loss through further decay? Would such cuts at least double the length of this project and add millions in costs?

Response: The Library has been deacidifying its collection for more than 15 years. More than 4 million books and almost 13 million manuscript sheets have been successfully treated. However, all programs must be periodically reviewed and adjusted to reflect new realities. When the Library first advanced this treatment it lacked sufficient cold storage alternatives and collection digitization was in its infancy. A modest reduction in the number of books treated annually will not significantly affect the condition of already deteriorated books in the Library's conditioned storage space. The pace of

treatment should be based on a holistic view of the needs of the entire collection, not just a subset of mostly general collection books. The Library's re-evaluation of the number of books remaining to be treated is already 1.5 million books less than originally projected and represents a saving of almost $40 million over the length of the project.

INFORMATION TECHNOLOGY

Question: To the Library's credit, you hired a chief information officer (CIO) in September 2015, as GAO recommended in its report. GAO also called for the CIO to have defined responsibilities and adequate authority, consistent with best practices, including (1) responsibility for commodity IT; (2) oversight of mission-specific systems; and (3) clarification of responsibilities and authorities between the Library CIO and service unit IT leadership. Does the CIO currently have the authority he needs, consistent with GAO's recommendation, in order to perform his job effectively?

Response: The CIO's success is a top priority, and he has had and will continue to have the full attention and support of the Acting Librarian and other senior managers. The Acting Librarian will ensure the CIO continues to exercise the needed authority in all areas of responsibility

Question: The GAO made 31 recommendations in their report on the Library's management of information technology (IT). What is the status of the Library's efforts to address the 31 recommendations?

Response: The Deputy CIO conducts weekly status reviews with the GAO Analyst-in-Charge of the audit. Please see the chart below with the status of each GAO recommendation.

Library of Congress

GAO 15-315 Report Recommendation Status (2/23/2016)

GAO Audit Recom #	Recommendation	Progress to Date	Expected Date of Completion
1	That the Librarian expeditiously hire a permanent chief information officer responsible for managing the Library's IT and ensure that this official has clearly defined responsibilities and adequate authority, consistent with the role of a chief information officer as defined by best practice. The should include among other things, (1) responsibility for commodity IT; (2) oversight of mission-specific systems, through the ITSC or another oversight mechanism; and (3) clarification of responsibilities and authorities between the Library CIO and service unit IT leadership.	CIO start date: 9/8/15 LOC reviewed the three "other things" listed in the recommendation. OCIO is drafting language for an LCR to address recommendations. Update: The LCR is being finalized and vetted with OGC which will address each of the three items in the recommendation beyond hiring a new CIO.	Q1 FY2017
2	Complete an Information Technology strategic plan within the time frame the Library has established for doing so. The plan, at a minimum, should (1) align with the agency's overall Strategic Plan, (2) provide results-oriented goals and performance measures, (3) identify the strategies for achieving the desired results, and (4) describe interdependencies among projects.	The interim Information Technology Strategic Plan was completed on 4/30/2015, covering elements (2) and (3). CIO is on track to publish final IT Strategic Plan by 12/31/2015. Update: The new IT Strategic Plan was completed on 12/31/15 and sent to GAO on 1/5/16. Currently awaiting validation.	Q3 FY2016

3	Establish a time frame for developing a complete and reliable enterprise architecture that accurately captures the Library's current information technology environment, describes its target environment, outlines a strategy for transitioning from one to the other, and develops the architecture within the established time frame.	The Enterprise Architecture (EA) "as-is" (current state) validation plan was developed, including schedule and processes for updates. The baseline version of the "as-is" (current state) data was presented for review to the Information Technology Steering Committee (ITSC) on July 10, 2015 and to the Architecture Review Board (ARB) on July 14, 2015. Feedback from both the ITSC and ARB is being incorporated into the schedule and processes for the "as is" (current state), "to be" (future state), and transitioning from one to the other. Upon receiving the Independent Validation and Verification (IV&V) report on the EA program, the implementation plan and timeline will be updated. At that point, the plan should be sent to GAO to see if that satisfies this audit finding. Update: Upon receipt of the Independent Validation and Verification (IV&V) report on the EA consultant, the implementation plan and timeline will be updated. The report is due at the end of Q4/FY16.	Q4FY2018
4	Establish a time frame for implementing a Library-wide assessment of information technology human capital needs and complete the assessment within the established time frame. This assessment should, at a minimum, analyze any gaps between current skills and future needs and include a strategy for closing any identified gaps.	After analysis of alternative approaches, the assessment will be modeled on the State University of New York - Albany model. An initial discussion with labor relations has occurred and they are prepared to negotiate the assessment process with LOC unions. In the process of establishing a Library-wide skill assessment survey. Update: In early 2016, the Recommendation was further analyzed within the OCIO and a meeting was scheduled with HRS to review the Recommendation in detail to coordinate the OCIO and HRS efforts in strategizing the 3 objectives identified in this Recommendation. i. Provide a current status update on skill assessment ii. Develop a strategy for closing any identified gaps iii. Assessment Strategy. HRS informed the OCIO that OPM has a service for Skill Competency Assessments. A meeting with OPM, OCIO & HR is due to take place end of February 2016. In the meantime, OPM has provided a draft proposal for the Skill Assessment which includes the methodology and a general framework for the proposed approach.	Q1FY2018
5	Clarify investment management policy to identify which governance bodies are responsible for making investment decisions and under what conditions.	The draft IT Strategic Governance process was presented to the Library's Executive Committee in August 2015. Comments were received and are being incorporated. OCIO is drafting language for an LCR to address recommendations. Update: Based on the comments received, the draft IT Strategic Governance process that was presented to the Library's EC is currently being revised. The updated document will be presented to the ITSC in the February 2016 meeting. After the ITSC review, it will be presented to the Library's EC. The LCR to address recommendations is being finalized and vetted with the OGC.	Q1 FY2017
6	Establish and implement a process for linking information technology strategic planning, enterprise architecture, and information technology investment management.	The draft IT Strategic Governance process was presented to the Library's Executive Committee in August 2015. Comments were received and are being incorporated. OCIO is drafting language for an LCR to address recommendations. FY2016 is a transition year to the new process; full implementation will be done for FY2017. Update: Based on the comments received, the draft IT Strategic Governance process that was presented to the Library's EC is currently being revised. The updated document will be presented to the ITSC in the February 2016 meeting. After the ITSC review, it will be presented to the Library's EC. The LCR to address recommendations is being finalized and vetted with the OGC.	Q1 FY2018

7	Establish and implement policies and procedures for reselecting investments that are already operational.	The draft IT Strategic Governance process was presented to the Library's Executive Committee in August 2015. Comments were received and are being incorporated. OCIO is drafting language for an LCR to address recommendations. FY2017 is a transition year to the new process; full implementation will be done in FY2018. Update: Based on the comments received, the draft IT Strategic Governance process	Q4 FY2018
8	Establish and implement policies and procedures for ensuring that investment selection decisions have an impact on decisions to fund investments.	The draft IT Strategic Governance process was presented to the Library's Executive Committee in August 2015. Comments were received and are being incorporated. OCIO is drafting language for an LCR to address recommendations. FY2017 is a transition year to the new process; full implementation will be done in FY2018. Update: Based on the comments received, the draft IT Strategic Governance process that was presented to the Library's EC is currently being revised. The updated document will be presented to the ITSC in the February 2016 meeting. After the ITSC review, it will be presented to the Library's EC. The LCR to address recommendations is being finalized and vetted with the OGC.	Q4 FY2018
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8	Establish and implement policies and procedures for ensuring that investment selection decisions have an impact on decisions to fund investments.	The draft IT Strategic Governance process was presented to the Library's Executive Committee in August 2015. Comments were received and are being incorporated. OCIO is drafting language for an LCR to address recommendations. FY2017 is a transition year to the new process; full implementation will be done in FY2018. Update: Based on the comments received, the draft IT Strategic Governance process that was presented to the Library's EC is currently being revised. The updated document will be presented to the ITSC in the February 2016 meeting. After the ITSC review, it will be presented to the Library's EC. The LCR to address recommendations is being finalized and vetted with the OGC.	Q4 FY2018
14	Fully establish and implement policies and procedures consistent with the key practices on portfolio management, including (1) defining the portfolio criteria, (2) creating the portfolio, and (3) evaluating the portfolio.	The draft IT Strategic Governance process was presented to the Library's Executive Committee in August 2015. Comments were received and are being incorporated. OCIO is drafting language for an LCR to address recommendations. FY2016 is a transition year to the new process; full implementation will be done for FY2017. Update: OCIO is currently incorporating comments received by OGC to LCR 1600 draft #2 on portfolio management policies. In the meantime, the pilot IT investment process is underway, and service units have submitted IT investment proposals for FY2016. Feedback is being collected to improve the processes in future years.	Q1 FY2018
15	Complete and implement an organization-wide policy for risk management that includes key practices as discussed in this report and within the time frame the Library established for doing so.	The OCFO and OCIO created a process to identify IT expenditures during the procurement process via Momentum which will provide for accounting of IT related expenditures. FY2016 is a transition year to the new process; full implementation will be done for FY2017. OCIO received sample IT Expenditure Report from OCFO. Working with OCFO on IT Expenditure data access and custom reporting requirements. Update: A policy statement in Draft #2 of LCR1600 was added, to require organization-wide use of the OCIO guidance and templates for risk management. The OCIO has prepared a Statement of Work (SOW) for a task order to be issued in FY2016 for professional services consulting recommendations to improve the OCIO guidance and templates for risk management, based on Federal and industry best practices. Draft #2 of the revision to LCR 1600 was reviewed with the OCIO management and a designated OGC representative. Currently, the OCIO is incorporating comments received by the OGC to the LCR 1600 draft #2 .	Q1 FY2018
16	Establish and implement an organization-wide policy for requirements development that includes key practices as discussed in this report.	As part of the CIO reorganization, a Project Management Office was established to lead this effort. Incorporated as part of the IT investment process. FY2016-FY2017 is a transition period to the new process; will be expanded to all Library divisions in FY2018. Update: The Library has determined that an expert consultant is needed to assess and recommend organizational wide policies, including key practices, for requirements development. The PMO templates and guidance will be updated to incorporate the recommendations on policies and key practices.	Q1 FY2018

17	Establish and implement an organization-wide policy for developing cost estimates that includes key practices as discussed in this report.	The OCFO and OCIO created a process to identify IT expenditures during the procurement process via Momentum which will provide for accounting of IT related expenditures. FY2016 is a transition year to the new process; full implementation will be done for FY2017. OCIO received sample IT Expenditure Report from OCFO. Working with OCFO on IT Expenditure data access and custom reporting requirements. Update: The Library has determined that an expert consultant is needed to assess and recommend organizational wide policies, including key practices, for the development of cost assessments. The PMO templates and guidance will be updated to incorporate the recommendations on policies and key practices.	Q1 FY2018
18	Establish a time frame for finalizing and implementing an organization-wide policy for developing and maintaining project schedules that include key practices as discussed in this report and finalize and implement the policy within the established time frame.	As part of the CIO reorganization, a Project Management Office was established to lead this effort. Incorporated as part of the IT investment process. FY2016-FY2017 is a transition period to the new process; will be expanded to all Library divisions in FY2018. Update: The Library has determined that an expert consultant is needed to assess and recommend organizational wide policies, including key practices, for project schedule development. The PMO templates and guidance will be updated to incorporate the recommendations on policies and key practices.	Q1 FY2018
19	Develop a complete and accurate inventory of the agency's information systems.	The Enterprise Architecture (EA) "as -is" (current state) validation plan was developed, including schedule and processes for updates. The baseline version of the "as-is" (current state) data was presented for review to the Information Technology Steering Committee (ITSC) on July 10, 2015 and to the Architecture Review Board (ARB) on July 14, 2015. Feedback from both the ITSC and ARB is being incorporated into the schedule and processes for the "as is" (current state), "to be" (future state), and transitioning from one to the other. Upon receiving the Independent Validation and Verification (IV&V) report on the EA program, the implementation plan and timeline will be updated. At that point, the plan should be sent to GAO to see if that satisfies this audit finding. Update: When this Audit was conducted, the ITSG did not have an IT System Inventory Management process in place. With the development of the Library of Congress Information Security Continuous Monitoring Guidance, an annual IT Systems Inventory Management process was established. This new process requires the ITPMs, along with System Owners, to validate the system list, operational status, and other key inventory fields. In addition, as part of a business case to consolidate Security within ITSG, ITSG conducted an IT System Inventory review with the Service Unit Heads.	Q4 FY2016
20	Revise information security policy to require system security plans to describe common controls and implement the policy.	Completed pending GAO validation. Update: The GAO has now requested to see the updated System Security Plans of the 9 systems. Status has been reverted to Ongoing (from LOC Complete). ITSG is presently reviewing the current System Security Plans of the original 9 systems requested and sill provide the current SSPs.	Q1 FY2016

21	Ensure that all system security plans are complete, including descriptions of how security controls are implemented and justifications for why controls are not applied.	Certification and accreditation continuous monitoring is in place. GAO has been provided a copy of the Library of Congress Information Security Continuous Monitoring Guidance and a copy of the LC Security Assessment and Authorization Guidance for their review. The system security plan will be in place by the end of FY2016. Update: The ITSG will institute audit review process of all current System Security Plans with Service Units and ensure all have been brought up to policy by the Q4 FY2016 timeframe.	Q4 FY2016
22	Conduct comprehensive and effective security testing for all systems within the time frames called for by Library policy, including assessing security controls that are inherited from the Library's information security program.	Monthly testing began August 2015. The Library has adopted the NIST Risk Management Framework. Implementation is complete for networks and servers. FY2016-FY2017 are transition years for individual systems. Update: The ITSG implemented vulnerability scans via Nessus, a security vulnerability scanning tool. Since its implementation, the ITSG has added servers and workstations to the scanning process.	Q4 FY2017
23	Ensure that remedial action plans for identified security weaknesses are consistently documented, tracked, and completed in a timely manner.	Certification and accreditation continuous monitoring is in place. GAO has been provided a copy of the Library of Congress Information Security Continuous Monitoring Guidance and a copy of the LC Security Assessment and Authorization Guidance for their review. Update: The ITSG is preparing monthly POAM reports for the Service Units. Meetings are being scheduled with each of the Service Unit Heads to review and discuss their POAM Reports. This is scheduled to start end of February 2016.	Q4 FY2016
24	Finalize and implement guidance on continuous monitoring to ensure that officials are informed when making authorization decisions about the risks associated with the operations of the Library's systems.	Certification and accreditation continuous monitoring is in place. GAO has been provided a copy of the Library of Congress Information Security Continuous Monitoring Guidance and a copy of the LC Security Assessment and Authorization Guidance for their review. Update: The OCIO is waiting for the GAO to review this Recommendation.	Q3 FY2017
25	Develop contingency plans for all systems that address key elements.	Testing has been changed from annual to a rotational monthly schedule. Implementing NIST Risk Management Framework for all systems. Reviewing all systems for disaster recovery (DR) and contingency plan requirements. Modifying tracking software to verify DR and contingency requirements. Update: ITSPMs have been notified that all systems requiring IT Contingency Plans have been updated and uploaded into Archer, an IT security governance tool. In addition, the ITSG is working with the OIG and outside agencies to review Contingency Plan templates. ITSG's Contingency Plan template will be updated from this review.	Q4 FY2018
26	Establish and implement a process for comprehensively identifying and tracking whether all personnel with access to Library systems have taken required security and privacy training.	Completed pending GAO validation. Update: After further discussion between the GAO and the OCIO, both parties have agreed that this Recommendation needs to be addressed further and therefore the status has been reverted to Ongoing (from LOC Complete). There is a need to establish an internal process for when a Capitol Police officer with LOC credentials leaves the USCP as well as need to improve the existing process for contractors and volunteers. The OCIO is currently reviewing next steps for the establishment and improvement of these 2 processes.	Q1 FY2016

27	Establish a time frame for finalizing and implementing the Library's standard contract sections for information security and privacy requirements and finalize and implement the requirements within that time frame.	Completed pending GAO validation. Update: Following feedback from the GAO, they have requested for copies of the contracts of the 9 original audited systems to confirm that the correct language has been incorporated into them. The OCIO does not need to go back to renegotiate all contracts but can start with the contracts that were established since those policies were implemented. The OCIO is currently gathering the copies of those contracts for the 9 systems, if applicable, that became effective after the policies were revised.	Q1 FY2016
28	Require the chief privacy officer to establish and implement a process for reviewing the Library's privacy program, including ensuring that privacy impact assessments are conducted for all information systems.	CIO continues to work with the Office of General Counsel (OGC) to fulfill this recommendation. Update: The LCR is being finalized and vetted with OGC.	Q4 FY2016
29	Finalize and implement a Library-wide policy for developing service level agreements (SLAs) that (1) includes service-level targets for agreements with individual Service Units, and (2) covers services in a way that best meets the need of both Information technology and its customers, including individual Service Units.	OCIO has issued baseline service level agreements (SLAs) for all Library service units. OCIO is working with individual service units to create individualized memoranda of understanding (MOU) for above baseline IT requirements. Update: The OCIO began Phase 2 of this Recommendation "Establish memos-of- understanding(MOU) with each service units". The OCIO formed team of business analysts to work closely with the Service Units to draft the MOUs. IT Steering Committee (ITSC) members provided names of Service Unit contacts to work with the OCIO analysts. The OCIO also developed plans and schedules to identify non- standard, service unit IT requirements and documented them in the MOUs. (Standard OCIO services and service targets are captured in the OCIO Service Catalog). Nine (9) MOU kick-off meetings were held throughout January 2016 and MOU meetings with Service Units to collect and document requirements continues.	Q4 FY2018
30	Document and execute a plan for improving customer satisfaction with information technology services that includes prioritized improvement projects and associated resource requirements, schedules, and measurable goals and outcomes.	OCIO has begun drafting a customer satisfaction improvement plan based on the Software Engineering Institute (SEI) Initiating, Diagnosing, Establishing, Acting & Learning (IDEAL) model as recommended by GAO. Update: The OCIO reviewed the IDEAL model and determined 2 options to address customer satisfaction improvement: Option 1: Establish Service Management Discipline a. Establish service catalog with service level targets b. Derive delivered service metrics c. Use above metrics as basis for customer satisfaction measurement d. In addition, use customer survey collect subjective or "user experience" data for service improvement feedback. Option 2: Develop and IDEAL based improvement plan a. all 29 service areas need to perform root cause analysis and implement specific customer and service improvement plans. b. A new detailed survey will be developed for each service area. c. There is a risk that a subjective only survey may result. A meeting with the CIO and DCIO was scheduled to discuss and determine which option was best suited. After review of the proposed options, the CIO elected proceed with Option 1 for effectiveness and efficiency reasons.	Q4 FY2018

31	Conduct a review of the Library's information technology portfolio to identify duplicative or overlapping activities and investments, including those identified in our report, and assess the costs and benefits of consolidating identified information technology activities and investments.	This is an outgrowth of combining the Enterprise Architecture, the Information Systems Governance Structure, and the inspector general's cost analysis. This will combine findings from all three reports to determine opportunities for cost savings. This is not a one-time review, but part of an annual investment cycle. Lessons learned from the FY2016 transition period during will be incorporated into the next budget cycle. Update: The principles and policies related to this are incorporated into draft #2 of the revision to the LCR. The ITSC sub-group is incorporating "best practices" related to these principles and policy into revisions to documentation and templates for the IT investment cycle, as part of the feedback workflow designed to incorporate feedback and "lessons learned" into the IT investment cycle throughout the stages (as feedback is available and appropriate), and over the current and future years. These processes are also described in the draft LCR revision.	Q3 FY2017

Question: What progress has been made and have you encountered any challenges?

Response: GAO acknowledged during a recent congressional hearing that the Library has made tremendous progress on addressing GAO's recommendations. Please see the attached document that notes the status of each. Many of the recommendations are strategic in nature and require a complete budget cycle to validate effectiveness. The GAO has stated that it will need to validate closure of findings. The library is working with GAO to schedule a convenient time for GAO staff to conduct their validation.

Question: According to GAO's report, the Library spent at least $119 million on IT in fiscal year 2014, GAO identified opportunities to consolidate overlapping and duplicative IT activities and investments that could lead to substantial savings. Have you realized any of these savings to date?

Response: We have taken several actions to improve IT governance enterprise-wide. These actions will reduce potential duplicative activities and identify potential savings. Below are specific actions that have been taken to identify potential savings in the future.

- Established accountable cost centers within the OCIO for staffing and resourcing decisions;
- Established enterprise-wide IT expenditure tracking by common IT expenditure categories to maintain full accounting of Library IT spending;
- Strengthened enterprise-wide investment planning, control, and monitoring mechanisms applied to the Library's IT spending; and
- Developed additional enterprise-wide acquisition sourcing vehicles for common IT products and services to include IT life cycle support services, and COTS software licensing and maintenance.

PRIMARY COMPUTING FACILITY

Question: The Library is requesting $24.575 million for the first year of a three-year investment of $57.7 million to migrate the Library's primary computing facility to an alternate location. The subcommittee is aware that the Library's current situation is a serious matter of risk and commends you on taking the necessary steps needed. Please summarize why you think this is the best option for the Library.

Response: The current Primary Computing Facility (PCF) does not have in place the redundant building electrical power (UPS and generator) and cooling infrastructure to ensure uninterrupted services. These vulnerabilities put at risk the Library's mission critical services and the nation's cultural and creative assets. This investment along with addressing the GAO recommendations will put the Library in a stronger position to support more effectively the Library's mission. The Legislative Branch data center Cost Benefit Analysis Study determined that the Madison building data center is within a comparatively expensive energy supply source. If the Library's PCF stays at its current location, substantial capital costs would be incurred as the demand continues to increase for electrical power and cooling to sustain the continued annual growth in the Library's IT infrastructure

NATIONAL LIBRARY SERVICE

Question: Last year the subcommittee included report language directing GAO to review the services provided by the National Library [Service for the Blind and Physically Handicapped (NLS)]. This report will be completed this month. There have been significant advances in assistive technology for those with visual and other reading disabilities in recent years. For example, the development of accessibility features on mobile devices and improvement in text to speech. In light of this, has NLS identified any potential cost savings that may result from their adoption of new technologies?

Response: A recent study of the impact of implementing a digital braille program based on inexpensive digital braille eReader devices indicates a 22% savings to NLS's braille budget. Taking into account both the USPS and network libraries' costs, the savings is expected to be approximately 59%.

Question: Further, what does NLS see as the future role of mail and internet delivery mediums in serving their users?

Response: NLS expects to move to wireless delivery of digital talking books and digital braille books for all patrons within the next five to ten years.

Question: The commercial audio book industry is growing, and we understand that NLS is working with commercial publishers to acquire their audio books. What is the status of this initiative and what are the potential cost savings that could result from obtaining audio books this way?

Response: NLS currently has contracts with five audio book publishers. The estimated savings for each title used is the cost of narration, which averages $3,750 per title.

Question: We understand that in 2013 NLS conducted a survey of users and potential users about their use of technology and reading preferences. What did NLS learn from this survey about eligible individuals' demographics and preferences, and is NLS adjusting any of its plans in light of these findings?

Response: NLS learned that 25% of its patrons live at or below the poverty line, and the majority of its older patrons use internet resources very little or not at all and were not familiar with text to speech technology. Younger patrons were more tech savvy and had a higher acceptance of text to speech technology. NLS takes these factors into account in planning for the next generation of talking book services.

Question: In addition, how do you plan to monitor trends moving forward?

Response: NLS is constantly monitoring trends in its patron base through a variety of mechanisms and using that information to inform its programs. Sources include the following.

- Feedback from network libraries through a monthly open telephone forum, conferences, network consultant visits, etc.;
- Consumer advisory groups for outreach, collection development and reading technologies;
- An open forum at NFB during their convention;
- Participation in NFB and ACB interest group meetings focused specifically on library services;
- Frequent meetings with the presidents of NFB and ACB representing consumers;
- A consumer relations officer dedicated to handling questions and information from consumers;
- Consumer satisfaction surveys conducted at the network library level;
- Participation in conferences such as CSUN where new technologies are showcased;
- An R&D officer following trends in consumer technologies;
- A management analyst focused on gathering and analyzing data from the network; and
- Data Reports generated routinely by automated systems such as BARD and the magazine program which are analyzed for trends in usage.

Question: We understand that the NLS is primarily used by older, visually impaired individuals. How is NLS ensuring it is taking steps to reach all eligible populations?

Response: NLS is currently engaged in several outreach initiatives, including a PSA campaign, a partnership project, and a rebranding effort. NLS expects to continue its outreach efforts at a national level and through the network libraries.

COPYRIGHT OFFICE

Question: Mr. Mao, in its report to the Library, GAO recommended that the Library's central IT provider establish "service level agreements" with Library units to ensure that IT services meet customer needs. Has the Library's central IT provider established any service-level agreements with the Copyright Office? If so, to what extent do these agreements meet your needs?

Response: The Library of Congress CIO has proceeded with a phased approach to execute baseline service level agreements (SLAs) with all service units. Implemented in October 2015, phase one SLAs focused on commodity type, core services such as desktop computer services, Email, telephones, and office productivity applications. Each of the service units is being provided the same baseline SLA and the baseline SLA seems to be meeting our needs. While the Library and the Copyright Office have not formally signed an SLA, all service units, including the Copyright Office, are receiving the same service levels. Phase two, which began in January 2016, involves the creation of individual Memoranda of Understanding designed to satisfy service unit mission-specific IT requirements that are not commodity type, core services.

Question: Ms. Pallante, the Library's fiscal year 2017 budget justification is requesting to move its primary data center in the Madison building to a different site because Madison does not have adequate redundancy for power or cooling. However your plan is to build a private network and maintain much of the key infrastructure in the Madison data center. Please explain why the Copyright Office plans to continue to use the Madison data center, in light of the concerns identified by the Library. GAO found examples of potentially duplicative IT investments, such as separate IT infrastructures and email environments. What is your rationale for acquiring separate services that you already receive from the

Library?

Response: At congressional direction, the Copyright Office was pleased to develop and provide to Congress its Provisional Information Technology Modernization Plan and Cost Analysis ("Provisional IT Plan" or "Plan") in February 2016, which speaks to a "21st century copyright organization," that needs a "robust modern [IT] operation." The Provisional IT Plan recommends a "clean slate" approach to Copyright Office IT—an approach that is not uncommon when retiring legacy systems and minimizing the impact of sunk costs and siloed projects. The Plan assumes ongoing innovation and evolution by prioritizing the flexible cloud technologies that are common in the copyright marketplace, while minimizing the need for a capital-intensive fixed data center. Indeed, because of the great variety of public and private cloud solutions available to the Office at this time, the Plan would drastically reduce, if not eliminate, the need for a physical data center. For costing purposes, the Provisional IT Plan used as an example the assumption that the Copyright Office would remain physically present in the Madison Building, and thus would need some level of on-site technology for network connectivity that would take up no more space than a closet. This minimal on-site physical requirement would not be the same as having a full-scale on-site data center in the Madison Building, which the Copyright Office is not proposing. In addition, the Library also would need to maintain an on-site networking presence even with the development of a separate, larger data center located outside of the Madison Building and thus, the Copyright Office could work with the Library to ensure that any remaining limited power and cooling safeguards were met. At the same time, it is possible, and the Provisional IT Plan is flexible enough to permit, undertaking certain services from the Library or at the data center, as appropriate. Email could be one of those services, though each such service would require a cost/benefit analysis. For example, email correspondence and archiving is a fairly integral part of an examiner's duties in managing case files, a fairly critical part of managing the Copyright Office Public Information Office, and an essential aspect of carrying out specialized legal deliberations across the U.S. government, so that it would be important to fully integrate the Office's email capability with its future enterprise architecture and systems.

Additionally, the Provisional IT Plan describes a modern IT system that enables management of Copyright Office IT directly by Copyright Office staff, who are most familiar with the needs of Copyright Office staff, Copyright Office customers, and public demand for Copyright Office services. The rationale of the approach is to optimize the Copyright Office's IT resources and investments, which cannot be accomplished unless the Copyright Office is able to analyze all potential solutions, including those outside of the Library. That said, there is and should be appropriate coordination and/or collaboration with the Library on these issues. This includes looking into shared services with the Library and other government agencies, some of which could be free or subsidized. In fact, whether and when the Library plans to charge the Copyright Office for services will be a key consideration vis-à-vis other vendors.

Question: Ms. Pallante, your Plan is ambitious, and conceptually looks like one of a new startup, versus a plan examining where there may be cost efficiencies of shared services. Where is the costing of those options? Page 14 of your plan does not cost out the other options. How do the IT elements of your FY2017 budget request relate to meeting these goals?

Response: The Provisional IT Plan is future-focused and comprehensive and reflects technologies that are widely available to government agencies and responds to several years of formal feedback from the public. The Provisional IT Plan takes a "clean slate" approach because it is most efficient in the long term for the Copyright Office to utilize an enterprise architecture that integrates and supports its many needs in a clear and dedicated manner, including looking for synergies across the planning for copyright registration, copyright records, and statutory licenses. It departs from the original paradigm put in place years ago, in which all IT enterprises and infrastructure are administered and managed centrally by

Library IT staff. It also plans for the future, including, for example, the fact that customers will increasingly expect to transact with the Copyright Office through mobile technologies and devices.

The Provisional IT Plan evaluates all options to determine what would best serve the objectives of the Nation's copyright system, including a variety of businesses, organizations, and the public at large. A major focus of the Provisional IT Plan was to evaluate the option with the best value to achieve a modern copyright system by considering shared services (with the Library and, perhaps, other government entities), more flexible fee allocations, and to rely primarily on flexible, scalable cloud-based services. This work was based on tested strategies, benefited from the assistance of outside consultants, and recommended widely accepted technologies. Throughout the Plan, the Copyright Office carefully balanced potential solutions. On page 14, the Plan describes hosting options viewed as most efficient and suited to the needs of the Copyright Office. The Plan did not cost out hosting options that were eliminated from further consideration because they did not appear to meet the Copyright Office's future requirements, particularly with regard to flexibility and scalability. The Copyright Office did, however, participate in providing basic requirements to the Library regarding data center needs under the current state (when it inquired last fall), and we discussed with the Library that the Copyright Office would not have such future requirements available until the Copyright Office completed our analysis this spring.

The Provisional IT Plan currently is set to a five-year timetable beginning in Fiscal Year 2018. This timeframe was selected because the Fiscal Year 2017 budget cycle was already in process when Congress directed the Copyright Office to analyze what was needed for a modern copyright system, including engaging its customers on both the timeline and funding strategies. Should Congress desire a more expedited schedule, the Copyright Office could advance its planning schedule and begin some activities prior to Fiscal Year 2018, after considering various priorities and budgetary realignments. For example, the Copyright Office may be able to accomplish some of the Plan's Phase 0 and Phase 1 elements prior to Fiscal Year 2018.

Question: Ms. Pallante, the $165 million appears low considering the requirement on page 12 for "full budget control" and "contracting authority," which would require additional staff. Did you consider these extra costs in your estimate?

Response: The Copyright Office has considered the costs necessary for full budget control and contracting authority, both of which are essential if Copyright Office appropriations, including customer fees, are to be utilized nimbly and to the maximum potential for the Nation's copyright system. The costs for these considerations are anticipated to be modest, and likely could be absorbed from the Copyright Office base budget. This, however, assumes that the Copyright Office would share certain services with the Library, including financial management programs.

Question: Ms. Pallante, the low end estimates typically don't pan out. Therefore, your higher estimate of $190 million is more realistic. That is hard to swallow in today's budget environment. Are copyright owners prepared to fund all of those costs? What would be the fee increases necessary to fund these? Are any changes to copyright laws, Title 17, needed in order to implement this plan?

Response: The Copyright Office cannot administer the Nation's copyright laws effectively if it does not have the resources to do so. However, it should be understood that the Provisional IT Plan presents a cohesive framework that would ensure ongoing evolution and likely increase participation, including from paying customers. The Provisional IT Plan speaks to a nimble government platform for all kinds of transactions and data exchanges that are in the Nation's interest.

At the request of the Congress, the Copyright Office has issued a set of public inquiries soliciting comments on future funding strategies, including for capital costs, and looks forward to sharing the

results of this as well as its recommendations next month. The Office agrees that copyright owners have a role to play in funding the services they receive. It would, however, be a departure from practice as well as the language of the Copyright Act to require copyright owners to fund the entirety of the Office's costs in administering the varied provisions of the Copyright Act, many of which benefit customers on the back end, i.e., those that utilize the granular data in copyright records to build businesses or otherwise contribute to the commercial economy or cultural heritage of the United States. Moreover, copyright registration is voluntary; while there are incentives built into the law, a key goal is to find the balance between attracting maximum participation in, and contributions to, the public record and providing a sustainable funding model.

The Copyright Office looks forward to working with Congress to potentially update its fee authority, create a revolving fund, ensure multi-year spending, build a robust reserve account, build in further safeguards for small authors, and find other strategies that will help us to continuously innovate and evolve, as good government should. Some of these would require revising the Copyright Office's statutory fee authority; it also is possible that certain modernization activities, including automating recordation functions, would eventually require technical adjustments to the law.

Question: Mr. Mao, please describe your role in the development and review of the Copyright Office's Provisional Information Technology Modernization Plan.

Response: The Register of Copyrights shared with me the Copyright Office's plan for public release of the Provisional Information Technology Modernization Plan and Cost Analysis. During our conversation she assured me that the provisional plan was consistent with the Library of Congress Strategic Plan.

Questions for the Record
Representative Sam Farr

MASS DEACIDIFICATION PROGRAM

Question: I'm happy to see the deacidification program get a 2% increase. Can you tell me how many books will go through the deacidification process with this budget?

Response: The Library's new contract with Preservation Resources calls for the treatment of approximately 170,000 books. Price increases and the inclusion of inventory services will result in fewer items treated with the requested funding. The current severe collection storage situation combined with fewer new books received on acidic paper precludes a more aggressive treatment approach at this time. We believe the level of requested funding is more than adequate.

SUPPORTING CONGRESS WITH FOREIGN AFFAIRS

Question: How well is the Library positioned to meet the increasing demand from Congress for advice and analysis of legal, social, economic, and cultural issues in foreign countries and regions of the world? What is the range of foreign language expertise in CRS and the Library?

Response: The library is very well positioned to assist Congress with information and analysis on the legal, social, economic, and cultural issues in foreign countries and regions of the world. That expertise is spread across several Library service units, including the Congressional Research Service (CRS), the Law Library, and Library Services.

CRS has an entire division dedicated to foreign affairs, defense and trade issues, with more than 70 staff members who provide information and analysis to Congress on the full range of foreign policy questions, with a specific focus on how those issues impact Congressional decision making. CRS Foreign Affairs, Defense and Trade (FDT) staff routinely produce sophisticated reviews of individual countries and entire regions, with in-depth nuanced knowledge of the area's political, economic, security, and social issues. The Division also produces the information and analysis Members and congressional staff need on international affairs, trade and economics, security, foreign policy and transnational issues. CRS experts in other areas of specialization, such as the legislative attorneys in the American Law Division, provide additional insight for Members and staff into issues such as international treaties, immigration, and healthcare that include an international focus.

CRS foreign affairs specialists are often recognized as world-class experts in their field, a result of extensive careers and experience focused on their areas of international expertise. Most have considerable international experience, having lived or served abroad, and have built networks of foreign government officials, academicians, business representatives, scientists, and others at the highest possible level as sources of information and insight that informs their work for Congress.

Like the rest of CRS, CRS/FDT provides its support to Congress through a variety of means, including, written assessments in a variety of formats, confidential memoranda (including hearing support materials, as well as country background or other tailored assessments for Congressional delegations traveling abroad), personal briefings for Members and staff, seminars and other presentations for congressional audiences; and telephone and email responses to often urgent questions. In 2015, CRS foreign affairs staff alone responded to more than 11,000 congressional requests. They provided more than 1,300 in-person briefings for Members and congressional staff. And they produced more than 280 new or updated reports and nearly 1500 confidential memos to help inform congressional debate and congressional

travel.

While not required for international expertise, CRS has a number of multilingual analysts on staff. They are skilled in a wide range of foreign languages, including Arabic, Bengali, Chamorro, French, German, Hebrew, Italian, Japanese, Krio, Mandarin Chinese, Portuguese, Russian, Serbo-Croatian, Spanish, Swahili, and Turkish.

The primary mission of the Law Library of Congress is to provide Congress with comprehensive research on foreign, comparative, international and multinational laws. To accomplish this mission, the Law Library has assembled a staff of experienced foreign and American trained lawyers, law librarians, information specialists, linguists and editors, and amassed the world's largest collection of law books and other legal resources from over 200 non-American jurisdictions, historical and contemporary, now comprising more than 2.9 million items.

Currently the Law Library has 85 permanent staff members onboard. Of that number, 39 have lived, studied and/or worked in foreign countries. Many Law Library staff were born and raised in other lands, including China and Vietnam, coming to the United States for advanced academic work and then remaining in America to make their lives and raise their families. They can draw upon their experiences "in country" to appreciate and apply the context within which laws are enacted and enforced. Backgrounds and unique knowledge of Law Library staff allow them to use resources in the various languages with which they are fully proficient and they do not rely upon translations into English or secondary sources to provide research to Congress. As a result, work performed for Congress has authority and authenticity that would not otherwise be possible, and in the aggregate is even close to being replicated at any other institution in the world.

The Law Library provides reference services to Congress on U.S. legal and legislative developments, and in-depth analysis of foreign and comparative law. Staff is versed in over 25 languages with rich dialectical knowledge and the ability to do research in several related language groups. Librarians and collection specialists are experts in researching the law from all countries of the world. The Law Library employs analysts, foreign law specialists, and other experts whose primary areas of coverage are: Argentina, Australia, Brazil, Canada, Chile, China, Egypt, European Union, France, Germany, Greece, India, Iran, Israel, Italy, Japan, Lebanon, Mexico, Nicaragua, Pakistan, Russia, Sweden, and the United Kingdom. They come from a wide range of cultural and professional backgrounds, having worked in their countries of origin as practicing attorneys, legal scholars and government officials prior to their employment at the Library. This experience allows staff to provide legal research services for particular regions or related countries in social, political, and economic contexts based on their first-hand knowledge of foreign legal systems within those jurisdictions.

The Law Library undertakes ongoing efforts to maintain foreign language skills and cultural knowledge of staff members. Examples include arranging training programs for our staff members at foreign parliaments, hosting senior Fulbright fellows from foreign countries, and participating in the U.S. Department of State managed Professional Fellows Program under which several staff members have traveled to foreign countries for professional meetings in universities and parliaments. Throughout the year, the Law Library hosts legal academics, law students, and jurists from other countries for long term residencies. In addition, the Law Library maintains close ties with graduate programs in law for foreign students studying at U.S. law schools. On a weekly basis, the Law Library hosts special briefings for visiting jurists from around the world. These contacts are used constantly to get difficult to acquire materials and to learn about legal developments first hand from leading legal thinkers and emerging leaders worldwide.

Members of the staff have been Fulbright scholars in the Philippines, Portugal and Israel, and Peace

Corps volunteers in Central and South America. A staff member lived in India while conducting research for her doctoral dissertation. Staff have also participated in government funded democracy support programs in Tunisia and island states of Oceania. Staff members have worked directly with colleagues at the World Bank, the International Court of Justice, and numerous other international entities and professional organizations.

Law Library specialists produce Congressional Reports in response to requests from Members, staff, and committees on issues concerning foreign, multinational, and comparative law. In fiscal 2015, the Law Library provided 627 legal research reports, special studies, memoranda, reference responses, and in-person consultations in response to inquiries from Congress. Additionally, the Law Library Reading Room was open 1,092 hours for congressional staff, and the Law Library answered 4,590 questions from congressional offices.

To meet the mission of supporting Congress, the Library's Library Service division has a goal to acquire, preserve and provide access to a universal collection of knowledge in various formats from throughout the world. As Thomas Jefferson wrote, in 1814, "...there is, in fact, no subject to which a member of Congress may not have occasion to refer." Two centuries later, in a world that is much more intertwined and interdependent, the Library aggressively collects materials, in tangible and digital formats, from foreign nations. Materials are collected selectively, including official government content, newspapers, periodicals, materials from ethnic groups and political movements, and general publishing output.
A set of over seventy Collections Policy Statements and Supplementary Guidelines documents (see http://www.loc.gov/acq/devpol/cpsstate.html) guide the institution's collecting program, which encompasses all information formats and over 480 languages. These policies were developed over decades and continue to be updated on a continuing basis. Library Services' specialists and collections recommending officers assigned to various divisions of the service unit provide a wealth of knowledge to support Congress. Each has specific expertise in categories, such as cultures, regions or particular nations. Many also have advanced language skills they use when obtaining information in response to requests from Congress and the Congressional Research Service.
Library Services' staff members with foreign language skills and/or subject matter expertise that pertains to the histories and cultures of other nations and regions of world include: curators in Library Services' four area-studies divisions (African and Middle Eastern, Asian, European, Hispanic), catalogers in the Acquisitions and Bibliographic Directorate that are responsible for describing incoming foreign-language publications and other collections, and cultural specialists in the American Folklife Center who are knowledgeable about various ethnic communities throughout the United States that maintain ties with their countries of origin.
As well, a number of subject matter experts throughout the service unit have connections with cultural attachés in Washington-based embassies. Library Services' staff members' official communication with embassies is typically carried out in connection with such things as joint programs held at the Library (e.g., lectures, concerts, exhibitions, and symposia); visits to the Library by heads of state, ambassadors, other and dignitaries; and responses to queries concerning the Library's collections that relate to embassies' home countries.
In addition to the broad subject and language skills of staff located in Washington, the staff of the Library's six overseas field offices has broad and deep knowledge of those regions' culture, including languages. Located in offices in Brazil, Egypt, India, Indonesia, Kenya, and Pakistan, the Library's combined field-office staff of 212 have facility in over 115 different languages, which is categorized as follows:

- Cairo, Egypt – 4 major languages: Arabic, Armenian, Turkish, Kurdish;

- Islamabad, Pakistan – 15 major languages: Urdu, Farsi (Persian), Pushto, Dari (Other languages of Afghanistan, Iran, and Pakistan including: Punjabi, Sindhi, Balochi, Seraiki, Brahui, Kashmiri, Hindko, Khowar, Gujuri, Burushaski, and Kalami);
- Jakarta, Indonesia – 12 major languages and many minority languages: Burmese, Cambodian, Cebuano, Chinese (as printed in Southeast Asia), English, Indonesian, Javanese, Lao, Malay, Tagalog, Thai, Vietnamese, and minority languages of Southeast Asia;
- Nairobi, Kenya – more than 43 languages: Swahili, Amharic/Tigrinya, Gez (More than 40 other languages);
- New Delhi, India – 39 languages: Awadhi, Assamese, Bengali, Bhojpuri, Braj, Dingal, Diwehi, Dogri, Dzongkha, English, Garhwali, Gujarati, Himachali, Hindi, Kannada, Kodagu, Konkani, Kumauni, Magahi, Maithili, Malayalam, Malvi, Marathi, Nepali, Newari, Nimadi, Oriya, Pali, Panjabi, Prakrit, Rajasthani, Sanskrit, Sinhalese, Siraiki, Tamil, Telugu, Tibetan, Tulu, and Urdu (All languages of India, Bhutan, the Maldives, Bangladesh, Nepal, and Sri Lanka);
- Rio de Janeiro, Brazil – 3 major languages and many tribal languages: Brazilian Portuguese, Guyane French, Spanish, (South American native languages of Brazil, Uruguay, Suriname, Guyana, and the French Overseas Department of Guiana).

DAVITA VANCE-COOKS
Director
U. S. Government Publishing Office

Prepared Statement before the Subcommittee on Legislative Branch Appropriations Committee on Appropriations U.S. House of Representatives

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On GPO's Appropriations Request for FY 2017

HT-2, The Capitol
March 2016

GPO

U.S. GOVERNMENT PUBLISHING OFFICE
732 North Capitol Street, NW
Washington, DC 20401-0001

Keeping America Informed | OFFICIAL | DIGITAL | SECURE
www.gpo.gov | facebook.com/USGPO | twitter.com/usgpo

Mr. Chairman and Members of the Subcommittee on Legislative Branch Appropriations, I have the honor to transmit herewith the appropriations request of the U.S. Government Publishing Office (GPO) for FY 2017.

The U.S. Government Publishing Office As an agency of the Legislative Branch, the U.S. Government Publishing Office (GPO) is the OFFICIAL, DIGITAL, SECURE resource for producing, procuring, cataloging, indexing, authenticating, disseminating, and preserving the official information products of the Federal Government.

Under Title 44 of the U.S. Code, GPO is responsible for publishing the information products of all three branches of the Federal Government, including the official publications of Congress and the White House, U.S. passports for the Department of State, and the official publications of other Federal agencies and the courts. Once primarily a printing operation, we are now an integrated publishing operation and carry out our mission using an expanding range of digital as well as conventional formats. Congress and the President recognized this change in our operations in the Consolidated and Continuing Appropriations Act for FY 2015 (P.L. 113-235), which contains a provision re-designating GPO's official name as the Government Publishing Office. GPO currently employs about 1,700 staff.

Along with sales of publications in digital and tangible formats to the public, GPO supports openness and transparency in Government by providing permanent public access to Federal Government information at no charge through our Federal Digital System (FDsys, at www.fdsys.gov), which today makes more than 1 million Federal titles available online from both GPO and links to servers in other agencies. In 2015 FDsys averaged 47 million retrievals per month, with a spike up to 52.9 million retrievals in August 2015. We also provide public access to Government information through partnerships with 1,159 Federal, academic, public, law, and other libraries nationwide participating in the Federal Depository Library Program.

In addition to GPO's Web site, **gpo.gov**, we communicate with the public routinely via Facebook **facebook.com/USGPO**, Twitter **twitter.com/USGPO**, YouTube **youtube.com/user/gpoprinter**, Instagram **instagram.com/usgpo**, LinkedIn **linkedin.com/company/u.s.-government-printing-office**, and Pinterest **pinterest.com/usgpo/**.

History From the Mayflower Compact to the Declaration of Independence and the papers leading to the creation and ratification of the Constitution, America has always been a nation based on documents, and our governmental tradition reflects that fact. Article I, section 5 of the Constitution requires that "each House shall keep a journal of its proceedings and from time to time publish the same." After years of struggling with the problems associated with various systems of contracting for its printed documents, in 1860 Congress created the Government Printing Office as its official printer. GPO first opened its doors for business on March 4, 1861, the same day Abraham Lincoln was inaugurated as the 16th President of the United States.

Since that time, GPO has produced and distributed the official version of every great American state paper and an uncounted number of other Government publications, documents, and forms. These documents include the Emancipation Proclamation, the legislative publications and acts of Congress, Social Security cards, Medicare and Medicaid information, census forms, tax forms, citizenship forms, passports, military histories ranging from the *Official Records of the War of the Rebellion* to the latest accounts of our forces in Afghanistan, the *9/11 Commission Report*, Presidential inaugural addresses, and Supreme Court opinions. GPO's work to keep America informed goes on today, in both digital as well as print forms.

Strategic Vision GPO has transformed from a print-centric to a content-centric publishing operation. This digital transformation is consistent with the goals outlined in President Obama's roadmap for a digital Government (*Digital Government: Building a 21st Century Platform to Better Serve the American People*, May 2012). It is also consistent with the recommendations submitted to Congress by the National Academy of Public Administration (*Rebooting the Government Printing Office: Keeping America Informed in the Digital Age*, January 2013).

In FY 2017 and the years ahead, GPO will continue to develop an integrated, diversified product and services portfolio that focuses primarily on digital. Tangible print will continue to be required because of official use, archival purposes, authenticity, specific industry requirements, and segments of the population that either have limited or no access to digital formats, though we anticipated that its use will continue to decline.

Strategic Plan GPO's strategic plan, which is available for public review at gpo.gov/about, is built around four goals: satisfying our stakeholders, offering products and services, strengthening our organizational foundation, and engaging our workforce. The plan provides the blueprint for how GPO will continue to achieve its mission of Keeping America Informed with an emphasis on being OFFICIAL, DIGITAL, SECURE. GPO's senior managers convene at the beginning of each fiscal year to review the plan and approve it before it is issued.

GPO's customers are involved in the digital world and understand technological change. Accordingly, it is important that GPO fosters an environment that embraces change and innovation, which leads to new ways of thinking, new work processes, and the development of new products and services for GPO's customers. Tangible printing at GPO is declining while there has been an exponential growth in digital requirements by Congress and Federal agencies. Moreover, the public — including the library and Government information user communities — has signaled its strong desire for increased access to Government information digitally.

GPO has changed to anticipate and accommodate those requirements. The content received from Congress and Federal agencies needs to be managed through a life cycle process that supports the primary requirement to make the digital version of publications permanently available online, and to print only when required or otherwise necessary. This policy is consistent with the President's executive order on printing issued in November 2011.

In transforming its business model, GPO is focusing on managing content for customer and public use both today and tomorrow. GPO uses its extensive experience and expertise with digital systems to provide both permanent public access to Government information in a variety of formats and the most efficient and effective means for printing when required, all within a secure setting that is responsive to the customer's needs.

Technology Transformation GPO has continually transformed itself throughout its history by adapting to changing technologies. In the ink-on-paper era, this meant moving from hand-set to machine typesetting, from slower to high-speed presses, and from hand to automated bookbinding. These changes were significant for their time.

Yet those changes pale by comparison with the transformation that accompanied our incorporation of electronic information technologies, which began more than 50 years ago in 1962 when the Joint Committee on Printing directed the agency to implement a new system of computer-based composition. That order led to the development of GPO's first electronic photocomposition system, which by the early 1980's had completely supplanted machine-based hot metal typesetting. Following the enactment of the GPO Electronic Information Access Enhancement Act in 1993, the databases generated by our composition system were uploaded to the Internet via GPO's first Web site, *GPO Access*, vastly expanding the agency's information dissemination capabilities. Those functions continue today with FDsys and our newly introduced site **govinfo** on a more robust and comprehensive scale.

While transforming to an increasingly digital footing, GPO continues to provide an array of printing services to support the needs of Congress, Federal agencies, and the public. GPO is retooling its print operations to utilize a smaller, more flexible, more digitally-based equipment profile than previously. In FY 2015 we put into operation our new zero make-ready (ZMR) press to support congressional and Federal agency publishing requirements. As previously reported, this new press will allow us to eventually phase out three outdated presses installed in 1979. We are continually reviewing product and equipment options to ensure that our publishing activities are conducted with the most efficient, effective technologies available.

As a result of these sweeping technology changes — digital products, equipment, and processes—GPO is now fundamentally different from what it was as recently as a generation ago. It is smaller, leaner, and equipped with digital production capabilities that are the foundation of the information systems relied upon daily by Congress, Federal agencies, and the public to ensure open and transparent Government in the digital era. As we prepare GPO for the Government information environment and technology challenges of the future, our transformation is continuing with the development of new ways of delivering Government information, including apps and bulk data download files.

Appropriations Request We are requesting funding for our three appropriated accounts: the Congressional Publishing Appropriation, the appropriation for the Public Information Programs of the Superintendent of Documents, and the appropriation to our Business Operations Revolving Fund, which serves as an addition to working capital in the Fund for

specified projects. The Congressional Publishing and Public Information Programs accounts fund GPO's provision of congressional information products and services as authorized by law and our provision of public access to congressional and other Government information products through statutorily-authorized information dissemination programs.

All other GPO programs and activities—including the production of U.S. passports for the Department of State as well as secure credentials as requisitioned by Federal agencies, the production and procurement of other information products and services for Federal agencies, the sales of Government information products and services to the public, and related operations—are financed on a reimbursable basis through GPO's Business Operations Revolving Fund, which is authorized through the annual Legislative Branch Appropriations bill.

We are requesting a total of $117,068,000 for FY 2017. This is the same as the level of funding approved for FY 2016 in P.L. 114-113. Total GPO appropriations have declined by nearly 21% since FY 2010 and are currently at their lowest level since then. Our continued transition to digital technologies and products has increased our productivity and reduced costs. Additionally, maintaining financial controls on our overhead costs, coupled with a buyout in FY 2015 that reduced GPO's workforce by 103 positions, has helped make this funding request possible. Finally, the utilization of the unexpended balances of prior year appropriations, which we are able to transfer to GPO's Business Operations Revolving fund with the approval of the Appropriations Committees, has made it possible in recent years to hold the line on the level of new funding we request.

Total Appropriations to GPO
FY 2010-2016

Fiscal Year	Appropriation
2010	$147,461,000
2011	$135,067,324
2012	$126,200,000
2013	$117,533,423
2014	$119,300,000
2015	$119,993,000
2016	$117,068,000

Our FY 2017 request will enable us to:

- meet projected requirements for congressional publishing;
- fund the operation of the public information programs of the Superintendent of Documents; and
- develop information technology including IT security and perform facilities maintenance and repairs that support our congressional publishing and public information programs operations.

Congressional Publishing Appropriation We are requesting $79,736,000 for this account, the same level approved for FY 2016 in P.L. 114-113 and every year since FY 2014. This appropriation—which is for the production of congressional documents and information products that are essential to the legislative process in Congress, such as the *Congressional Record*, bills, reports, hearings, and other documents—has declined by nearly 15% since FY 2010, as the result of our continuing transition to digital technology and products as well as actions taken in cooperation with the House of Representatives and the Senate to control congressional publishing costs. Unspent prior year balances from this account that have been transferred to GPO's Business Operations Revolving Fund are available for the purposes of this account.

Congressional Publishing Appropriation
FY 2010-2016

Fiscal Year	Appropriation
2010	$93,768,000
2011	$93,580,464
2012	$90,700,000
2013	$82,129,576
2014	$79,736,000
2015	$79,736,000
2016	$79,736,000

House Report 114-110, accompanying the Legislative Branch Appropriations bill for FY 2016, requires the presentation of budget requirements from a zero base. However, GPO has no control over the workload requirements of the Congressional Publishing Appropriation. These are determined by the legislative activities and requirements of the House of Representatives and the Senate as authorized by the applicable provisions of Title 44, U.S.C. GPO utilizes historical data incorporating other relevant factors to develop estimates of likely congressional publishing requirements. These requirements are used as the basis of the budget presentation for this account.

The estimated requirements for FY 2017 include a projected price level increase of $2,125,000, primarily to cover employee pay increases equivalent with those paid government-wide. Offsetting this will be a $5,403,000 decrease in program requirements attributable to anticipated volume decreases for the *Congressional Record*, miscellaneous publications, miscellaneous publishing and services, business and committee calendars, and hearings.

As shown on page E-3 of our budget justification for FY 2017, the unexpended balances of prior year appropriations that have been transferred to GPO's Business Operations Revolving Fund will be used to offset anticipated requirements for FY 2016 and 2017, so that appropriation requirements for those years can remain stable at $79,736,000 each year. Compared to FY 2016, we project there will be a decrease of $3,278,000 in the need for this funding. The balance of these funds is earmarked for GPO's critically important Composition System Replacement (CSR) project, involving the development of an XML-based composition system to replace our 30+ year-old Microcomp system used in the preparation of congressional documents for digital and print access.

Public Information Programs of the Superintendent of Documents We are requesting $29,500,000 for this account, representing a decrease of $1,000,000 or 3.3% from the amount approved for FY 2016 in P.L. 114-113. This appropriation, which is primarily for the operation of the Federal Depository Library Program, has declined by more than 27% since FY 2010, as the result of our continuing transition to digital technology and products which has made the increased dissemination of official Government information to the public less costly and more efficient. The requested amount is based on the outcome of using zero-based budgeting to determine the proper levels of funding needed to perform program activities at minimum levels, as directed by House Report 114-110.

Public Information Programs of the Superintendent of Documents Appropriation FY 2010-2016

Fiscal Year	Appropriation
2010	$40,911,000
2011	$39,831,178
2012	$35,000,000
2013	$31,437,000
2014	$31,500,000
2015	$31,500,000
2016	$30,500,000

The funding we are requesting for FY 2017 will cover mandatory pay and related cost increases of $389,000. Merit and other pay increases are included for 94 FTE's, the same as for FY 2016. In addition, the requested funding covers projected price level increases of $28,000, including ongoing systems maintenance and FDsys operating expenses.

As with our Congressional Publishing Appropriation, unspent balances of prior year appropriations that have been transferred to GPO's Business Operations Revolving Fund will be used to offset anticipated requirements for FY 2016 and 2017. These requirements include projects to continue transitioning GPO's Public Information Programs to an increasingly digital basis, including the modernization of legacy IT systems, automation of depository distribution, the replacement of GPO's Integrated Library System, bulk harvesting and content management, enhanced Web-based applications, and the development of metadata and parsers for the digitized *Congressional Record* and *Federal Register*. The use of these funds enables GPO to reduce its appropriations requirements while continuing to perform essential services and carry out digital transformation projects.

Business Operations Revolving Fund Appropriations to this account are for working capital used for information technology projects and facilities repairs. We are requesting $7,832,000 for FY 2017, to remain available until expended. This compares with $6,832,000 that was appropriated for FY 2016. Since FY 2013, the projects funded by appropriations to this account have consistently included improvements to GPO's FDsys, which has expanded public access to congressional and other Government information products in digital formats while decreasing the costs of distributing traditional print formats, as

well as other essential IT projects. Our request this year includes necessary expenses associated with enhancing the cybersecurity of GPO's IT systems in the wake of successful cyberattacks this past year on the Office of Personnel Management and other Government systems. We also fund necessary physical infrastructure projects through appropriations to this account.

Appropriations to the Business Operations Revolving Fund
FY 2010-2016

Fiscal Year	Appropriation
2010	$12,782,000
2011	$ 1,655,682
2012	$ 500,000
2013	$ 3,966,847
2014	$ 8,064,000
2015	$ 8,757,000
2016	$ 6,832,000

Information Technology Projects for FY 2017 - $5,875,000

FDsys Projects - $4,175,000

- **General System and Collection Development ($3,400,000)** – Development of new FDsys features to support identified needs of key stakeholders, including developing new content collections, increasing content in existing collections, enhancing the accessibility of content, and increasing the discoverability of information.
- **NextGen FDsys Public Website ($450,000)** – Completion of development and switchover to FDsys NextGen to support a responsive user interface, search engine replacement, publication linking, user interface improvements, and content curation.
- **FDsys Infrastructure ($325,000)** – Infrastructure for the hardware, storage, and environments to manage system performance as FDsys content and usage continues to grow.

Information Technology Security - $1,700,000

- **Security Enhancements for Advanced Persistent Threat ($1,500,000)** – Required for enhanced technologies and services to combat, detect, and prevent advanced persistent threats (including sophisticated nation-state actors) from compromising GPO IT systems.
- **Wireless Intrusion Prevention ($100,000)** – Required to provide enhance ability to prevent and detect intrusion attempts specifically targeted at wireless systems at GPO.
- **Log Collector (Tech Refresh) ($100,000)** – Required to replace old and near obsolete log collector systems in order to have sufficient audit trail logs for security investigations and detection/prevention of intrusion attempts.

Facilities Infrastructure Projects for FY 2017 - $1,957,000

- **Elevator Repairs ($1,000,000)** – Elevators 39, 40, and 41 comprise the main vertical artery for Plant Operations to move congressional products between press and bindery operations. They also support employee life/safety by providing a means for evacuation of medical emergencies.
- **Emergency Power Generator ($500,000)** – The power blackout by PEPCO in summer 2015 exposed the need for an upgrade to GPO's emergency generators to support expanded lighting and other electrical requirements.
- **Uninterrupted Power Supply for Data Center ($257,000)** – The current UPS design and equipment are both obsolete. To ensure uptime and equipment integrity in GPO's data center, these systems need to be replaced.
- **Upgrade Electrical Panels/Wiring ($200,000)** – This will address the obsolete and often deteriorating condition of the central power distribution feeds that are original to the GPO building complex (the newest building of which dates to 1940). The outdated wiring represents a safety hazard.

Chairman Graves and Members of the Subcommittee, we thank you for your continued support and for the funding for GPO included in P.L. 114-113. We look forward to working with you and your staff in your consideration of our appropriations request for FY 2017.

GAO Highlights

Highlights of GAO-16-553T, a statement for the record to the House Subcommittee on the Legislative Branch, Committee on Appropriations

Why GAO Did This Study

GAO's mission is to support Congress in meeting its constitutional responsibilities and to help improve the performance and ensure the accountability of the federal government for the benefit of the American people. GAO provides nonpartisan, objective, and reliable information to Congress, federal agencies, and to the public. GAO recommends improvements across the full breadth and scope of the federal government's responsibilities.

GAO continues to provide significant levels of service to the Congress. It responded to requests from 97 percent of the standing full committees, and almost 66 percent of the standing subcommittees of the Congress in fiscal year 2015.

GAO issued 688 reports and testified before congressional committees 109 times. Congress used GAO's work in key legislation, including in identifying $30 billion in offsets or revenue enhancements for the fiscal years 2016 and 2017 budget agreement, and in overseeing and reforming government programs in the fiscal year 2016 appropriations bill and numerous authorization bills.

Since fiscal year 2003, GAO's work has resulted in:

- over $600 billion dollars in financial benefits; and
- over 16,000 program and operational benefits that helped to change laws, improve public services, and promote sound management throughout government.

GAO is requesting a fiscal year 2017 appropriation of $567.8 million to support a staffing level of 3,100 full-time equivalents to rebuild staff capacity, address succession planning, and meet workload needs.

For more information, contact Gene L. Dodaro at (202) 512-5500 or dodarog@gao.gov.

March 2016

FISCAL YEAR 2017 BUDGET REQUEST

U.S. GOVERNMENT ACCOUNTABILITY OFFICE

What GAO Recommends

In fiscal year 2015, GAO's work resulted in an unprecedented return of about $134 for every dollar invested in GAO, generating an estimated $74.7 billion in financial benefits. Implementation of GAO's recommendations also led to 1,286 program and operational improvements across the federal government and many important contributions to budget, appropriations and authorization legislation enacted by the Congress.

To address congressional priorities, and fulfill GAO's mission, a talented, diverse, high-performing, knowledgeable workforce is essential. However, a significant proportion of its employees will be retirement eligible by the end of fiscal year 2016, including 42 percent of GAO executive leadership and 25 percent of supervisory analysts.

GAO's fiscal year 2017 budget request of $567.8 million in appropriated funds provides the resources to enable GAO to continue rebuilding its staff capacity and make critical investments in its information technology (IT) and security program. GAO expects to offset its costs by $32.4 million in receipts and reimbursements, primarily from financial audits and rental income.

This request provides funds to enable GAO to continue rebuilding its staff capacity to achieve a level of 3,100 full-time equivalent (FTE) staff in fiscal year 2017 through a robust, targeted recruitment program. GAO plans to bolster entry-level and intern positions to provide a pipeline to help address succession planning and fill critical skill gaps, which will allow GAO to continue to meet the highest congressional priorities and produce financial benefits. GAO also plans to continue addressing succession planning needs through other human capital activities, such as training and development.

These efforts will help ensure that GAO is able to recruit and retain a talented, diverse workforce and make progress towards an optimal staffing level of 3,250 FTEs.

GAO also plans to make critical investments in its infrastructure operations, by modernizing GAO's aged IT infrastructure in such areas as security, telecommunications, information management systems, and software and hardware, to help improve engagement efficiency, increase staff productivity, enhance access to information, and help reduce operating costs.

GAO has again been recognized as an employer of choice. In December 2015, the Partnership for Public Service ranked GAO as one of the best places to work in the federal government. GAO is also ranked number one for its support of diversity, a position GAO has held since 2011.

Additional information on the results of GAO's operations and the financial and operational benefits resulting from its work are provided in more detail in GAO's Fiscal Year 2015 Performance and Accountability Report.

United States Government Accountability Office

Statement for the Record to the House Subcommittee on the Legislative Branch, Committee on Appropriations

For Release on Delivery
Expected at 3:00 p.m. EST
Monday, March 21, 2016

FISCAL YEAR 2017 BUDGET REQUEST

U.S. Government Accountability Office

Gene L. Dodaro, Comptroller General of the United States

GAO-16-533T

Chairman Graves, Ranking Member Wasserman Schultz, and Members of the Subcommittee:

On behalf of the U.S. Government Accountability Office (GAO), I appreciate the opportunity to provide this statement on our fiscal year (FY) 2017 budget request. I also appreciate the confidence this subcommittee has shown in GAO by supporting our efforts to serve Congress and improve government performance, accountability, and transparency.

GAO provides an exceptional investment, returning about $134 for every dollar invested in us in FY 2015. Last fiscal year our work resulted in $74.7 billion in financial benefits and 1,286 program and operational improvements across the federal government.[1]

Our FY 2017 budget request of $567.8 million in appropriated funds will support 3,100 full-time equivalent (FTE) staff, continuing progress toward achieving an optimal level of 3,250 FTEs. Our costs will be offset with $32.4 million in reimbursements, primarily from financial audits and rental income. We plan to bolster our staff capacity with entry-level and intern positions to provide a pipeline to help address succession planning and fill critical skill gaps, which will allow us to continue to meet the highest congressional priorities and produce financial benefits.

Assisting Congress and the Nation

GAO continues to be recognized for our nonpartisan, firsthand, objective, professional, fact-based, and reliable analyses across the full breadth and scope of the federal government's responsibilities and the extensive interests of Congress. In FY 2015, we responded to requests from 97 percent of the standing full committees of Congress, and almost 66 percent of the subcommittees. Our fact-based analyses and testimony inform congressional debate and decisions. We provide program and technical expertise to support Congress in overseeing the executive

[1]GAO's performance results can be found at: http://www.gao.gov/about/perfaccountreport.html. Our website includes a summary of our FY 2015 Performance and Accountability Report as well as the complete report. The annual report informs Congress and the American people about what we have achieved on their behalf with the funds entrusted to us. The report also includes additional information on selected testimonies.

branch, evaluating spending priorities, and assessing information from outside parties.

We remain steadfast in our financial stewardship responsibilities by providing high-quality work and identifying cost savings and revenue enhancements as Congress and the administration deliberate on both the federal government's immediate priorities and the nation's long-term fiscal path. Through sound analysis and advice, we recommend solutions across a vast array of areas to foster government efficiency, effectiveness, and responsiveness on high-priority challenges facing Congress and the nation. In FY 2015, we issued 688 reports and made 1,680 new recommendations. On average, about 80 percent of GAO's recommendations have been implemented over a 4-year period.

GAO Contributions to 2015 Legislation

Congress uses GAO's work extensively to inform its decisions on important legislation, which in FYs 2015 and 2016 resulted in financial and other benefits for the government.

Congress achieved billions in savings and revenue enhancements as a result of the Bipartisan Budget Act of 2015, $30 billion of which was a result of our work. These estimated savings and enhancements calculated by the Congressional Budget Office and the Joint Committee on Taxation include:

- authorizing a 58 million barrel sale from the strategic petroleum reserve to reduce the deficit, saving over $5 billion;
- rescinding and permanently canceling $1.5 billion from the Crime Victims Fund, which we reported had grown very high and from which the Department of Justice has limited ability to obligate funds;
- making provider-based off-campus hospital outpatient departments ineligible for inpatient payment reimbursements, saving $9.3 billion;
- requiring agencies to increase civil monetary penalties and tie those penalties annually to the consumer price index, generating $1.3 billion;
- streamlining and simplifying audit procedures for certain partnerships, resulting in increased tax revenue estimated at $9.3 billion;

- requiring the Department of Commerce to identify spectrum that can be auctioned, providing resources for this purpose, and requiring the Federal Communications Commission to organize and hold these auctions, which may generate more than $4 billion in revenue; and
- reforming Social Security Disability Insurance to prevent fraud and streamline program administration.

Our other contributions to the 2015 budget compromise bill related to our work on the Pension Benefit Guaranty Corporation's structure.

GAO's work was also reflected in the FY 2016 Consolidated Appropriations Act and report language, both through savings in specific programs and through oversight and reforms. For example, using our work, Congress:

- Took steps to reduce spending for some programs, such as:
  - rescinding $215 million in FY 2015 Air Force funding that would not be needed for KC-46 Tanker Engineering Change Orders; and
  - reducing funding requested for the Air Force, Navy, and Marine Corps for F-35 Joint Strike Fighter Block 4 development efforts by more than $126 million citing program growth.
- Instructed agencies to implement our recommendations, such as:
  - instructing the Department of the Interior to reform its system for administering Bureau of Indian Education schools and to present a reorganization proposal in its next budget request;
  - directing the Substance Abuse and Mental Health Services Administration to provide a timeline and detailed plan within 90 days to coordinate federal programs related to mental illness and to develop improved guidance for awarding grants; and
  - directing the Department of Homeland Security (DHS) to implement our recommendations regarding asylum fraud and brief the Committees every 60 days until they are implemented.
- Improved other efficiencies and consumer protection, such as:
  - lifting the 40-year ban on crude oil exports;

directing the Department of Education to develop a new student loan servicing process focusing on improved service and to conduct outreach to current borrowers who may be eligible for alternate repayment options, including income driven payment plans; and

- directing the Federal Motor Carrier Safety Administration to post disclaimers on its website and smartphone apps warning users that its scores for truck company safety are not necessarily reliable indicators of relative safety performance and highlight our concerns and recommendations in this regard.

Also, the National Defense Authorization Act of 2015 reflected a number of GAO's reports and recommendations, including:

- authorizing funding levels that included more than $1.7 billion in reductions associated with DOD headquarters operations and maintenance spending; the Consolidated Appropriations Act also made reductions in this area;
- saving more than $2.7 billion associated with bulk fuel purchases;
- making several important acquisition reforms, including providing DOD managers with flexibility to focus on program management by streamlining existing required certifications at key acquisition decision points, providing DOD managers greater flexibility in ways programmatic risk can be addressed, requiring in law an acquisition strategy, and requiring changes to the tenure and accountability of program managers; and
- requiring the military services to brief Congress on their efforts to improve reliability of information and address our report findings about non-major defense acquisition programs.

The Cybersecurity Act of 2015 further reflected several of GAO's reports and recommendations. For example the Act:

- allows the sharing of information about cybersecurity threats by the federal government and industry partners; authorizes a variety of new measures for detecting, analyzing, and mitigating cybersecurity threats; and protects parties from liability when threat information is shared. the act also requires DHS to regularly update, maintain, and exercise the Cyber Incident Annex of the National Response Framework and requires a report on cybersecurity for the 10 U.S. ports determined to be at greatest risk

- requires the development of a federal intrusion and prevention system for use by agencies and requires DHS to study the security of mobile devices used by the federal government; and
- authorizes the U.S. to consult with other countries to enhance cooperation for apprehending and prosecuting cyber criminals.

The Fixing America's Surface Transportation Act includes provisions related to several GAO reports and recommendations, such as:

- establishing the National Highway Freight Network, which identifies key urban and rural corridors, and the National Multimodal Freight Network, which will include network components from the National Highway Freight Network, rail systems, airports, shipping ports, and waterways;
- requiring the development of a national freight strategic plan and identification of key bottlenecks;
- requiring the Department of Transportation (DOT) to review its safety review program for new freight trucking operators for its effectiveness in reducing crashes, fatalities, and injuries; and
- increasing transparency of highway spending by requiring DOT to publicize the total estimated cost of all funded projects over $25 million, the amount of federal funds obligated, and other information.

The Every Student Succeeds Act incorporates several recommendations from GAO reports, including:

- eliminating 19 Department of Education-funded programs focused on teacher quality that we identified as possibly redundant; and
- giving school districts the option, rather than requiring them, to provide public school choice to students in low-performing schools.

The Grants Oversight and New Efficiency Act responds to GAO's reports on closing out grants by requiring the Director of the Office of Management and Budget to instruct agencies to report to Congress on grants whose performance period expired more than 2 years ago with undisbursed balances. The report should also describe challenges to closing out grants and explain why the 30 oldest grants have not been closed out.

Financial Benefits to the Federal Government

GAO's findings and recommendations regularly produce measurable financial benefits for the federal government. Examples include financial benefits from changing business operations and activities, restructuring federal programs, or modifying entitlements, taxes, or user fees.

In FY 2015, our work led to about $74.7 billion in financial benefits, including:

- generating net revenues exceeding $32.8 billion through the 2015 Federal Communications Commission spectrum auction we recommended in past reports;
- reducing costs by $4.9 billion annually from FYs 2015-2019, when Congress refrained from reauthorizing direct annual payments to farmers regardless of crop output or income in the Agricultural Act of 2014; and
- saving about $1.3 billion, when Congress reduced DOD's appropriations for FY 2015 after our reviews of its budget requests for the Defense Health Program and foreign currency fluctuations identified potential reductions due to both unobligated Defense Health Program balances and out-of-date foreign-exchange rates DOD used to develop its estimates.

Program and Operational Benefits due to GAO's Work

Many of the benefits resulting from our work cannot be measured in dollars, but led to program and operational improvements across the government. During FY 2015, we recorded 1,286 of these other benefits.

Examples of program and operational benefits reported in FY 2015 include:

- **Ensuring foreclosure protection for servicemembers:** In response to our findings that servicemembers were not receiving the foreclosure protections due to them under the Servicemembers Civil Relief Act, several banking regulators have begun sharing information among each other to improve oversight. This will help ensure that servicemembers receive their mortgage related benefits and help them keep their homes.
- **Improving the Transportation Security Administration's (TSA) rail security incident data:** In 2012, we identified weaknesses that hampered TSA's ability to extract information from its rail security incident data system, causing TSA to miss chances to identify

important trends or patterns. TSA has since established processes and guidance to ensure the completeness of incident data and minimize errors as well as a Surface Compliance Trend Analysis Network that provides analyses of rail security trends and potential threats. These actions will help TSA develop recommended security measures for rail agencies, as appropriate.

Testimonies

Senior GAO officials testified 109 times before 63 separate committees or subcommittees on issues that touched virtually all major federal agencies. Figure 1 shows examples of topics we testified on in FY 2015 organized by strategic goal.

Figure 1: Selected GAO FY 2015 Testimonies

Goal 1: *Address Current and Emerging Challenges to the Well- Being and Financial Security of the American People*	
• Indian Education Management Challenges	• Managing Federal Real Property
• Rural Housing Service: Managing Loan Risks	• Improving Oversight of Motor Carrier Safety
• Railroad Retirement Board: Reducing Fraud and Improper Payments	• Public Safety Communications: Establishing a Nationwide Broadband Network
• VA Health Care: Monitoring of Antidepressant Use and Accuracy of Suicide Data	• Management Challenges Facing the National Nuclear Security Administration
• Extending Federal Funding for Children's Health Insurance	
Goal 2: *Respond to Changing Security Threats and the Challenges of Global Interdependence*	
• DOD Support of Civil Authorities	• Improving Oversight of VA Contracting
• Nuclear Nonproliferation: Minimizing Reporting Delays That May Affect Trade Sanctions	• Observations on the State Department's Bureau of Counterterrorism
• Defense Acquisitions: F-35 Joint Strike Fighter Program Progress	• International Space Station: Utilization and Cost-Effectiveness
• Afghanistan: Embassy Construction Faces Cost Increases and Schedule Delays	• Addressing IT Cyber Threats and Security Breaches at Federal Agencies
• Improving Oversight of IT Acquisitions	• Enhancing National Capacity for Biosurveillance
• Strengthening Oversight for International Cash-Based Food Assistance	• Border Security: Monitoring High-Risk Travelers and Maritime Cargo

Goal 3: *Help Transform the Federal Government to Address National Challenges*	
• DATA Act Implementation Challenges	• Federal Retirement System IT Modernization
• Need to Reduce Government-wide Improper Payments	• Cybersecurity Challenges Facing Federal Systems
• Reducing Fragmentation, Overlap, and Duplication in Federal Programs	• Homeland Security Acquisitions: Gaps in Oversight and Information
• Patient Protection and Affordable Care Act Enrollment Controls	• Using Security Clearances Process to Aid Federal Tax-Debt Collection
• Improving Medicaid's Fraud Controls	• High-Risk Update: Fiscal Year 2015
• Addressing Biosafety Lapses in High Containment Laboratories	• Environmental Satellites: Addressing Potential Gaps

Source: GAO | GAO-16-409T

High-Risk Update

We issued the latest biennial list for Congress of high-risk areas in February 2015. The list focuses on government operations that are at high risk of fraud, waste, abuse, and mismanagement, or need transformation to address economy, efficiency, or effectiveness challenges (Appendix 1).

GAO's High Risk List comprises 32 high-risk areas, including two new areas we identified in 2015: Managing Risks and Improving Veterans Affairs Health Care, and Improving the Management of Information Technology Acquisitions and Operations across the government. Also, we expanded two high-risk areas due to evolving risks: (1) the tax law enforcement area now also focuses on the prevention of identity theft related to tax fraud, and (2) the risk area including the security of federal information systems and cyber critical infrastructure now also includes protecting the privacy of personally identifiable information, in recognition of ongoing personal privacy challenges.

The six broad areas of risk included in our list touch on every aspect of government operations:

- **Strengthening the Foundation for Efficiency and Effectiveness,** including managing federal oil and gas resources and modernizing the U.S. financial regulatory system and the federal role in housing finance;

- **Transforming DOD Program Management,** including financial management and support infrastructure management, along with supply chain management, DOD weapon systems acquisitions, and business modernization and transformation;
- **Ensuring Public Safety and Security**, including mitigating gaps in weather satellite data and protecting public health through enhanced oversight of medical products and food safety;
- **Managing Federal Contracting More Effectively**, including at DOD, the National Aeronautics and Space Administration, and the Department of Energy;
- **Assessing the Efficiency and Effectiveness of Tax Law Administration**, which focuses on tax law enforcement and fraud due to identity theft; and
- **Modernizing and Safeguarding Insurance and Benefit Programs,** which includes Medicare and Medicaid, two of the government's fastest growing programs.

Solving these high-risk problems has the potential to save billions of dollars, improve service to the public, and strengthen the performance and accountability of the U.S. government.

GAO continue to monitor federal operations designated as high risk and conduct outreach with the executive branch agencies to discuss progress in these areas. In FY 2015, our high risk work resulted in 162 reports, 32 testimonies, $17 billion in financial benefits, and 435 program and operational benefits. The high-risk areas specific to DOD weapon systems acquisitions, tax law administration, and Medicaid produced the largest financial benefits.

Details on each high-risk area can be found at http://www.gao.gov/highrisk/overview. We plan to issue the next update in February 2017.

Fragmentation, Overlap, and Duplication

Our fifth report to Congress, issued in April 2015, identified federal programs, agencies, offices, and initiatives that have fragmented, overlapping, or duplicative goals or activities. Our findings, as well as recommendations, must be reported annually in response to a statutory provision. We also identified additional opportunities to achieve greater

efficiency and effectiveness by means of cost savings or enhanced revenue collection.

The 2015 annual duplication report identified 66 new actions that Congress and executive branch agencies could take to improve the efficiency and effectiveness of 24 areas of government. We identified 12 new areas in which there is evidence of fragmentation, overlap, or duplication.

We suggested, for example, that Congress repeal the statutorily required U.S. Family Health Plan, a decades-old component of DOD's Military Health System, because it duplicated the efforts of DOD's managed-care support contractors by providing the same benefit to military beneficiaries.

We also identified 12 areas where opportunities existed either to reduce the cost of government operations or to enhance revenue collections. For example, we suggested that Congress update the way Medicare has paid certain cancer hospitals since 1983. This could save an estimated $500 million a year.

In addition to identifying new areas, we continued to monitor the progress Congress and executive branch agencies have made in addressing issues we previously identified. As we reported in April 2015, 76 percent of approximately 440 areas we identified in our first four reports have been addressed or partially addressed; resulting in over $20 billion in cost savings and an additional $80 billion in cost savings anticipated in future years from these actions. Congress, the press, and the public can track the status of efforts to address the issues identified on our Action Tracker located on our public website under the "Duplication and Cost Savings" collection.

Legal Work Update

In FY 2015, GAO handled more than 2,600 bid protest cases, issued almost 600 decisions on the merits, and published 9 appropriations law products, including 8 appropriations decisions and letters.

The Consolidated Appropriations Act, 2014, directed us to develop an electronic bid protest filing system, collect fees, and use them to offset the costs of that system. We have been working with the Department of Agriculture's Enterprise Application Services to develop a secure an easy-to-use web-based system. We are currently testing it and expect to become operational this year.

We are still evaluating the final fee. We continue outreach with the Congress and user groups, including small business and veterans groups, for their input on the system and the filing fee. We expect to publish a notice of proposed rulemaking in connection with the update of the GAO's bid protest regulations this spring, which will provide an opportunity to the public and the entire bid protest community to express their views and submit comments. We also provide regular updates on our progress to the Congress.

Strategic Plan for Serving Congress

Our latest Strategic Plan: Serving the Congress and the Nation 2014-2019 (GAO-14-1SP), describes our proposed goals and strategies for supporting Congress and the nation. Our strategic plan framework (Appendix II) summarizes the global trends and the strategic goals and objectives that guide our work. The strategic plan identifies the areas of work we plan to undertake, including science and technology, weapons systems, healthcare, national and homeland security, the environment, and energy.

Achieving our strategic goals and objectives requires collaborating with intergovernmental and international organizations with similar missions. Advisory boards consisting of members of federal inspectors general, state and local audit organizations, and international government accountability and professional organizations helped us identify key trends, opportunities and challenges, and lessons learned that are factored into our planning, audit work, and operations.

In this spirit, during FY 2015 we strengthened our collaboration with domestic and international counterparts in the audit and accountability community to develop standards, share knowledge, and build audit capacity.

Managing Workload by Focusing Resources on Congressional Priorities

To manage our congressional workload, we continue to take steps to ensure our work supports the highest congressional legislative and oversight priorities while focusing on areas with the greatest potential for results, such as cost savings and improved government performance.

We actively coordinate with congressional committees in advance of new statutory mandates[2] by identifying mandates in real time as bills are introduced, participating in ongoing discussions with congressional staff, and collaborating to ensure that the work is properly scoped and consistent with the committee's highest priorities.

In FY 2015, we devoted 33 percent of our audit resources to congressional mandates and 62 percent to congressional requests. Our leaders regularly consult with chairs and ranking members of committees and subcommittees to hear firsthand feedback on our performance. Their priorities help ensure we maximize the return on your investment in us.

We continued to collaborate with the Congress to revise or repeal our mandated reporting requirements which have, over time, lost relevance or usefulness. Specifically, we worked with responsible committees to have seven mandates repealed or revised as part of the 2016 National Defense Authorization Act, which was signed by the President in December 2015. GAO has identified 14 additional mandated reporting requirements for revision or repeal and is working with appropriate committees to address them in the second session of the 114th Congress.

GAO's FY 2017 Budget Request

Our FY 2017 budget request seeks an appropriation increase of $36.8 million, or 6.9 percent, to strengthen our staff capacity and to make critical improvements to our IT, building, and security infrastructures. Our costs will be offset with $32.4 million in reimbursements, primarily from financial audits and rental income.

A significant proportion of our employees are currently retirement eligible. By the end of FY 2016, 42 percent of our senior executive staff and 25

[2]Congressional mandates include requirements directed by statutes, congressional resolutions, conference reports, and committee reports.

percent of our supervisory analysts will be eligible. Our FY 2017 budget request therefore seeks funding to achieve an FTE level of 3,100 to help us fill critical vacancies and continue to replenish the much-needed pipeline of entry-level and experienced analysts to meet succession planning and workload challenges, while making progress toward an optimal staffing level of 3,250 FTEs.

The requested resources provide the funds necessary to ensure that we can continue to meet the highest priority needs of Congress and produce results to help the federal government deal effectively with its serious fiscal and other challenges. Table 1 provides a summary of our resources for our FY 2010 baseline and FYs 2015-2017.

Table 1: FY 2010 Baseline and FY 2015 to FY 2017 Summary of Resources (dollars in thousands)

	FY 2010 actual		FY 2015 actual		FY 2016 estimated		FY 2017 request	
Funding Source	**FTE**	**Amount**	**FTE**	**Amount**	**FTE**	**Amount**	**FTE**	**Amount**
Salaries and expenses appropriation		$556,325		$521,517		$531,000		$567,825
Non-legislative-branch appropriation		21,804		—		–		–
Reimbursements		10,214		5,018		10,080		9,000
Offsetting receipts		10,892		23,008		23,645		23,000
Bid protest user fees		–		–		–		350
Total budget authority	**3,347**	**$599,235**	**2,989**	**$549,543**	**3,005**	**$565,075**	**3,100**	**$600,175**

Source: GAO | GAO-16-409T

In hiring and developing our staff we continuously strive to be the employer of choice in the public sector. Our ranking as one of the top places to work in the federal government results from the dedicated efforts of our entire team and leadership for their commitment in continuing to make our agency one of the best places to work. Our management remains committed to work with our union (IFPTE, Local 1921), the Employee Advisory Council, and the Diversity Advisory Council to make GAO a preferred place to work.

We value our talented, diverse, and high-performing workforce. Diversity is essential in fulfilling our mission of supporting Congress and the nation. We continue to effectively address critical human capital management challenges, including preparing for retirements of key subject matter experts, senior executives, and other key leaders; fostering a

performance-based and inclusive culture that motivates and retains a talented and diverse staff; and maintaining workplace and work-life practices that meet the needs of an evolving workforce in an equitable manner.

Priority Areas for Increased Staffing

We have identified areas that merit increased review and attention as additional staffing is made available, including:

Continued identification and reduction in improper payments: In FYs 2014 and 2015, government-wide improper payments were $124.6 billion and $136.9 billion, respectively, up from $105 billion in FY 2013.[3] The Medicare Fee for Service program continued to account for the largest portion of the government-wide total in FY 2015, whereas Earned Income Tax Credit and Medicaid combined, accounted for approximately a third of the government-wide total. Federal spending in Medicare and Medicaid is expected to significantly increase, so it is critical that actions are taken to reduce improper payments in these programs.

Identifying root causes of improper payments can help agencies target corrective actions, and with additional resources GAO could make more recommendations that could help reduce improper payments. Continued executive branch attention, along with congressional and GAO oversight, is needed to identify susceptible programs, develop reliable estimation methodologies, report as required, and implement effective corrective actions based on root cause analysis. Absent such efforts, the federal government cannot be assured that taxpayer funds are adequately safeguarded.

- **The tax gap:** The tax gap (the difference between what is owed and what is collected) has been a persistent problem for decades. The

[3]An improper payment is defined by statute as any payment that should not have been made or that was made in an incorrect amount (including overpayments and underpayments) under statutory, contractual, administrative, or other legally applicable requirements. Among other things, it includes payment to an ineligible recipient, payment for an ineligible good or service, and any duplicate payment. An improper payment also includes any payment for a good or service not received (except for such payments where authorized by law) and any payment that does not account for credit for applicable discounts. In addition, the Office of Management and Budget's guidance instructs agencies to report as improper payments any payments for which insufficient or no documentation was found.

current estimate for the annual net tax gap is $385 billion, which is equivalent to roughly one-third of total federal discretionary spending.[4] We have identified a number of opportunities for the IRS to get better data to do the necessary comparisons and increase collections.

Additional resources would enable us to expand our work in finding ways to further close the tax gap, thus improving the government's financial position.

- **Science and technology:** GAO provides critical oversight for the nation's huge investments in emerging energy programs, weapons systems, space program, satellite infrastructure, and other critical research and development programs across federal agencies. As the federal government invests more in science and technology, we will need to increase oversight to ensure federal spending is optimally targeted and produces desired results.

Operational Efficiencies

GAO's fiscal year 2017 IT budget includes $56.2 million – an increase of 15.3 percent over the fiscal year 2016 level. This level provides funds needed to maintain support of ongoing IT operations and critical initiatives to enhance program efficiency and protect GAO's IT assets. Our fiscal year 2017 costs remain below the fiscal year 2010 level as a result of streamlining, reduced contractor reliance, and cost reduction efforts.

In fiscal year 2017, GAO is seeking funds to continue modernizing outdated legacy tools and systems, including the:

- electronic document management system;
- content development and distribution system, New Blue;
- tools used to provide voice, data communications and collaboration capabilities to GAO staff (unified communications and collaboration); and
- data management and security for the network operations center to ensure a more robust environment to support GAO's current needs.

We believe these efforts have the potential to yield long-term benefits to GAO, the Congress, and the nation. The following are some highlights of these activities.

[4]In January 2012, IRS estimated that the net tax gap was $385 billion in tax year 2006 (the most current estimate available).

Modernize GAO's Electronic Document Management System. GAO operates a critical system that is used daily by all GAO staff and houses all of GAO's documents, information obtained from agencies, and data analyses that form the basis of GAO's products. While this system has been a tremendous asset to the agency, it was initially implemented in the mid-1990s. Since the existing version of GAO's records management repository is at the end-of-life, GAO must embark on an effort to replace it

in order to keep pace with technological changes. This new system would allow GAO to provide common capabilities which are currently associated with such systems, such as workflow and business process management, support modern file formats, including video and files, enhance security, provide enhanced functionality, and improve staff productivity and efficiency. GAO could also integrate the enhanced document repository with GAO's enterprise-wide systems, including the new engagement content management system under development, New Blue.

In fiscal year 2016, GAO will study alternatives and begin a phased implementation in fiscal year 2017. An electronic records management system is vital to GAO's ability to manage information and meet federal records management requirements.

Content Development and Distribution System (New Blue). GAO has begun an initiative called New Blue to improve how it publishes GAO products. New Blue will modernize GAO's content development and distribution processes and its publishing systems to fully support end-to-end processing of GAO products from New Blue through distribution channels, such as GAO's web site. Once implemented, New Blue will enable time savings and improved productivity in the creation of GAO products as well as improve the efficiency of the publishing process. New Blue will provide the capability to deliver products in multiple formats, allowing greater flexibility in supporting client needs. The first phase of the project is completed and resulted in a prototype that demonstrated the system's technical capabilities. GAO is proceeding with full development of capabilities in advance of a planned pilot in fiscal year 2017.

Unified Communications and Collaboration. Enhance GAO's mobile computing by providing resources for Voice Over Internet (VoIP) capability, video conferencing (VTC), and wireless infrastructure. This effort will modernize our suite of telecommunications tools, shifting from a PBX, host-based solution to a cloud solution which will facilitate greater staff mobility and data sharing, reduce redundant implementation and maintenance costs, and standardize the infrastructure which supports

voice and data usage. This effort will also allow GAO to reduce risks for continuity events, and shift communications technologies from onsite to a service model.

Network Operations Center. Since GAO consolidated and centralized its data and computing capacity in a single location, the data center requires increased 24/7 operational availability to adequately support the diverse work schedules of staff located in headquarters and GAO's 11 field locations throughout the United States. The current data center does not adequately support GAO's needs. As such, GAO needs to improve data management operations and security. In fiscal year 2016, we will assess options to upgrade the equipment supporting the center to provide a modern computing environment in fiscal year 2017, which could reduce costs and enhance security, capacity, and availability.

Center for Audit Excellence

We established the Center for Audit Excellence with a mission to promote good governance and build institutional auditing capacity of domestic and international audit organizations by providing high-quality training, technical assistance, and related products and services on a fee basis. Potential recipients eligible for training, technical assistance, products, and services include: federal, state, local, tribal, and national audit offices in other countries.

The Center's capacity-building efforts expand on and complement GAO's long-standing collaboration with the domestic and international accountability community. To preserve the independence of our audit work and minimize the impact on our routine audit and oversight work on behalf of Congress, the center has developed controls and coordination guidance to ensure projects and activities are appropriate for the center.

Since the Center for Audit Excellence's opening in October 2015, domestic and international accountability organizations as well as some development agency donors have made inquiries regarding potential training and technical assistance services related to:

- conducting performance, financial, and other specialized audits;
- strengthening internal controls; and
- enhancing institutional capacity in areas such as strategic planning and quality assurance.

Through initial discussions with interested organizations, the center has gained a good understanding of potential project requirements and associated costs for providing fee-based services. During FY 2016, the center plans to finalize and implement several projects.

For example, in the second and third quarters of FY 2016, the center plans to provide two separate, customized trainings—one on Green Book Internal Control Standards and another on Performance Auditing—expected to reach over 650 participants from across the audit community. The center continues to implement its business plan and seek opportunities to build the capacities of state, local, federal, and international accountability partners.

Concluding Remarks

We have received a positive response from the audit community to the center's opening and are in the process of discussing several potential projects and associated fees with domestic and international audit organizations. Fees collected for projects will be used to support center operations after receiving appropriate congressional approval for their use.

In conclusion, we value the opportunity to provide Congress and the nation with timely, insightful analysis on the challenges facing the country. GAO's FY 2017 budget request is a fiscally sound approach that will better position us to continue to support Congress and foster government accountability, address long-standing challenges, and keep a watchful eye on the nation's future.

Our budget request includes funds to increase our staffing level and provide employees with the appropriate resources and support needed to effectively serve Congress. The requested funding will also allow us to continue efforts to promote operational efficiency, and begin addressing long-deferred investments and maintenance.

This concludes my prepared statement. I appreciate, as always, your continued support and careful consideration of our budget. I look forward to discussing our FY 2017 request with you.

Appendix I: GAO's 2015 High Risk List

GAO's High-Risk List as of September 30, 2015

High-risk area	Year designated
Strengthening the Foundation for Efficiency and Effectiveness	
Improving the Management of IT Acquisitions and Operations (new)	2015
Limiting the Federal Government's Fiscal Exposure by Better Managing Climate Change Risks	2013
Management of Federal Oil and Gas Resources	2011
Modernizing the U.S. Financial Regulatory System and the Federal Role in Housing Finance	2009
Restructuring the U.S. Postal Service to Achieve Sustainable Financial Viability	2009
Funding the Nation's Surface Transportation System	2007
Managing Federal Real Property	2003
Strategic Human Capital Management	2001
Transforming DOD Program Management	
DOD Approach to Business Transformation	2005
DOD Support Infrastructure Management	1997
DOD Business Systems Modernization	1995
DOD Financial Management	1995
DOD Supply Chain Management	1990
DOD Weapon Systems Acquisition	1990
Ensuring Public Safety and Security	
Mitigating Gaps in Weather Satellite Data	2013
Protecting Public Health through Enhanced Oversight of Medical Products	2009
Transforming EPA's Processes for Assessing and Controlling Toxic Chemicals	2009
Ensuring the Effective Protection of Technologies Critical to U.S. National Security Interests	2007
Improving Federal Oversight of Food Safety	2007
Establishing Effective Mechanisms for Sharing and Managing Terrorism-related Information to Protect the Homeland	2005
Strengthening Department of Homeland Security Management Functions	2003
Ensuring the Security of Federal Information Systems and Cyber Critical Infrastructure and Protecting the Privacy of Personally Identifiable Information	1997
Managing Federal Contracting More Effectively	
DOD Contract Management	1992
DOE's Contract Management for the National Nuclear Security Administration and Office of Environmental Management	1990
NASA Acquisition Management	1990
Assessing the Efficiency and Effectiveness of Tax Law Administration	
Enforcement of Tax Laws	1990
Modernizing and Safeguarding Insurance and Benefit Programs	
Managing Risks and Improving VA Health Care (new)	2015
National Flood Insurance Program	2006
Improving and Modernizing Federal Disability Programs	2003
Pension Benefit Guaranty Corporation Insurance Programs	2003
Medicaid Program	2003
Medicare Program	1990

Source: GAO | GAO-16-35SP

Appendix II: GAO's Strategic Plan Framework

Serving the Congress and the Nation
GAO's Strategic Plan Framework

MISSION

GAO exists to support the Congress in meeting its constitutional responsibilities and to help improve the performance and ensure the accountability of the federal government for the benefit of the American people.

Trends Shaping the United States and Its Place in the World

National Security Trends | Fiscal Sustainability and Debt Challenges | Global Interdependence | Science and Technology Trends | Communications Networks and Information Technologies | Shifts in Governance and Government | Demographic and Societal Change

Goals	Objectives	
Provide Timely, Quality Service to the Congress and the Federal Government to… Address Current and Emerging Challenges to the Well-being and Financial Security of the American People related to…	▪ Health care needs ▪ Lifelong learning ▪ Challenges facing an aging population ▪ Effective system of justice ▪ Housing finance and viable communities	▪ Stable financial system and consumer protection ▪ Natural resources and the environment ▪ National infrastructure ▪ Benefits and protections for workers, families, and children
Respond to Changing Security Threats and the Challenges of Global Interdependence involving…	▪ Homeland security ▪ Military capabilities and readiness	▪ Foreign policy and international economic interests
Help Transform the Federal Government to Address National Challenges by assessing…	▪ Government's fiscal position and approaches to address current and projected fiscal gaps ▪ Federal government audit and internal control standards	▪ Major management challenges and program risks ▪ Fraud, waste, and abuse, and improvements in internal controls
Maximize the Value of GAO by Enabling Quality, Timely Service to the Congress and Being a Leading Practices Federal Agency by focusing on…	▪ Efficiency, effectiveness, and quality ▪ Diverse workforce and inclusive work environment	▪ Networks, collaborations and partnerships ▪ Human, information, fiscal, technological, and physical resources

CORE VALUES

Accountability | **Integrity** | **Reliability**

Source: GAO.

GAO Strategic Plan 2014-2019

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Congressional Budget Office

Statement for the Record

CBO's Appropriation Request for Fiscal Year 2017

Keith Hall
Director

Before the
Subcommittee on the Legislative Branch
Committee on Appropriations
U.S. House of Representatives

March 22, 2016

Chairman Graves, Ranking Member Wasserman Schultz, and Members of the Subcommittee, thank you for the opportunity to submit testimony on the Congressional Budget Office's budget request for the official record. CBO is asking for appropriations of $47.6 million for fiscal year 2017. That amount represents an increase of $1.1 million, or 2.4 percent, from the $46.5 million provided to CBO for 2016.

About one-third of the requested increase, $391,000, would fund three new full-time-equivalent positions (FTEs), which would boost the agency's staffing from 235 to 238. The additional FTEs would be devoted to analyzing health care issues and the economic effects of federal tax and spending policies (including the "dynamic analysis" of certain legislation, as required by the budget resolution). Interest in modifying or replacing the Affordable Care Act and considering changes to Medicare or Medicaid remains high, and CBO expects to devote considerable attention to further developing its capacity to conduct dynamic analysis in the coming year. Additional resources to address those needs would be helpful in producing, documenting, and explaining CBO's work in those areas.

The remaining $746,000 (accounting for an increase of 1.6 percent) would fund ongoing operations, covering an increase of $807,000 in pay and benefits partly offset by a decrease of about $61,000 in nonpay expenditures. The proposed increase in pay and benefits reflects small increases in average pay and rising costs of benefits. The decrease in nonpay expenditures derives mostly from holding spending on information technology (IT) to the same amount that has been provided in 2016.

Of the requested funding for 2017, 91 percent would support pay and benefits, 6 percent would be for IT, and 3 percent would go toward purchases of data, training, office supplies, and other items.

CBO's Funding History and Its Effects on Staffing and Output

Because such a large share of CBO's budget represents compensation, the contours of the agency's budget and staffing levels have been and will continue to be closely linked.

Between fiscal years 2003 and 2008, the number of authorized FTEs at CBO held between 233 and 235 (see Figure 1). During that period, CBO's budget generally rose slowly, as federal employees received salary increases and the cost of federal benefits increased. For fiscal years 2009 and 2010, the Congress approved larger increases in CBO's budget to support a step-up in staffing. That step-up was intended primarily to increase the agency's ability to analyze potential changes in federal health care policy while maintaining its capacity to provide cost estimates and reports on other topics. CBO had sufficient funding for 254 FTEs in 2010.

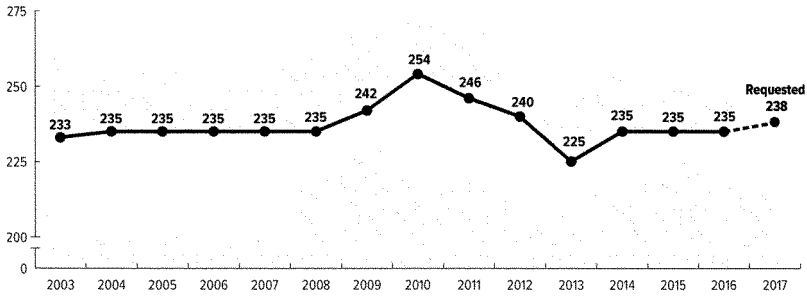
The increase in staffing enabled CBO to conduct analyses of some particularly complex issues and to provide substantially more estimates and other analyses to the Congress. With the larger staff, CBO was able to, among other things, significantly expand health care analysis, substantially enhance financial analysis, considerably improve modeling of the economic effects of federal tax and spending policies, issue several reports with options for changing federal benefit programs, make significant gains in the transparency of the agency's analysis, and continue to produce high-quality cost estimates for legislation and analyses of numerous other topics.

However, constraints on CBO's funding (following from constraints on discretionary appropriations as a whole) caused the agency's staffing to shrink in fiscal years 2011 through 2013. The agency's appropriation for 2013 was well below the amounts provided during the preceding year (see Figure 2). Those cuts, combined with small increases in average pay and rising costs of benefits and other items during those years, required a drop in the number of FTEs to only 225 in 2013, the lowest level in more than a dozen years. In addition, the agency had to defer critical purchases of IT equipment and services and other items.

CBO's appropriation for 2014 was significantly larger than the one for 2013, and the appropriation for 2015 equaled the amount provided in 2014. Accordingly, the agency sharply increased its recruiting in order to return to its traditional level of staffing at 235 FTEs as quickly as possible and to catch up on deferred IT purchases. As a result, staffing stood at about 233 FTEs at the end of fiscal year 2015, and it is expected to be at that number or higher by the end of this year. CBO's funding for fiscal year 2016, which represented a 1.8 percent increase over the 2015 appropriation, will allow the agency to maintain current operations and to end the fiscal year with approximately 235 FTEs.

Figure 1.

FTEs Authorized for Fiscal Years 2003 Through 2017



FTE = full-time-equivalent position.

For fiscal year 2016, no specific number of FTEs was authorized. The number shown is consistent with the funding provided.

CBO's Funding Request and Its Consequences for Staffing and Output

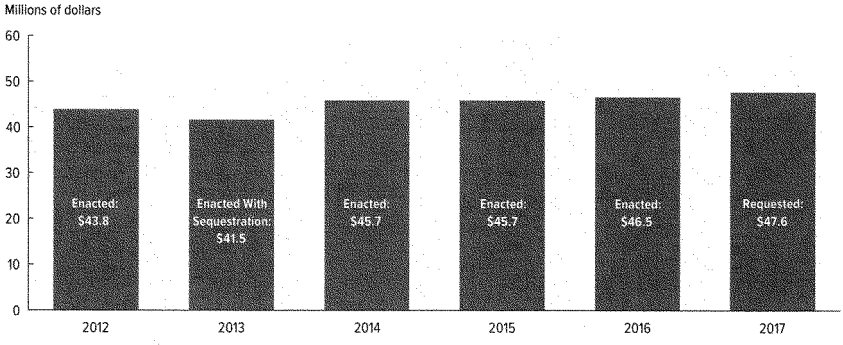
In fiscal year 2017, CBO will continue its mission of providing objective, insightful, timely, and clearly presented budgetary and economic information to the Congress. The requested amount of funding—$47.6 million—would allow CBO to fulfill its mission and provide the following estimates and other analyses to the Congress:

- More than 600 formal cost estimates, most of which will include not only estimates of federal costs but also assessments of the cost of mandates imposed on state, local, and tribal governments or the private sector;
- Thousands of preliminary, informal cost estimates, the demand for which is very high as committees seek to have a clear picture of the budgetary impact of proposals and variants of proposals before they formally consider legislation;
- More than 100 scorekeeping tabulations, including account-level detail for individual appropriation acts at all stages of the legislative process and summary tables showing the status of discretionary appropriations (by appropriations subcommittee) and running totals on a year-to-date basis;
- Three sets of detailed 10-year baseline budget projections and two sets of 10-year economic projections, as well as long-term budget projections (spanning 30 years), documented with numerous files of data posted on CBO's website; and
- More than 90 analytical reports and other publications—generally required by law or prepared in response to requests from the Chairmen and Ranking Members of key committees—about the outlook for the budget and the economy, major issues affecting that outlook under current law, the budgetary effects of policy proposals that could change the outlook, and a broad array of related budget and economic topics, ranging from defense policy to infrastructure to energy policy.

Despite high productivity by a dedicated staff, CBO expects that that anticipated volume of estimates and other analyses will fall considerably short of the number of Congressional requests. The demands on the agency remain intense: The Congress continues to be acutely interested in analyses of the Affordable Care Act and numerous proposals for further changes in federal health care programs; and the now-required dynamic analyses of how certain legislative proposals would affect the economy and how those economic effects would, in turn,

Figure 2.

Funding for Fiscal Years 2012 Through 2017



affect the federal budget require complex modeling. Other issues arise frequently and create a heavy workload —including, for example, ones surrounding the Highway Trust Fund, immigration, defense authorization bills, farm legislation, unemployment benefits, trade agreements, trade adjustment assistance, and reform of the Postal Service. Analyzing the possibilities and proposals has strained the agency's resources in many areas. CBO regularly consults with committees and Congressional leadership to ensure that its resources are focused on the work that is of highest priority to the Congress.

The requested funds would be used as follows:

- $32.2 million for pay of personnel—an increase of $918,000 (3 percent) over the amount that will be spent in fiscal year 2016. The increase would cover $0.3 million in pay for the additional FTEs, as well as performance-based salary increases for current staff and an across-the-board increase of 2.6 percent for employees making less than $100,000 (if such an increase is authorized for executive branch agencies).
- $11.0 million for benefits of personnel—an increase of $280,000 (3 percent) relative to the amount projected to be spent in 2016, to fund an increase in the cost of federal benefits as well as the benefits for the three added staff members.
- $4.3 million for other purposes—a decrease of $61,000 (1 percent) from the amount appropriated in 2016. The funds would go toward purchases of IT, data, training, and other items. The decrease for 2017 is possible mostly because funding in fiscal years 2014 and 2015 allowed CBO to catch up on deferred IT purchases and to make some purchases that reduced future needs.

In closing, I would like to thank the Committee for the support it has provided CBO over many years, enabling the agency to provide timely, carefully thought-out nonpartisan budgetary and economic analysis to the Congress as it addresses the critical issues facing the nation.

This statement summarizes information in CBO's budget request for fiscal year 2017, which was prepared by Mark Smith, with contributions from Joseph E. Evans, Jr., Mark Hadley, Jeffrey Kling, Deborah Kilroe, Cierra Liles, Terry Owens, Caryn Rotheim, Stephanie Ruiz, John Skeen, and Robert Sunshine. The statement is available on CBO's website at www.cbo.gov/publication/51372.

Keith Hall
Director

Statement of

Barbara J. Sapin, Executive Director

Office of Compliance

Before the Subcommittee on the Legislative Branch,

Committee on Appropriations, United States House of Representatives

Fiscal Year 2017 Budget Request

March 22, 2016

Mr. Chairman Graves, Ranking Member Wasserman Schultz, and Members of the Legislative Branch Subcommittee, thank you for allowing me the opportunity to submit for the record, this statement regarding the budget request for Fiscal Year (FY) 2017 for the Congressional Office of Compliance (OOC).

Before I get to the budget request, I want to express our appreciation for your support for the mission and efforts of the OOC. This year marks the twentieth anniversary of the OOC's existence. For two decades, our little known independent agency has advanced workplace rights for employees of the Legislative Branch, and helped make offices on Capitol Hill safer places to work and visit.

Congress created the Office of Compliance to administer the Congressional Accountability Act of 1995 (CAA) and the 13 federal workplace laws incorporated in the law. We ensure the integrity of a dispute resolution system; carry out an education and training program that assists employing offices and covered employees in understanding their rights and responsibilities under the CAA; advise Congress on needed changes and amendments to the CAA; and investigate and enforce the CAA's occupational safety and health protections, public access rights for persons with disabilities, and unfair labor practice provisions.

The Office of Compliance is requesting $4,315,151 for FY 2017 operations, which represents a 9% increase from the FY 2016 enacted level. Of the additional $356,161 that is being requested, 79.89% reflects a projected increase in personnel, benefits and other personnel compensation. The remaining FY 2017 budget request focuses on supporting the most important aspects of the statutory functions of the Office of Compliance and improving the delivery of services to the covered community.

Administrative Dispute Resolution Program

The centerpiece of the CAA is the model confidential administrative dispute resolution (ADR) process— counseling, mediation and adjudicative hearings and appeals. The OOC staff is committed to administering an effective ADR program by providing a neutral, efficient, and confidential process for resolving workplace disputes at the lowest level. We strive to ensure that stakeholders have full access to the ADR procedures.

In FY 2016, we began the process of replacing our outdated case handling system with a new and more comprehensive case management system (CMS) which recently went live. As we continue to finalize the new CMS, we look forward to being able to create more efficient reports that will help the OOC spot trends and develop necessary training. Our budget request contains funds that are necessary to create and maintain an e-filing system that would be integrated with this new case management system. This functionality will not only provide for more streamlined service delivery by our Office to the Congressional community, but will lend itself to timelier dispute resolution as well as allow cost savings in the long run.

Education and Training Programs

In addition to providing an effective ADR program, the OOC administers an education and training program for the covered community. In all areas of discrimination prevention, a comprehensive training program continues to be the most effective investment an organization can make in reducing complaints and creating a more productive workforce. Training programs have been linked to a reduction in discrimination complaints by approximately 25% in the Executive Branch.

The Congressional workforce benefits from continued training provided by the OOC. Further, the OOC can positively impact decisions made by managers and chiefs of staff on employees' rights incorporated in the CAA. Our aim is to provide the information that leads a manager to the right and just solution to workplace issues and eliminates the controversies and complaints. Although our staff is small, we produce written materials on the rights, protections, and responsibilities under the CAA, and we conduct personal briefings to employing offices on our case processing procedures and the substantive federal laws as applied to the Legislative Branch by the CAA.

Our training and outreach efforts are changing from in-person contacts to Internet based communications. As we move further into the digital age, we must make necessary changes. This shift in focus is essential in carrying out our statutory educational mandate.[1] Our budget request reflects our need for improvements to our existing website www.compliance.gov, not only to support our continuing need to bring the site into compliance with existing cybersecurity standards, but also to allow for necessary capacity to host our newly launched on-demand on-line training modules and webinars. We are developing on-line training to reach more employees, especially those working in the districts who are otherwise unable to attend in-person training sessions on the Hill.

Our FY 2017 budget request also includes funds that will be used for technical enhancements to develop new training methods, such as videos and interactive modules that will instruct on important office safety and health matters as well as best practices and insights around paternity/maternity issues, non-discriminatory telework policies, Family and Medical Leave Act compliance, and reasonable accommodations for staffers under the Americans with Disabilities Act.

[1] Public Law 104-1, Section 302(h)(1)

Safety and Health and Public Access

Before the OOC opened its doors in 1996, Capitol Hill buildings had not been subject to even the most basic building codes or regulations. The first inspections led to the discovery of serious fire and other safety hazards in House and Senate buildings and around the Capitol. Each year, since those first inspections, at the urging of the OOC, Congress has abated thousands of serious hazards, reduced numerous barriers to access for individuals with disabilities, and thus dramatically improved the overall safety and accessibility of the Capitol Hill campus. In a post-9/11 world, the OOC's focus has expanded to promoting safe emergency evacuation plans, ensuring adequate alarm and warning systems, and promoting staff training.

Our budget request reflects the immediate need to continue the OOC's significant contributions to the safety and accessibility of Congressional workplaces through its OSH and ADA biennial inspections. Our case work investigating safety issues and finding solutions for barriers to access in Congressional facilities and programs has increased. By working directly with the AOC and other offices on the Hill, the OOC has been instrumental in the development and implementation of cost-effective solutions to safety and access problems. An increase in its appropriation would allow the OOC to expand its inspection programs to include more pre-construction evaluations of projects to minimize or eliminate potential safety and accessibility issues. These pre-construction reviews, which the OOC has been able to do to a limited extent in the past, provide tremendous cost savings by minimizing or eliminating expensive post-construction corrections that have riddled many past construction projects.

The balance of the 9% increase requested covers increases in contract services, including cross servicing providers, such as the Library of Congress and the National Finance Center, and other services, equipment and supplies needed to operate the OOC. The services include training development and video production, as well as technical support for the ever-growing social media environment on the Hill, which presents an opportunity to highlight best practices and provide important information to employees who have little time for training updates.

The OOC staff and I are available to answer any questions or address any concerns the Chair of the Subcommittee or its Members may have.

Barbara J. Sapin
Executive Director

Testimony of Ambassador John M. O'Keefe
Executive Director, Open World Leadership Center
For the Subcommittees on the Legislative Branch
Committees on Appropriations
United States House of Representatives
and the United States Senate

"Since participating in Open World as a journalist several years ago, I have often referred to the lessons learned and best practices that were demonstrated during my program. As Head of the Parliamentary Committee on Preventing and Combatting Corruption, I remember well that most of the Americans I've met believed they can achieve anything they want. Open World's network of alumni in Ukraine consists of a new generation of Ukrainians working to improve their country and fight corruption in these trying times. I hope that Congress continues this program as it is important for Ukraine."

Members of the Subcommittees, thank you for the opportunity to submit testimony for the record on the Open World Leadership Center. Congressional participation in our programs and on our governing board has made Open World a uniquely qualified instrument for Members and their constituents and for communities across America. All of us at Open World are deeply grateful for your support.

Overview

By the close of 2015, the Open World Leadership Center (the Center or Open World) had brought more than 25,000 young and emerging leaders from 19 countries.[1] These talented and engaged political and civic leaders were hosted in all fifty states by nearly 8,000 families in some 2,300 communities across the United States.

As a U.S. Legislative Branch entity, Open World actively supports the foreign relations role and efforts of Congress by linking delegates to Members and their enthusiastic constituents throughout the United States who are engaged in projects and programs in Open World countries. The Open World program routinely involves Members in its hosting activities with more than eighty percent of delegates meeting with Members of Congress or their staff representatives last year.

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[1] Current countries (14) include Armenia, Azerbaijan, Estonia, Georgia, Kazakhstan, Kosovo, Kyrgyzstan, Moldova, Mongolia, Russia, Serbia, Tajikistan, Turkmenistan, and Ukraine; past countries (5) include Belarus, Egypt, Lithuania, Turkey, and Uzbekistan.

The Center also regularly consults with the Commission of Security and Cooperation in Europe, the House Democracy Partnership, the Congressional Ukrainian Caucus, the Senate Ukraine Caucus, the Albania Issues Caucus, Congressional Serbian Caucus, the Caucus on U.S.-Turkey Relations & Turkish Americans, the Friends of Kazakhstan Caucus, the Congressional Caucus on Central Asia, the Congressional Mongolia Caucus, other Congressional entities, and individual Members with specific interests in Open World countries or thematic areas.

Open World Activities in 2015 and Plans for 2016

In 2015, the Open World program included fourteen participating countries and 864 emerging leaders who were able to benefit from direct exposure to the workings of the United States Congress; to understand the impact of legislation on all aspects of society; and to experience the robust and dynamic democracy and free market system that exists in the U.S. and makes up its form of federalism. Also, of significance is that these Open World participants broke bread with their American counterparts, woke up in an American household and saw families/children getting ready for work/school. They witnessed social activism, a free and aggressive media, and the incredible volunteerism that makes up this great country.

Following is a country by country review of the fourteen countries that participated in Open World in 2015 and for which programming is planned for 2016. Open World is also planning programs in 2016 in support of the House Democracy Partnership, and has expanded its potential participating countries by 12 additional countries [2]

Russia – Open World continues to implement one of the last remaining exchange opportunities in Russia. It has been able to operate effectively in Russia because Open World is outside the realm of executive branch politics and widely accepted by the Russian people. While Open World has had to limit its capacity in Russia due to budget constraints and limitations on the kind of delegates we can bring due to a Russian law and U.S. policy that regulates the travel of Russian government officials/civil servants, the demand for the Open World program in Russia could easily accommodate another one hundred travelers or more. At this critical time in U.S.-Russia relations, with a virtual shutdown of technical assistance programs, western donor operations, and many bi- and multi-lateral opportunities for the Russian people to interact with their colleagues in open and free forums, Open World has proven to provide critical access to reform minded citizens. Even those that are somewhat hardened are still willing to listen and see for themselves what is available and attainable in an open, transparent and democratic society with free markets, a fiercely independent media, and a legal system that provides a level playing field to its citizens and to foreigners.

> *Dan Nolan, Petrozavodsk Committee Chair in Duluth, MN, noted the importance of continuing a close relationship with our friends and colleagues in Petrozavodsk at a time when they feel very isolated due to foreign sanctions. "The work we have accomplished together in the past few years in the areas of reducing child abuse and*

[2] Afghanistan, Colombia, Haiti, Indonesia, Iraq, Kenya, Lebanon, Liberia, Macedonia, Pakistan, Peru, Timor-Leste

domestic violence is too important to be sidelined by political differences," he stated. "Now, more than ever, we must work to stay connected."

In 2015, Open World fielded 264 Russian participants from a majority of its 83 regions. The 2016 Russian cohort is expected to be some 240 travelers. The delegates represent all of Russia from the European land mass, to the rough and beautiful North Caucasus, to the Eurasian Steppe, and the enormous open spaces of Siberia and the Russian Far East and North. Much of our Russian programming is aimed at fostering existing partnerships, such as sister city relationships or partner Rotary clubs, and each year's program includes two large delegations from the Moscow School of Civic Education which is hosted by their American partner, Supporters of Civil Society in Russia. Open World's Russia programming is aimed at "non-controversial" themes and seeks to foster and strengthen partnerships and encourages self-sustaining professional ties and connections. These themes include women entrepreneurs, ethnic minorities, environment, energy (and energy efficiency/alternate energy), agriculture, social issues, and some governance, media, and think tank programming.

To illustrate the impact of Open World programming in Russia, it might be best for a delegate to speak about his impressions:

As for the lessons of civil wisdom that I learned . . . they certainly inspired and encouraged me! I always believed that there must be a society that does not tolerate lies, does not subdue memory, but fights for the facts and the right to one's own opinion. . . Yes, it is a battle...yes, there are kinks to work out. But this society is alive, real, strong!

In addition, Open World Russia alumni are well-integrated into U.S. Embassy follow-on programming such as the Peer-to-Peer program, and Open World alumni and their American partners have been successful recipients of funding for their joint projects, such as the one between Syktyvkar State University[3] and the Montana School for Deaf and Blind on a project called the "The Socialization of Children with Visual Impairments in Special Education." The project includes site visits for Russian and American teachers and students, regular on-line video conferences, live streaming events, the development of manuals on the education of blind children, and competitions in both schools called "Hello America" and "Hello Russia."

In summary, the words of an alumna who is a well-regarded journalist in the Northern Karelian republic say it best:

My main impression from the trip is that we do have much in common: similar emotions and problems, our aspiration to lead a better life, our ethical values, and our desire to get to know one another better. Every nation has something it can be proud of, and this is what can and should be borrowed for the benefit of your own country.

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[3] Syktyvkar is a city of nearly 1 million people that is the capital of the Komi republic in North-East European Plain.

This came from an article the alumna wrote following her program in Hendersonville, NC titled "My Discovery of America."

Ukraine – In response to events in recent years in Ukraine, Open World has more than doubled its Ukraine program. The Center regularly works with U.S. Ambassador Pyatt and his team, and consults with the Congressional Ukrainian Caucus, the Senate Ukrainian Caucus, and other key stakeholders to design programming that is responsive to the needs of the Ukrainian people. Recent alumni are among a new generation of leadership that is working passionately to make Ukraine a country that is economically sound and that can readily integrate into the European Union and the Western community of free nations. Program themes over the past two years have included legislator to legislator programming, accountable governance, decentralization, anti-corruption, energy efficiency and alternate energy development, independent media, social issues (with concentration on Post Traumatic Stress Disorder and serving Internally Displaced Persons), agriculture, and education and innovation.

In addition to having Open World alumni rising in the ranks, including those in the top leadership, Ukraine's leading reform bodies like the Committee on Preventing and Combating Corruption of the Parliament, the Ministry of Education, the Ministry of Youth and Sports, and many leading civil activists groups, Open World alumni are frequent recipients of competitive grants from the U.S. Mission in Ukraine so that they can build on the experiences they had while in the United States. Such projects have been focused on e-governance, promoting a positive image for Ukraine, and providing support for those disabled, those suffering PTSD, and internally displaced persons resulting from the aggression in the East and in Crimea. In the last two years, Open World alumni have been awarded seventeen grants from the U.S. Mission in Ukraine to conduct follow up activity based on their Open World program.

Illustrating the courage and depth of Open World alumni in Ukraine, one alumnus who has risen in the ranks to Deputy Minister for Education widely publicized a recent attempt to bribe him by the Rector of a University that wanted him to cover up serious violations of academic ethics such as fake grading. The Deputy Minister reported this bribe attempt to the newly created National Anti-Corruption Bureau's Oversight Council, on which sits three additional Open World alumni. The Deputy Minister praised Open World and said:

> *"Participation in Open World provided me with the opportunity to see first-hand how transparency in higher education works. The program inspired me to fight against corruption in my work and provided me with the tools and resolve to work to improve my country. Open World alumni have risen to key positions in the Ministry of Education and Science and are proud of their work in reforming this crucial sector for Ukraine's successful development."*

Armenia – A delegation of deputy mayors and a government media representative from southern Armenia were hosted in 2015 for a program concentrating on freedom of information law, transparency, and democratic governance with an emphasis on municipal government in an effort to promote capacity building, economic development, and democratic values in Southern Armenia.

Three Armenian delegations are planned for 2016. A delegation of young judges will observe American law practices in Detroit, MI. Elected officials, government specialists, and NGO leaders will see how the United States has worked to build an inclusive society that respects and values Americans with disabilities in a social-inclusion program in Cambridge, MA. In anticipation of parliamentary elections in 2017 and presidential elections in 2018, Open World will host Young Armenian political leaders from various parties to study youth's role in the U.S. elections and political/elections processes in Granada Hills, CA.

Azerbaijan – In 2015, Open World brought three delegations of emerging leaders to collaborate with their American counterparts and to gain first-hand exposure to American democratic governance and the working of the free market. Farmers from Azerbaijan visited with agricultural enterprises in the state of Iowa, specialists dealing in the fight against trafficking in persons met with their counterparts in Pittsburgh, and specialists who work with internally displaced persons met with their counterparts in Buffalo, NY. In 2016, Open World plans to bring three more delegations from Azerbaijan. For one delegation, Open World programming will address that country's deteriorating civil rights situation by: bringing defense lawyers, legal experts, and representatives of the Azerbaijani Collegium of Advocates to meet with their American peers. Other programs will concentrate on the need for economic diversification in Azerbaijan through a program on entrepreneurship and tourism management, and the lack of practical experience in school management through a program focused on secondary and higher education administration in response to Azerbaijan's recently developed strategy for educational reform.

Estonia – Since 2013, Open World has hosted a delegation of Estonian judges and prosecutors each year through our judge to judge program in an effort to promote international judicial relations and best practices in the judicial systems of both of our countries. In 2015, the Estonian delegation was hosted by U.S. District Judge Edmund A. Sargus, Jr. in Columbus, Ohio. The April 2016 Estonian delegation will be hosted in Raleigh, N.C. by Judge Allyson K. Duncan of the United States Court of Appeals for the Fourth Circuit. Judge Duncan is also the Chair of the International Judicial Relations Committee of the Judicial Conference of the United States, Open World's key partner in its rule of law programming.

Georgia – Open World hosted seven delegations from Georgia in 2015. Their programs included such themes as legislature to legislature development, inter-ethnic cooperation, rule of law, municipal development and the use of public space, and higher education

administration. One highlight of the 2015 program is that the Chicago host of the inter-ethnic cooperation program that took place in Chicago was able to receive U.S. government funding to visit in Georgia with his 2014 religious tolerance and 2015 inter-ethnic cooperation delegations to follow up on their programming and establish long-lasting ties. In 2016, Open World's Georgia program will feature legislature to legislature programming, role of civil society in promoting accountable governance, and inter-ethnic cooperation. Open World also intends to host a diverse group of young parliamentarians from Georgia in the Fall of 2016, following that country's Parliamentary elections.

Kazakhstan – Open World hosted seven delegations from Kazakhstan in 2015, including programming in the themes of environmental protection, energy efficiency and green technologies, consumer protection, entrepreneurship, and mediation and arbitration. Looking ahead to 2016, Open World is planning to host another seven delegations. Themes include: entrepreneurship in small towns, makers paces, access to information/use of social media, building capacity in civil society, and nonproliferation. We also intend to bring a delegation of members of Parliament from Kazakhstan in program year 2016 once the planned March elections take place. The 2016 Makerspaces group will highlight sister city relations between the cities of Arvada, Colorado and Kyzylorda and the entrepreneurship program will highlight partner relations between Mauston, WI and Pavlodar. The relationship developed as a result of Open World between Mauston and Pavlodar has resulted in several self-funded follow-on visits from Wisconsin to Kazakhstan and from Kazakhstan to Wisconsin. For example, the host in Mauston is now the co-chair of the Leadership Wisconsin International Seminar that is going to Kazakhstan for their International Seminar in March of 2016.

Kosovo – Open World welcomed five delegations from Kosovo in 2015. The groups included Members of the Parliament of Kosovo, young women leaders, and specialists in agro-business and municipal development. Open World is planning to host at least four delegations in 2016. The planned themes are promoting/attracting investment, government transparency/access to public information, technology and e-government against corruption, and preventing domestic violence.

Kyrgyzstan – Open World hosted eight delegations from Kyrgyzstan in 2015, including parliamentary staffers, women leaders in science and technology, legal/judicial professionals, and specialists in business mentoring, border security, and water management. Open World's 2016 Kyrgyzstan program will consist of five delegations. These programs will include a delegation of Members of Parliament, and delegations looking at the role of local legislators/staff, civil society oversight/public finance, young entrepreneurs, and water irrigation/dry climate. Our April 2015 delegation in Colorado Springs, the sister city of Bishkek, was able to get first-hand experience with modern irrigation methods, crop production and water law issues, and the Helena, MT-bound 2016 dry climate delegation will further explore these critical issues. Open World's ongoing relationship with the Parliament of Kyrgyzstan has

resulted in that legislative body's sharing their experiences with the students of Kyrgyzstan by hosting students from cities and villages throughout the country in the Parliament. According to a Parliamentary staffer who is an alumnus "they took the idea from the U.S. Capitol staff on how to work with citizens and cooperate with the general population . . . These students represented no less than 20 ethnic origins." In addition, Open World parliamentary alumni in Kyrgyzstan have managed internships for Model Parliament students from throughout Kyrgyzstan.

Moldova – Open World hosted four Moldovan delegations in 2015. In April, one group observed the marketing of produce through producer organizations in San Francisco, while another learned best practices for combatting international crime in Reno, NV. In September, a delegation of nurses visited Greensboro, NC and was able to gain useful knowledge and experience at various nursing schools, health centers and geriatric facilities to share with their colleagues in Moldova. Also, in September, a delegation of young analysts worked with their colleagues in San Diego to explore various methods of successful economic analyses. Open World currently has no plan to host delegations from Moldova in 2016 due to budget constraints and the cost of programming in that country.

Mongolia – In 2015, Open World hosted two delegations of judges from Mongolia. Open World has already hosted a delegation of members of Parliament from Mongolia early this year, and plans to host two more delegations of judges from Mongolia in 2016.

Serbia – Open World hosted twelve Serbian delegations in 2015, specializing in areas such as policy development, sustainable agriculture, media businesses and youth innovation. Open World plans to host two delegations of judges from Serbia in 2016, and has already hosted a delegation of members of the Serbian Parliament in January of this year.

Tajikistan – Eight Tajik delegations, specializing in areas such as e-governance and transparency, health care for women, domestic violence, youth empowerment, and legal defense advocacy, were hosted in 2015. Open World has already hosted one delegation of women entrepreneurs from Tajikistan in 2016, and plans to conduct programming for four more delegations in themes that include sports for at-risk youth, eco-tourism, youth in civil society, and women in border security.

Turkmenistan – With great support from the U.S. Mission in Turkmenistan, Open World was able to host a delegation from Turkmenistan in 2015. The delegation consisted of specialists in tourism management and was hosted in St. Louis. Open World plans to host at least three delegations from Turkmenistan in 2016 in the themes of water management, earthquake/fire management, and library services.

While the above country program descriptions provide an overview of the incredible activity and goodwill fostered by Open World, below are some examples of the type of results

and feedback that we continually receive from our constituent hosts and new friends and colleagues form our participating countries throughout Eurasia.

In February 2015, an Open World delegation was hosted by Virginia Commonwealth University. During their visit, the group visited the General Assembly, a variety of government agencies and public policy organizations, cultural sites such as the Virginia Museum of Fine Arts and Colonial Williamsburg, and a local TV news station covering the Super Tuesday presidential primary elections. The program is valuable because everyone – both the Ukrainians and the Americans – learn from the experience, said hosting committee member Jeff South, an associate professor of journalism and director of undergraduate studies at the Robertson School. *"As a member of the hosting committee, I personally learn more than I teach from the Open World visitors," he said. "I learn about other models of government and that there are many things we could do to improve our democracy in Virginia and the rest of America. We also see the many things we have in common with people in Eastern Europe – a commitment to an open government that truly serves the people."*

Budget Request Summary

Open World spends its appropriation in two categories: Direct Program Costs and Administration Costs. Direct Program Costs includes: a logistical coordinator contract; grants to host organizations across the United States; Memoranda of Agreements with U. S. embassies in most of Open World countries; and the salary and benefits of the Center's D.C. and Moscow staff.

The Center's fiscal year 2017 budget request breaks down as follows:

A. Direct Program — $ 5,550,000

1.	Logistical Contract	1,900,000
2.	Grants/Other Hosting Costs	2,300,000
3.	Embassy Agreements	875,000
4.	Salary/Benefits (Program staff)	475,000

The logistical services contract with a Washington-based NGO is the single largest expenditure at Open World. This contractor is responsible for coordinating the delegate nomination and vetting process and is tasked with obtaining visas and other travel documents; arranging and purchasing airfare; planning and executing the two-day D.C. orientation, and coordinating with grantees and placing delegates in American host cities, among a host of other duties.

Grants/Other Hosting Costs refer to national and local hosting organizations (such as Rotary Club, Friendship Force International, and community colleges) that plan and execute an 8-day local program for each delegation.

B. Administration — $ 388,000

1.	Salary/Benefits (Admin Staff)	275,000
2.	Other Admin Operating Expenses	113,000

The salaries/benefits of the Executive Director, the Deputy Executive Director, and the Outreach Officers are included in this category. It also includes an interagency agreement with the Library of Congress for infrastructure services, small contracts for professional services, postage, telephone, cell phones, and office supplies and materials. The Center benefits from lower administrative costs due to its physical location in the Library of Congress. Finally, agreements with other agencies for infrastructure services or for printing, webhosting, or graphic design are included here.

TOTAL BUDGET: $5,938,000[4]

The good news is that the Center has learned the art of doing more with less. While working under shrinking budgets has its challenges, the Center's response to this series of cuts is to work harder at finding savings and increasing cost shares. As an example, two years ago, the Center changed the way that interpretation costs are covered in the program which yielded us an astonishing estimated $250,000 in savings due to the elimination of any indirect cost being applied to the total as well as more efficient handling of the interpretation pool. Another important source of savings was in engaging with the U.S. embassies of Open World countries as much as possible. This alone realized a savings of 30-40% of the cost of a single delegate's participation in the Open World program.

Finally, for every dollar in grants awarded, the Center receives matching cost shares dollar for dollar, with the 2015 estimate looking like it will hit $2.3 million. Meanwhile, to emphasize our successful efforts from working closely with each grantee to arrive at the fairest budget possible, the demand for Open World delegations remains at a high of four slots requested for every one slot available.

With careful management we can proudly claim that for every appropriated dollar received, we have been able to leverage that dollar by an additional 35% which makes it possible to continue providing dynamic, current and relevant, and high quality programming this fiscal year.

Closing Remarks

Open World offers Congress an extraordinary "bang for the buck" as well as deep commitment to being a model agency dedicated to the most efficient and cost-effective use of its

[4] The amount over $5.8 million shown here will be covered by earned revenue, donations and other offsets.

resources. The Center's overhead rate has remained a steady 7 percent in large part due to the steadfast pursuit of savings and cost shares while maintaining diligent fiscal stewardship. All the while the Center never compromises program quality.

Open World employs best practices in an effort to achieve the most cost-efficient and effective means to accomplish our mission. Early on, Open World established internal controls to ensure program quality, including pre- and post-program report follow-up, weekly teleconferencing with our logistical contractor, and regular contact with grantees and local hosts. Open World also uses a zero-based budget approach to every contract, every grant budget, as well as our annual operating budget.

Furthermore, Open World actively seeks cost-sharing partnerships with other government initiatives whose missions complement ours. The U.S. Agency for International Development, the Department of Energy, the Department of State, the National Endowment for the Arts, and the U.S. embassies in Armenia, Kosovo, Mongolia, Serbia, Tajikistan, Turkmenistan, Ukraine, and Uzbekistan have all joined with the Open World Leadership Center in directly funding a number of delegations.

Funding at the requested level of $5.8 million will enable Open World to fully respond to Congressional interests in the region and beyond while continuing our proven mission of hosting young political and civic leaders who return home to launch projects and programs in cooperation with their American counterparts and hosts. The Board of Trustees believes that maintaining a robust grassroots-based Open World presence in the region is necessary and important for future U.S. relations in these politically significant countries.

[Written Testimony of Other Interested Individuals and Organizations follow:]

Mass Deacidification Program at the Library of Congress

Fiscal 2017 Budget

Mass deacidification is the primary method used by libraries and other institutions to preserve large quantities of original books, documents, newspapers, maps, and other paper-based materials. The original Mass Deacidification Program for the Library of Congress, approved by Congress in 2001, was established to preserve, in one generation, all the materials deemed to be at-risk (one generation - meaning 30 years). The project was on schedule to meet this goal until the Library began reducing the treatment rate.

The program averaged more than 300,000 books treated per year from 2004 through 2011. Beginning in 2012, the treatment program was reduced each year, with the treatment target for 2015 set at 200,000 books. The Library has reduced its target to 166,000 books for Fiscal 2016 and stated its plan to continue reducing this treatment rate to 100,000 books per year as early as 2018.

The Library has identified 3.3 million books remaining that are at risk and in need of treatment. At a rate of 300,000 books per year, the work could be completed in 11 years. At the planned 2016 rate of 166,000 books per year, it would take 20 years - nearly twice as long. If the rate is reduced to 100,000 books per year, then the project will take another 33 years to finish with a target completion year of 2050 – 20 years past the 2030 completion Congress originally intended.

We believe that, from both scientific and fiscal perspectives, reducing the treatment rate is not the right decision and does not follow the intent of Congress for the use of the money allocated to this program. Please remember, the Library is seeking funding levels sufficient to treat 200,000 books ($5.5M in FY-16 & $5.62 in FY-17), yet has stated it will reduce treatment levels to 166,000 books beginning in FY16.

The time delay is critical because acidic paper loses strength quickly. Deacidification will extend the usable life by a factor of at least 3-5 times. Books that must wait another 30 years, after decades have already passed, will lose hundreds of years of useable life. Many of the acidic books in the collection will become too fragile for use before another 30 years pass. That was the reasoning behind the "one generation" strategy. **The science strongly supports finishing the treatment as quickly as possible.**

The cost benefits of finishing the project sooner are considerable. The unit cost of treatment depends strongly on the treatment rate. Slowing the annual treatment from 300,000 books to 100,000 books balloons the total project cost by an additional $50 million in direct expenses over the life of the project. The total costs will be even higher because the Library will need to continue oversight of the project for an extended period, and the maintenance costs of the untreated materials will increase as a result. **The soundest fiscal analysis supports finishing the treatment as quickly as possible.**

As an example, the Library was able to treat 200,000 books and one million documents for $5,500,000 in Fiscal 2015. Our company offered to hold the same pricing to perform the same work for the Fiscal 2016 budget of $5,500,000. The Library chose instead to reduce the program to treat 17% fewer books (166,000 total planned for 2016) at a higher unit price in order to allocate a portion of these funds to other activities.

A secondary but very important aspect of the Library's plan to continue cutting the program is the likely loss of skilled workers to provide services. Combined with increased unit costs, a loss of skilled workers could well threaten the viability of the program and future capability. At that point, the possibility of loss to our nation's collection-of-record becomes a reality.

Deacidification is the only preservation option for retaining original material in usable format. In most cases it is the lowest cost method of retaining the information contained in the material. The process does this by extending the useable life of the paper by at least 3 to 5 times that of untreated acidic paper. If certain books are NOT allowed to benefit from treatment, the only option is a higher-cost reformatting procedure to retain the image or information. Studies prepared by the Library and other institutions show that preserving the original by deacidification is much less expensive and more cost-effective than digitization, microfilming or duplication. Low temperature, low humidity storage facilities are expensive to build and maintain, and their energy costs are prohibitive over time. **The most cost effective preservation policy is to deacidify material produced on acidic paper.**

In summary, the 30-year, "one generation" plan approved by Congress in 2001 to deacidify and preserve its collections that are held at the Library of Congress can still be finished on schedule. **However,** the **Library plan** to continue reallocating funds away from deacidification to other Library expenditures is putting the program and the **Library** collections at increased risk. **We believe that both science and economics do not support this policy of slowing the program.**

The most efficient and economical way to finish this program and achieve the goal set by Congress is to process the remaining material as quickly as possible. I have included a table below that outlines three options as examples. The program under consideration by the Library at 100,000 books per year would take 33 years at a high unit cost. If the Fiscal 2017 request ($5,621,000) is fully spent on deacidification, the treatment rate could be 196,000 books. (If the Library chooses to reallocate some of these funds as they have with Fiscal 2016, then the treatment rate will be lower and the unit cost will increase.) Finally, the benefits of increasing the rate to a higher level, in this case 275,000 books, include a much shorter project and significant cost savings.

Thank you for your attention to this issue.

Mass Deacidification Options to Finish 3.3 Million Books
(2017 Dollars in Thousands, includes treatment of 1 million documents)

Contract	Years	2017	Books	Documents	Total	Total Cost to Finish Books		
Books/year	to finish	$/book	$ per year	$ per year	per year	Total	Savings*	% Savings
275,000	12.0	$22.58	$6,210	$411	$6,621	$74,514	$50,094	40%
196,300	16.8	$26.54	$5,210	$411	$5,621	$87,585	$37,023	30%
100,000	33.0	$37.76	$3,776	$411	$4,187	$124,608	$0	0%

* Savings are calculated as a comparison to the costs of the 100,000 book/year program.

Biography of James Burd, President & CDEO of Preservation Technologies

James Burd is the President and CEO of Preservation Technologies, L.P. with headquarters in Cranberry Township, PA. He joined the company in 1996. Prior to then he was a founder and VP of Engineering for ChemTech Consultants, Inc. (Pittsburgh) for 8 years and a Manager of Engineering for Koppers Company (Pittsburgh) for 10 years. He holds a degree in Chemical Engineering from the University of Cincinnati and is a Registered Professional Engineer in Pennsylvania.

He is the developer of the Bookkeeper Mass Deacidification processing system and holds several patents for this work. He began this effort as a consultant in 1992 in conjunction with testing and specifications as developed by the Library of Congress. He served as a representative of the U.S. National Information Standards Organization (NISO) on the International Organization for Standardization (ISO) committee along with representatives from Germany, Switzerland, Poland, Austria, Czech Republic, France, Sweden, and the UK. This committee developed standards issued in 2015 for testing quality and effectiveness of mass deacidification processes. He has developed the international expansion of the company's mass deacidification operations with a subsidiary company in Japan and licensees in The Netherlands, Poland (2), and South Africa, with the newest operation scheduled for completion in Moscow, Russia in summer of 2016.

HOUSE COMMITTEE ON APPROPRIATIONS

Subcommittee on Legislative Branch

Witness Disclosure Form – Fiscal Year 2017

Clause 2(g) of rule XI of the Rules of the House of Representatives requires nongovernmental witnesses to disclose to the Committee the following information. A non-governmental witness is any witness appearing on behalf of himself/herself or on behalf of an organization other than a federal agency, or a state, local or tribal government.

Your Name, Business Address, and Telephone Number:

James E. Burd	Preservation Technologies, L.P.
President/CEO	111 Thomson Park Drive
724.779.2111 office	Cranberry Township, PA 16066

1. *Are you appearing on behalf of yourself or a non-governmental organization? Please list organization(s) you are representing.*

   Representing Preservation Technologies, L.P.

2. *Have you or any organization you are representing received any Federal grants or contracts (including any subgrants or subcontracts) since October 1, 2012 related to the agencies or programs funded by the Subcommittee?*

   (Yes) No

3. *Have you or any organization you are representing received any contracts or payments originating with a foreign government since October I, 2012 related to the agencies or programs funded by the Subcommittee?*

   Yes (No)

4. *If your response to question #2 and/or #3 is "Yes", please list the amount and source (by agency and program) of each Federal grant (or subgrant thereof) or contract (or subcontract thereof), and/or the amount and country of origin of any payment or contract originating with a foreign government. Please also indicate whether the recipient was you or the organization(s) you are representing.*

$6,681,000	Fiscal 2012	Library of Congress
$6,098,000	Fiscal 2013	Library of Congress
$7,451,000	Fiscal 2014 (includes 17 months)	Library of Congress
$5,500,000	Fiscal 2015 (ends May 31, 2016)	Library of Congress
$5,500,000	Fiscal 2016 (begins June 1, 2016)	Library of Congress

Signature: _____ *Date:* 3/22/16

Statement of Saul Schniderman
President, Library of Congress Professional Guild
AFSCME Local 2910
For the Subcommittee on Legislative Branch Appropriations
U.S. House of Representatives
Fiscal Year 2017 Budget Request – Library of Congress
March 22, 2016

Chairman Graves, Ranking Member Wasserman Schultz, and Members of the Subcommittee:

Thank you for providing us with this opportunity to comment on the fiscal year 2017 budget request for the Library of Congress submitted by the Acting Librarian, David S. Mao. Our organization – the Library of Congress Professional Guild, AFSCME Local 2910 – represents over 1350 professional employees throughout the Library of Congress including Library Services and the newly formed National and International Outreach service unit, the Copyright Office, the Law Library, and units within the Librarian's Office, including the Office of the Chief Information Officer.

On June 1, 2016 the Guild will celebrate its fortieth anniversary as the exclusive representative of all Library of Congress professional employees, except those working in the Congressional Research Service. We are dedicated to providing the best possible service to Congress and the American people and we appreciate this opportunity to present you with our concerns.

Copyright Office: In 1870 the copyright functions in the United States were centralized, by law, in the Library of Congress at a time when the Library consisted of twelve staffers crowded into the west front of the Capitol Building. Librarian of Congress Ainsworth Rand Spofford became exasperated by the immediate increase in the number of registration applications and wrote to the Congress asking for help because, "I have been obliged to employ two of the library force constantly upon the business of recording copyrights and preparing certificates," and, "I am devoting more than half of my time" on the project.

In 1897 the first Register of Copyrights was appointed and the Copyright Office was established as a separate department within the Library of Congress. Since that time Congress has wisely provided the Office with needed appropriations which has resulted in the registration of millions of claims, the maintenance of a public record and the creation of programs advising the Congress and the nation on copyright related matters.

For over a century, the copyright registration process was essentially paper-based until the purchase and implementation of the Siebel system in 2007 which became the electronic registration system (eCO) for the Copyright Office.

Since 2008, the Guild has reported on the core shortcomings of the eCO system as the tool to register works for copyright. These deficiencies were detailed in full by GAO in March 2015. Today, it is widely recognized that eCO cannot be adapted to meet the office's future needs. The Guild wishes to recognize the hard work and perseverance of Copyright Office staff – specifically examiners in the Registration Program – who continue to accomplish their important job of registering and refusing claims to copyright in books, music, movies, artwork, and

computer programs, using a system that makes opening a file or reading an email a complex task. Given this reality, the Guild strongly supports critical improvements to Copyright Office IT infrastructure so the office can better fulfill its public-service mission and improve the worklife of Copyright Office employees.

While we lack the technical expertise to comment on specific IT infrastructure needs, clearly the success of any technology project requires careful linking of IT planning and design, human capital, and oversight; and we know that the staff who perform the work have much to offer in shaping the new system. One of the lessons learned from the implementation of eCO is the need for these employees to shape the final product.

As a labor organization we have attended various committee hearings and thank the Register for keeping Copyright Office staff apprised of current events and future plans. The Guild also supports the Acting Librarian's request to develop the Copyright Office workforce by providing more FTEs in the areas of registration, public records, public information, mandatory deposit, and digitizing historical records.

We are watching carefully as Copyright Office and Library of Congress management, working together, define and lead us toward shared goals.

Sustaining a universal collection: Throughout our history, mandatory deposit has enabled the Library of Congress to become the largest and most comprehensive collection of cultural and intellectual heritage ever assembled. The copyright law bestows authors/creators, publishers, and copyright holders with legal protection for their intellectual property, and preservation of their work in a nationally supported cultural institution. It's been a pretty good deal for all concerned. We thank the Subcommittee for sustaining a universal collection for the equitable benefit of all citizens and urge Congress to uphold this value while deliberating on what changes are needed to modernize the Library of Congress and the Copyright Office.

In establishing statutory obligations for deposit of best edition copies, Congress adopted a system of legal deposits common throughout the world and dating back to the sixteenth century in France. National libraries and legislative libraries, such as our own Library of Congress, by these means have collected, recorded, organized and made freely available their cultural and intellectual heritage. This is not a mere convenience and cost-saving measure. Knowledge-based societies are sustained by universal and equitable access to information, and express this value in national policy.

The Copyright Office is responsible for administering the Copyright Law. Part of the Copyright Law is a requirement for the "mandatory deposit" of the "best edition" of every copyrightable work published in the United States. Best edition copies submitted as part of the copyright registration process satisfy the mandatory deposit requirement and these copies have been essential to building the collections of the Library of Congress for over a century. The Library also acquires collections through gift, exchange, and purchase, but Copyright deposits have always been the core of its collections. In fiscal 2014 alone, the Copyright Office transferred more than 700,950 copies of works to the Library, with a net value of nearly $32 million. More than 407,100 of those works were received from publishers through mandatory deposit. These deposits are not just books and serials, but all the creative output already mentioned in this testimony.

A gap in the Library's ability to meet its mission must be noted. Digital works have posed new challenges. To begin with, the process of identifying "best edition" is complex and driven in part by computing capacity. Due to current capacity restrictions at the Library of Congress, the majority of our digital collections remain in a "dark archive." Today the size of the Library's digital collections is growing at a rate similar to its physical collections and yet only a fraction of the digital collection is accessible to staff, to Congress, and to the public. We urge the Subcommittee to fund the Library's requests to increase computing capacity and address IT deficiencies identified in recent GAO reports.

Library Services: Building a universal collection through tools like the mandatory deposit system is only one facet of the Library's mission. In addition to acquiring print and electronic media from around the world, the Library must also make these works accessible and useable for both the Library users of today and those of future generations. This work of organizing, cataloging, servicing, and preserving the Library's collections is the work of the largest Library unit, Library Services (LS). The Guild fully supports Library Services' budget request for a modest increase in funds to cover mandatory pay related and price level increases. Following are two priorities for FY 2017 in Library Services: Digital collections management, and a two-year study to replace the ILS.

Digital collections management: Over the last twenty years, the rise of the internet has made easy access to digital content of all types almost an afterthought to most Americans. And yet for libraries, no challenge is more daunting than that seeking to cope with the explosion of digital media and digital content. Digital resources come in an array of types and formats, all with their own unique needs and requirements for access, storage and use. The Library of Congress faces this challenge every day as the amount of digital resources acquired by the Library doubles ever few years and this is a trend that will only continue to accelerate. The Library's FY 2017 budget request contains a provision seeking funding for the creation and management of a digital content management unit within Library Services. Although the creation of this unit is only a first step, it is an important one because it will establish a firm foundation to improve the efficient and effective handling of electronic resources throughout Library Services and, through staff training and the promotion of best practices, throughout the entire Library of Congress. This unit is a foundation that the Library can build upon to meet the expanding demands for the ready accessibility and ease-of-use that most Library users expect regarding digital resources. The Guild strongly supports the Library's request for the necessary funding to establish a new digital content management unit within Library Services. The Guild also encourages Library Services to continue working with the Office of the Chief Information Officer to develop the kinds of mutual support, project coordination, and cross-organizational communication that are essential if the launch and growth of the digital management unit is to be a success.

Two-year study to plan for the ILS replacement: Since the days of James Madison and Thomas Jefferson, a key tenet of the Library's mission has been the acquisition, organization, and public use of the world's scholarship and literary creation. Over the last fifty years, modern automation and computer systems have become the key tools that allow all libraries and especially large research institutions like the Library of Congress, to accomplish this work in a timely and accountable way. The fundamental automated system which supports all of the Library's operations relating to its' collections is the Integrated Library System (ILS). Since its' implementation in 1999, the ILS has served as the Library's key automated system for acquiring,

cataloging, retrieving and circulating, and preserving the millions of items in the Library's collections. But like all automated systems, the ILS has a limited life span and its limitations in dealing with the evolving types of data structures and requirements used in modern libraries are becoming apparent. To cope with these limitations, Library Services is requesting an appropriation to support a two-year study to analyze the Library's current and anticipated needs in order to develop the requirements for a next generation library management system. The Guild supports this request for a two-year study. This is an essential first step in the process of ensuring that a replacement for the Library's key automated system, which supports its' most vital operations, will be available. Additionally, whenever the Library's transition to a next generation system comes, this study will help ensure that the transition will be a smooth one.

Law Library: The Library of Congress is home to many highly specialized and unique collections. Of these collections, none has a finer pedigree than that of the Law Library, which holds almost 3 million items, including approximately 25,000 rare books and bound manuscripts, many issued prior to 1801. The Law Library's collection of primary and secondary sources constitutes the largest legal collection in the world.

But even the finest collection is of limited value if it cannot be fully accessed and easily consulted. Given the age and wide diversity of the Law Library's collection, many of the items were acquired before modern methods of cataloging and classification were developed and in use. This means that only minimal or sometimes no information for thousands of items appears in LC's online catalog system and these items are still classified under the generic "LAW" system using country names and only a general indication of subject and content. Having these thousands of items under less than full cataloging and classification means that they cannot be easily identified or accessed by Library users or researchers. Consequently, the difficulty of accessing this material is a burden for not only the public and scholars but also for the many foreign law specialists in the Law Library who are often called upon to produce in-depth reports on foreign legal developments.

The current budget request includes a provision by the Law Library requesting funding for a seven-year classification project, including the hiring of specialized staff, to remedy this deficiency in the Law Library's collection. This project would create modern cataloging and classification data in the Library's online system for the items processed and would support needed inventory and preservation efforts. This work would vastly increase the accessibility of a significant portion of the Law Library's collection resulting in better service to the public and to Congress. The Guild fully supports this request as a necessary step in restoring this vital collection to full and complete service to scholars, the public, and Congress.

Library service to persons with print disabilities: The National Library Service for the Blind and Physically Handicapped (NLS) administers the only free national public library service for persons with blindness, low vision or physical disabilities who are unable to read conventionally printed materials. NLS supplies U.S. residents and U.S. citizens living abroad with audio and braille books, magazines, and music-instructional materials through a network of libraries that includes 55 regional, 32 sub-regional libraries and 14 advisory and outreach centers serving over 500,000 patrons. NLS circulates more than 21 million books annually.

Due to the rapid, ongoing evolution of accessible technologies and the expansion of international library cooperation, access to materials by the print disabled community is improving. NLS

launched an Android version of the BARD Mobile AP which allows patrons to download books and magazines directly to their mobile devices. NLS successfully negotiated with various U.S. commercial book publishers to allow use of their digital files for the preparation of accessible copies; the hardworking employees of NLS were able to use existing technology to create new workflows for this content which resulted in an increase of close to 1,000 new audio titles.

NLS rightly enjoys a reputation as a global leader in the provision of library service for persons with print disabilities and serves a diverse patron base that includes veterans, children, the elderly, and an ever-growing Spanish-speaking population. We thank the committee for its continued support of this vital service which is an informational lifeline for many persons with disabilities across the U.S.

In closing, we thank the Congress for granting Dr. James Billington the honorary designation of Librarian of Congress Emeritus. As we await the appointment of a new Librarian of Congress, we are pleased to see the achievements of Dr. Billington acknowledged. His broad vision for this Library inspired us and his ideals will always be a benchmark for service to the nation.

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Biographical information for Saul Schniderman

Saul Schniderman started work at the Library of Congress as a cataloger in 1988, having previously worked in three federal libraries: the Government Printing Office, the Smithsonian Institution and the U. S. Department of the Interior. He is currently employed in the Copyright Office and has served as president of the Library of Congress Professional Guild since 1998

March 22, 2016

Witness Disclosure Form

Clause 2(g) of rule XI of the Rules of the House of Representatives requires non-governmental witnesses to disclose to the Committee the following information. A non-governmental witness is any witness appearing on behalf of himself/herself or on behalf of an organization other than a federal agency, or a state, local or tribal government.

Your Name, Business Address, and Telephone Number:
SAUL Schnideman, Professional Guild
101 Independence Ave, SE, Library of Congress
WASH. DC 20540 202-707-6493

1. Are you appearing on behalf of yourself or a non-governmental organization? Please list organization(s) you are representing.

   AFSCME Local 2910

2. Have you or any organization you are representing received any Federal grants or contracts (including any subgrants or subcontracts) since October 1, 2012 related to the agencies or programs funded by the Subcommittee?

   Yes (No)

3. Have you or any organization you are representing received any contracts or payments originating with a foreign government since October 1, 2012 related to the agencies or programs funded by the Subcommittee?

   Yes (No)

4. If your response to question #2 and/or #3 is "Yes", please list the amount and source (by agency and program) of each Federal grant (or subgrant thereof) or contract (or subcontract thereof), and/or the amount and country of origin of any payment or contract originating with a foreign government. Please also indicate whether the recipient was you or the organization(s) you are representing.

Signature: Saul Schnideman Date: 3/22/2016

Written Testimony of Keith Ann Stiverson
President of the American Association of Law Libraries (AALL)
On Funding for the Government Publishing Office and Library of Congress

To the House Committee on Appropriations Subcommittee on Legislative Branch
For the Record
March 22, 2016

Dear Chairman Graves, Ranking Member Wasserman Schultz, and Members of the Subcommittee:

Thank you for the opportunity to submit testimony in support of two key federal institutions funded by the Legislative Branch Appropriations Subcommittee: the Government Publishing Office (GPO) and the Library of Congress (LC). While each has a unique role, both agencies support our democracy by providing access to and preservation of information, including legal information, in tangible and electronic formats.

With the constant evolution of the Internet and rapidly changing technologies, GPO and LC must work harder than ever before to meet their respective missions. Keeping up with the demands of information lifecycle management – including collection, processing, dissemination, use, storage, and disposition – requires adequate resources. We urge members of the Subcommittee to support the agencies' Fiscal Year 2017 budget requests.

Government Publishing Office

As GPO continues its transition from a print-focused to a content-focused publishing operation, the agency has prioritized efforts to provide cost-effective access to government information in tangible and electronic formats. AALL supports GPO's request of $117 million, the same level the agency received under P.L. 114-113. We urge the Subcommittee to fully fund each account within the request, including the Congressional Publishing Appropriation, the Public Information Programs of the Superintendent of Documents Appropriation, and the Business Operations Revolving Fund Appropriation.

The Congressional Publishing request will ensure support for the publication of Congressional materials, which are core documents of our democracy. Libraries in the Federal Depository Library Program (FDLP) must continue to have the option of receiving them in print.

The Public Information Programs account supports the centuries' old FDLP. The 200 participating law libraries are key partners in this program. FDLP libraries provide geographically convenient access to government information from all three branches in print and online. The FDLP has undergone a transformation in recent years, allowing all libraries in the program to better meet the needs of their communities. For example,

105 West Adams Street, Suite 3300 • Chicago, Illinois 60603 • www.aallnet.org
312.939.4764 (p) • 312.431.1097 (f) • aallhq@aall.org

GPO has recently welcomed the first ever all-digital depositories into the FDLP. While AALL commends GPO's efforts to introduce greater flexibility into the program, we note that law libraries continue to rely on GPO for distribution of specific tangible materials, especially core legal titles in print. Print legal materials continue to be preferred by some library patrons, including members of the public, law students, and faculty. Access to the law is fundamental to a just society.

AALL supports GPO's Revolving Fund request, which will support the development of govinfo.gov, the replacement for the Federal Digital System (FDsys). As print distribution to depository libraries declines and GPO relies more heavily on FDsys/govinfo to provide permanent public access to official government information, it is essential that the collections on FDsys/govinfo be complete. GPO also needs to add new collections as more information is digitized and born digital, and continue to pursue efforts to enhance access and increase discoverability of information. Adequate funding is required for these crucial efforts.

Library of Congress

For more than 215 years, the Library of Congress has been dedicated to its primary mission to support the Congress in fulfilling their constitutional duties and to provide access to an unprecedented collection of knowledge. The Library's appropriations request of $667 million for FY 2017 is a reasonable and forward-looking request that will support the Library through its transition and modernization. Acting Librarian of Congress David Mao has set the Library on a path to success by investing time and resources on improving access to and preservation of collections and updating the Library's technology infrastructure.

We thank the Subcommittee for its support of funding for collection storage, particularly the construction of Module 5 and design of subsequent storage modules at Ft. Meade. As we wrote in previous testimony, the construction of these storage facilities will allow the Library to preserve and ultimately make accessible more of its unique collections. We also support the Library's request for a modernized Primary Computing Facility away from Capitol Hill.

We support the Library's request for funding for a new digital content management unit. The acquisition, management, and preservation of digital collections is an enormous task and the Library must have adequate funds to manage and provide access to digitized and born-digital content.

Our association naturally has a special interest in the Law Library of Congress, which is the world's largest law library. The Law Library is responsible for providing access to trustworthy legal materials in print and electronic formats. We strongly support the Library's priority initiatives, including the classification of the remaining volumes to Class K, the Law classification. We also support the Law Library's request for funding to complete the replacement of compact shelving. Access, collection storage, and the

safety of personnel demand the replacement of outdated, dysfunctional shelving; this is an urgent request.

A strong Copyright Office is also important to AALL; our active Copyright Committee monitors many legislative, political and judicial developments that affect copyright law. We support the Copyright Office's budget request and commend the Library for working with the Copyright Office to develop modernized copyright systems and practices that meet the needs of the copyright community, including law libraries. AALL believes that the Copyright Office is well-served by its home in the Library of Congress.

Conclusion

AALL respectfully urges you to provide full funding to the Government Publishing Office and the Library of Congress. If we can provide additional information or assistance to the Subcommittee, please contact AALL's Director of Government Relations Emily Feltren at efeltren@aall.org or (202) 942-4233.

Sincerely,

Keith Ann Stiverson
President
American Association of Law Libraries

Keith Ann Stiverson
Biography

Keith Ann Stiverson serves as the 98th president of the American Association of Law Libraries (AALL). She is the Director of the Chicago-Kent College of Law Library and Senior Lecturer.

Ms. Stiverson received her law degree from Georgetown University Law Center, where she was publications editor for *Law and Policy in International Business.* Her master's degree in library science was earned at Catholic University of America, and she completed 30 of 36 hours toward an M.A. in English Literature at Georgetown University.

Ms. Stiverson was admitted to the District of Columbia and Ohio bars and was engaged in private practice (municipal bonds) for several years in Cincinnati before leaving to take the position of special assistant to the law librarian at the Library of Congress. She also served for several years on a special team created to improve the library's relations with Congress.

Ms. Stiverson came to IIT Chicago-Kent in May 2001 from the University of Texas, where she was associate director of the law library for five years. Ms. Stiverson began her term as president of AALL in July 2015. Ms. Stiverson is particularly interested in copyright law and other information policy issues that affect libraries

Witness Disclosure Form

Clause 2(g) of rule XI of the Rules of the House of Representatives requires non-governmental witnesses to disclose to the Committee the following information. A non-governmental witness is any witness appearing on behalf of himself/herself or on behalf of an organization other than a federal agency, or a state, local or tribal government.

Your Name, Business Address, and Telephone Number:

Keith Ann Stiverson
Director of the Library, IIT Chicago-Kent College of Law
565 West Adams St.
Chicago IL 60661
(312) 906-5610

1. Are you appearing on behalf of yourself or a non-governmental organization? Please list organization(s) you are representing.

   American Association of Law Libraries

2. Have you or any organization you are representing received any Federal grants or contracts (including any subgrants or subcontracts) since October 1, 2012 related to the agencies or programs funded by the Subcommittee?

   Yes No ✓

3. Have you or any organization you are representing received any contracts or payments originating with a foreign government since October 1, 2012 related to the agencies or programs funded by the Subcommittee?

   Yes No ✓

4. If your response to question #2 and/or #3 is "Yes", please list the amount and source (by agency and program) of each Federal grant (or subgrant thereof) or contract (or subcontract thereof), and/or the amount and country of origin of any payment or contract originating with a foreign government. Please also indicate whether the recipient was you or the organization(s) you are representing.

Signature: Keith Ann Stiverson

Date: March 22, 2016

March 18, 2016

The Honorable Tom Graves
Chairman
Subcommittee on the Legislative Branch
House Committee on Appropriations

The Honorable Debbie Wasserman Schultz
Ranking Member
Subcommittee on the Legislative Branch
House Committee on Appropriations

Dear Chairman Graves and Ranking Member Wasserman Schultz:

We, the undersigned organizations, write in support of a request from several members of Congress to appropriate an additional $125,000 for the Sergeant at Arms to conduct Compartmented Information Security (TS/SCI) Clearance investigations. These funds would address the costs of providing clearance to designated staff who serve in the personal offices of Members of the House Permanent Select Committee on Intelligence (HPSCI) to more fully assist each representative in the thorough execution of their oversight duties.

This appropriation would help provide a measure of parity for HPSCI members with their Senate counterparts with respect to the conduct of national security oversight. Each member of the Senate Select Committee on Intelligence has funds available to hire and clear a staffer to assist with their classified oversight duties. Access to the highest levels of classification is viewed by the Senate as necessary for staff to assist member inquiries into the matters under the committee's jurisdiction. Such staff provide confidential counsel to each member and a second set of hands and eyes that are less constrained by the competing demands on each member's time. Members who serve on HPSCI would benefit from a similar arrangement.

In addition, the nature of intelligence oversight suggests that providing additional resources to members of HPSCI would not be inapt. While members of other committees benefit from the assistance and spotlight brought by public stakeholders, legislative support agencies, academics, and others, the work of HPSCI is sufficiently cloistered as to comparatively diminish the input of non-congressionals. Providing a higher level of clearance to personal office staffers who serve members of HIPSCI would help ameliorate this deficiency and support improved functioning of a vital congressional committee.

We would welcome the opportunity to discuss this further. Please contact Daniel Schuman, policy director, Demand Progress, at daniel@demandprogress.org or 202-577-6100.

Sincerely yours,

Constitutional Alliance
Council on American-Islamic Relations
Defending Dissent/Bill of Rights Defense Committee
EFF
Fight for the Future
Free Press Action Fund
Government Accountability Project
National Security Archive
National Security Counselors
OpenTheGovernment.org
Project on Government Oversight
R Street Institute
RootsAction.org
The Constitution Project
The Niskanen Center
X-Lab

Daniel Schuman | Policy Director | Demand Progress

Testimony for the Record before the House Legislative Branch Appropriations Subcommittee

March 18, 2016

Daniel Schuman Biography

Daniel Schuman has long worked at the intersection of law, policy, and technology. He currently serves as policy director with ***Demand Progress***, a civic organization with 2 million affiliated activists that fights for fights for basic rights and freedoms needed for a modern democracy. He most recently served as policy director for ***Citizens for Responsibility and Ethics in Washington***, and prior to that as policy counsel with ***the Sunlight Foundation***. In a prior life he was a legislative attorney with the ***Congressional Research Service***.

Daniel chairs the ***Congressional Data Coalition***'s steering committee and founded the ***Advisory Committee on Transparency,*** which promoted the work of the Congressional Transparency Caucus. In 2013, Daniel was named among the "top 25 most influential people under 40 in gov and tech" by *FedScoop*. He is a nationally recognized expert on federal transparency and has testified before Congress and appeared on NPR, C-SPAN. Daniel graduated cum laude from Emory University School of Law.

[Insert Subcommittee Name Here]

Witness Disclosure Form

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Your Name, Business Address, and Telephone Number:

Daniel Schuman, 30 Ritchie Ave., Silver Spring, MD, 202-577-6100.

1. Are you appearing on behalf of yourself or a non-governmental organization? Please list organization(s) you are representing.

   This testimony is submitted on behalf of Demand Progress and 15 other organizations, who are listed in the attached document,

2. Have you or any organization you are representing received any Federal grants or contracts (including any subgrants or subcontracts) since October 1, 2012 related to the agencies or programs funded by the Subcommittee?

   Yes No

3. Have you or any organization you are representing received any contracts or payments originating with a foreign government since October 1, 2012 related to the agencies or programs funded by the Subcommittee?

   Yes No

4. If your response to question #2 and/or #3 is "Yes", please list the amount and source (by agency and program) of each Federal grant (or subgrant thereof) or contract (or subcontract thereof), and/or the amount and country of origin of any payment or contract originating with a foreign government. Please also indicate whether the recipient was you or the organization(s) you are representing.

Signature: David Schuman Date: March 18, 2016

Congressional Data Coalition Testimony, FY 2017
Submitted by Daniel Schuman, Policy Director, Demand Progress
March 22, 2015

Dear Chairman Graves, Ranking Member Wasserman Schultz, and Representatives Amodei, Rigell, Jenkins, Palazzo, Farr, and McCollum:

Thank you for the opportunity to submit testimony on legislative branch funding priorities for fiscal year 2017. We focus on ways to strengthen the House of Representatives capacity to govern effectively and to engage with the American people through great transparency.

About us
The Congressional Data Coalition is a coalition of citizens, public interest groups, libraries, trade associations, and businesses that champion greater government transparency through improved public access to and long-term preservation of congressional information.[1]

Recognition of Ongoing House Activities
We commend the House of Representatives for its ongoing efforts to open up congressional information. We applaud the House of Representatives for publishing online and in a structured data format bill text, status, and summary information—and are pleased the Senate has joined the effort. We commend the ongoing work on the Amendment Impact Program and efforts to modernize how committee hearings are published. We look forward to the release of House Rules and House Statement of Disbursements in structured data formats.

We would also like to recognize the growing Member and Congressional staff public engagement around innovation, civic technology and public data issues. From the 18 Members and dozens of staff participating in last year's nationwide series of #Hack4Congress civic hacking events to the Second Congressional Hackathon co-sponsored by House Majority Leader Kevin McCarthy and House Democratic Whip Steny Hoyer, there is a growing level of enthusiastic support inside the institution for building a better Congress with better technology and data.[2] Moreover, the House Ethics Committee's recent approval of open source software and the launch of the Congressional Open Source Caucus means good things are in store for 2016.

This groundswell of support cuts across all ages, geographic areas and demographics, both inside and outside Congress. We are excited for the House's 2016 legislative data and transparency conference and appreciate the quarterly public meetings of the Bulk Data Task Force.

Summary of Requests
- Extend and Broaden the Bulk Data Task Force
- Release the Digitized Historical Congressional Record and Publish Future Editions in XML
- Publish all Congress.gov Information in Bulk and in a Structured Data Format

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[1] For more information, visit http://congressionaldata.org/.
[2] Initiatives such as the Congressional App Challenge—which in 2015 saw a record 1,722 students build 493 apps in 187 Congressional districts, a full 43% of the House—demonstrate that the House's efforts to open up itself and its information to the public are not only bearing fruit, but are gaining traction far beyond the realm of good government geeks.

- Include All Public Laws in Congress.gov
- Publish Calendar of Committee Activities in Congress.gov
- Complete and Auditable Bill Text
- CRS Annual Reports and Indices of CRS Reports
- House and Committee Rules
- Publish Bioguide in XML with a Change Log
- Constitution Annotated
- House Office and Support Agency Reports

Extend and Broaden the Bulk Data Task Force
One major success of the House's legislative modernization efforts was the creation of the Bulk Data Task Force,[3] the recommendations of which led to the online publication of bill summaries, status, and text in a structured data format, as well as other improvements. While the Task Force issued its final report in the 113th Congress, many of its participants continue to meet. The Task Force is a unique forum for congressional content creators and publishers to work together and interact with the public. We wish for it to be placed on a permanent footing before the end of the 114th Congress.

We urge the committee to formally reestablish the Task Force on a permanent basis and expand its mission to broadening availability of congressional information in machine readable formats. There is precedent for this, with the XML Working Group that was created in the 1990s to establish document type definitions for use in creating legislative documents in XML.[4] Its scope should include legislative information and records held by committees, offices, and legislative branch agencies as well as other information concerning the operation of Congress.

Release the Digitized Historical Congressional Record and Publish Future Editions in XML
The Congressional Record, as the official record of the proceedings and debates of the Congress, is central to understanding congressional activities. Many of the resources we have come to rely upon, such as Congress.gov, republish just a fraction of its contents. Unfortunately, the Congressional Record is not published in bulk in a structured data format, but instead as plain text, and, in some cases, as (even less versatile) PDFs. In addition, the Congressional Record is available online only from 1994 forward and prior to 1873.

We understand that the GPO has completed an effort to digitize issues of the Congressional Record to fill the 100-plus-year gap,[5] but will not release the digitized documents (PDFs) until metadata is added. This could be a lengthy process. We request the digitized records be released now; we can build our own metadata[6] and use the documents while the official metadata process finishes.

Going forward, we urge the Congressional Record be published in a structured data format, like XML. There have been efforts by the public to scrape the version of the Congressional Record,[7] but the results were incomplete, the same scrape-able information no longer exists on Congress.gov, and PDFs are less useful than structured data. We are sensitive to the cost constraints on GPO but suggest

[3] House Report 112-511, available at http://www.gpo.gov/fdsys/pkg/CRPT-112hrpt511/pdf/CRPT-112hrpt511.pdf.
[4] See http://xml.house.gov/
[5] See http://www.scribd.com/doc/48672433/Constitution-Annotated-Congressional-Record-and-Statutes-at-Large.
[6] For example, we did just that with the Statutes at Large, where it is possible to look up every public law enacted by Congress from 1789 to present. See http://legislink.org/us.
[7] https://sunlightfoundation.com/blog/2014/02/20/sample-the-new-a-la-carte-congressional-record-parser/

that publication in a more versatile format may lead to reduced print demands, improved internal efficiencies, and greater reuse and transformation of the Congressional Record into useful products.[8]

Publish all Congress.gov Information in Bulk and in a Structured Data Format
We recognize and appreciate all the hard work that went into publishing bill summaries, status information, and text in a structured data format from the 113th Congress forward. We urge the process be extended to all bill summaries, status information, and text held on Congress.gov.

To accomplish this and the other ends discussed elsewhere, we urge continued financial support for GPO and LC to maintain and develop congress.gov, fdsys.gov, and their successors.

Include All Public Laws in Congress.gov
It is vitally important for everyone to know what the law is. In many instances, the U.S. Code is not the law and yet the legislation signed by the president is not available to the public in an easy to find way. We respectfully suggest that every public law be available for retrieval through Congress.gov.

Publish Calendar of Committee Activities in Congress.gov
Thanks to the creation of docs.house.gov and a Senate information repository, it is now possible to systematically gather information on all upcoming committee hearings, markups, and other activities. This information should be combined into a single calendar on Congress.gov, with descriptions of upcoming activities, links to live and archived video, and links to relevant committee information.

Complete and Auditable Bill Text
The Government Publishing Office is charged to accurately and authentically print the bills before Congress, yet there are gaps in GPO's archive—as seen on FDSys—without any explanation. In addition, public access to the text of bills in the 101st and 102nd Congresses are being removed as a part of the retirement of THOMAS.gov. Furthermore, GPO holds structured data for bills prior to the 111th Congress (when both House and Senate legislation were first published in XML), which it does not make available to the public at all (locator code format). We ask that GPO publicly report on the presence or absence of public access to all prints of bills starting with the 101st Congress, including access to the prints in a structured data format, with a public audit log in CSV format. This would build trust in GPO's authenticity and accuracy processes.

CRS Annual Reports and Indices of CRS Reports
CRS reports often inform public debate. Its analyses are routinely cited in news reports, by the courts, in congressional debate, and by government watchdogs. We do not wish to weigh too deeply into the debate over public access to the reports in this forum[9] as there is legislation to effectuate a change in how they are made available to the public.[10] However, we wish to bring three issues to your attention.

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[8] In the meanwhile, publication of the Congressional Record in locator code format along with GPO's locator code-to-PDF conversion software, in source code form, may suffice in the interim.
[9] There have been several letters of late urging public access to CRS reports from former CRS employees, a large coalition of civic organizations, and a coalition of conservative organizations. Many have endorsed the legislation as well. For a complete list of correspondence, see https://github.com/DanielSchuman/Policy/wiki/Congressional-Research-Service#members-of-congress-and-organizational-letters.
[10] See H.R. 4702, the Equal Access to Congressional Research Service Reports Act of 2016, available at https://www.congress.gov/bill/114th-congress/house-bill/4702.

First, CRS apparently is producing two versions of its annual report: one for publication online on CRS's website and another apparently for congressional staff.[11] The version released to the public makes no indication that it has been redacted or truncated. It appears the difference between the two reports is the non-truncated version lists CRS reports released during the prior year. We suggest that the American people be able to see the full report provided to Congress. These silent redactions are misleading and unnecessary. In addition, we suggest that CRS cease removing prior annual reports from its website.

Second, we request the Committee require contemporaneous online reporting of the names, report numbers, and publication/revision/withdrawal dates for CRS reports. We do not include CRS memoranda, which are confidential. In this way, members of the public may contact their representative if they see a report they are interested in upon its publication or revision.

Finally, we request the amending the language inserted into the legislative branch appropriations bill concerning expending funds for the purpose of publication so that it refers specifically to print publications.[12] The limiting language was put in place over concerns regarding printing and mailing costs and was initially inserted in 1954. Electronic publication of Congressional Research Service documents imposes no additional printing or mailing costs. It likely discourages CRS from contemplating whether any of its documents should be published online, which is a default position that no longer makes sense from a cost perspective.

House and Committee Rules

Crucial to understanding the House and its committees are their rules, but these vital documents are usually published as PDFs or garbled text files. The House rules for the 114th Congress are published by the Rules Committee but only as a PDF, and, if you can find it on FDSYS, it is available as a PDF file and an annotated, discontinuous TXT file. As another example, while the Committee on Rules makes its rules available as HTML, the Permanent Select Committee on Intelligence publishes its rules only as a PDF. Ideally, all rules should be published in a structured data format like XML. We understand that the House Rules are expected to be published as XML in the near future, but are unaware of plans for committee documents. Regardless, in the interim, in addition to however else they are published, rules should be published in an open, non-proprietary format, even if as a TXT, ODT or DOCX file, without the annotations that make GPO's version unusable for many purposes.

Publish Bioguide in XML with a Change Log

The Biographical Directory of the United States Congress (or Bioguide) is an excellent source of information about current and former members of Congress. Since 1998, the online version of the Bioguide has been maintained by staff in the Office of the Clerk's Office of History and Preservation and the Office of the Historian of the United States Senate at http://bioguide.congress.gov. And, since at least 2007, the underlying data structures for Bioguide data have been provided by the House at its

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[11] See, for example, these two versions of the 2012 Annual Report. This version, released to the public, has 41 pages https://www.loc.gov/crsinfo/about/crs12_annrpt.pdf; and this version, available to congressional staff, has 101 pages http://www.scribd.com/doc/296990681/Annual-Report-of-the-Congressional-Research-Service-2012#scribd. The difference is the latter contains a list of CRS reports released in the instant year.

[12] "Provided, That no part of this appropriation may be used to pay any salary or expense in connection with any publication, or preparation of material therefor (except the Digest of Public General Bills), to be issued by the Library of Congress unless such publication has obtained prior approval of either the Committee on House Administration or the Senate Committee on Rules and Administration."

XML website. Unfortunately for those who wish to programmatically make use of the information, the website's data is published only in HTML. In addition, the Bioguide website provides up to three HTML files for each Member: a biography, extended bibliography, and research collection, which can triple the amount of work required to fully scrape the website. We recommend Bioguide information be published in XML. In addition, a change log for the Bioguide website through Twitter or an RSS/Atom feed would be helpful to keep the public apprised of updates/changes.

Constitution Annotated
The Constitution Annotated (or CONAN) is a continuously-updated century-old legal treatise that explains the Constitution as it has been interpreted by Supreme Court. While the Joint Committee on Printing required in November 2010 that GPO and CRS to publish CONAN online, with new features, and with updates as soon as they are prepared, it did not require publication in a machine-readable format.[13] This is an important omission, as the document is prepared in XML yet published online as a PDF, even while it is internally available to Congress as a series of HTML pages. In light of the House's broadening of documents availability in machine-readable formats, this issue is ripe for resolution. Publication of the XML source or the HTML pages would address some of these concerns.

House Office and Support Agency Reports
The legislative offices and agencies that support of the work of the House of Representatives issue annual or semi-annual reports on their work. These reports are of interest to the public, as they help explain legislative operations and often can help ensure public accountability. While some offices, such as the Chief Administrative Office, routinely publish their reports online, others do not, or do not do so in a timely fashion. We urge that the Committee to require all legislative support offices and agencies that regularly issue reports that summarize their activities to publish those reports online in a timely fashion, including back issues.

Thank you your attention to these issues. To discuss this further, please contact Daniel Schuman, co-chair, Congressional Data Coalition, at 202-577-6100 or daniel.schuman@gmail.com or Zach Graves, digital director, R Street Institute, at (202) 525-5717 or zgraves@rstreet.com.

Sincerely yours,

Center for Data Innovation
Data Coalition
Demand Progress
Free Government Information
GovTrack.Us
New America's Open Technology Institute
OpenGov Foundation
OpenTheGovernment.Org
R Street Institute
Sunlight Foundation

[13] See http://www.scribd.com/doc/48672433/Constitution-Annotated-Congressional-Record-and-Statutes-at-Large.

Daniel Schuman | Policy Director | Demand Progress

Testimony for the Record before the House Legislative Branch Appropriations Subcommittee

March 22, 2016

Daniel Schuman Biography

Daniel Schuman has long worked at the intersection of law, policy, and technology. He currently serves as policy director with ***Demand Progress***, a civic organization with 2 million affiliated activists that fights for fights for basic rights and freedoms needed for a modern democracy. He most recently served as policy director for ***Citizens for Responsibility and Ethics in Washington***, and prior to that as policy counsel with ***the Sunlight Foundation***. In a prior life he was a legislative attorney with the ***Congressional Research Service***.

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[Insert Subcommittee Name Here]

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Your Name, Business Address, and Telephone Number:

Daniel Schuman, 30 Ritchie Ave., Silver Spring, MD, 202-577-6100.

1. Are you appearing on behalf of yourself or a non-governmental organization? Please list organization(s) you are representing.

Center for Data Innovation, Data Coalition, Demand Progress, Free Government Information, GovTrack.Us, New America's Open Technology Institute, OpenGov Foundation, OpenTheGovernment.org, R Street Institute, Sunlight Founndation

2. Have you or any organization you are representing received any Federal grants or contracts (including any subgrants or subcontracts) since October 1, 2012 related to the agencies or programs funded by the Subcommittee?

Yes No

3. Have you or any organization you are representing received any contracts or payments originating with a foreign government since October 1, 2012 related to the agencies or programs funded by the Subcommittee?

Yes No

4. If your response to question #2 and/or #3 is "Yes", please list the amount and source (by agency and program) of each Federal grant (or subgrant thereof) or contract (or subcontract thereof), and/or the amount and country of origin of any payment or contract originating with a foreign government. Please also indicate whether the recipient was you or the organization(s) you are representing.

Signature: Daniel Schuman Date: March 21, 2016

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