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S. HRG. 114–177

LEGISLATIVE BRANCH APPROPRIATIONS FOR FISCAL YEAR 2016

HEARINGS

BEFORE A

SUBCOMMITTEE OF THE

COMMITTEE ON APPROPRIATIONS

UNITED STATES SENATE

ONE HUNDRED FOURTEENTH CONGRESS

FIRST SESSION

ON

H.R. 2250

AN ACT MAKING APPROPRIATIONS FOR THE LEGISLATIVE BRANCH FOR THE FISCAL YEAR ENDING SEPTEMBER 30, 2016, AND FOR OTHER PURPOSES

Architect of the Capitol
Congressional Budget Office
Government Accountability Office
Government Publishing Office
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Nondepartmental Witnesses
Office of Compliance
United States Capitol Police
U.S. Senate Office of the Secretary
U.S. Senate Sergeant at Arms and Doorkeeper

Printed for the use of the Committee on Appropriations

Available via the World Wide Web: http://www.gpo.gov/fdsys/browse/committee.action?chamber=senate&committee=appropriations

U.S. GOVERNMENT PUBLISHING OFFICE

93–127 PDF WASHINGTON : 2016

For sale by the Superintendent of Documents, U.S. Government Publishing Office
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LEGISLATIVE BRANCH APPROPRIATIONS FOR FISCAL YEAR 2016

TUESDAY, MARCH 10, 2015

U.S. SENATE,
SUBCOMMITTEE OF THE COMMITTEE ON APPROPRIATIONS,
Washington, DC.

The subcommittee met at 3:04 p.m., in room SD–138, Dirksen Senate Office Building, Hon. Shelley Moore Capito (chairman) presiding.

Present: Senators Capito, Schatz, and Murphy.

CONGRESSIONAL BUDGET OFFICE

STATEMENT OF DR. DOUGLAS W. ELMENDORF, PH.D., DIRECTOR

OPENING STATEMENT OF SENATOR SHELLEY MOORE CAPITO

Senator CAPITO. Good afternoon, everybody. The subcommittee will come to order. I would like to welcome everyone to the first of our fiscal year 2016 budget hearings for the variety of agencies under the jurisdiction of the Legislative Branch Appropriations Subcommittee.

I would like to welcome my ranking member. This is our first run at this show, and I think I speak for myself and for the Senator, that we are excited about having this responsibility.

We are going to begin today with the Director of the Congressional Budget Office (CBO), Dr. Douglas Elmendorf, and the head of the Government Accountability Office (GAO), Mr. Gene Dodaro. I appreciate the willingness of the witnesses to appear before the subcommittee today.

I would like to start by thanking Dr. Elmendorf for his 6 years of service as the Director of the Congressional Budget Office. As we talked just briefly, I know you are going to be welcoming a breath of fresh air in your life, a time to reflect and figure what you want to do for the rest of your life, but you have been a stellar public servant.

Your tenure has assured that the CBO provided this committee with objective, non-partisan information that is necessary for us to do our job, and I speak for the rest of Congress as well.

We appreciate the manner in which you have approached this with the very, very difficult task that you have had. We wish you well.

As many of you already know, on February 27, the Speaker of the House, John Boehner, and the President Pro Tempore, Orrin Hatch, jointly appointed Dr. Keith Hall to be the next Director of

the Congressional Budget Office, after consideration of the recommendation made to leadership by the chairmen of the House and Senate Budget Committees.

Dr. Hall's term will begin on April 1. Maybe he should start on April 2. It will expire on January 3, 2019, in accordance with the guidelines set forth in the Congressional Budget and Impoundment Control Act of 1974.

The total Congressional Budget Office request is $47.27 million, a $1.57 million or 3.4 percent increase over the 2015 enacted level. This funding request supports the current full-time equivalent (FTE) level of 235 plus an additional three FTEs necessary for health related work and developing a specific structure within the existing Macroeconomic Division, in order to comply with the new House rule requirement.

The total GAO request for fiscal year 2016 is $553.1 million, a $31.1 million or 6 percent increase above the fiscal year 2015 enacted level. This funding request supports an increase in FTEs from 3,015 to 3,055, which would continue progress on GAO's multi-year plan to achieve an optimal level of 3,250 FTEs.

I look forward to exploring these needs with you and the other members of the subcommittee today and over the next several months as we move forward through this fiscal year 2016 process.

Again, I would like to thank you, and I would like to turn it over to the ranking member, Senator Schatz, for any opening remarks he might have.

STATEMENT OF SENATOR BRIAN SCHATZ

Senator SCHATZ. Thank you, Chair Capito. It is an honor to serve on the Senate Appropriations Committee and especially to be serving as your ranking member. I look forward to working with you on this subcommittee, and we are fortunate to have you and your 14 years of experience in the Federal legislative context.

I am anxious today to get started on our work together examining the budgets of agencies funded in this bill and making sure that the taxpayers' money is being spent wisely.

I would like to welcome Director Elmendorf and Comptroller General Dodaro to this hearing. CBO and GAO play a vital role in supporting the Congress' legislative and oversight responsibilities by providing objective and authoritative information to the Congress. CBO and GAO ensure that policy and funding debates are based on sound factual and independent information.

Recent policy and funding decisions are being considered within a challenging fiscal climate, making CBO's cost estimates, budget projections, and economic forecasts especially important.

Within GAO, one key component of their work is the agency's high risk list published at the start of each new Congress to identify areas at high risk for waste, fraud, abuse, or mismanagement. The high risk list provides Congress and the committee a clear and informed set of oversight priorities.

I look forward to working with our two agencies today and throughout the year to ensure that both have the resources needed to fulfill your responsibilities.

I am also interested in learning how your agencies may have to adjust their operations if current Budget Control Act (BCA) spending caps remain in place.

Dr. Elmendorf, after 6 years, you will soon finish your service as CBO Director. I understand CBO has produced more than 3,000 written cost estimates under your leadership, and that this is your 50th and perhaps last congressional hearing.

I want to thank you for your service to Congress and wish you the best in your future endeavors.

Thank you, Chair Capito.

Senator CAPITO. Thank you. Now, I would like to ask the witnesses, beginning with Dr. Elmendorf, to give a brief opening statement of approximately five minutes. The written testimony of each witness will be printed in full in the hearing record. Dr. Elmendorf.

SUMMARY STATEMENT OF DR. DOUGLAS W. ELMENDORF

Dr. ELMENDORF. Thank you, Madam Chairman, and Ranking Member Schatz, for your kind words. I appreciate the opportunity to present CBO's budget request for fiscal year 2016.

We are asking for appropriations of $47.3 million, which will be an increase of $1.6 million or 3.4 percent from the $45.7 million provided to CBO for 2015.

About one-quarter of our requested increase, roughly $440,000, would fund three additional full-time equivalent positions. We aim to boost our staffing from the 235 FTEs contemplated for this year to 238 next year.

The additional FTEs would be devoted, as the chair said, to analyze the economic effects of Federal tax and spending policies, including conducting so-called "dynamic analysis" of certain legislation under the new House rule, and probably on occasion for the Senate as well, and to analyze healthcare issues.

The remaining $1.1 million of the increase, about 2.4 percent, will be devoted to our ongoing operations. That figure is the net increase of an increase of $1.7 million in pay and benefits, and a decrease of about $550,000 in non-pay expenditures.

The proposed increase in pay and benefits reflects small increases in average pay and rising costs of benefits, including a marked increase in contribution rates for the Federal Employees Retirement System that took effect this year but was not anticipated in our budget request for this year. We are meeting this year's costs within our appropriations because the pay of some new employees has turned out to be less than we anticipated.

We continue to face considerable competitive pressure in attracting and retaining the highly educated and skilled employees that we and the Congress need. Talented economists and budget analysts are highly sought by other Government agencies, private analytic organizations, and private companies.

Indeed, the gap between the compensation that CBO can provide and the compensation that people with such backgrounds can receive elsewhere is increasing.

The decrease in non-pay expenditures in our request is mostly related to information technology, and it is possible because funding provided last year and this year allowed us to catch up on IT purchases that had been deferred from previous years.

In various other areas, we expect to contain non-pay costs so it will be less than or equal to this year's expenditures, despite rising prices.

Our goal with this funding request is to continue to provide the Congress with a timely, carefully thought out, non-partisan budgetary and economic analysis that you and your colleagues expect from us.

As you know, our work encompasses a wide array of subjects and appears in many different forms. We write reports on the outlook for the budget and the economy, long term budget outlook, and options for reducing budget deficits.

We issue more than 500 formal cost estimates in a year and provide thousands of preliminary informal estimates as committees seek to have a clear picture of the budgetary impact of proposals before they formally consider legislation.

We release more than 100 scorekeeping tabulations each year, including account level detail for individual appropriation acts at all stages of the legislative process.

We publish roughly 85 analytical reports and other publications each year, generally as required by law, or in response to requests from the chairman and ranking members of key committees.

A common thread running through all of that work is that the demand from you and your colleagues exceeds the quantity that the 235 of us at CBO can supply. The enactment of major healthcare legislation in 2010 has been followed as you know by a high level of congressional interest in analysis of that legislation and numerous proposals for further changes in Federal healthcare programs.

In addition, the slow recovery of an economic down turn has spurred interest in our economic forecasts, and in policies that might boost economic growth and opportunity in both the near term and the longer term.

Moreover, the surge in Federal debt and the high level of projected deficits over the long term have led to ongoing consideration of fundamental changes in spending and tax policies, from changes in benefit programs to defense policy, infrastructure, energy policy, and much more.

Despite the very hard work of CBO's highly dedicated staff, we simply cannot keep up with the volume of requested estimates and other analyses. Of course, we regularly consult with the leadership of the key committees of the House and the Senate as a whole to ensure that our limited resources are focused on the work that is of highest priority to the Congress.

Even so, if we have to reduce our staffing below the current level, the mismatch between the demand for and the supply of our work would become even more acute.

I want to close by thanking this committee for the support it has supported CBO over many years. I have had the extraordinary privilege to lead a terrific organization and work with its very talented people for the past 6 years. I know CBO will continue to provide the Congress with careful objective analysis as you and your colleagues grapple with the many challenges the Nation faces.

Thank you.

[The statement follows:]

PREPARED STATEMENT OF DR. DOUGLAS W. ELMENDORF

Madam Chairman, Ranking Member Schatz, and members of the subcommittee, thank you for the opportunity to present the Congressional Budget Office's budget request. CBO requests appropriations of $47.3 million for fiscal year 2016. That amount represents an increase of $1.6 million, or 3.4 percent, from the $45.7 million provided to CBO for 2015.

About one-quarter of the requested increase, roughly $440,000, would fund three new full-time-equivalent positions (FTEs): The agency aims to boost its staffing from the 235 FTEs contemplated in the 2015 appropriation to 238 for 2016. The additional FTEs would be devoted to analyzing the economic effects of Federal tax and spending policies (including conducting "dynamic analysis" of certain legislation pursuant to a new House rule) and healthcare issues.

The remaining $1.1 million increase (about 2.4 percent) would be devoted to ongoing operations—the result of an increase of nearly $1.7 million in pay and benefits, which would be partly offset by a decrease of about $550,000 in nonpay expenditures. The proposed increase in pay and benefits reflects small increases in average pay and rising costs of benefits, including a marked increase in contribution rates for the Federal Employees Retirement System (FERS) that took effect in 2015 but was not anticipated in CBO's 2015 budget request. The decrease in nonpay expenditures, mostly related to information technology (IT), is possible because funding provided in 2014 and 2015 allowed CBO to catch up on IT purchases deferred from previous years. In various other areas, CBO expects to contain nonpay costs so they will be less than or equal to this year's expenditures, despite rising prices.

Of the requested funding for 2016, 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 2002 and 2008, the number of authorized FTEs at CBO held between 232 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 healthcare 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 engage in analyses of particularly complex issues and to provide substantially more estimates and other analyses to the Congress. Among the accomplishments that were facilitated by the larger staff were a significant expansion of healthcare analysis, substantial enhancement of financial analysis, considerable improvement in modeling the economic effects of Federal tax and spending policies, issuance of several reports with options for changing Federal benefit programs, significant gains in the transparency of CBO's analysis, and continued high quality of the agency's cost estimates 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 to the agency during the preceding years (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.

Figure 1.

FTEs Authorized for Fiscal Years 2002 Through 2016

Notes: O = In the second quarter of fiscal year 2014, CBO received an appropriation that authorized 235 FTEs, but because of the timing of the appropriation, a realistic goal was 225.

FTE = full-time-equivalent position.

Figure 2.

Funding for Fiscal Years 2011 Through 2016

Millions of dollars

CBO's appropriation for 2014 was significantly larger than its appropriation for 2013, and the appropriation for 2015 equaled the amount provided in 2014. Accordingly, the agency sharply increased its recruiting efforts in order to return its staffing to the traditional level of 235 FTEs as quickly as possible and to catch up on deferred IT purchases. As a result, staffing now stands at 234 FTEs, and the number is expected to be slightly higher by the end of this fiscal year.

CBO'S FUNDING REQUEST AND ITS CONSEQUENCES FOR STAFFING AND OUTPUT

In fiscal year 2016, CBO will continue its mission of providing objective, insightful, timely, and clearly presented budgetary and economic information to the Congress. To fulfill that mission, CBO requests $47.3 million in funding—an increase of $1,570,000 from the $45.7 million provided for 2015. The requested amount of funding would allow CBO to provide the following estimates and other analyses to the Congress:

—Reports presenting the outlook for the budget and the economy, analyses of the President's budget, long-term budget projections, and options for reducing budget deficits;

—More than 500 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;

—About 120 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; and

—Roughly 85 analytical reports and other publications—generally required by law or prepared in response to requests from the Chairmen and Ranking Members of key committees—on a broad range of topics, including healthcare, policies for increasing economic growth and opportunity, changes in benefit programs, defense policy, infrastructure, energy policy, and the Government's role in the financial system.

Those products would be the result of very hard work by CBO's highly dedicated staff. Nevertheless, the agency expects that the anticipated volume of estimates and other analyses will fall considerably short of the number of Congressional requests. The demands on CBO remain intense: The enactment of major healthcare legislation in 2010 has been followed by a high level of congressional interest in analysis of that legislation and numerous proposals for further changes in Federal healthcare programs. In addition, the slow recovery from the economic downturn has spurred interest in the agency's economic forecasts and in policies that might boost economic growth and opportunity in both the near term and the longer term. Moreover, the surge in Federal debt and the high level of projected deficits have led to ongoing congressional efforts to enact fundamental changes in spending and tax policies. 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 limited resources are focused on the work that is of highest priority to the Congress.

The requested funds would be used as follows:

—$32.1 million for pay of personnel—an increase of $1.6 million (5 percent) over the amount that will be spent in fiscal year 2015. 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 2.2 percent for employees making less than $100,000 (if such an increase is authorized for executive branch agencies).

—$11.1 million for benefits of personnel—an increase of $0.5 million (5 percent) relative to the amount projected to be spent in 2015, to fund an increase in the cost of Federal benefits as well as the benefits for the added staff members. The increase in the FERS contribution rate (about 1.7 percentage points for most of the affected employees) took effect in 2015 but was not anticipated in the 2015 budget; those costs are being met within the 2015 appropriation because the pay of some new employees turned out to be lower than anticipated. The higher FERS contribution rate accounts for about $0.5 million of the proposed 2016 funding.

—$4.1 million for other purposes—a decrease of $0.5 million (12 percent) from the amount appropriated in 2015. The funds would go toward purchases of IT, data, training, and other items. The decrease for 2016 is made possible primarily by

the fact that the 2014 funding 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.

Senator CAPITO. Comptroller General.

GOVERNMENT ACCOUNTABILITY OFFICE

STATEMENT OF HON. GENE L. DODARO, COMPTROLLER GENERAL

Mr. DODARO. Good afternoon, Madam Chairman, Senator Schatz. I am very pleased to be here this afternoon to discuss GAO's budget request.

First, I would like to add to the compliments that both of you have provided to Doug Elmendorf. He has been a tremendous colleague to work with over the years. I want to wish him well in his future endeavors.

GAO BUDGET

With regard to GAO's budget request, I just want to make three basic points. First, GAO provides an excellent return on investment in supporting the Congress and improving the performance and accountability of the Government.

Second, our ability to make an impact and help the Congress is dependent on having a highly skilled and experienced workforce to carry out our responsibilities.

Finally, we have advanced a prudent request that will enable us to meet the highest priority needs of the Congress and provide the greatest impact on achieving financial benefits.

GAO RETURN ON INVESTMENT

First, on GAO's return on investment. Last year as a result of implementing our recommendations, there were over $54 billion in financial benefits identified to the Congress and the country. This is about a $100 return for every dollar invested in GAO. There were also about 1,200 documented improvements in agency operations that addressed public health and safety issues or helped improve the performance and efficiency of Government programs.

The Bipartisan Budget Act recently incorporated recommendations from GAO to save over $23 billion which helped in avoiding the sequestration process for fiscal years 2014 and 2015. The Consolidated Appropriations Act for 2015 was replete with references to GAO's work. We made contributions to numerous authorizations and reauthorizations on everything from defense to agriculture programs.

We also helped advance major management reforms that the Digital Accountability and Transparency Act will now improve, if properly implemented, such as the accuracy and searchability of all information on Federal spending.

Our work also led to the Federal Information Technology Reform Act, which will improve IT acquisitions across Government. We have made a number of recommendations to five different pieces of legislation that were passed last year, addressing the Federal Government's response to cybersecurity issues going forward.

I think the record of investing in GAO is very clear and demonstrates that you get good results.

GAO WORKFORCE

With regard to our workforce, 82 percent of our request is for people. We need highly skilled and experienced people. Right now, we face succession planning challenges. Like many other public sector and private sector organizations, our workforce is aging.

Right now, 40 percent of our Senior Executives are eligible to retire and 20 percent of our Senior Managers are eligible to retire. As I look ahead to 2018, those numbers go to well over 50 percent of our Senior Executives and over 30 percent of our Senior Managers.

We need to keep replenishing our pipeline. For people to make improvements across the breadth of the Federal Government's operations, they need to be experienced. We need to bring them in and train them not only on how GAO does its work, but also train them to become specialists in subject areas, since we serve about 94 percent of the full committees of the Congress, standing committees of the Congress, and 70 percent of the subcommittees. We need experts in many different areas across the Federal Government.

Finally, I would mention our request this year is for a 5.9 percent increase. That would increase our number of FTE positions by 40. We believe this is a prudent increase. As you mentioned, Madam Chairman, in your opening comments, the optimal level, I believe, for GAO is 3,250 full-time equivalent positions. I am not asking to get to that level as a part of this request.

As the auditor of the Federal Government's financial statements, I understand our fiscal position right now in terms of the deficit and debt. The 40 additional positions will enable us to tackle very important issues ranging from $124 billion in improper payments that went out last year, as well as the $385 billion tax gap. We are losing money that we are paying that we should not be paying, and not collecting as much as we should be collecting.

We can make a big difference in those areas and other high risk areas across the Government.

Thank you very much for the opportunity to be here today. I look forward to responding to your questions.

[The statement follows:]

PREPARED STATEMENT OF HON. GENE L. DODARO

Chairman Capito, Ranking Member Schatz, and members of the subcommittee:

On behalf of the U.S. Government Accountability Office (GAO), I appreciate the opportunity to discuss our fiscal year 2016 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.

The fiscal year 2015 funding of $522 million will allow GAO to have a staff capacity of 3,015 full-time equivalent (FTE) positions. This is a positive step forward in rebuilding our staff capacity, which in recent years had dropped to its lowest level since 1935 due to funding constraints. GAO remains committed to quality, focusing on meeting the highest priorities of Congress, and assisting in improving Government efficiency and effectiveness.

GAO's fiscal year 2016 budget request of $553.1 million will support 3,055 FTEs, continuing progress towards achieving an optimal level of 3,250 FTEs. The requested funding also provides the resources to maintain current operations and make limited investments in information technology (IT) and building infrastruc-

ture. Costs will be offset with $33.4 million in reimbursements, primarily from financial audits and rental income.

GAO HIGHLIGHTS

Highlights of GAO–15–417T, a testimony before the Subcommittee on Legislative Branch, Committee on Appropriations, Senate.

BACKGROUND

GAO's mission is to support Congress in meeting its constitutional responsibilities and to help improve the performance and 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 and recommends improvements, when appropriate, across the full breadth and scope of the Federal Government's responsibilities.

GAO's work supports a broad range of interests throughout Congress. In fiscal year 2014, GAO received requests for our work from 94 percent of the standing committees of Congress and almost 70 percent of their subcommittees. Additionally, senior GAO officials testified 129 times on a wide range of issues that touched virtually all major Federal agencies.

GAO remains one of the best investments in the Federal Government, and GAO's dedicated staff continues to deliver high quality results. In fiscal year 2014 alone, GAO's work yielded $54.4 billion in financial benefits—a return of about $100 for every dollar invested in GAO. Since fiscal year 2003, GAO's work has resulted in:

—over ½ trillion dollars in financial benefits; and

—about 15,800 program and operational benefits that helped to change laws, improve public services, and promote sound management throughout Government.

These results are a reflection of the dedication and hard work of GAO's staff. GAO has again been recognized as an employer of choice, and continues to be ranked near the top on "best places to work" lists. In December 2014 the Partnership for Public Service ranked GAO second among mid-size agencies as one of the best places to work in the Federal Government.

FISCAL YEAR 2016 PERFORMANCE BUDGET

GAO's fiscal year 2016 budget request of $553.1 million supports 3,055 full-time equivalent (FTE) staff and continues progress towards achieving an optimal level of 3,250 FTE. The request also provides the resources to maintain current operations and make limited investments in GAO's information technology (IT) and building infrastructure. Costs will be offset with $33.4 million in reimbursements, primarily from financial audits and rental income.

The Congress used GAO's work extensively in 2014 to identify legislative solutions to emerging problems, achieve cost savings, and find efficiencies in Federal agencies and programs. GAO's work helped Congress achieve some of the billions in savings and revenue enhancements needed to avoid sequestration in fiscal years 2014 and 2015. In addition, GAO's work was cited repeatedly in the *Consolidated and Further Continuing Appropriations Act, 2015,* and contributed to over a dozen key authorizations and reauthorizations, including, among others, the Department of Defense, the Coast Guard, workforce programs, and agriculture programs. GAO's work also contributed to bills intended to improve veteran's healthcare, Federal acquisitions of information technology and weapons systems, and transparency of Federal programs.

In addition to the $54.4 billion in financial benefits from GAO's work, during fiscal year 2014, we recorded over 1,200 program and operational improvements in numerous areas affecting public safety and security and the efficient and effective functioning of Government programs, including:

—cybersecurity governance;

—oversight of international food aid;

—security of diplomatic facilities and personnel overseas;

—sharing of terrorism-related information with Federal and non-Federal partners; and

—the future of nanomanufacturing, including research and development, U.S. competitiveness, and environmental, health, and safety concerns.

Workforce and succession planning also remain a priority for GAO. In fiscal year 2015, GAO plans to achieve a staffing level of 3,015 FTEs through a targeted recruiting strategy to address critical skills gaps. This is a positive step forward in rebuilding staff capacity which in recent years had fallen to the lowest level since 1935. The additional staff will help ensure GAO has the resources to assist Congress in improving Government performance, effectiveness, and accountability, as well as

support GAO's commitment to service and quality. GAO's limited investments in IT and building infrastructure will allow GAO to further streamline business operations, increase staff productivity, as well as improve access to information. Implementation will be done through a phased approach to reduce risk and ensure effective implementation.

ASSISTING CONGRESS AND THE NATION

GAO provides an exceptional investment, a return of about $100 for every dollar invested in GAO. In fiscal year 2014, our work resulted in $54.4 billion in financial benefits and 1,288 program and operational improvements across the Federal Government.

The program areas where these benefits have been realized include public safety and security, program efficiency and effectiveness, public insurance and benefits, acquisition and contract management, tax law administration, and business process and management.

GAO is recognized for its non-partisan, first-hand, objective, fact-based, and reliable analyses across the full breadth and scope of the Federal Government's responsibilities and the extensive interests of Congress.

In fiscal year 2014, we responded to requests from 94 percent of the standing full committees of the Congress, and almost 70 percent of the standing subcommittees. Our analyses and testimony inform debate and decisions by providing facts and supporting documentation. We provide program and technical expertise to support Congress in overseeing the executive branch, evaluating spending priorities, and assessing information from outside parties.

GAO remains steadfast in our financial stewardship responsibilities by providing high quality work 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, GAO recommends solutions across a vast array of areas to foster Government efficiency, effectiveness, and responsiveness on high priority challenges facing Congress and the Nation. In fiscal year 2014, we issued 693 reports and made 1,619 new recommendations. On average about 80 percent of GAO's recommendations have been implemented over a 4 year period.

GAO's Work Helps Congress Avoid Sequestration

Our findings are often cited in House and Senate deliberations and committee reports supporting congressional action, including improving Federal programs on our High Risk list and addressing fragmentation, overlap, and duplication in Government. Congress used our work on a broad range of issues to inform its decisions on important legislation, which also resulted in financial and other benefits for the Government.

For example, some of the key decisions adopted by Congress on the fiscal year 2014 and 2015 budget (the Bipartisan Budget Act of 2013) were linked to our work.

Specifically, our efforts helped Congress achieve some of the billions in savings and revenue enhancements needed to avoid sequestration in fiscal years 2014 and 2015, including:

—improving the cost-effectiveness of filling the Strategic Petroleum Reserve resulting in estimated savings of $3.2 billion over 10 years;
—reducing overpayments for unemployment insurance by $159 million over 10 years by identifying fraud or failure to report earnings;
—expanding the risk-based element of the Pension Benefit Guaranty Corporation's premium rate structure to increase revenues and offset direct spending by $7.9 billion over 10 years;
—reducing improper payments to inmates for disaster relief and other assistance resulting in savings of $80 million over 10 years; and
—increasing aviation security fees to cover 43 percent of aviation security costs in 2014, saving $12.6 billion over 10 years.

Other contributions to mitigating the sequester related to our work included capping compensation costs for Federal contractors.

GAO Contributes to a Wide Range of Key Appropriations and Authorization Legislation

The Congress used GAO's work in 2014 to identify legislative solutions to emerging problems, achieve cost savings, and find efficiencies in Federal agencies and programs. For example, GAO's work was cited repeatedly in the *Consolidated and Further Continuing Appropriations Act, 2015* (2015 Appropriations Act), and contributed to over a dozen key authorizations and reauthorizations, including for the De-

partment of Defense, the Coast Guard, workforce programs, and agriculture programs.

GAO's work also contributed to bills intended to improve veteran's healthcare, Federal acquisitions of information technology (IT) and weapons systems, and transparency of Federal programs, among others. Examples include:

Cost savings and efficiencies

—In the 2015 Appropriations Act, Congress rescinded funds or reduced administration proposals for weapon systems, including the Amphibious Combat Vehicle, Joint Tactical Radio System, and the Kiowa Warrior helicopter program for an estimated total of over $500 million.

—To improve accountability, the Act also withheld funds from agencies, including the Departments of Defense and Energy, until problems identified by GAO were addressed.

—The Agricultural Act of 2014 reflected billions of dollars in savings through the end of the direct payment program and clarification of eligibility for farm program payments.

—The Workforce Innovation and Opportunity Act reauthorization realigned and streamlined employment and training programs, and the Water Resources Reform and Development Act directed the Army Corps of Engineers to realign projects according to priority.

—The Carl Levin and Howard P. "Buck" McKeon National Defense Authorization Act for fiscal year 2015 (2015 NDAA) required the Department of Defense to periodically reassess their headquarters requirements to address growth in headquarters bureaucracy.

Increasing Government transparency

—The Digital Accountability and Transparency Act required the Federal Government to set government-wide data standards for financial data intended to result in consistent, reliable, and searchable government-wide spending data available to the Congress, agency managers, and the public.

—The 2015 Appropriations Act and numerous authorization acts required Federal agencies to report on how they would respond to GAO's findings and recommendations.

Services for veterans

—The Veterans Access, Choice, and Accountability Act reflected GAO's recommendations regarding changes in the procedures for which VA will pay for healthcare for veterans outside of the VA system. It also addresses concerns about coordination between VA and the Indian Health Service on veteran's healthcare.

—The Act takes measures to improve IT and staff training related to appointment scheduling.

—The fiscal year 2015 Appropriations Act instructs DOD to improve cemetery and burial operations, including implementing GAO's recommendations regarding better serving rural veterans.

Responding to emerging security issues

—Five new laws addressing emerging cybersecurity challenges reflected GAO's recommendations, including provisions related to security standards, improving the Federal cybersecurity workforce, promoting public and private collaboration regarding cybersecurity, and to clarify and strengthen cybersecurity roles among Federal agencies.

—With regard to chemical facility security, GAO's work was reflected in the Protecting and Securing Chemical Facilities Act of 2014, which should result in improved risk assessment procedures.

Improvements to Federal acquisitions

—In addition to the savings from weapon systems mentioned above, GAO's work was reflected in the Federal Information Technology Acquisition Reform Act, which addresses cost and performance issues in Federal IT acquisitions by improving the transparency of major IT investments, expanding the Chief Information Officer's authorities, eliminating duplication, and identifying cost savings opportunities.

—Similarly, the Transportation Security Acquisition Reform Act of 2014 requires the Transportation Security Agency (TSA) and the Department of Homeland Security (DHS) to reform their approach to identifying technology investments and monitoring cost, schedule and performance of these acquisitions.

Protecting workers and consumers

—In the 2015 Appropriations Act the Congress addressed the severe financial difficulties of multiemployer pension plans and the Pension Benefit Guaranty Corporation's Multiemployer Insurance Program.
—The Cooperative and Small Employer Charity Pension Flexibility Act also reflected GAO's recommendations regarding these pensions.
—The 2015 Appropriations Act also limits the ability of the National Technical Information Service, within the Department of Commerce, to charge consumers for reports from the Legislative Branch offices that can be obtained from those offices for free.
—It also required the Department of Education to report on how it would implement GAO's recommendations to improve management of the District of Columbia's Opportunity Scholarship Program and ensure that administrative funds can be used to implement them.
—The Coast Guard reauthorization required that information about crime on cruise ships be made easily available on the Department of Transportation's Web site.

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 fiscal year 2014, we recorded 1,288 of these other benefits.[1]

GAO's work led to improvements in numerous areas affecting public safety and security and the efficient and effective functioning of Government programs. Examples of actions taken by Government agencies in response to our work include:

—better guidance and oversight to ensure complete documentation of investigations into abuse allegations at immigration detention facilities;
—an improved cyber security governance structure to ensure that Federal agencies' efforts to educate the Nation's cyber security workforce are effective;
—strengthened oversight of international food aid to ensure that targeted assistance reaches vulnerable groups, such as children and pregnant women, in other countries;
—enhanced security of diplomatic facilities and personnel overseas, including improvements to security standards and efforts to mitigate vulnerabilities;
—better sharing of terrorism-related information with Federal and non-Federal partners and enhanced efforts to identify and narrow gaps in information sharing;
—informed decisionmaking on the future of nanomanufacturing, including research and development, U.S. competitiveness, and environmental, health, and safety concerns; and
—improved transparency regarding how sequestration decisions were implemented so that agencies can better plan for such events if they occur in the future.

This past fiscal year, GAO also issued revised internal control standards for the Federal Government and made significant contributions to international auditing standards. These standards can help agencies achieve effective internal control systems to safeguard public resources, report reliable information about their operations, and comply with applicable laws and regulations.

Through the products we issued in fiscal year 2014, we continued to build on bodies of work under our three broad strategic goals:

(1) address current and emerging challenges to the well-being and financial security of the American people;
(2) respond to changing security threats and global interdependence; and
(3) help transform the Federal Government to address national challenges.

Work completed in these areas included:

—*Protection of children*—we reported on the need for improvements to school lunches, guidance for states on the use of psychotropic drugs for children in foster care, and preventing sexual abuse of students by school personnel;
—*Veterans*—we reported on out-patient medical care, purchasing and tracking of surgical implants, cost increases and schedule delays in constructing and leasing VA medical facilities, and the accuracy and quality of processing disability claims for veterans;

[1] GAO's performance results can be found at: http://www.gao.gov/about/perfaccountreport.html. Our Web site includes a summary of GAO's fiscal year 2014 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.

—*Healthcare*—we continued to report on the implementation of the Patient Protection and Affordable Care Act (e.g., HealthCare.gov), drug shortages, Internet pharmacies selling counterfeit drugs, Medicare fraud, Medicaid financing, and nursing home care; and

—*Financial literacy*—we reported on retirement security, managed retirement accounts, student loans, college debit cards, and lump sum payment pension scams.

Testimonies

Senior GAO officials testified 129 times before 70 separate committees or subcommittees on issues that touched virtually all major Federal agencies. Figure 1 shows examples of topics GAO testified on in fiscal year 2014 organized by strategic goal.

Additional information on selected testimonies can be found in Part II of the 2014 Performance and Accountability Report at: http://www.gao.gov/products/GAO–15–1SP.

FIGURE 1: EXAMPLES OF FISCAL YEAR 2014 TESTIMONIES BY GOAL

Goal 1: *Address Current and Emerging Challenges to the Well-being and Financial Security of the American People*

Processing Veterans' Disability Benefits
Early Learning and Child Care
Social Security Disability Programs
Timely Outpatient Medical Care for Veterans
Federal Fiscal Exposure from Climate Risks
Export-Import Bank Management
Airport Development and Financing
Oil and Gas Management
U.S. Postal Service's Unfunded Benefit Liabilities
Oversight of Student Loans
Public Transit Challenges
Expectations of Government Support for Large Bank Holding Companies
Federal Efforts Supporting Financial Literacy
VA Construction of Major Medical Facilities Face Cost Increases and Schedule Delays
Medicare Fraud

Goal 2: *Respond to Changing Security Threats and the Challenges of Global Interdependence*

Arizona Boarder Surveillance Technology Plan
Personnel Security Clearances
DOD's POW/MIA Mission and Challenges
Enhancing Federal Response to Information Security Breaches
Space Launch Acquisitions
Nuclear Nonproliferation
Defense Acquisition Management Reforms
DHS Chemical Security Program
DHS's Progress Addressing High Risk Issues
DOD Acquisition Risks
F–35 Joint Strike Fighter
NASA Export Controls
DHS Research and Development Oversight
Defense Health Reform
USAID Support for Haiti's Reconstruction
HealthCare.gov Security and Privacy Controls
TSA's Screening Partnership Program

Goal 3: *Help Transform the Federal Government to Address National Challenges*

Biosafety Lapses in High Containment Labs
Use of Psychotropic Medications for Foster Children
IT Reform
Patient Protection and Affordable Care Act Enrollment Control
Leveraging Best Practices for IT Acquisitions
Monitoring Improper Payments
Government-wide Challenges to Efficiency and Effectiveness
Reducing Fragmentation, Overlap, and Duplication in Federal Programs
DOD Financial Management

Source: GAO.

In addition, to better serve our clients and the public, we expanded our presence in digital and social media, releasing GAO iPhone and Android applications, and launching streaming video web chats with the public. More than 31,300 people now get our testimonies, reports, and legal decisions daily on Twitter, and our blog was just named one of the five best across the Federal Government.

Building on our efforts in fiscal year 2013 to improve the GAO Watchdog website, available exclusively for members and their staff, in fiscal year 2014 we added drop-

down menus, videos, and other features to enhance the user-friendliness of the site; improved functionality by allowing users to more easily find information on completed and ongoing GAO engagements; and feature new content such as descriptions of the full range of products and services GAO provides, including briefings by subject matter experts, comments on legislation, and assistance in drafting requests for work.

High Risk Program

GAO maintains a list for Congress of High Risk areas, which 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, organized by six broad areas that touch on every aspect of Government operations:

—*Strengthening the Foundation for Efficiency and Effectiveness,* including management of Federal oil and gas resources, modernizing the U.S. financial regulatory system and the Federal role in housing finance;

—*Transforming DOD Program Management;*

—*Ensuring Public Safety and Security,* including mitigating gaps in weather satellite data and protecting public health through enhanced oversight of medical products;

—*Managing Federal Contracting More Effectively,* including at DOD, NASA and DOE;

—*Assessing the Efficiency and Effectiveness of Tax Law Administration;* and

—*Modernizing and Safeguarding Insurance and Benefit Programs.*

In February 2015, GAO released its latest update of the list. The report noted that solid, steady progress has been made in the vast majority of the high-risk areas. Eighteen of the 30 areas on the 2013 list at least partially met all of the criteria for removal from the High Risk List. Of those, 11 met at least one of the criteria for removal and partially met all others. Sufficient progress was made to narrow the scope of two high-risk issues—*Protecting Public Health through Enhanced Oversight of Medical Products and DOD Contract Management.* Overall, progress has been possible through the concerted actions of Congress, leadership and staff in agencies, and the Office of Management and Budget.

This year GAO added 2 areas, bringing the total to 32:

—*Managing Risks and Improving Veterans Affairs (VA) Health Care*.—GAO has reported since 2000 about VA facilities' failure to provide timely healthcare. In some cases, these delays or (VA's failure to provide care at all) have reportedly harmed veterans. Although VA has taken actions to address some GAO recommendations, more than 100 of GAO's recommendations have not been fully addressed. The recently enacted Veterans Access, Choice, and Accountability Act included provisions to help VA address systemic weaknesses. VA must effectively implement the Act.

—*Improving the Management of Information Technology (IT) Acquisitions and Operations*.—Congress has passed legislation and the administration has undertaken numerous initiatives to better manage IT investments. Federal IT investments too frequently fail to be completed or incur cost overruns and schedule slippages while contributing little to mission-related outcomes. GAO has found that the Federal Government spent billions of dollars on failed and poorly performing IT investments which often suffered from ineffective management, such as project planning, requirements definition, and program oversight and governance. Over the past 5 years, GAO made more than 730 recommendations; about 23 percent had been fully implemented as of January 2015.

GAO is also expanding two areas due to evolving high-risk issues:

—*Enforcement of Tax Laws*.—This area is expanded to include IRS's efforts to address tax refund fraud due to identify theft. IRS estimates it paid out $5.8 billion (the exact number is uncertain) in fraudulent refunds in tax year 2013 due to identity theft. This occurs when a thief files a fraudulent return using a legitimate taxpayer's identifying information and claims a refund.

—*Ensuring the Security of Federal Information Systems and Cyber Critical Infrastructure and Protecting the Privacy of Personally Identifiable Information (PII)*.—This risk area is expanded because of the challenges to ensuring the privacy of personally identifiable information posed by advances in technology. These advances have allowed both Government and private sector entities to collect and process extensive amounts of PII more effectively. The number of reported security incidents involving PII at Federal agencies has increased dramatically in recent years.

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. For example, since our last update in 2013, we issued 317 reports, delivered 78 testimonies to Congress, and prepared numerous other products such as briefings related to our high risk work. We documented more than $40 billion in financial benefits and 866 other improvements related to high-risk areas. The complete list of high-risk areas is included as Appendix I. Details on each high-risk area can be found at http://www.gao.gov/highrisk/overview.

Fragmentation, Overlap, and Duplication

GAO issued the fourth annual report in 2014 identifying 26 new areas and 64 actions that could reduce fragmentation, overlap, and duplication, as well as other cost savings and revenue enhancement opportunities across the Federal Government. To date, we have identified 188 areas where opportunities exist for executive branch agencies or Congress to reduce, eliminate, or better manage fragmentation, overlap, or duplication; achieve cost savings; or enhance revenue. These areas span a broad range of Government missions and functions.

Within these 188 areas, we've identified approximately 440 actions that executive branch agencies and Congress could take to address these opportunities for greater efficiency and effectiveness. Although Congress and executive branch agencies have made notable progress toward addressing the actions we have identified, further steps are needed to fully address the remaining actions.

As of November 2014, of the recommended actions identified in 2011, 2012, 2013, and 2014, 29 percent have been addressed; 44 percent have been partially addressed; and 23 percent have not been addressed.[2] More specifically, of the actions directed to executive branch agencies, 30 percent have been addressed, 49 percent partially addressed, and 18 percent not addressed.[3] Of the actions directed to Congress, 26 percent have been addressed, 16 percent partially addressed, and 51 percent not addressed.[4]

We estimate that executive branch and congressional efforts to address actions identified by GAO have resulted in over $10 billion in realized savings with an additional $60 billion in financial benefits to be accrued over the next 10 years. Implementing other suggested actions could result in tens of billions of dollars more in cost savings and enhanced revenues. For example, in 2012, GAO reported that the military's approach to acquiring combat uniforms was fragmented, which could increase battlefield risk and increase costs. As a result of a provision to the National Defense Authorization Act for fiscal year 2014, the Army did not field new camouflage uniforms, avoiding $4.2 billion in costs over 5 years.

To assist congressional oversight of these issues, we maintain GAO's Action Tracker, a publicly accessible Web site containing the status of actions suggested in this series of reports. The Web site allows Congress, executive branch agencies, and the public to track the progress the Government is making in addressing the issues we have identified.

Legal Work

In fiscal year 2014, GAO published 22 appropriations decisions, opinions, and letters on wide-ranging issues such as DOD's transfer of individuals from Guantanamo Bay, and the District of Columbia's budget autonomy. GAO attorneys also provided ongoing appropriations law assistance to various congressional committees and Federal agencies navigating the Government shutdown.

GAO also assisted Congress on a number of other matters, including continuing advice on the implementation of sequestration. Finally, GAO's Office of General Counsel handled more than 2,500 bid protest cases during fiscal year 2014, issuing more than 500 decisions on the merits.

The Consolidated Appropriations Act, 2014, directed GAO to develop an electronic bid protest filing system. The statute also authorized the collection and use of fees to offset the costs of that system. We conducted outreach with Congress and small business and veterans groups identified by congressional stakeholders regarding the implementation of a filing fee. Periodic updates are provided on our progress to the House and Senate Committees on Appropriations.

We are making progress in developing the system. After considering the functional requirements for an electronic filing system, with an emphasis on IT security issues, we conducted market research through a Request for Information. We invited several vendors to provide demonstrations of their capabilities, and we devel-

[2] Eighteen actions (or 4 percent) have been assessed as "consolidated or other" due to additional work or other information that we considered.

[3] Of the 18 actions assessed as "consolidated or other," 13 relate to executive branch actions (or 3 percent of the actions directed to the executive branch).

[4] Of the 18 actions assessed as "consolidated or other," five relate to congressional actions (or 7 percent of the actions directed to Congress).

oped a prototype bid protest electronic filing system as a proof of concept. We currently expect to complete development and launch the system by the end of calendar 2015.

STRATEGIC PLAN FOR SERVING CONGRESS

In February 2014, GAO released its updated Strategic Plan: *Serving the Congress and the Nation 2014–2019 (GAO–14–1SP).* The plan describes our proposed goals and strategies for supporting Congress and the Nation as the country continues through this period of challenge and opportunity. Our strategic plan framework (Appendix II) summarizes the global trends, as well as the strategic goals and objectives that guide our work.

While summarizing trends shaping the United States and its place in the world, the strategic plan reflects the areas of work we plan to undertake, including science and technology, weapons systems, healthcare, homeland security, the environment, and energy.

GAO will also increase collaboration with other national audit offices to ensure sound collaboration and coordination on global issues that directly affect the United States, including international financial markets.

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 where there is 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[5] by identifying mandates real time as bills are introduced; participating in ongoing discussions with congressional staff; and collaborating to ensure that the work is properly scoped and is consistent with the committee's highest priorities.

In fiscal year 2014, 33 percent of our audit resources were devoted to mandates and 63 percent to congressional requests. I regularly meet 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.

As a matter of routine, GAO also reviews its list of recurring mandates (i.e., those that have repeating requirements over time) on an annual basis, and works with the appropriate committees to revise or repeal, as appropriate, those mandates on topics or programs which have already been fully analyzed, thereby freeing up resources for higher congressional priorities.

During the second session of the 113th Congress, we collaborated with the Congress to revise or repeal GAO's mandated reporting requirements which had, over time, lost relevance or usefulness. Specifically, GAO worked with responsible committees to have six mandates repealed or revised as part of the 2014 National Defense Authorization Act. In addition, HR 4194, Government Reports Elimination Act repeals or revises an additional 11 mandates, and the National Defense Authorization Act for fiscal year 2015 included provisions to modify or repeal 4 reporting requirements for GAO. Both of these were passed by the Congress and signed by the President in November 2014.

FISCAL YEAR 2016 REQUIREMENTS

GAO's fiscal year 2016 budget request seeks an appropriation increase of $31.1 million, or 5.9 percent, to support a modest increase in our staffing level to 3,055 FTE and continue critical improvements in our IT, building, and security infrastructures. Costs will be offset with $33.4 million in reimbursements, primarily from financial audits and rental income.

The requested resources provide the funds necessary to ensure that GAO can meet the highest priority needs of Congress and produce results to help the Federal Government deal effectively with its serious fiscal and other challenges. A summary of GAO's resources for our fiscal year 2010 baseline and fiscal years 2014 to 2016 is shown in Figure 2.

[5] Congressional mandates include requirements directed by statutes, congressional resolutions, conference reports, and committee reports.

FIGURE 2: FISCAL YEAR 2010 BASELINE AND FISCAL YEAR 2014 TO FISCAL YEAR 2016 SUMMARY OF RESOURCES

[Dollars in thousands]

Funding Source	Fiscal Year 2010 Actual		Fiscal Year 2014 Actual		Fiscal Year 2015 Estimated		Fiscal Year 2016 Request	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Salaries and Expenses Appropriation	.....	$556,325	.....	$505,293	.....	$522,000	.....	$553,058
Non-legislative-branch appropriation	.....	21,804	.....	70	.....	.....	.....	.....
Reimbursements	.....	10,214	.....	2,330	.....	8,405	.....	7,955
Offsetting receipts	.....	10,892	.....	20,898	.....	25,000	.....	25,000
Bid protest user fees	.....	.....	.....	.....	.....	.....	.....	450
Total budget authority	3,347	$599,235	2,891	$528,591	3,015	$555,405	3,055	$586,463

Source: GAO.

STAFF CAPACITY

Our talented, diverse, and high-performing workforce is essential in fulfilling our mission of supporting Congress. While progress has been made, we still face challenges in addressing critical human capital management issues, including preparing for retirements of key subject matter experts, senior executives, and other key leaders; maintaining a performance-based and inclusive culture that helps motivate and retain a talented and diverse staff; and maintaining workplace and work-life practices that meet the needs of an evolving workforce in an equitable manner.

A significant proportion of our employees are currently retirement eligible. Presently, about 40 percent of our senior executive staff and 21 percent of our supervisory analysts are retirement eligible. In fiscal year 2015, through a targeted recruiting strategy to address critical skills gaps, we plan to hire entry-level staff and student interns to achieve a staff capacity of 3,015 FTEs. This will allow us to continue to reverse the downward trend in our FTEs and achieve some progress in reaching our optimal staffing level of 3,250 FTEs. Our fiscal year 2016 budget seeks funding for a 3,055 FTE level to help us continue to replenish the much needed pipeline of entry-level and experienced analysts to meet future workload challenges.

Priority Areas for Increased Staffing

GAO has identified areas that merit increased review and attention as additional staffing is made available including:

—*Continued Identification and Reduction in Improper Payments*.—In fiscal year 2014 improper payments made in Federal programs were estimated to be over $124 billion, nearly $19 billion higher than reported for fiscal year 2013. Moreover, much of this increase is in two of the fastest growing programs in terms of Federal expenditures—Medicare and Medicaid. GAO will continue to be vigilant in identifying improper payments and providing recommendations to prevent this wasteful situation.

—*Science and Technology*.—Congress increasingly asks GAO to review multi-billion dollar Federal investments in science and technology areas, such as cybersecurity, satellite and space programs, sophisticated weapons systems, as well as the environmental and energy sectors. GAO has also developed the capability to do science and technology assessments, and will continue to replenish our staff capacity to maintain a strong position in this area.

—*The tax gap*.—The net gap between taxes owed and taxes paid is an estimated $385 billion each year. There is about an 84 percent compliance rate on taxes owed to the Federal Government. GAO has identified a number of opportunities for the Internal Revenue Service to get better data to do the necessary comparisons and increase collections. GAO will continue to devote resources to this area. The additional resources will enable us to expand our work in finding ways to further close the tax gap.

OPERATIONAL EFFICIENCIES

In addition to addressing critical staffing needs, the fiscal year 2016 budget request also focuses funding on two other areas, information technology and building and security.

—*Information Technology*

GAO's IT systems are an essential component in ongoing efforts to maintain efficient and effective business operations and to provide timely data needed to inform management decisions.

Improvements to our aging IT software will streamline business operations, reduce redundant efforts, increase staff effectiveness and productivity, improve access to information, facilitate a more agile and mobile workforce, and improve operational efficiency.

We continue to implement many of these actions in a phased approach to promote efficiencies and monitor effectiveness. In fiscal year 2016, we plan to:

—complete implementation of the first phase of a new content creation system, which will automate the creation, indexing, referencing, review, approval, and publishing of GAO products via a standard workflow;

—increase the availability of our core network wireless infrastructure at both headquarters and the field offices; and

—strengthen our cellular signal with a new antenna capability, which will allow GAO to change providers without needing to upgrade internal antennas.

These efforts will strengthen GAO's technology infrastructure and support an array of engagement management, human capital, and financial management systems.

—*Building and Security*

GAO plans to upgrade critical aging building systems to ensure more efficient operations and security. To support these requirements our fiscal year 2016 budget request includes resources to:

—make general structural and architectural repairs, including the elevator shafts, interior walls, auditorium walls, projection booth, and the handicapped lift;

—continue addressing priority items identified in the asset management plan for critical repairs, end-of-life replacements, and energy saving investments in the headquarters building, including replacement of the first floor heating and air conditioning system and the overhaul and retrofit of two chillers;

—complete the headquarters lockdown project, which would provide building guards with the capability to lock all street exit doors more quickly in the event of an emergency or threat; and

—install Joint Worldwide Intelligence Communication System capabilities to facilitate access to DOD's Top Secret/SCI Internet.

Telework/Workspace–Sharing Pilots Reduce Costs and Improve Operational Efficiency

GAO remains committed to sound operational efficiency and effectiveness. Our telework/workspace-sharing pilot has provided an opportunity for staff to work remotely while maintaining quality and productivity. This strategy has allowed GAO to reduce our physical footprint in the field and achieve cost savings of over $2 million.

GAO is presently assessing the prospect of telework/workspace-sharing pilots in our Washington, DC headquarters. Implementation in headquarters may provide opportunities to streamline space usage and release space for lease to a future tenant, resulting in additional revenue. Results of the pilot will be critical to determining the potential for space reductions.

GAO RECOGNIZED AS ONE OF THE "BEST PLACES TO WORK"

On December 9, 2014, the Partnership for Public Service announced that GAO placed second among mid-size agencies in the best places to work in the Federal Government, and ranked number one in its support of diversity in that same category. GAO has consistently placed among the top five on the Partnership's list since 2005.

We continuously strive to be the employer of choice in the public sector. Our ranking results from the dedicated efforts of the entire GAO team and leadership for their commitment in continuing to make GAO one of the Best Places to Work. GAO management remains committed to work with our union (IFPTE, Local 1921), the Employee Advisory Council, and the Diversity Advisory Council to continue to make GAO a preferred place to work.

CENTER FOR AUDIT EXCELLENCE

The Consolidated and Further Continuing Appropriations Act, 2015, enacted in December 2014, authorized GAO to establish a Center for Audit Excellence to build

institutional auditing capacity and promote good governance by providing training and assistance to qualified personnel and entities, and permitted GAO to charge fees for the Center's products and services.

The Center's mission is to enhance good governance and build the institutional auditing capacity of domestic and international audit organizations by providing high quality training, technical assistance, and related services that leverage GAO's position as a global leader in auditing. A business plan will be provided to the Appropriations Committees that will outline several key principles to help ensure effective operation of the Center.

CONCLUDING REMARKS

In conclusion, GAO values the opportunity to provide Congress and the Nation with timely, insightful analysis on the challenges facing the country. GAO's fiscal year 2016 budget request is a fiscally responsible approach that will better position GAO 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 fiscal year 2016 request with you.

APPENDIX I: GAO'S 2015 HIGH RISK LIST

Strengthening the Foundation for Efficiency and Effectiveness

—Limiting the Federal Government's Fiscal Exposure by Better Managing Climate Change Risks
—Management of Federal Oil and Gas Resources
—Modernizing the U.S. Financial Regulatory System and the Federal Role in Housing Finance [a]
—Restructuring the U.S. Postal Service to Achieve Sustainable Financial Viability [a]
—Funding the Nation's Surface Transportation System [a]
—Strategic Human Capital Management
—Managing Federal Real Property
—Improving the Management of IT Acquisitions and Operations (*new*)

Transforming DOD Program Management

—DOD Approach to Business Transformation
—DOD Business Systems Modernization
—DOD Support Infrastructure Management [a]
—DOD Financial Management
—DOD Supply Chain Management
—DOD Weapon Systems Acquisition

Ensuring Public Safety and Security

—Mitigating Gaps in Weather Satellite Data
—Strengthening Department of Homeland Security Management Functions
—Establishing Effective Mechanisms for Sharing and Managing Terrorism-Related Information to Protect the Homeland
—Ensuring the Security of Federal Information Systems and Cyber Critical Infrastructure and Protecting the Privacy of Personally Identifiable Information [a]
—Ensuring the Effective Protection of Technologies Critical to U.S. National Security Interests [a]
—Improving Federal Oversight of Food Safety [a]
—Protecting Public Health through Enhanced Oversight of Medical Products
—Transforming EPA's Processes for Assessing and Controlling Toxic Chemicals [a]

Managing Federal Contracting More Effectively

—DOD Contract Management
—DOE's Contract Management for the National Nuclear Security Administration and Office of Environmental Management
—NASA Acquisition Management

Assessing the Efficiency and Effectiveness of Tax Law Administration

—Enforcement of Tax Laws [a]

Modernizing and Safeguarding Insurance and Benefit Programs

—Managing Risks and Improving VA Health Care (*new*)
—Improving and Modernizing Federal Disability Programs
—Pension Benefit Guaranty Corporation Insurance Programs [a]
—Medicare Program [a]
—Medicaid Program [a]
—National Flood Insurance Program [a]

Source: GAO.
[a] Legislation is likely to be necessary to effectively address this high-risk area.

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

EXPLANATION FOR THREE NEW FULL-TIME EQUIVALENT POSITIONS

Senator CAPITO. Thank you. I want to thank both of you. I will begin the questions. Dr. Elmendorf, you mentioned and you highlighted in your statement the fact that the demand exceeds the supply in terms of your workforce. You have asked for three more FTEs.

I am wondering, is this part of a gradual build up that you believe is necessary for the CBO in order to meet the demand you talked about? Or do you think this is because of the healthcare issue, and maybe some of the macroeconomic issues that need to be addressed?

Dr. ELMENDORF. Madam Chairman, I think the Congress would benefit from higher staffing levels at CBO. A few years ago, we had more than 250 FTEs. That was an increase relative to the 235 that we had in the first part of the last decade, and that increase was designed by the Appropriations Committee, the Budget Committee, and CBO, so that CBO could serve the Congress better, and in particular, by being able to do more analysis of healthcare issues without cutting back on the analysis we do across the whole range of other topics.

We put those extra resources to good use. We hired people and we produced more estimates of pending legislative proposals. We produced more reports, studying areas of the Federal budget. We did more building of models to give you and your colleagues more accurate estimates of the effects of proposals.

If it were up to me and money was freely available, I would certainly have requested a larger increase for CBO, but we understand the constraints you operate under, and we view this as a small step in a direction that would be useful to you.

USE OF CONTRACTORS AT CBO

Senator CAPITO. I appreciate that. Do you use contractors at all?

Dr. ELMENDORF. Very little. We have a few contractors. We look for expertise outside of CBO when we do not have it, but the vast majority of our expertise is in-house, and we have just a few contractors in particular areas, some in support areas, in IT, and some in substantive areas of economic and budgetary analysis, but it is very limited.

HIRING EMPLOYEES WITH NON-IMMIGRANT VISAS

Senator CAPITO. You mentioned the skills gap, trying to find the highly skilled economists in terms of competition with both the private and public sector agencies. In the 2016 budget, you include language that you have asked for for the last several years authorizing the hiring of employees with non-immigrant visas.

I understand this is not the first time, but why do you believe that hiring of employees with non-immigrant visas is critical to the workforce, to your workforce? Is it because we do not have the talent here at all or you cannot compete for that talent?

Dr. ELMENDORF. I think we are always trying to attract and retain the best people we can, and I am very proud of the people we have at CBO, but we find the recruiting and retention processes to be difficult.

On the recruiting side, about 35 percent of CBO staff have Ph.D.'s in economics, and two-thirds of the people who are obtaining Ph.D.'s in economics in this country are foreign nationals.

If we can only look at the other third, we have just taken off the table two-thirds of the people who might have the skills that we need, and we cannot settle for people who do not have the right skills, but we end up looking harder and longer. We have larger gaps between when somebody leaves and before we can fill that slot. We sometimes hire people who then need more training from us, which is fine, but it slows our work for Congress.

If we could broaden the field of people whom we could hire, at least in cases where we have a particular shortage of those skills in U.S. citizens, we think that would help us.

We had some of that authority until 2010, and we hired a small number of foreign nationals. At that point, our authority was limited to countries that were allies of the United States, and there was a well defined list of such countries. We found at the time that helped us fill some crucial niches, and that is the authority that we are requesting to have restored.

GAO EDUCATION DEMOGRAPHIC

Senator CAPITO. Just curious, Mr. Dodaro, what percentage of your workforce are Ph.D. economists, approximately?

Mr. DODARO. About 75 percent of our people have advanced degrees, Master's and Ph.D.'s.

CENTER FOR ADULT EXCELLENCE

Senator CAPITO. There are probably not too many Ph.D. economists, not as many as maybe we need. Let me ask you, at GAO, you created the Center for Audit Excellence, authorized in the 2015 bill. Can you give us an update on that and what your plans for the Center are?

Mr. DODARO. The purposes of the Center are really to help advance U.S. interests abroad. The United States spent money along with others in the donor community. USAID and multinational lending organizations are moving to rely more on country systems.

We would build the auditing capacity in other countries so there is better accountability over U.S. funds and other funds.

Also, this would improve the global marketplace. Right now, for example, in the global financial markets it is important to have international regulations implemented properly. We get most of our drugs now, 80 percent ingredients for prescription drugs, from other countries, and 40 percent of finished drugs. More of our food is now being imported.

If we can build the audit capacities in other countries, there will be better protections for U.S. consumers and U.S. interests.

We have developed a business plan for the Center. Just in the last couple of months alone, the State Department approached us about providing training to an African country to help fight corruption. The Millennium Challenge Corporation has asked for help in providing training in South America and other areas.

We get requests all the time. We are considered one of the global leaders in auditing in the world.

Senator CAPITO. Quick question on that, and then I will go to my colleagues. When you are aiding another country, are you charging a consulting fee or anything like that?

Mr. DODARO. Right now, we have to have the committees approve our business plan before we can actually start operations. The idea is to charge a fee. The Center would be self financing. We need money for start up, like any other small business. Our plan is to use retired GAO people. That way it will not affect our service to the Congress.

Senator CAPITO. Thank you. Senator Schatz.

ENERGY SAVINGS PERFORMANCE (ESPCS) AND UTILITY ENERGY SERVICE CONTRACT (UESCS)

Senator SCHATZ. Thank you. Dr. Elmendorf, CBO recently released a report that had great things to say about the taxpayer benefits of using energy savings performance contracts and utility energy service contracts to make long term investments to reduce energy costs.

You report that by law under Energy Savings Performance Contracts (ESPCs) and Utility Energy Service Contracts (UESCs), energy efficiency upgrades are paid back exclusively from realized energy savings. These contracts never result in a penny of new spending, and agencies do not need to make a meaningful upfront investment.

CBO also reports that beyond having a guarantee of no cost to the taxpayer, ESPCs and UESCs save taxpayer spending on energy. CBO estimates that after a contract is repaid using energy savings, the taxpayer typically retains at least 25 percent of the savings produced by the energy efficient equipment over its useful life.

I think the report confirms ESPCs and UESCs are a sound strategy. Again, they do not require one penny of spending, typically produce savings well beyond their costs, and isolate the taxpayer from risk that the equipment will under perform or fail.

As you know, the CBO's budgetary treatment of ESPCs and UESCs prevent Congress from enacting policies that will allow for more deployment across the Federal Government. This is because the score of the legislation to expand the use of ESPCs and UESCs only reflects the cost of the investments but not the savings that flow back over time.

We need a clear picture of which programs are saving money and CBO's scoring hides the true financial benefits of these types of instruments. CBO has reported several times that the budget rules constrain the agency from reflecting the cumulative net costs and savings from expanding the use of ESPCs and UESCs.

Dr. Elmendorf, why does CBO show any cost for entering into a contract when the contracts themselves guarantee no cost?

Dr. ELMENDORF. Senator, I appreciate your careful read of our report. Let me try to make a few points. The first is that in our analysis of the effects of ESPCs on the Federal Government's energy costs, we rely on analyses of other agencies, including the Government Accountability Office.

Our summary does report that on balance, the energy savings performance contracts that have been entered into recently have

reduced Federal energy costs. That is not true necessarily with every single contract. As we explained, there can be a wide variation in the return across contracts, but on average, that is what other agencies have determined has happened.

In our cost estimates for legislation involving ESPCs, we provide the Congress with the same sort of information that we do for other legislation. We provide an assessment of effects of the legislation on the discretionary spending, the appropriations that are determined by this committee and the rest of the Congress every year, and we provide estimates of effects on mandatory spending.

We do show as a cost in mandatory spending the commitment that the Federal Government is making when it enters into a contract of that sort. That is not a matter of scoring rules. That is just a matter of basic budget principles, which is to show the up front costs.

We also show the savings that can accrue in subsequent years. I think one challenge is that the budget window goes 10 years, and many of the savings, the largest savings in energy costs come well outside that window.

Senator SCHATZ. Sure. There are a couple of issues here. One is the scoring window, and I kind of understand how constrained you may be because frankly it is a difficult challenge, and my view is if most of the savings occur outside of the scoring window, it becomes a policy and an appropriations question more so than a question of how it gets scored.

To be precise about UESCs and ESPCs, the way these contracts are written, at least some of the time, is that the contract is written so that the Government pays no money.

In other words, it is a deal that a State government or a county government has often made private sector companies do this all the time, the company says we will retrofit your building, and whatever savings there is, some will be remitted to the performance contractor and some will be remitted back to the client.

I guess I am having a difficult time understanding how there is any costs at all that goes on the books. I understand there are technical details here.

Try to explain to me in plain English why this would cost the Government anything, forgetting the window. Why would this be an obligation on the books, if this were a private sector company and this was under GAAP procedures or wherever you were, why in the world does this look like an expenditure in anyone's world?

Dr. ELMENDORF. I think part of the answer, Senator, as you say, is the 10 year budget window. This is a transaction where much of the savings occurs outside a 10 year window. If you truncate what is reported—our study goes out 25 years to try to show the full lifetime effects of a contract of this sort, but for the 10 year budget window, if the savings are outside the window and you truncate the numbers at that point, then you will not see the full savings that you are discussing.

The other point is——

Senator SCHATZ. That is the saving side. What about the expenditure side? Am I misunderstanding what an energy savings performance contract is? My understanding over the last 12 odd years in State government and 2 years in the Federal Government is at

least some of these are written such that the Government has no obligation at all to expend a penny.

What are you marking down? What are you recognizing as an expenditure there?

Dr. ELMENDORF. What we are recognizing as an expenditure is the commitment the Government makes, it is acquiring equipment, lighting or insulation or what have you, and it is making a commitment to pay for that over a period of a number of years, but the commitment occurs up front.

It is true that on the year by year basis going forward, the Government will get some savings that will offset those payments so that——

Senator SCHATZ. Just to be clear, even from the first year, it is not like you are paying a little more in the beginning and then you get your savings back. You are starting at——

Dr. ELMENDORF. Yes, in a standard contract, there is a little bit of savings for many years and then larger savings beyond that once the equipment has been essentially paid off.

Senator SCHATZ. You are saying acquiring the commitment is what has to be recognized essentially on the spending side?

Dr. ELMENDORF. Yes, that is right. I think that is really a very important principle, that if the Government takes an action that commits it to spending money, then that cost should be recorded, we think, and very long-standing budget principles say it should be recorded at the time that commitment is made.

The savings will be realized later in many cases, and we try to show those as well. The distinction, again, I think is partly the 10 year cutoff and partly the distinction between discretionary spending and mandatory spending.

There is a very deep distinction in how the Congress thinks about money. The discretionary spending is now controlled by the Congress through caps and is controlled through annual appropriations. The mandatory spending is limited by PAYGO rules.

It is really not our place to combine those two different sorts of flows that the Congress treats very differently. We try to provide information in a contract. You mentioned in your statement that we prevent the Congress from doing something. I want to emphasize we do not prevent the Congress from doing anything.

Senator SCHATZ. Fair enough.

Dr. ELMENDORF. If the information we provide in these costs estimates does not explain the full picture that we see, then we should do a better job in the cost estimate, but I do not think it is by adding up budget categories that the Congress has really set very much apart for decades now.

I am happy to talk to you about ways we can make the estimates express more clearly the point that you want to make.

Senator SCHATZ. Thank you very much.

Senator CAPITO. Senator Murphy.

KING v. BURWELL

Senator MURPHY. Thank you very much, Madam Chair. It is a pleasure to sit on this committee with both of you, and let me add my appreciation to you, Dr. Elmendorf, for your service.

I think this is the first time you have been before any of the committees I have served on while I have been in the Senate, but while I was a member of the Energy and Commerce Committee during the healthcare debate and the energy debate, we got a lot of chances to speak to each other.

One of the great frustrations to members of Congress is CBO's independence, and you really truly are an independent body. That means you do your own interpretation, your own read of the statutes that we pass. We do not tell you what they mean. You do your own derivation and analysis and then attach numbers to it.

I wanted in that context to ask you a question about probably the most important pending case before the Supreme Court right now, which is King v. Burwell.

This is a pretty simple question as to whether the Affordable Care Act posits and allows for subsidies to go to states with Federal exchanges and State exchanges, or whether subsidies are allowable only to states that have set up their own State exchanges.

I guess my question is pretty simple. How did CBO read the law as to this question of whether subsidies would go to Federal and State exchange participants or as the petitioners in this case believe, only to State exchange participants?

What was CBO's read? What did you base your numbers off of when you did your analysis of the law?

Dr. ELMENDORF. Senator, our estimates for the Affordable Care Act have always included subsidies flowing to people buying insurance through those exchanges whether the exchanges were being run by the Federal Government or State governments.

We wrote in a letter to Chairman Issa a few years ago, and I quote "To the best of our recollection, the possibility that those subsidies would only be available in States that created their own exchanges did not arise during the discussions CBO staff had with a wide range of congressional staff when the legislation was being considered."

Senator MURPHY. When CBO comes to a place in which they may have questions about the interpretation of a statute, how do you deal with those questions? Do you just ask congressional staff or do you do your own interpretation of the totality of the statute and the totality of the record?

Dr. ELMENDORF. Senator, we read legislation and apply our judgment about its effects, but we did not conduct a full legal analysis of the Affordable Care Act of the sort some people may have then and certainly have since then.

CBO has three attorneys on our staff. They read legislation with our analysts. They also handle all of the legislative needs of the agency as an operating organization.

We do try to read the legislation that we see carefully, but we are not pouring over it with sort of a full legal analysis that you may be suggesting.

Senator MURPHY. Your analysis was that the Affordable Care Act allowed for subsidies to go to State and Federal exchanges, thus, you priced it based on those——

Dr. ELMENDORF. Our estimates included the subsidies being provided to people in exchanges, whether they were operated by the State governments or by the Federal Government.

TWENTY PERCENT REDUCTION IN AFFORDABLE CARE ACT SUBSIDIES

Senator MURPHY. One other question on generally the same topic. You just released an updated cost analysis on the Affordable Care Act where you estimate that the overall cost will be about 10 percent less but the cost of the subsidies will be 20 percent less.

Can you just speak for a moment as to the driver for specifically that 20 percent reduction? That is a pretty large decrease in terms of the estimate over the course of 10 years as to how much the subsidy is going to cost. It was very welcome news.

There are a couple of factors, right, that figured into your change in an analysis of the rest of the window of the law.

Dr. ELMENDORF. Senator, we released an analysis of the costs of the coverage provisions of the Affordable Care Act. That sort of analysis comes as a natural course of us doing updated baseline projections, because that coverage expansion is so recent, and it is not so much in the existing flow of data. We look at it separately still.

For the other parts of the Affordable Care Act, the big change is Medicare and the big revenue increases. We do not update those separately as private baseline projections because they are woven into current law.

For these coverage provisions, our new estimate of the costs of those provisions is 11 percent less over the next decade than our previous estimate, and as part of that, there was a down revision in the costs of the subsidies provided through insurance exchanges of about 20 percent.

The larger factor there was continued slow growth in private health insurers' spending. We have been expecting some bounce back, and that has not occurred. In fact, the latest data show slower growth than the years preceding that. We now have a number of years of quite slow growth, so we marked down our projection of growth in that spending going forward.

A second factor was we now think there will be slightly fewer people who will take up coverage in the exchanges. That is from a combination of data about the sources of insurance coverage actually before the Affordable Care Act's big insurance expansion. We now have more recent data than we had when we did these estimates some time ago.

There were slightly fewer uninsured people, so less take up of those people into exchanges, and more of the people with employer sponsored health insurance or at large firms that are less likely to drop their coverage because of the Affordable Care Act, and therefore, less flow from employers into the exchanges as well.

Those factors together caused us to mark down our projection of coverage in the exchanges by about one million people in most years going forward.

Senator MURPHY. Just one last quick question. Is part of that reason for increased numbers of people being on employer based coverage because your estimate of cancellations, policy cancellations, has decreased, or the trend line in the number of cancelled policies has decreased?

Dr. ELMENDORF. We think there will be fewer cancellations because of the creation of the exchanges and other features of the Affordable Care Act.

Senator MURPHY. Thank you, Madam Chair.

Senator CAPITO. I am going to go for a second round. Just a clarification. When you said fewer people are projected to be on the exchanges than were originally, which was the cause of your projections going down by a certain percent, did you say you were predicting one million less people? Is that in 1 year or over 10 years?

Dr. ELMENDORF. Yes, it is about one million fewer people in each of the next 10 years roughly.

Senator CAPITO. Ten million less?

Dr. ELMENDORF. Yes, well, we put it carefully as being number of people in a given year, because people can turn up the following year and are or are not covered in various years.

Senator CAPITO. In a given year, I get that.

Dr. ELMENDORF. We had been projecting on the order of 27 million people in the exchanges in 2025, and now we think it will be 25 million. That difference may look like two, but there is some rounding, so the difference actually rounds to one million fewer people in 2025. Also, one million fewer in most of the years, each of the years of the coming decade.

Senator CAPITO. Just curiosity wise, the last year that we have full data for would be 2013, that we have actual data of how many people are on the exchanges?

Dr. ELMENDORF. The exchanges were not in place in 2013. We know how many people were in the exchanges last year.

Senator CAPITO. Okay, 2014.

Dr. ELMENDORF. That number we have. Some data we get pretty much right away, and for some data, we have a lag.

Senator CAPITO. What was that number? Do you have it?

Dr. ELMENDORF. That was, I think, six or seven million people.

Senator CAPITO. Right. What were you projecting? I am just curious.

Dr. ELMENDORF. We had been projecting, I think, somewhat more people a year or two or three ago. I think it came in a little below what we had been expecting a few years before that, but I am not 100 percent sure. We have been expecting a gradual ramp up in enrollment.

We have actually knocked down our projection of enrollment for this year by a million people now, and I think a million people in January. We have come down a little bit for this year. We still think there will be much more enrollment in the future, but not quite as much more than we had thought.

Senator CAPITO. As you had originally thought.

Dr. ELMENDORF. In our last projections.

DYNAMIC SCORING

Senator CAPITO. Thank you. Since I have you here and the House has changed their rule 13, clause 8, the dynamic scoring rule. You hear a lot of controversy about this. I just came out of the House 14 years. Subject of great discussion.

If you would not mind and my colleagues do not mind, would you just take a short period of time and tell in layman's terms what

the difference between the way you score and a dynamic score would be?

Dr. ELMENDORF. Yes, of course, I am happy to do that. In CBO's cost estimates, we take on a whole variety of behavioral responses by individuals, by firms, by State governments. What we do not do in our estimates is to incorporate changes in people's behavior that would affect the size of the overall economy. We hold overall employment, overall GDP fixed in our estimates.

We do a substantial amount of work in providing information/analysis of the macroeconomic effects of policy proposals. We do this every year in the analysis of the President's budget. We do this for proposals that Chairman Ryan put forward the last few years as chairman of the Budget Committee.

We do those analyses for major pieces of legislation, major proposals, and we do them separately from our basic cost estimates.

What the House rule does, as you know, is to require CBO to include that sort of macroeconomic feedback in our regular cost estimates for certain pieces of legislation, and in particular for major pieces of legislation, legislation that would have effects on spending or revenues that exceed a quarter percent of GDP in any era of the 10 year budget window at the threshold of $40 to $45 billion now.

We will follow that rule in our estimates for the House. We will include those sorts of feedback effects in our estimates for large pieces of legislation.

The closest thing we have done, I think, that has been prominently seen in the Senate was our analysis of immigration legislation the Senate took up a few years ago. A number of years before I arrived at CBO and considering comprehensive immigration legislation, people at CBO decided to assume there would be no change in the labor force or employment when the legislation was designed to increase the number of people in the country in some ways would have forced the estimate to be too distorted, so for the immigration legislation, we actually allowed for some macroeconomic consequences a number of years ago and then again a few years ago when this came up.

We also did a separate analysis a few years ago as part of our analysis of immigration. We had a cost estimate and we had this extra analysis to look at even broader macroeconomic effects on productivity and saving behavior and so on.

Under the current House rule, if that legislation were to come up in the House, we would include all those effects in the cost estimate for the legislation.

Senator CAPITO. For the Senate, you were just asked to do that in sort of an advisory capacity? Is that correct? Or there is no requirement at all in the Senate?

Dr. ELMENDORF. There is no specific requirement. Of course, the chair or the ranking member of the Budget Committee or other key committees can ask us to do that sort of analysis, and we are happy to do that.

We spent a good deal of effort in the past several years improving our modeling of the macroeconomic effects of changes in fiscal policy. We understand Congress' interest in this. The fact that we had not included it in cost estimates has not relieved us in our

minds of the responsibility to be able to do that sort of analysis and to do it for major pieces of legislation of the sort I described.

We have done a lot of modeling work, and we have tried to be very transparent about that. There is a collection of working papers essentially, maybe eight or nine separate reports, that as a collection explain how we do that sort of analysis, so that you and your staff can understand it and so we can receive the scrutiny of outside experts, many of whom we have consulted in the course of building these models, but to continue to receive scrutiny in the way that we do that sort of modeling so you can understand where it is coming from.

DYNAMIC SCORING IMPACT ON CBO'S STAFF

Senator CAPITO. Assuming this is going to be a larger part of what the CBO is going to be asked to do, how do you think that is going to affect your workforce? Do you see that as you are going to need more people or different types of staff?

Dr. ELMENDORF. The increase in FTEs, the small increase that we have asked for, is partly to build up our staffing in that area. We have an excellent staff now. We have done this modeling work. It is not that it comes entirely out of the blue.

We do expect there will be more demand for this sort of work and additional resources would help us to meet that demand in a quick and efficient way. Part of the challenge here is this sort of analysis takes a good deal of time, and if we had even a few more people who could do it, then we could respond more quickly to Congress' needs.

Senator CAPITO. We always want everything yesterday, too.

Dr. ELMENDORF. Yes, ma'am.

GAO REPORTS AND RECOMMENDATIONS

Senator CAPITO. I understand. Mr. Dodaro, one last question for you. I really appreciate the high quality reports the GAO generates and the money savings that have resulted from this. I think there is a gap between what we have actually enacted or been able to move forward with and what you all have uncovered, so to speak, where there could be greater savings.

Would you have any suggestions for us, either House or the Senate, to be able to look at your recommendations and really achieve more cost savings and more efficiencies that your agency has brought forward? How would you recommend that we go about being better at responding?

Mr. DODARO. First, I would suggest more oversight hearings. Senator Schatz mentioned our high risk list, which has 32 areas on it right now. There is a very significant potential for saving billions of dollars by addressing those issues. More oversight hearings should be guided by the high risk list.

We also produce a report every year on overlap, duplication, and fragmentation in the Federal Government. We add cost savings suggestions and revenue enhancements to that list.

I just testified last week before the Senate Budget Committee. I think there could be more attention by the budget committees. I mentioned the Bipartisan Budget Act for 2014 and 2015 to avoid sequestration. A number of GAO's recommendations were adopted

to help avoid sequestration. There were over $23 billion in contributions there.

I also reach out to the Executive Branch Cabinet officials and encourage them to implement all the recommendations, they can voluntarily. We are going to send letters to all the agency heads in the coming months on the top recommendations that are outstanding. I anticipate providing that information to the Congress as well so they can use it in appropriation and authorization decisions.

Right now we have about 6,000 outstanding GAO recommendations. On the whole, over a 4 year period, 80 percent of our recommendations are adopted. There are certain areas, like IT acquisitions, we put on the high risk list.

In that area in the last 5 years we made 737 recommendations, and only 23 percent have been implemented. On the Veterans Affairs (VA) healthcare issue, we have over 100 outstanding recommendations. Those are two, VA and IT acquisitions, that we added to the high risk list.

I also thank the subcommittee for looking carefully at our request for 40 FTEs. Many would be used to do more work and provide additional recommendations on how to close the tax gap and how to get on top of the improper payment issue.

IMPROPER PAYMENTS

I am very concerned. Last year's estimate for 2014 was $125 billion in improper payments. These are payments that should not have been made or were made in the wrong amounts. That is an increase of $19 billion from the prior year. Most of the increase is in Medicaid and Medicare. These are the two fastest growing challenges in the Federal Government's budget. This problem will get worse before it will get better.

I have been saying that for a while, and the additional resources would help.

TAX GAP

The tax gap is $385 billion. We have many outstanding recommendations that Congress could implement that would result in increased revenue collection. These are revenues that are due under the current structure. We are not talking about tax increases. We are just collecting what should be collected.

Senator CAPITO. Right.

Mr. DODARO. Those are a few of my suggestions.

Senator CAPITO. I appreciate that. I think there is nothing more grinding on a taxpayer than to realize improper payments are going in the wrong way, either through fraud, waste, abuse or whatever. It really is an insult to the hard working people in this country who are paying their taxes and doing the right thing. I appreciate that.

Senator Schatz.

Senator SCHATZ. Thank you for your leadership in this space. Chairman Capito, I would be happy to work with you in any way to try to help the Senate and Congress overall to try to implement all of the recommendations from your high risk list.

I think this is an opportunity for us to find savings, find revenue, and find bipartisan cooperation.

DYNAMIC SCORING (UNCERTAINTY OF CBO'S ESTIMATES)

Dr. Elmendorf, on the question of dynamic scoring, I am not one of those Democrats as allergic to the dynamic scoring approach as others. I just have a technical question with respect to how it may or may not increase the kind of variability in your cost estimates.

I have to believe that for your analysts and for you and your successor, it may give you a little bit of heartburn to try to imagine macroeconomic impacts of policy and to try to quantify that in a way that is not just hazarding a guess.

I am just wondering how you see this increasing the likelihood that you are going to get something badly wrong in the future.

Dr. ELMENDORF. Senator, we are acutely aware of the uncertainty that surrounds many of our estimates. This is a hard business that we are engaged in. The estimates of the macroeconomic effects of legislation certainly have substantial uncertainty around them, and in recognition of that, when we report those sorts of macroeconomic estimates, we generally do so with explicit ranges.

We provide a central estimate and a higher level and a lower level. I would not say higher and lower bounds because the outcomes could be even outside that range. We try to show you and your colleagues the range.

I would emphasize our estimates that do not include macroeconomic feedback also often have a great deal of uncertainty. I think it is important for you and your colleagues to understand that.

We put down numbers because the budget process really requires numbers that add up, but we always think of them as being in a range of some sort, and I would urge you and your colleagues to remember that.

I would urge you and your colleagues to continue to press us to try to be clear with you and to quantify where we can that uncertainty as we try to do in these macro estimates.

Again, I want to say it is not entirely new to us. This analysis of the President's budget each year and our long term budget outlook each year, they look at alternative scenario's with this sort of macroeconomic feedback.

We draw on the best thinking in the economics profession to do that, both in our reading of the papers and in our direct consultation with members of our panels, advisors, and other people.

We have some confidence that we are giving you the best information that can be provided, but you and we need to remember that there is a lot of uncertainty and the uncertainty gets greater the further out in time we are asked to look, and it gets greater the more stark are the changes in Federal policies.

Senator SCHATZ. Thank you, both. I really want to say that you both represent the best in public service, and I know your agencies work very hard and are sometimes criticized. I just want to say how much I appreciate both of your public service.

Thank you, Madam Chair.

Senator CAPITO. Thank you. I, too, would like to thank both of you. I think I have learned a lot and I appreciate you taking the time to be here with us today.

This concludes the Legislative Branch Appropriations Subcommittee hearing regarding fiscal year 2016 funding for the CBO and GAO. I want to again thank both of you.

ADDITIONAL COMMITTEE QUESTIONS

Our hearing record will remain open for seven days allowing members to submit statements and/or questions for the record, which will be sent to the subcommittee by close of business on Tuesday, March 17.

[The following questions were not asked at the hearing, but were submitted to the agency for response subsequent to the hearing:]

QUESTIONS SUBMITTED TO DR. DOUGLAS W. ELMENDORF

QUESTIONS SUBMITTED BY SENATOR SHELLEY MOORE CAPITO

Question. I understand that the fiscal year 2016 budget request includes funding for three additional full-time equivalents (FTE's). Knowing that the salaries and benefits associated with FTE's continue to increase over time, would upgraded, or additional, information technology systems be a more cost-efficient means of increasing CBO's output, rather than hiring new people?

Answer. In CBO's view, hiring the additional people would provide the greatest value to the Congress. The additional employees would be devoted to analyzing the economic effects of Federal tax and spending policies (including "dynamic" effects, as required by a new House rule) and healthcare issues.

Certain needs for information technology were addressed by CBO's 2014 appropriation: The agency acquired greater storage capacity and advanced servers designed for sophisticated statistical analysis and modeling undertaken by an increasingly wide swath of the agency. At this time, to analyze the ever-changing proposals considered by the Congress, CBO's most pressing need is for talented analysts who can determine the modeling approaches that are appropriate for a particular proposal, can develop new models or understand and manipulate existing models, can translate legislative language into a set of parameters for use in modeling, and can make other adjustments for features of the legislative language that are not amenable to standard modeling.

Question. What would be the impact to the agency if the committee was not able to provide funding for these three additional FTE's in fiscal year 2016?

Answer. With its current staffing, CBO cannot meet all of the Congress's requests for estimates and analyses, particularly in the area of healthcare, and there is an increasing desire for the agency to analyze the economic effects of Federal tax and spending policies, as evidenced by the new House rule and a similar provision in the Senate-passed budget resolution. Without funding for three additional positions in fiscal year 2016, fewer of those requests would be fulfilled, and some such analyses would be less timely than desired. For instance, CBO would anticipate preparing fewer reports with policy options than hoped and being able to complete fewer informal estimates of the effects of bills before markup by committee. Even with the additional staffing, the volume of analyses and estimates that CBO could provide would fall far short of the total number of congressional requests.

Question. I understand that CBO's budget request for fiscal year 2016 includes an additional full-time equivalent (FTE) for the purpose of conducting dynamic scoring analysis of certain legislation pursuant to the new House rule XIII, clause 8. Why is an additional FTE necessary to help fulfill this requirement when CBO already has a Macroeconomic Analysis Division? Are any other changes required within the Macroeconomic Analysis Division in order to comply with the new House rule? If so, what are the costs associated with those changes?

Answer. The agency has excellent analysts in its Macroeconomic Analysis Division, who have built—and continue to build and refine—sophisticated models used as part of such dynamic analyses. Those analyses also involve contributions from analysts in other divisions. Although CBO has done a good deal of work to develop the tools necessary to estimate the macroeconomic effects of legislation, such estimates can be quite complicated and time-consuming because bills can affect a num-

ber of key economic variables and each piece of legislation can affect those variables in different ways. Under the House rule, CBO will have to do more such analyses. Because all of the analysts in the Macroeconomic Analysis Division were fully engaged in work for the Congress before the House imposed this new requirement, CBO expects that one additional analyst in its Macroeconomic Analysis Division would be very valuable in helping the agency to meet its additional responsibilities under the House rule in a timely way.

CBO will continue to evaluate whether it has sufficient resources to implement the House rule and any further requirements that may be imposed by the budget resolution. At this point, the agency is uncertain whether additional resources, beyond those already requested, will be needed.

Question. If enacted into law, would any of the provisions in the Senate bill S. 200 require CBO to make further adjustments to its Macroeconomic Analysis Division? Would additional FTE's be necessary, would upgraded software systems be required, or would it be necessary to purchase additional data? If so, what are the costs associated with those changes?

Answer. The analyses required under S. 200—to prepare, to the extent practicable, macroeconomic analysis of major revenue legislation—would generally be prepared by the staff of the Joint Committee on Taxation (JCT). However, analyses of major legislation affecting the revenue provisions of the Affordable Care Act and certain other tax legislation affecting healthcare would probably be undertaken jointly by JCT and CBO because the two agencies usually work together on such analyses. Such work would affect multiple divisions within CBO, not just the Macroeconomic Analysis Division. The additional full-time-equivalent positions that CBO has already requested would be helpful in meeting the requirements of S. 200, although, as mentioned, the agency is uncertain whether resources beyond those would be needed.

Question. The House rule requires these estimates to cover the current 10-year budget window and the following 20-year period; while the Senate bill requires the estimates to cover the current 10-year window and the following three 10-year periods. Will it be more difficult to provide this analysis for 30 years beyond the first 10-year window as opposed to just 20 years beyond the first 10-year window?

Answer. The House rule requires a qualitative assessment of budgetary effects in the 20-year period beyond the usual 10-year window; S. 200 would require quantitative estimates of changes in economic output, employment, interest rates, the capital stock, and tax revenues over the 30-year period beyond the current 10-year budget window. (S. 200 would also require estimates of changes in employment during the 10-year budget window, which would involve additional analysis beyond that needed to fulfill the requirements of the House rule.) Providing qualitative estimates is not as difficult as preparing quantitative ones. The ability to do the latter will vary depending upon various factors, such as the time horizon involved, the amount of time available to conduct the analysis, the complexity of the legislation being considered, the capability of the tools that the CBO has to assess the legislation's effects, and the agency's judgment about the uncertainty of the analysis.

Providing estimates that look farther into the future would be more difficult and time-consuming. To undertake analyses of effects between 30 and 40 years in the future, CBO would need to assess various additional factors, such as how different trends affecting estimates for components of legislation that were projected for the previous decade might change and how aspects of the legislation that were not binding in previous periods might begin to have effects. Estimates that extend beyond 10 years are generally quite uncertain, and the farther out they go, the more uncertain they become and the more difficult that uncertainty is to evaluate. Hence, when quantifying budgetary effects beyond the first decade, CBO often presents them as a percentage of the size of the economy (in part because economic growth itself is a source of uncertainty).

Question. The House rule requires that this analysis be made part of the standard CBO cost estimate, but the Senate bill only requires these estimates to be part of a supplemental analysis. Practically speaking, is there a difference in the work performed by CBO to provide this analysis as part of the standard cost estimate vs. providing it as a supplemental analysis?

Answer. In either case, CBO will provide all of the typical information provided today plus additional information about macroeconomic effects. The way CBO presents the budgetary impact of the macroeconomic effects of a proposal—either as part of a cost estimate or as a supplemental analysis—would not fundamentally change the work performed by the agency. However, when dealing with similar legislation, meeting two different requirements for presentation would have the practical effect of adding some effort and time.

Question. I understand that CBO is again requesting authorizing language that would allow no more than 50 percent of its unobligated balances to remain available for a second fiscal year beyond the year in which it was appropriated. Why is this necessary? What is CBO unable to do with its funds in the year in which they are appropriated that requires carrying them forward?

Answer. To ensure that the agency does not obligate more funds than have been appropriated, CBO sets aside funds to cover unexpected expenses late in the year. When such expenses do not arise, some funds remain unobligated at the end of the year. The authorizing language would provide the agency the flexibility of using a portion of those unobligated balances in the following year to pay for data or other goods or services—such as additional information technology services—that are critical but unforeseen and therefore not included in the budget.

In addition, some obligations made at the end of the year do not result in outlays—when costs turn out to be lower than the maximum obligated amounts. The authorizing language would allow CBO to obligate a portion of those funds again so that they could be used, as originally intended, to sustain CBO's operations. The flexibility that CBO is seeking is based on general provisions that appear in the Financial Services, Homeland Security, and Transportation, Housing and Urban Development appropriation bills.

Question. What would be the consequences to CBO of not providing this authorizing language in fiscal year 2016?

Answer. If the requested flexibility regarding unobligated balances is not provided, CBO will have to use fiscal year 2016 funding to pay for any critical but unforeseen needs—perhaps additional data about healthcare—and then defer other activities included in the budget, such as the maintenance or replacement of information technology equipment. Moreover, obligated funds in excess of costs would continue to be unavailable to the agency.

SUBCOMMITTEE RECESS

Senator CAPITO. The next hearing of this subcommittee will be on Thursday, March 12, at 9:45 in Dirksen 124, where we will hear testimony from the Secretary of the Senate, the Senate Sergeant At Arms, the Chief of the Capitol Police, regarding the fiscal year 2016 budget request for those agencies.

Until then, the committee stands adjourned. Thank you.

[Whereupon, at 3:56 p.m., Tuesday, March 10, the subcommittee was recessed, to reconvene subject to the call of the Chair.]

LEGISLATIVE BRANCH APPROPRIATIONS FOR FISCAL YEAR 2016

THURSDAY, MARCH 12, 2015

U.S. SENATE,
SUBCOMMITTEE OF THE COMMITTEE ON APPROPRIATIONS,
Washington, DC.

The subcommittee met at 9:34 a.m., in room SD–124, Dirksen Senate Office Building, Hon. Shelley Moore Capito (chairman) presiding.

Present: Senators Capito and Schatz.

U.S. SENATE

OFFICE OF THE SECRETARY

STATEMENT OF HON. JULIE E. ADAMS, SECRETARY OF THE SENATE

ACCOMPANIED BY:

MARY SUIT JONES, ASSISTANT SECRETARY

ILEANA GARCIA, FINANCIAL CLERK

OPENING STATEMENT OF SENATOR SHELLEY MOORE CAPITO

Senator CAPITO. The subcommittee will come to order.

And I would like to welcome everyone to the second of our fiscal year 2016 budget hearings for the various agencies under the jurisdiction of the Legislative Branch Subcommittee of the Appropriations Committee.

We have before us today the Secretary of the Senate, Julie E. Adams. We have the Senate Sergeant at Arms, Frank Larkin, and we have the Chief of the U.S. Capitol Police, Kim Dine. Welcome to all of you.

I would like to start by welcoming, first of all, Julie Adams and Frank Larkin, into their new positions in the Senate, as they were just sworn in when we were sworn in—when I was sworn in on January 6 of this year. And I hope you are settling into your critical roles that you play with this historic institution. I look forward to any initial assessments of your office that you may be able to share with only 8 weeks on the job.

And, of course, the subcommittee welcomes back the Chief who, after a little over 2 years on the job, now has the most seniority on the table.

Thank you for being here with us today for this important discussion on how the agencies you represent are planning to move forward in the next fiscal year.

I would also like to thank you for hosting the ranking member and I both over at your headquarters, Chief, with the Sergeant at Arms and then the Secretary of the Senate Office to really see where you work, how you work, and meet a lot of the folks that you work with. So I appreciate that. That is very useful.

The Secretary of the Senate's office is requesting a total of $34 million, which is $3 million, or 9 percent, above the fiscal year 2015 enacted level. Of the total requested, $25 million is for salaries and benefits, which would maintain current services at a full-time equivalent (FTE) of 225. The request for the expenses is increased by $2.5 million above the enacted level due to the modernization of the financial management information system.

The Sergeant at Arms total request is $206 million, an increase of approximately $8 million, or 4 percent, above the fiscal year 2015 enacted level. The request includes $72 million for salaries and benefits, which would maintain the current FTE of 892. The request for the expenses account is an increase of $5.7 million over the enacted level of 2015. The requested increases and offsets within the Sergeant at Arms budget support the need for a major information technology refresh of hardware and software and increased storage capacity for members and committees and a constituent mail system upgrade. There is a consistent theme here and it is called IT.

Finally, the Capitol Police request totals $379 million, an increase of $31 million, or 9 percent, above the fiscal year 2015 enacted level. Of the funding requested, $307 million is for salaries and benefits to maintain the current sworn officer level of 1,775 and the current civilian staff of 370. The request for the expense account is an increase of $10 million above the 2015 level. This increase would restore full annual funding to previous functions and existing needs that have been put off in recent years due to significant budget constraints such as lifecycle replacement of information technology systems, equipment, and training.

I noticed a theme in all three of your budgets, which is holding personnel flat and prioritizing funding increases for the IT systems and equipment. I look forward to exploring these needs with you and the other members of the subcommittee today and over the next several months as we move through the fiscal year 2016 process.

So I would like to turn this over to my ranking member, Senator Schatz, for any opening remarks he would like to make.

STATEMENT OF SENATOR BRIAN SCHATZ

Senator SCHATZ. Thank you, Chair Capito.

And thank you, all of you, for being here for this hearing. And I want to thank you, and I think it is fair to speak for all members to thank all of you personally for making this institution run so well. You are all institutionalists. You keep us safe. You keep the place running. You make the Senate the Senate, and we are all very, very appreciative of the work that you do even as we conduct our oversight responsibilities.

It has already been a pleasure working with Chair Capito as her ranking member, and I am looking forward to this conversation.

Your three agencies work closely to make sure that the Senate can operate safely, openly, and efficiently. They play a critical role in assuring the continued operation of an open and democratic Congress. The funding we provide to the Capitol Police, the Sergeant at Arms, and the Secretary of the Senate makes sure that the American people have safe and reliable access to our buildings, our proceedings, and our records.

I look forward to examining your budgets closely today and working with you throughout the year as we conduct ongoing oversight. I would like to discuss how we can combat evolving threats to our open Capitol campus, like drones that could be used by criminals or terrorists and cyber attacks. I am also interested to learn how the agencies testifying today may have to adapt if the current Budget Control Act spending caps remain in place.

Thanks very much.

Senator CAPITO. Thank you.

And now I would like to ask the witnesses, beginning with Secretary Adams, to give a brief opening statement of approximately 5 minutes. As you all know, the written testimony of each witness will be printed in full in the hearing record. Secretary Adams.

SUMMARY STATEMENT OF HON. JULIE E. ADAMS

Ms. ADAMS. Thank you, Chairman Capito and Senator Schatz, for the opportunity to testify on behalf of the Office of the Secretary and its dedicated employees.

I ask that my full statement, which includes our department summaries, be submitted for the record.

Senator CAPITO. Without objection.

Ms. ADAMS. Thank you.

With me today are Mary Suit Jones, the Assistant Secretary, and Ileana Garcia, the Financial Clerk, who have worked closely with your subcommittee over the years. I am also joined by many of our department heads.

Before turning to my formal remarks, I want to take a moment to thank my predecessor, Nancy Erickson, Assistant Secretary Sheila Dwyer, and other members of the executive team for their assistance during my transition. Their graciousness is a testament to the strength and traditions of the Office of the Secretary.

Since taking the oath of office 2 months ago, I have had the distinct privilege of meeting the staff that comprise the 26 departments of the Secretary's Office. It is a truly remarkable group of people and one with whom I am honored to be associated. Their institutional knowledge, devotion to public service, and expertise serve the Senate well, and they provide remarkable continuity in times of change.

In the last year, some department heads retired from the Secretary's Office after dedicating nearly 130 years of combined service to the Senate. Among them, Chris Doby, the Financial Clerk, and Kathie Alvarez, the Legislative Clerk. The Senate is a better place because of their many contributions. I am proud that our departments continue to be led by seasoned professionals who also have lengthy Senate service.

I would also like to note our strong and continuing partnership with the Senate Sergeant at Arms. From continuity programs to

procurement, I am proud of our friendly and collaborative working relationship.

Our budget request for fiscal year 2016 is $31,327,000. The request includes $25,077,000 in salary costs and $6,250,000 for the operating budget of the Office of the Secretary. The salary budget represents an increase of $305,000 over the fiscal year 2015 budget as a result of the costs associated with the potential cost-of-living adjustment. The operating budget of the Office of the Secretary remains flat at $6.25 million, of which $4.35 million is firewalled for the administration of the Senate Information Services program. That was assumed by this office in 2011 and has not changed.

In addition, I am requesting $2.5 million in no-year funds to begin the modernization of the Senate Disbursing Office's Financial Management Information System, also known as FMIS. This is a 6-year phased project that will require additional no-year funding requests. To promote transparency, I am requesting that this funding be firewalled.

FMIS is a collection of financial applications used by Senate offices to submit and pay bills, manage office funds, and report to both internal and external agencies. It is used by approximately 140 Senate offices and has over 4,000 users. The current FMIS, implemented over 15 years ago in preparation for Y2K, utilizes a complex architecture, increasingly expensive mainframe technologies, and a variety of software that may only be enhanced through costly and time-consuming custom development. The first phase of the project will focus on budget and reporting modernization. The majority of changes will happen behind the scenes as improvements are made to the FMIS infrastructure.

One piece of the budget modernization that Senate offices will see is an improved module to perform payroll projections, enabling offices to better forecast and plan their budgets. This is something that I, as a former Senate administrative director, would have greatly benefited from. So I hope office managers will find it useful.

Throughout the process, user input will be important to ensure that the modernized system fully meets the needs of the Senate community, and I have stressed the importance of this to my team. While the modernization project is underway, the current FMIS platform will be maintained and operational.

FMIS is significant, but just one component of the office's vast mission. Since 1789, the Office of the Secretary has provided support to the Senate in three areas: legislative, administrative, and financial. I would like to highlight some of our staff's accomplishments in each area.

In December of last year, the Parliamentarian and the Office of Web Technology debuted the electronic Senate precedents database on Webster. The system currently contains approximately 275 precedents from seven of the most frequently used chapters of "Riddick's Senate Procedure." This will continue to be a big task as the parliamentarians make updates and additions for the database.

The Senate Stationery Room continued working with Member offices to establish accounts for the online flag ordering system, using pay.gov. This is a convenient service that Members can provide to their constituents interested in purchasing American flags. Forty-three offices were using pay.gov at the end of 2014, up from 13 of-

fices a year ago, and usage is expected to expand even further this year.

The Disbursing Office continues to move offices away from a paper voucher submittal process to one where imaging and electronic signatures are utilized. Forty-four offices were using the technology at the end of last year, and more offices, including new Member offices, will be included moving forward. Implementation of the new technology has also led to a decrease in the volume of paper and the time it takes for vouchers to be approved.

The Historical Office commemorated the 50th anniversary of the passage of the Civil Rights Act of 1964. Senate historians developed an extensive multi-media exhibit on Senate.gov, authored articles describing the Senate's role in the passage of the landmark legislation, and presented specialized talks and tours. The four public talks drew capacity crowds and the final two discussions were broadcast by C–SPAN.

And finally, before the start of every new Congress, the Secretary's Office is responsible for reviewing certificates of election for compliance with Senate rules, and planning and implementing an orientation for newly elected Members and their designated staff. Last year's orientation lasted 3 days, and Senators-elect and their spouses became familiar with the Senate procedure and history, participated in question and answer sessions with current Members, and were provided ethics and security briefings.

I am honored to serve in this position, and I look forward to working with you and your staff in the coming year. I appreciate your support for the Office of the Secretary and welcome any questions you may have. Thank you.

[The statement follows:]

PREPARED STATEMENT OF HON. JULIE E. ADAMS

BUDGET REQUEST

I would first like to thank the subcommittee for their ongoing support of the Office of the Secretary of the Senate's budget and mandated systems. I am requesting a fiscal year 2016 budget of $31,327,000. The request includes $25,077,000 in salary costs and $6,250,000 for the operating budget of the Office of the Secretary. The salary budget represents an increase of $305,000 over the fiscal year 2015 budget as a result of the costs associated with a cost of living adjustment. The operating budget of the Office of the Secretary remains flat at $6,250,000, of which $4,350,000 is for the administration of the Senate Information Services Program (SIS) that was assumed by this office in 2011 and has not changed.

OFFICE OF THE SECRETARY APPORTIONMENT SCHEDULE

Items	Amount available fiscal year 2015	Budget estimates fiscal year 2016	Difference
Departmental operating budget:			
Executive office	$500,000	$500,000	.....
Administrative services	1,251,600	1,251,600	.....
Senate Information Service (SIS)	4,350,000	4,350,000	.....
Legislative services	148,400	148,400	.....
Total operating budget	6,250,000	6,250,000	.....

In addition, I am requesting $2.5 million in no year funds for the modernization of one of the critical Senate systems, the Financial Management Information System (FMIS). This is a 6-year phased project that will require additional no year funding requests.

PROJECT REQUEST

Item	Fiscal year 2015	Fiscal year 2016	Difference
FMIS Modernization Project	.....	$2,500,000	$2,500,000

FINANCIAL MANAGEMENT INFORMATION SYSTEM (FMIS) MODERNIZATION PROJECT

The Financial Management Information System (FMIS) is used by approximately 140 Senate offices and has over 4,000 active users. FMIS is a collection of financial applications used by Senate offices to submit and pay bills, manage office funds, and report to both internal offices and external agencies. The current FMIS, implemented over 15 years ago, utilizes a complex architecture, increasingly expensive mainframe technologies, and a variety of software that may only be enhanced through costly and time consuming custom development.

During 2014, the Disbursing Office updated FMIS applications to the extent possible. However, these efforts are quickly being outpaced by newer versions of operating systems, browsers and other end user software, which are not compatible with current FMIS applications. The Disbursing Office has planned an FMIS Modernization Project that will:

—Improve financial system supportability and flexibility;
—Address business requirements not met by the existing system; and
—Continue to bring the Senate closer to realizing its vision of an integrated, auditable, paperless financial system.

The first phase of the FMIS modernization, scheduled to begin in fiscal year 2016, includes two major steps:

—*Budget Modernization*.—This step will replace multiple budget applications and manual processes with a single Senate-wide modern budget application used by many Federal agencies. Also, it includes the replacement of one of the existing payroll modules, which is used to perform payroll projections and which is expected to retire in April 2018.
—*Reporting Modernization*.—This step will streamline and transition financial reports to a consolidated data warehouse to include minimizing end user impacts during the FMIS modernization.

The FMIS modernization project is a major endeavor for the Office of the Secretary of the Senate. For fiscal year 2016, a total of $2.5 million in no year funding is requested to initiate the first two steps in the FMIS modernization project. The flexibility provided by no year funding is important to the success of the modernization project due to its complexity, and the unique Senate technical environment and business requirements. In addition, no year funding provides greater flexibility for contracting options. Further, unobligated funds can be utilized to offset any further funding requests. To promote transparency in the FMIS Project, the requested funding will be fire-walled from the office's operating budget.

The Disbursing Office's business case outlines the full scope of the FMIS Modernization Project. The major phases and timeline of the proposed modernization effort are outlined in the table that follows:

Date	Business Area	Modernization Approach and Rationale
Fiscal year 2016–2017	Budget	Replace multiple existing budget applications and manual processes with a commercial software package widely used by Federal Agencies to: —Allow for more efficient and effective budget planning and budget execution tracking; —Enable what-if budget analyses at the Senate and individual office levels; and —Facilitate direct integration between the payroll and financial system.
Fiscal year 2016–2021	Reporting	Streamline and modernize the reporting infrastructure to prepare for and minimize impacts of the financial system modernization, and: —Reduce the volume of reporting data; —Eliminate unused and redundant reports; —Consolidate numerous, disparate report processes; —Ensure the consistency and accuracy of historic data; and —Provide greater flexibility for users to customize the data they view and receive.

Date	Business Area	Modernization Approach and Rationale
Fiscal year 2017–2018	Accounting	Replace the mainframe–based general ledger system with a commercial software package, which will: —Allow the Senate to retire the expensive and increasingly difficult to support mainframe hardware and software; —Implement a modern general ledger which is consistent with all current Federal financial standards and reporting requirements; and —Enhance the Senate's ability to maintain the core component of the financial system and the source of the statutory semi–annual Report of the Secretary of the Senate.
Fiscal year 2018–2019	Procurement to Payment ..	Replace the highly customized procurement to payment applications with commercial software, where possible, subject to a thorough alternatives analysis. This will allow the Senate to: —Continue to meet unique Senate business needs while also addressing a number of business requirements not currently met by the existing applications; —Enhance the Senate's ability to administer and support financial system applications; —Enable more rapid deployment of user–requested changes; and —Facilitate tighter integration of all procurement to payment applications to enhance Senate financial statement production.
Fiscal year 2019	Data Sharing	Automate interfaces with outside Agencies, such as the U.S. Treasury, to: —Reduce errors in Senate reporting; and —Eliminate the manual effort required to support daily and monthly external reporting.
Fiscal year 2019–2021	Asset Management	Replace the existing Asset Management application with a commercial software module that will: —Enable direct integration with financial system; and —Eliminate redundant processes and data, increasing the efficiency and accuracy of the Senate's asset tracking.
Fiscal year 2019–2021	Archival Tools	Implement data archival tools to: —Reduce the costs and potential application performance issues associated with maintaining large volumes of financial data; and —Ensure that all relevant data is archived together and may be restored together as needed to support Senate financial operations

In addition to the $2.5 million funding requested for fiscal year 2016, the table below outlines the additional funding required for software and implementation services for this project.

Funding	2016	2017	2018	2019	2020	2021	Total
Implementation/Acquisition	2.5M	4M	3.5M	3M	2.5M	2.5M	18M

Because of the scope and complexity of this project and best practices for system implementations, an FMIS Project Office within the Office of the Secretary will be established to oversee and manage the effort to ensure the project remains on schedule and within the budget established for the project.

The FMIS Project Office will work in collaboration with Sergeant at Arms (SAA) functional and technical staff, as well as representatives from FMIS stakeholder groups, including Member Offices, Committees, the Committee on Rules and Administration audit staff, and Disbursing Accounts Payable and Accounting staff, throughout the modernization effort to ensure financial applications are supportable and maintainable in both the near and long term. This will ensure that the modernized system fully meets Senate user requirements throughout the implementation period, and that end user impacts are minimized.

IMPLEMENTING MANDATED SYSTEMS

Two systems critical to our operation are mandated by law, the Financial Management Information System (FMIS) and the Legislative Information System (LIS), and I would like to spend a few moments on each to highlight recent progress.

Update on current status of Financial Management Information System (FMIS)

During calendar year 2014, Disbursing implemented the following releases:

—*FMIS 13.3, April 2014:* Modernized office, SAA, Committee on Rules and Administration audit staff, and Disbursing document inboxes, moving functionality from an outdated legacy framework to a standardized framework, correcting over 85 user reported defects related to these functions, and implemented imaging support for additional document types including invoices and Expense Summary Reports (ESRs); and

—*FMIS 13.3.1 through FMIS 13.3.3, May-November 2014:* Implemented performance enhancements, and defect corrections to support imaging and new versions of Oracle's java client to facilitate continued Senate-wide rollout of paperless workflow.

In addition, work continued related to document imaging and electronic signatures in FMIS, in the following phases:

—*Phase 1:* Imaging-only pilot (completed in 2011);

—*Phase 2:* Office imaging and signatures pilot (completed in 2012); full rollout beginning with new offices (completed rollout to 44 offices, Committee on Rules and Administration audit staff, and Disbursing's accounts payable and accounting staff through 2014); and

—*Phase 3:* Planning and development to support imaging and signatures for SAA and staffer users, including:

  —Imaging to support invoices and associated vouchers for SAA and the Secretary (completed development in 2014; pilot planned for the Fall of 2015); and

  —Imaging to support staffers creating ESRs (completed development in 2014; pilot planned for the Summer of 2015).

In October 2014, we implemented FMIS changes to support in-house printing of payroll checks to meet Disbursing requirements not met by Treasury and to standardize Senate payment processing procedures.

During 2014, the Disbursing Office continued to work with the SAA to extend the life of existing FMIS applications to ensure ongoing support of Senate business processes. This included upgrades to the WebSphere application server to support WebFMIS and digital signing applications and eliminating or repurposing underutilized regions in the mainframe to streamline support and associated costs.

During the remainder of fiscal year 2015 and beyond, the following FMIS activities are anticipated:

—*Imaging and digital signatures*.—Continue with Senate-wide rollout of imaging and digital signatures for the remaining Member Offices and Committees;

—Implement two FMIS Releases—

  —*FMIS 14.1 (planned for the Summer of 2015)*.—Modernization of voucher creation and review functions used by Member Offices, Committees, Leadership, the Office of the Secretary of the Senate, SAA, Committee on Rules and Administration, and Disbursing to address user requested changes, enhance supportability and ensure compatibility with modern browsers; and

  —*FMIS 14.2 (planned for the Winter of 2015)*.—Modernization of additional document types, such as requisitions, purchase orders, invoices and receiving reports used by the Office of the Secretary of the Senate and the SAA to address user requested changes, enhance supportability and ensure compatibility with modern browsers;

—*Treasury reporting requirement*.—Implement required changes to support Treasury Account Symbol (TAS) and Business Event Type Code (BETC) reporting;

—*Senate Payroll System (SPS)*.—Continue to work with the SAA technical staff and SPS Contracting Office Technical Representative (COTR) on the implementation of a self-service pilot and upgrade PeopleSoft to version 9.2; and

—*Disaster recovery*.—Conduct a multi-day test of FMIS failover and failback.

We continue to prioritize requirements to extend the life of existing FMIS applications and their platforms to allow time to implement FMIS modernization in phases.

Update on current status of Legislative Information System (LIS) Project

The Legislative Information System (LIS) is a mandated system (2 U.S.C. 6577) that provides desktop access to the content and status of legislative information and supporting documents. In addition, pursuant to 2 U.S.C. 181, a program was estab-

lished to provide for the widest possible exchange of information among legislative branch agencies. The long-range goal of the LIS Project is to provide a "comprehensive Senate Legislative Information System" to capture, store, manage, and distribute Senate documents. The project is currently focused on a Senate-wide implementation and transition to a standard system for the authoring and exchange of legislative documents that will greatly enhance the availability and re-use of legislative documents within the Senate and with other legislative branch agencies.

Extensible Markup Language (XML) has been accepted as the primary data standard to be used for the exchange of legislative documents and information. Following the implementation of the LIS, the LIS Project Office shifted its focus to the data standards program and established the LIS Augmentation Project (LISAP). The overarching goal of the LISAP is to provide a Senate-wide implementation and transition to XML for the authoring and exchange of legislative documents.

The LIS Project Office continued to provide support to the Office of the Senate Legislative Counsel (SLC); the Committee on Appropriations; the Committee on Commerce, Science, and Transportation; and the Senate Enrolling Clerk in their use of the XML authoring application, Legislative Editing in XML Application (LEXA) for drafting, engrossing, and enrolling. With the addition of the Commerce Committee drafters, all Senate measures in the 113th Congress were produced in XML. In addition, the Government Publishing Office (GPO) uses LEXA to complete measures for printing. Several new features and fixes were added in LEXA releases to improve the drafting process.

The LIS Project Office has been working with staff from GPO and the Legislative Computer Systems (LCS) in the Office of the House Clerk to create and print committee reports in XML. This office released a LEXA committee report application to the Commerce Committee in 2013, and the committee drafters were able to create several sections of their committee reports using the LEXA application. In 2014, additional LEXA enhancements allowed the committee drafters to create almost all committee report sections in XML by using direct input, copy/paste from Word documents, and copy/paste from Lexis/Nexis. The office will next work with the editorial and printing staff of the Committee on Appropriations to begin creating committee reports in XML.

Other enhancements to LEXA in the past year included new features for drafting amendments, improvements in drafting and printing for the Appropriations Committee, and new templates for the Enrolling Clerk.

Two other group projects with GPO and LCS include participants from the Law Revision Counsel and the Senate and House Legislative Counsels. The first project with the Law Revision Counsel will result in applications to convert and maintain the U.S. Code in an XML format. The second project with the Legislative Counsels continues work toward the editing and printing of the compilations of existing law in their XML format. As of early December 2014, all compilations are now edited and maintained in XML. Printing of XML compilations continues to improve.

The LIS Project Office is also monitoring and participating in GPO's project to replace Microcomp with a new composition system that can directly ingest XML data without having to convert it to another format before printing.

The LIS Project Office will continue to support all Senate offices using LEXA and will continue to work with the House, GPO, and the Library of Congress on projects and issues that impact the legislative process and data standards for exchange. The office will continue to produce enhancements to LEXA and to seek out new technologies to improve the production of legislative documents.

LEGISLATIVE SERVICES

The Legislative operations of the Office of the Secretary of the Senate provide support essential to Senators in carrying out their daily Chamber activities as well as the constitutional responsibilities of the Senate. Legislative Services consists of the following departments: Bill Clerk, Captioning Services, Daily Digest, Enrolling Clerk, Executive Clerk, Journal Clerk, Legislative Clerk, Official Reporters of Debates and Parliamentarian. The average length of Senate service among the Secretary's Legislative Department heads is more than 20 years.

The Secretary's Office maintains an exceptionally good working relationship with the Government Publishing Office (GPO) and seeks to provide the best service possible to meet the needs of the Senate. GPO continues to respond in a timely manner to the Secretary's request, through the Legislative staff, for the printing of bills and reports, including the expedited printing of priority matters for the Senate Chamber.

BILL CLERK

The Office of the Bill Clerk collects and records data on the legislative activity of the Senate, which becomes the historical record of official Senate business. The Bill Clerk's Office keeps this information in its handwritten files and ledgers and also enters it into the Senate's automated retrieval system so that it is available to all House and Senate offices via the Legislative Information System (LIS) and the Amendment Tracking System (ATS). The Bill Clerk records actions of the Senate with regard to bills, resolutions, reports, amendments, cosponsors, public law numbers, and recorded votes. The Bill Clerk is responsible for preparing for print all measures introduced, received, submitted, and reported in the Senate. The Bill Clerk also assigns numbers to all Senate bills and resolutions. All the information received in this office comes directly from the Senate floor in written form within moments of the action involved, so the Bill Clerk's Office is generally regarded as the most timely and most accurate source of legislative information.

CAPTIONING SERVICES

The Office of Captioning Services provides real-time captioning of Senate floor proceedings for the deaf and hard-of-hearing and unofficial electronic transcripts of Senate Floor proceedings to Senate offices on Webster.

Captioning Services strives to provide the highest quality closed captions and is comprised of seasoned and respected captioners. The overall accuracy average rate for the Office is above 99 percent, the 21st year in a row the Office has achieved that level. Overall caption quality is monitored through daily translation data reports, monitoring of captions in real-time, and review of caption files on Webster. In an effort to decrease paper consumption and printing costs, accuracy reviews and reports were primarily completed in electronic form.

The real-time searchable Closed Caption Log, available to Senate offices on Webster, continues to be an invaluable tool for the entire Senate community. Legislative Floor staff, Cloakroom staff, and member offices in particular continue to depend upon its availability, reliability, and contents to help them in the performance of their everyday duties. In conjunction with the Senate Recording Studio, a complete overhaul of the Caption Log was designed in 2012–2013. Roll-out of this new digital version occurred in 2014 and is available through the Senate Recording Studio VideoVault Browser. In addition, Captioning Services purchased new hardware, which increased the efficiency of the office.

DAILY DIGEST

The Office of the Daily Digest is responsible for publication of a brief, concise and easy-to-read accounting of all official actions taken by the Senate in the *Congressional Record* section known as the Daily Digest. The Office compiles an accounting of all meetings of Senate committees, subcommittees, joint committees and committees of conference.

The Office enters all Senate and Joint committee scheduling data into the Senate's Web-based scheduling application system. Committee scheduling information is also prepared for publication in the Daily Digest in three formats: Day-Ahead Schedule; Congressional Program for the Week Ahead; and the extended schedule which actually appears in the Extensions of Remarks section of the *Congressional Record.* The office also enters all official actions taken by Senate committees on legislation, nominations, and treaties into LIS.

The Office publishes a listing of all legislation which has become public law, as well as a "Resume of Congressional Activity" which includes all Congressional statistical information, including days and time in session; measures introduced, reported and passed; and roll call votes. The "Resume" is published on the first legislative day of each month in the Daily Digest.

All hearings and business meetings (including joint meetings and conferences) are scheduled through the Office of the Daily Digest and are published in the *Congressional Record,* on the Digest's Web site on Senate.gov, and in LIS. Meeting outcomes are also published by the Daily Digest in the *Congressional Record* each day and continuously updated on the Web site.

The Office of the Daily Digest publishes a "20-Year Comparison of Senate Legislative Activity" which can be found at: http://www.senate.gov/reference/resources/pdf/yearlycomparison.pdf.

ENROLLING CLERK

The Office of the Enrolling Clerk prepares, proofreads, corrects, inputs amendments and prints all legislation passed by the Senate prior to its transmittal to the

House of Representatives, the National Archives, the White House, the United States Claims Court, and the Secretary of State. Electronic files of all measures engrossed and enrolled in the Senate are transmitted daily by the enrolling clerks to GPO for overnight distribution and public Web access.

The Enrolling Clerk's Office keeps the original official copies of bills, resolutions, and appointments from the Senate Floor through the end of each Congress.

EXECUTIVE CLERK

The Executive Clerk prepares an accurate record of actions taken by the Senate during executive sessions (proceedings on nominations and treaties) which is published as the *Journal of the Executive Proceedings of the Senate* at the end of each session of Congress. The Executive Clerk also prepares the daily *Executive Calendar* as well as all nomination and treaty resolutions for transmittal to the President. Additionally, the Executive Clerk's Office processes all executive communications, presidential messages, and petitions and memorials.

The online historical archive of Senate Executive Calendars was completed, with all available issues from 1943 to the present now digitized and made publicly available on Senate.gov through the collaborative efforts of the Executive Clerk, the Library, the Office of Web Technology, and the LIS Project Office.

A nightly report of executive nominations was developed and automated by Web Technology in conjunction with staff from member offices and the SAA. This included mapping individual nominations with their assigned calendar numbers. Previously, this information was unavailable in a machine readable format. The new report provides a user friendly and machine readable version in Extensible Markup Language (XML) that is updated nightly.

JOURNAL CLERK

The Journal Clerk takes notes of the daily legislative proceedings of the Senate in the "Minute Book" and prepares a history of bills and resolutions for the printed *Journal of the Proceedings of the Senate,* or *Senate Journal,* as required by Article I, Section V of the Constitution. The content of the *Senate Journal* is governed by Senate rule IV, and is approved by the Senate on a daily basis. The *Senate Journal* is published each calendar year.

The Journal staff take 90-minute turns at the rostrum in the Senate Chamber, noting the following by hand for inclusion in the Minute Book: (i) all orders entered into by the Senate through unanimous consent agreements, (ii) legislative messages received from the President of the United States, (iii) messages from the House of Representatives, (iv) legislative actions as taken by the Senate including motions made by Senators, points of order raised, and roll call votes taken, (v) amendments submitted and proposed for consideration, (vi) bills and joint resolutions introduced, and (vii) concurrent and Senate resolutions as submitted. These notes of the proceedings are then compiled in electronic form for eventual publication of the *Senate Journal.* Compilation is efficiently accomplished through utilization of the LIS Senate Journal Authoring System. The Journal Clerk completed the production of the 2013 volume of the *Senate Journal* in 2014. It is anticipated that work on the 2014 volume will conclude by August 2015.

LEGISLATIVE CLERK

The Legislative Clerk sits at the Secretary's desk in the Senate Chamber and reads aloud bills, amendments, the *Senate Journal,* presidential messages, and other such materials when so directed by the presiding officer of the Senate. The Legislative Clerk calls the roll of members to establish the presence of a quorum and to record and tally all yea and nay votes. The office staff prepares the Senate *Calendar of Business,* published each day that the Senate is in session, and prepares additional publications relating to Senate class membership and committee and subcommittee assignments. The Legislative Clerk maintains the official copy of all measures pending before the Senate and must incorporate into those measures any amendments that are agreed to. This office retains custody of official messages received from the House of Representatives and conference reports awaiting action by the Senate. The office staff is responsible for verifying the accuracy of information entered into LIS by the various offices of the Secretary.

During the second session, the Legislative Clerk requested GPO to make available online Senate publications produced by the legislative staff. The publications include the Committee and Subcommittee Assignments of Senators and the Class List prepared and printed by the Legislative Clerk and the *Senate Journal* prepared and printed by the Journal Clerk. These publications are also now available on Webster.

OFFICIAL REPORTERS OF DEBATES

The Office of the Official Reporters of Debates is responsible for the stenographic reporting, transcribing, and editing of the Senate Floor proceedings for publication in the *Congressional Record.* The Chief Reporter acts as the editor-in-chief and oversees the production of the Senate portion of the *Congressional Record* to ensure its accuracy and consistency to Senate parliamentary rules and procedures.

When the Senate is in session, the electronic and paper transcripts of the Floor proceedings of the Senate begin to go to GPO in the early evening, and the last delivery occurs approximately 3 hours after the Senate adjourns or recesses for the day. The *Congressional Record* is published in paperback form and online, and is available to the public on the next business day.

In 2014, the Office purchased new software for the official reporters and expert transcribers and new steno writers for the reporters in the Office, which has increased the Office's efficiency in the production of the *Congressional Record.*

The Morning Business Editor sits in the Chamber, recording daily Floor activity of the Senate for the Official Reporters of Debates. The work includes compiling all materials printed in the Morning Business section of the *Congressional Record.*

PARLIAMENTARIAN

The Office of the Parliamentarian continues to perform its essential institutional responsibilities to act as a neutral arbiter among all parties with an interest in the legislative process. These responsibilities include advising the Chair and Senators and their staff, as well as committee staff, House members and their staffs, administration officials, the media, and members of the general public, on all matters requiring an interpretation of the Standing Rules of the Senate, the precedents of the Senate, and unanimous consent agreements, as well as provisions of public law affecting the proceedings of the Senate.

The parliamentarians work in close cooperation with the Senate leadership and their Floor staffs in coordinating all of the business on the Senate Floor. A parliamentarian is always present on the Senate Floor when the Senate is in session, ready to assist the Presiding Officer in their official duties, as well as to assist any other Senator on procedural matters. The parliamentarians work closely with the staff of the Vice President of the United States and the Vice President when performing duties as President of the Senate.

The parliamentarians monitor all proceedings on the Floor of the Senate, advise the Presiding Officer on the competing rights of the Senators on the Floor, and advise all Senators as to what is appropriate in debate. The parliamentarians keep track of time on the Senate Floor when time is limited or controlled under the provisions of time agreements, statutes, or standing orders. The parliamentarians keep track of amendments offered to the legislation pending on the Senate Floor, assess them for germaneness and other possible points of order, and review countless other amendments that are never offered in the same regard.

The Office of the Parliamentarian is responsible for the referral to the appropriate committees all legislation introduced in the Senate and all legislation received from the House, as well as all communications received from the executive branch, State and local governments, and private citizens. In order to perform this responsibility, the parliamentarians do extensive legal and legislative research. The office worked extensively with Senators and their staffs to advise them of the jurisdictional consequences of countless drafts of legislation, and evaluated the jurisdictional effect of proposed modifications in drafting.

Following the Senate elections in 2014, the Parliamentarian's Office was heavily involved in the review of certificates of election and appointment for Senators in the class of 2015.

In December of 2014, the parliamentarians debuted the Electronic Senate Precedents database, which can be found on Webster. This system currently contains approximately 275 precedents from 7 of the most frequently used chapters of *Riddick's Senate Procedure.* Those chapters are: Amendments Between the Houses, Appropriations, Cloture, Conferences and Conference Reports, Recommit, Reconsideration and Suspension. The precedents on the database augment and update the material found in *Riddick's,* which was published 23 years ago. The existing chapters will be added to from time to time to keep the material current, and new chapters will be added as updates are completed by the parliamentarians. This new Web site is the result of a great deal of research, writing, and editing on the part of the Parliamentarian's Office in conjunction with Office of Web Technology.

FINANCIAL OPERATIONS

DISBURSING OFFICE

The mission of the Senate Disbursing Office is to provide efficient and effective central financial and human resource data management, information, and advice to the offices, members, and employees of the Senate. The Disbursing Office manages the collection of information from distributed accounting locations within the Senate to formulate and consolidate the agency level budget, disburse the payroll, pay the Senate's bills, and provide appropriate counseling and advice. The Disbursing Office collects information from members and employees that is necessary to maintain and administer the retirement, health insurance, life insurance, and other central human resource programs, and provides responsive, personal attention to members and employees on an unbiased and confidential basis. The Disbursing Office also manages the distribution of central financial and human resource information to the individual member offices, committees, administrative offices, and leadership offices in the Senate while maintaining the confidentiality of information for members and Senate employees.

This past year the Disbursing Office continued to work on several projects that required a significant level of staff resources and presented challenges. Among these projects were: (1) the testing of system changes to the Senate Payroll System (SPS) due to the implementation of the Affordable Care Act (ACA), the fixes to the final pay period of 2013, and a retroactive COLA payment adjustment, (2) moving the printing of the payroll checks in-house and (3) visiting several Federal agencies to develop the Senate's FMIS modernization project. In addition, Disbursing implemented the legislative change of extending health benefits coverage to certain temporary excluded employees and we continue to work with Sergeant at Arms (SAA) staff on the implementation of a self-service pilot and the planning of an upgrade.

In addition, the Disbursing Office is responsible for the compilation of the annual operating budget of the United States Senate for presentation to the Committee on Appropriations and for the formulation, presentation, and execution of the budget for the Senate. On a semiannual basis, this group is also responsible for the compilation, validation, and completion of the Report of the Secretary of the Senate. The Report continues to be issued electronically, concurrent with the printed version.

ADMINISTRATIVE AND EXECUTIVE OPERATIONS

SENATE CHIEF COUNSEL FOR EMPLOYMENT

The Office of the Senate Chief Counsel for Employment (SCCE) is a non-partisan office established at the direction of the Joint Leadership in 1993 after enactment of the Government Employee Rights Act, which allowed Senate employees to file claims of employment discrimination against Senate offices. With the enactment of the Congressional Accountability Act of 1995 (CAA), as amended, Senate offices became subject to the requirements, responsibilities and obligations of 12 employment laws. The CAA also established the Office of Compliance (OOC). Among other things, the OOC accepts and processes legislative employees' complaints that their employer has violated the CAA.

The SCCE is charged with the legal defense of Senate offices in all employment law cases at both the administrative and court levels. The SCCE attorneys also provide legal advice to Senate offices about their obligations under employment laws. Accordingly, each of the clients of the Senate is an individual client of the SCCE, and each office maintains an attorney-client relationship with the SCCE.

The areas of responsibilities of the SCCE can be divided into the following categories: litigation (defending Senate offices in courts and at administrative hearings); mediations to resolve potential lawsuits; court-ordered alternative dispute resolutions; Occupational Safety and Health Act compliance; union drives, negotiations, and unfair labor practice charges; Americans with Disabilities Act compliance; layoffs and office closings in compliance with the law; management training regarding legal responsibilities and employee rights; employee and intern training regarding prohibited harassment, including sexual harassment; and preventative legal advice.

CONSERVATION AND PRESERVATION

The Office of Conservation and Preservation develops and coordinates programs directly related to the conservation and preservation of Senate records and materials for which the Secretary of the Senate has statutory and other authority. Initiatives include deacidification of paper and prints, phased conservation for books and documents, replacement of Congressional Serial Set maps (the Serial Set contains

all House and Senate documents and reports), collection surveys, exhibits, and matting and framing for Senate leadership.

The Office of Conservation and Preservation continues to participate in book repair training sessions and has made significant progress in the preservation of the Library's bound book collection. The training program preserves the bound materials in the Library's collections and reduces the need for the Library to contract support for bookbinding and repair.

CURATOR

The Office of the Senate Curator, on behalf of the Senate Commission on Art, develops and implements the museum and preservation programs for the Senate.The Curator collects, preserves, and interprets the Senate's fine and decorative arts, historic objects, and specific architectural features; and the Curator exercises supervisory responsibility for the historic chambers in the Capitol under the jurisdiction of the Commission.Through exhibitions, publications, and other programs, the Curator educates the public about the Senate and its collections.

In keeping with scheduled procedures, all Senate collection objects were inventoried in 2014, noting any changes in location in the database. As directed by S. Res. 178 (108th Congress, 1st session), the Curator submitted a list of the art and historic furnishings in the Senate to the Senate Committee on Rules and Administration. The list, known as the *Historic Furnishings Inventory,* documents the history of acquisition, use, and manufacture for each object. Items on the inventory list are prohibited from removal or purchase. The inventory, which is submitted every 6 months, is compiled by the Curator with assistance from the Senate Sergeant at Arms (SAA) and the Architect of the Capitol's (AOC) Superintendent of Senate Office Buildings.

The office continues to advance the preservation and documentation of the historic Russell Senate Office Building furnishings by conducting a yearly inspection of the use and location of the remaining 63 flat-top partner desks, and through educational initiatives aimed at informing Senate staff about the history of the furnishings.

The Curator continued to maintain and interpret the Old Senate and Old Supreme Court Chambers and coordinated use of both rooms for special occasions.The Curator is presently developing a plan for repairs and restoration in the Old Supreme Court Chamber and is conducting extensive primary source research into the original construction, configuration, and decoration of the room.

Sixty objects were accessioned into the Senate Collection this year. A number of the items catalogued include objects used by the Senate in the course of conducting its legislative business, such as a pen set used by the Presiding Officer in the Senate Chamber. The most significant addition to the collection this year was the gift of an oil sketch executed by Constantino Brumidi. The oil sketch was created in ca. 1872 in preparation for a mural in the Senate Reception Room's south wall lunette. It depicts President George Washington with cabinet members Thomas Jefferson and Alexander Hamilton.

In 2014, the Curator published *To Make Beautiful the Capitol: Rediscovering the Art of Constantino Brumidi.* The publication features scholarship made possible by fresh examination of Brumidi's restored murals and by a closer study of preliminary sketches recently added to the Senate collection.

The Curator installed a new exhibit outside the Dirksen SDG–50 Hearing Room, in conjunction with the Senate Library and Senate Historical Office. The exhibit, which highlights the Senate's role in the Civil Rights Act of 1964, was installed in showcases built into the walls of the room's vestibule.

The Curator's Office reduced costs this year by having staff pack items for shipping, when possible, instead of hiring professional art handlers. This included paintings and small sculptures on loan and retrofitting crates for reuse. The office was also able to consolidate several shipments with professional art handlers, for more economical shipping/transportation rates and lowered the overall transportation and fuel costs billed to the Office of Senate Curator.

EDUCATION AND TRAINING

The Joint Office of Education and Training provides development and training for Senate members, committees and staff in Washington, DC, and the State offices via video teleconferencing and Webinars. The office provides training in areas such as management and leadership development, human resources management, legislative and staff information, new staff and intern orientation, and health promotion. The office also provides much of the training for approved software and equipment used at the Senate. Technical offerings include System Administration, MS Office Suite, Photoshop and digital photography, and Senate specific applications training.

The office partners with other training providers, both inside and outside of the legislative branch, to ensure Senate staff have the skills they need to perform their jobs. In 2014, these partnerships included the Library of Congress, Congressional Research Service, Senate Library, Government Accountability Office, Capitol.net, the Office of Protective Services and Continuity, Senate Historian Office, Office of Attending Physician, Employee Assistant Program, Chief Counsel on Employment, Office of Congressional Accessibility, SAA Human Resources, Senate Disbursing Office, Senate Ethics Committee, and others.

The office also coordinates orientation for the Aides to the Senators-elect and new office Administrative Directors training after every election. This post-election orientation consists of multiple sessions. After swearing-in, there are additional sessions for the office management.

In 2014, two State training conferences were held: the Constituent Services Staff Conference and the State Directors Forum.

GIFT SHOP

Since its establishment in 1992 (2 U.S.C. 6576), the Gift Shop serves Senators and their spouses, staff, constituents, and the many visitors to the U.S. Capitol complex. The products available include a wide range of fine gift items, collectables, and souvenirs, many created exclusively for the Senate.

In addition to providing products and services from two physical locations, the Gift Shop has an online presence on Webster. The Capitol kiosk temporarily closed at the end of January 2013 to accommodate continued restoration of the Brumidi Corridors. Along with offering over-the-counter and walk-in sales, as well as limited intranet services, the Gift Shop administrative office provides mail order service as well as special order and catalogue sales.

Consistent with past practice, a transfer of $40,000 to the Senate Employees Child Care Center was made based on the annual sales of the Congressional Holiday Ornament (see 2 U.S.C. 6576(c)(3)).

A new shared position, Inventory Control/System Specialist, was created to assist with IT matters for both the Stationery Room and the Gift Shop. While inventory and accounting are maintained separately by the Gift Shop and the Stationery Room, the software architecture is the same. This position was instrumental for the smooth and successful installation of upgrades to the inventory and accounting software. The inventory software is used to transfer merchandise electronically between store locations, receive merchandise from vendors on purchase orders, and ring up sales on the cash registers. By minimizing the outside vendor's involvement in the Gift Shop upgrade, there was a savings of $6,000 over the initial estimate to complete the upgrade. Expectations are that this position will continue to benefit the Gift Shop, in both technical advice and savings, in the coming year.

HISTORICAL OFFICE

Serving as the Senate's institutional memory, the Historical Office collects and provides information on important events, precedents, dates, statistics, and historical comparisons of current and past Senate activities for use by members and staff, the media, scholars, and the general public. The historians keep extensive biographical, bibliographical, photographic, and archival information on the nearly 2,000 former and current senators as well as all vice presidents. The staff edits for publication historically significant transcripts and minutes of selected Senate committees and party organizations, and conducts oral history interviews with former Senators and staff. The historians offer special talks and tours to inform senators and Senate staff about important historical events, the history of the Capitol, and the Senate's institutional development. The photo historian maintains a collection of approximately 40,000 still pictures that includes photographs and illustrations of Senate committees and nearly all former Senators. The office staff also develops and maintains all historical material on the Senate Web site and provides educational outreach through email and Twitter.

In commemoration of the 50th anniversary of the passage of the Civil Rights Act of 1964, Senate historians developed an extensive multimedia online exhibit for Senate.gov, presented specialized talks and tours, and authored articles describing the Senate's role in the passage of this landmark legislation.

During 2014, the Senate transferred a multitude of records to the National Archives. The Senate Archivist also met with staff in all of the closing offices, compiled a closing Senate offices handbook, and acted as a liaison between members' offices and their designated archived repositories. In addition, the Archivist has evolved to meet e-records preservation changes. Principal among them is enhanced collabora-

tion with the Senate IT and systems administrator community, pro-active archiving of legislative records and building a solid core of expertise within the Senate.

The Advisory Committee on the Records of Congress was established in 1990 by Public Law 101–509, and meets semiannually to advise the Senate, the House of Representatives, and the Archivist of the United States on the management and preservation of the records of Congress. By law, the committee is required to report to Congress every 6 years on the status of Congress' and members' archival records. The most recent report was published December 31, 2012. The next report will be December 31, 2018. The Secretary of the Senate will chair the committee during the 114th Congress.

HUMAN RESOURCES

The Office of Human Resources was established in June 1995 by the Office of the Secretary as a result of the CAA. The office focuses on developing and implementing human resources policies, procedures, and programs for the Secretary's employees.

INFORMATION SYSTEMS

The Department of Information Systems provides technical hardware and software support for the Office of the Secretary. Emphasis is placed on creating and transferring legislative records to outside departments and agencies, fulfilling Disbursing Office financial responsibilities to the member offices, and complying with office-mandated and statutory obligations.

The staff interfaces closely with the application and network development groups within the SAA, GPO, and outside vendors on technical issues and joint projects. The department provides computer-related support for all local area network servers within the Office of the Secretary. Information Systems staff also provides direct application support for all software installed workstations, initiate and guide new technologies, and implement next generation hardware and software solutions.

INTERPARLIAMENTARY SERVICES

The Office of Interparliamentary Services (IPS) is responsible for administrative, financial, and protocol functions for special delegations authorized by the Majority and/or Minority Leaders, for all interparliamentary conferences in which the Senate participates by statute, and for interparliamentary conferences in which the Senate participates on an ad hoc basis. The office also provides appropriate assistance as requested by other Senate delegations.

The statutory interparliamentary conferences are: the NATO Parliamentary Assembly; the Mexico-United States Interparliamentary Group; the Canada-United States Interparliamentary Group; the British-American Interparliamentary Group; the United States-Russia Interparliamentary Group; the United States-China Interparliamentary Group; and the United States-Japan Interparliamentary Group.

On behalf of the Senate Majority and Minority Leaders, the staff arranges official receptions for heads of state, heads of government, heads of parliaments, and parliamentary delegations. Required records of expenditures on behalf of foreign dignitaries under authority of Public Law 100–71 are maintained by IPS.

IPS receives and prepares for printing the quarterly consolidated financial reports for foreign travel from all committees in the Senate. In addition to preparing the quarterly reports for the Majority Leader and the Minority Leader, IPS staff also assists staff members of Senators and committees in filling out the required reports.

LEGISLATIVE INFORMATION SYSTEM (LIS) PROJECT OFFICE

Update on current status of Legislative Information System (LIS) Project

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The overarching goal of the LISAP is to provide a Senate-wide implementation and transition to XML for the authoring and exchange of legislative documents.

The LIS Project Office continued to provide support to the Office of the Senate Legislative Counsel (SLC); the Committee on Appropriations; the Committee on Commerce, Science, and Transportation; and the Senate Enrolling Clerk in their use of the XML authoring application, Legislative Editing in XML Application (LEXA) for drafting, engrossing, and enrolling. With the addition of the Commerce Committee drafters, all Senate measures in the 113th Congress were produced in XML. In addition, the Government Publishing Office (GPO) uses LEXA to complete measures for printing. Several new features and fixes were added in LEXA releases to improve the drafting process.

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LIBRARY

The Senate Library provides legislative, legal, business, and general information services to the Senate. The Library's collection encompasses legislative documents that date from the Continental Congress in 1774; current and historic executive and judicial branch materials; an extensive book collection on American politics and history, including biographies; a popular collection of audiobooks; and a wide array of online resources. The Library also authors content for three Web sites—LIS.gov, Senate.gov, and Webster.

Senate Information Services (SIS) program service contracts for fiscal years 2015 and 2016 were renegotiated with existing program vendors to continue services for the Senate community. SIS staff worked with the vendor to complete a major enhancement of site features. Senate staff may now easily browse and search newspapers.

The Library continues to meet the Senate's increasing demand for information through the creation of new Web-based content, judicious selection and investment in online resources, expanded outreach and training opportunities, and use of technology to support alternative means for information delivery.

PAGE SCHOOL

The Senate Page School provides students with a sound program, both academically and experientially, during their stay in the Nation's capital.

In 2013 the Middle States Commission on Secondary Schools awarded accreditation renewal which continues until May 1, 2018. The Page School is among schools throughout the world that meet the internationally recognized standards of quality.

Faculty and staff provided extended educational experiences to pages, including field trips, guest speakers, opportunities to play musical instruments and vocalize, and world languages study. The community service project embraced by pages and

staff continues. Pages collected, assembled, and shipped items for gift packages to military personnel serving in various locations and included letters of support to the troops.

PRINTING AND DOCUMENT SERVICES

The Office of Printing and Document Services (OPDS) serves as liaison to the GPO for the Senate's official printing, ensuring that all Senate printing is in compliance with Title 44, U.S. Code as it relates to Senate documents, hearings, committee prints and other official publications. The office assists the Senate by coordinating, scheduling, delivering and preparing Senate legislation, hearings, documents, committee prints and additional publications for printing, and provides printed copies of all legislation and public laws to the Senate and the public. In addition, the office assigns publication numbers to all hearings, committee prints, documents and other publications; orders all blank paper, envelopes and letterhead for the Senate; and prepares page counts of all Senate hearings in order to compensate commercial reporting companies for the preparation of hearings.

During fiscal year 2014, the OPDS prepared 2,471 requisitions authorizing GPO to print and bind the Senate's work, exclusive of legislation and the *Congressional Record.* In addition to processing requisitions, the Printing Services Section coordinates proof handling, job scheduling and tracking for stationery products, Senate hearings, Senate publications and other additional printed products, as well as monitoring blank paper and stationery quotas for each Senate office and committee. Examples of major printing projects are: the Report of the Secretary of the Senate; the 113th Congress Congressional Directory; the Authority and Rules of Senate Committees; and the Journal of Senate Proceedings, 113th Congress 1st Session.

During 2014 over 10,000 requests for legislative material were received at the walk-in counter, through the mail, by fax, and electronically. Online ordering of legislative documents and the Legislative Hot List Link, where members and staff can confirm arrival of printed copies of the most sought after legislative documents, continued to be popular. The site is updated several times daily as new documents arrive from GPO to the Document Room. In addition, the office handled thousands of phone calls pertaining to the Senate's official printing, document requests and legislative questions.

PUBLIC RECORDS

The Office of Public Records receives, processes, and maintains records, reports, and other documents filed with the Secretary of the Senate that involve the Federal Election Campaign Act, as amended; the Lobbying Disclosure Act (LDA) of 1995, as amended; the Senate Code of Official Conduct; Rule 34, Public Financial Disclosure; Rule 35, Senate Gift Rule filings; Rule 40, Registration of Mass Mailing; Rule 41, Political Fund Designees; and Rule 41(6), Supervisor's Reports on Individuals Performing Senate Services; and Foreign Travel Reports. The office works closely with the Federal Election Commission (FEC), the Senate Select Committee on Ethics, and the Clerk of the House concerning the filing requirements of the aforementioned acts and Senate rules.

From October 2013 through September 2014, Public Records staff assisted over 10,000 individuals seeking information from or about reports filed with the office, responding to walk-in inquiries and inquiries by telephone or e-mail. Further, the office provides assistance to individuals attempting to comply with the provisions of the LDA.

Implementation of the Stop Trading on Congressional Knowledge Act (STOCK Act) continued into fiscal year 2014. The STOCK Act, as amended, required the Secretary to collaborate on the development of an electronic filing system for member and employee financial disclosure reports. Working in coordination with the SAA and the Ethics Committee, the Public Records office participated in the planning and development of the electronic filing system which was successfully launched on January 1, 2014.

The LDA requires semiannual contribution reports, and quarterly financial and lobbying activity reports. To continue implementation of the LDA, the Public Records Office conducted two LDA Guidance reviews in coordination with the Clerk of the House. As of September 30, 2014, there were 4,443 registrants representing 16,163 clients. The total number of individual lobbyists disclosed on fiscal year 2014 registrations and reports was 11,950. The total number of lobbying registrations and reports processed was 108,414. The office referred 949 cases of potential noncompliance to the U.S. Attorney for the District of Columbia.

The Federal Election Campaign Act requires Senate candidates to file quarterly and pre- and post-election reports with the Secretary of the Senate. Filings for the

fiscal year totaled 4,722 documents containing 439,745 pages, which were scanned, processed, and transmitted to the FEC, as required by law. During the calendar year 2014, an election year, the office processed 5,921 reports containing 718,827 pages, an all-time record for total number of pages processed.

The filing date for Public Financial Disclosure Reports was May 15, 2014. The reports were made available to the public and press as soon as they were filed and processed, and in most cases, the same day. Public Records staff provided copies to the Ethics Committee and the appropriate State officials.

Senators are required to file mass mailing reports on a quarterly basis. The number of pages submitted during fiscal year 2014 was 582. In addition, the Public Records Office received 454 Gift Rule/Travel reports during fiscal year 2014.

STATIONERY ROOM

Since it was formally established in 1854, the Senate Stationery Room has evolved into a diversified retail outlet serving the needs of the Senate community by providing a wide range of office and administrative supplies, communication and computer accessories, and special order items for official Government business. Additionally, the Stationery Room provides U.S. flags flown over the Capitol for constituent requests.

The Stationery Room fulfills its mission by: utilizing open market, competitive bid, or General Services Administration schedules for supply procurement; maintaining sufficient in-stock quantities of select merchandise to best meet the immediate needs of the Senate community; developing and maintaining productive business relationships with a wide variety of vendors to ensure sufficient breadth and availability of merchandise; maintaining expense accounts for all authorized customers and preparing monthly activity statements; and managing all accounts receivable and accounts payable reimbursement.

The Stationery Room, with the assistance of the Office of Web Technology, maintained an online Web ordering portal through Webster. The Web site offers an up-to-date Stationery Room catalog with product description, price, and pictures. Customers can place a stock order online and request direct delivery to a location of their choice. During fiscal year 2014, the Stationery Room received and processed more orders than fiscal year 2013. Use of the Web site helps reduce order time, increases customer convenience and order accuracy, and reduces the use of paper through reduced reliance on hard copy orders. Moving forward, the Stationery Room anticipates increased use of this Web site as customers discover the benefits of its use.

Utilizing the Pay.gov service offered by the U.S. Department of the Treasury, the Stationery Room has been accepting online flag requests and payments from constituents through member Web sites. At the end of fiscal year 2014, 43 member offices were offering this payment option and most of the new member offices are in the beginning stages of the program. The benefits include a reduced wait time for constituents, elimination of payment inaccuracies, and greatly reduced workload for office representatives. The Stationery Room will continue to expand the service.

The Stationery Room prepares activity statements for approximately 300 customer accounts on the last business day of each month. One upgrade most requested by our customers is for the Stationery Room to post the account statements directly to TranSAAct, the online business services portal for Senate offices. The inclusion of Stationery in the latest TranSAAct release occurred in early fiscal year 2014, enabling customers to print statements, current and historical, and research transaction details directly from their desktop. The Stationery Room expects to save over $500 a year in paper costs and, most importantly, reduce paper use by 45,000 individual sheets.

The Stationery Room will be replacing older, outdated handheld scanners with new tablets and scanners to interact more efficiently with the SAA upgraded wireless infrastructure. The Stationery will save over $5,250 annually by eliminating all paper receipts using the signature capture feature on the tablets. The Stationery Room will save over $5,250 annually by eliminating all paper receipts using the signature capture feature on tablets. When an office inquires about the status of their order, the Stationery Room will be able to respond immediately by accessing the information from the tablet.

WEB TECHNOLOGY

The Office of Web Technology is responsible for: Senate.gov; the Secretary's Page on Webster; and other portions of Webster—available to Senate staff, along with the Web-based systems, servers, and technologies supporting these Web sites that fall under the purview of the Secretary of the Senate.

Senate.gov content is maintained by over 30 contributors from seven departments of the Secretary's Office and three departments of SAA. All content is controlled through the Secretary's Web content management system, managed by the Office of Web Technology.

Five oral histories, 30 Senate Stories, and five featured biographies authored by the Senate Historical Office were added to Senate.gov this year. In addition, a new style for displaying roll call votes was deployed on Senate.gov. The new modern display makes scanning and in depth reading of votes easier and utilizes Library of Congress Handles for linking to legislation.

In preparation for the start of the 114th Congress, the office built individual member pages for the 13 newly sworn Senators. Web Technology coordinated with the individual designees to attain necessary materials, answer questions, and acquire approval so all members had a presence online when sworn in for the 114th Congress. Much education was provided to designees for options to replace the temporary Web page with more permanent solutions, along with facilitating domain redirects to ensure constituents are always able to easily find their members' Web sites.

The eDear Colleague site was launched and built to automatically update daily. In conjunction with the Senate Library the newly developed system allows for full-text searches of letters and attachments that were distributed via email starting in 2012 and some legacy documents provided by the Senate Rules Committee starting in 2011. The site allows for sorting by title, data, Congress, bill number, and person through leveraging advanced coding techniques and a customizable enterprise search engine. The automated system makes previously difficult to find information easily available. The site was built using existing resources.

In 2014 an average of 28,370 visits occurred per day to the central site of Senate.gov. The Office responded to approximately 423 emails from the general public regarding Senate.gov sites. This is a 66 percent decrease from the previous year which is due to advances in information architecture, search results, and custom error pages to help users resolve issue on their own.

EMERGENCY PREPAREDNESS AND CONTINUITY PLANNING

Throughout 2014, the Office of the Secretary continued to build upon a comprehensive emergency preparedness and continuity program initiated in 1997. The program extends from continuity of operations (COOP) planning within every department of the Office of the Secretary; to coordination with Leadership and the Sergeant at Arms on Senate-wide continuity plans; joint planning with the House of Representatives on bicameral programs; and inter-branch coordination with the executive and judicial branches. The objective of these programs is to provide Leadership the tools needed to ensure that the Senate can meet its constitutional obligations under any circumstances.

Within the Office of the Secretary, the primary objective is the continuity of the legislative process. The Legislative Staff and supporting offices maintain and regularly exercise plans to ensure that the Senate can convene and conduct legislative business under any conditions in various locations. Departments responsible for the execution of statutory obligations, such as the Disbursing Office and the Office of Public Records, maintain plans to carry out those functions, either locally or elsewhere, depending upon conditions. All Departments within the Office of the Secretary maintain individual plans to ensure that each Department can carry out its minimum essential functions during an emergency, until full operations can be restored. All Departmental plans are supported by emergency supply kits stored in multiple locations within and outside the District of Columbia. Across the Office of the Secretary, monthly drills, annual exercises, and flyaway kit updates are conducted in order to ensure that plans and supply kits are current, and that staff understand their continuity responsibilities. A cross-training program in the Legislative Departments ensures that staff with the skills required to support Floor operations will be available during an emergency.

Senator CAPITO. Mr. Larkin, Sergeant at Arms.

U.S. SENATE

SERGEANT AT ARMS AND DOORKEEPER

STATEMENT OF HON. FRANK J. LARKIN, SERGEANT AT ARMS

ACCOMPANIED BY JIM MORHARD, DEPUTY SERGEANT AT ARMS

Mr. LARKIN. Chairman Capito and Ranking Member Schatz, thank you for the honor of testifying before you today in this subcommittee.

I have a formal record that I ask be submitted for your further review.

Senator CAPITO. Without objection, it is submitted. Thank you.

Mr. LARKIN. Thank you.

As the new 40th Sergeant at Arms, 10 weeks on the job, this has been an active time since we have come into office. We have hosted the State of the Union, a number of congressional off-sites, joint sessions of Congress, dealt with challenges from mother nature and other issues that related to security and some of the dynamic threats that challenge this Nation today.

The transition into the office has been made with very little distraction, and I thank my predecessor, Drew Willison, and the prior Sergeants at Arms, Terry Gainer, and Bill Pickle for a lot of that assistance, along with my Sergeant at Arms senior staff seated behind me today. And I particularly point out my deputy, Jim Morhard, who is a longtime Hill associate, and very much thankful for his presence on the team and the knowledge that he brings to the staff, along with the other exceptional professionals who are truly dedicated to supporting the Senate and the success of what we do in this legislative branch.

Additionally, I would like to thank your professional staff. They have also been of great assistance in this transition.

In order to maximize time for your questions, I would just like to cover five main points that I have been focusing on as the Sergeant at Arms since coming into office.

The first is the safety and security of this institution. And certainly the attention has been to place the appropriate security measures in place to be effective against the dynamic threats, as I alluded to earlier, that challenge this Nation, and we can talk about that a little bit more in detail as we go on. This Senate needs to be able to legislate free of distraction, and again, that is the charge of the Sergeant at Arms Office, along with my partnership with the U.S. Capitol Police and the Secretary of the Senate. And again, we will stay very much focused on that task.

The second point I would like to make is regarding our cyber health and network defense, again another major effort underway within my department to validate that our information systems are as strong as they can be, that in fact we are on top of our equip-

ment refresh efforts to minimize any failures within the system from what we have experienced in the past from our operations forward and also to be able to evaluate ourselves using both internal resources and external resources to evaluate network defense, to truly grade ourselves on our ability to protect our information systems.

The third point of focus is truly customer relations, our ability to support the Senate and all the member offices effectively with the wide spectrum of components that make up the Sergeant at Arms. As you know, the Sergeant at Arms is responsible for printing services, mail screening, mail delivery, some maintenance aspects for the U.S. Capitol. We also handle the support services associated with parking, transportation, et cetera. So it is not just the safety and security that very much draws the attention of the Sergeant at Arms but is a lot of the other working parts, components that keep the trains running, so to speak, for the Senate.

The fourth area is the continuity preparedness. As the Secretary of the Senate alluded to, again, a very serious responsibility that involves significant planning and effort, that in fact if we have to consider relocation and standing up the Senate in alternate type scenarios, that we can do that seamlessly and effectively, minimizing any time shortage.

And the final area that, again, is of particular focus is in the partnerships and relationships. As we have talked, it is critical that within the Senate here that not only the Secretary of the Senate and U.S. Capitol—that we have a seamless and truly transparent relationship with each other just because of the way the different issues crosswalk into our areas of responsibility, but also that effort needs to transcend over to the House Sergeant at Arms, the Administrative Officer in the House and the Clerk—especially for the joint programs where we are looking to gain efficiencies and increase the level of communications with the other side. It is very important that we have those relationships and that they are as tight as possible.

Externally it is the relationships with our law enforcement partners, the intelligence community, our defense assets and other agencies that come into play especially as we talk about continuity operations.

As the Sergeant at Arms, I very much pay attention to how my various components can increase our efficiency and effectiveness with the appropriate funding and that I provide a level of accountability to you that, again, reaches your expectations and, finally, to be able to justify that with measurable results, again, that demonstrate that the appropriations that you have afforded us in fact are being applied properly and are having the effect that successfully supports the Senate.

And with that, Madam Chairman, I yield my time.

[The statement follows:]

PREPARED STATEMENT OF HON. FRANK J. LARKIN

INTRODUCTION

Madam Chairwoman, Ranking Member Schatz, and members of the subcommittee, thank you for allowing me to testify today. I am pleased to report on

the progress the Office of the Senate Sergeant at Arms (SAA) and our plans to enhance our service to the Senate.

For fiscal year 2016, the Sergeant at Arms respectfully requests a total budget of $205,974,000. This request represents a 4.4 percent increase from the current enacted budget, but is nearly identical to our budget level from fiscal year 2008. Today, our organization has approximately 70 fewer employees than we did in 2010.

As someone new to the Sergeant at Arms organization, I am both fortunate and grateful to have the support of an outstanding senior management team. It includes my Deputy, Jim Morhard; Chief of Staff, Mike Stenger; Assistant Sergeants at Arms Dick Attridge (Intelligence and Protective Services), Vicki Sinnett (Chief Information Officer), Bret Swanson (Operations), and Kevin Morison (Capitol Operations); General Counsel Terence Liley; Legislative Liaison Mason Wiggins; Democratic Liaison Scott Rodman; and Chief Financial Officer Chris Dey. The many goals and accomplishments set forth in this testimony would not have been possible without this team's leadership and commitment, as well as the dedication of the women and men who work for the Senate Sergeant at Arms office.

PROTECTIVE SERVICES AND CONTINUITY

Emergency Preparedness

Our emergency plans and procedures are designed to ensure the life safety of Senators, staff, and visitors within our facilities by equipping them with the necessary tools to respond to emergency situations. Our plans are also designed to ensure the Senate can continue its essential functions following an emergency event.

Over the past year, our office worked with Senate offices to update 188 Emergency Action Plans using guidelines set forth by the Occupational Safety and Health Administration as part of the Congressional Accountability Act. As part of this process, we look at the lessons learned from exercises and real world events to improve life-safety procedures for the Senate community.

We conduct a robust training program to ensure the Senate community is prepared to respond to a variety of emergency events both at work and at home. Over 4,000 staff members were trained during 180 classes covering a variety of emergency preparedness topics. The "Responding to an Active Shooter" class continues to be one of our most popular. The course is taught in conjunction with the United States Capitol Police (USCP) and is invaluable for educating staff on what to expect from law enforcement throughout an active shooter event.

We also work with USCP to execute annual evacuation, shelter in place, and internal relocation drills to ensure staff understand the correct life-safety responses to emergency events that may occur on Capitol Hill. We supported 26 evacuation drills that included Senate office buildings, the Postal Square building, Senate Page School, and Employee Child Care Center. We upgraded our accountability tools this year and provided assistance in gathering accountability information from offices, which is ultimately shared with USCP to track potentially missing staff.

To ensure staff have the necessary equipment to respond to emergency situations, we supply offices with victim rescue units, supply kits, and annunciators. We have inventoried over 270 offices and 27,000 pieces of emergency equipment to ensure operability and expired items are replaced.

To improve our alert messaging capability, we initiated a project with USCP, the House of Representatives, Architect of the Capitol (AOC), and Library of Congress to acquire a joint emergency mass notification system. This project aims to reduce the number of alert notification systems needed to transmit critical life-safety messages to the Senate and Capitol complex, and eliminate outdated systems that are difficult to use. The goal is to reduce the time it takes to broadcast messages over numerous platforms, providing Senators, staff, and visitors with additional time to respond to emergency situations.

We assist member offices and committees in writing their Continuity of Operations (COOP) plans, which are critical to the Senate's ability to perform its essential functions. The SAA office continues to ensure existing continuity plans and capabilities are regularly maintained, updated, and exercised. In 2014, a contingency facilities multi-day exercise was conducted involving four separate facilities and over 300 participants. This was the largest exercise to date and validated plans that call for the capability to quickly set up and operate contingency facilities in support of the Senate's constitutional obligations.

Communication among Senate staff responsible for executing plans during and following emergencies is critical to ensuring a successful outcome. Staff who have responsibilities during special events and emergencies were issued USCP digital radios with dedicated talk groups allowing for rapid communications independent of

the cellular network. The radios were successfully utilized during numerous exercises, providing a valuable command and control tool.

Contingency Programs

Sergeant at Arms staff collaborated with the Joint Continuity Office to further develop and refine contingency transportation and relocation site plans in 2014. Staff detailed to the Joint Continuity Office supported the planning process from developing policy guidance to coordinating directives from Senate leadership and finalizing Joint Congressional Continuity Plans. We are continually refining leadership evacuation sites, transportation operations, and embarkation point plans. These Continuity of Government (COG) plans are then coordinated with our congressional planning partners and supporting agencies, and all are continuously validated and exercised. A major accomplishment in 2014 was the development and finalization of joint House and Senate space allocation breakdowns.

To support our COG mission, we continued to refine the Senate Emergency Relocation Group (ERG), addressing the Senate's unique staffing requirements during contingency operations. Skilled SAA staff have been identified and trained to support Senate continuity operations during an emergency event requiring relocation. This program provides information, training, supplies, and support to 70 SAA staff members who will deploy during a contingency event. A functional exercise utilizing ERG support was conducted in 2014 and will be repeated this year.

During 2014, we conducted several joint exercises with the Secretary of the Senate, USCP, Architect of the Capitol, Office of Attending Physician, party secretaries, and other congressional stakeholders. We completed over 20 exercises, tabletops, tests, and guided discussions in 2014 covering all aspects of emergency response including emergency operations centers, transportation, contingency staffing, evacuation, shelter in place, and Chamber media operations. This past year, we conducted the first ever functional exercise of our leadership evacuation plan and validated our ability to notify, transport, and safely relocate leadership should the need arise.

Security Planning and Police Operations

The Security Planning and Police Operations (SPPO) program coordinates security and law enforcement support for the Senate community. The Senate community includes Senate committees, offices (including Senate State offices), and support offices on Capitol Hill. Provided support includes coordinating Senate campus access, working with the Committee on Rules and Administration to identify and publish Senate office building door and barricade openings, conducting office security sweeps, and installing proximity card readers and duress buttons. In 2014, SPPO received and processed 214 committee security assistance requests. They also processed 982 special requests for vehicle clearances, deliveries, and bus access to Capitol Hill.

The SPPO program provides staffing for the USCP Command Center support program, which ensures SAA representation during all hours the Senate is in session, and during normal business hours during recesses. This ensures immediate communication among the USCP, SAA, and Senate community during special events, emergency incidents, and routine operations.

The SPPO staff collaborated and provided support to the USCP and external law enforcement agencies during several special events in 2014, including the State of the Union address, multiple Joint Sessions of Congress, and the U.S. Capitol summer concert series.

The SPPO also includes the SAA's State Office Readiness program, which provides security and preparedness resources to State offices mirroring programs currently available to Capitol Hill Senate offices. Participating offices receive a variety of security enhancements at no cost to the Senate office. The program also assists State offices with completing an Emergency Action Plan to identify unique security and emergency preparedness procedures and provides emergency life safety equipment to State offices.

INFORMATION TECHNOLOGY

Senate IT Network Security and Response

The Senate is considered a prime target for cyber security breaches. Operational IT security activities appear to support this assertion. In the first few weeks of 2015, the Senate has received an average of 173,000 e-mail messages per day. Of these daily totals, an average of 24,000 messages, or 14 percent, are being immediately flagged as spam or malicious.

Many of our efforts to secure the Senate IT infrastructure are proactive. The Senate Secure Web Gateway prevents an average of 72,000 connections to 1,200 different potentially malicious Web sites each week. The vast majority of the Secure

Web Gateway prevention activity occurs in the background, transparent to Senate staff, so that their computers are automatically protected from common attacks without requiring them to take any direct action.

IT Security staff continually evaluate our stewardship of Senate network protection responsibility based on the three-legged table of security, functionality, and taxpayer value. Near-term initiatives will allow the SAA to apply even more advanced technologies to mitigate cyber threats, which will reduce the Senate's overall IT cost of operation. Investment in new IT security technologies will further strengthen our malware intrusion prevention capabilities. This will leverage commercially available systems that have proven effective in many other organizations at reducing systemic IT operational risk. We have also begun developing the Senate's first comprehensive cybersecurity strategy. This 5-year strategy will cover key strategic focus areas and include identified critical elements of each area. This strategy will drive our tactical and operational IT security planning.

In 2014, we proved the Senate mobile communication vehicles (ATLAS) were able to successfully support an Alternate Chamber at an offsite location. This allows the Senate to continue operations at a location where a connection to the Senate network is nonexistent.

Network Operations

In 2014, the Network Operations Center received and serviced 2,278 Service Center "incident" tickets, and processed almost 1,200 change requests and more than 900 LAN drop requests. From a security perspective, as part of the authentication process, wireless clients will undergo an assessment of their laptops that will verify their devices are compliant with up-to-date virus software and definitions, and operating system updates. Laptops will not be allowed onto the wireless LAN until they have met these criteria, further enhancing the overall security of the Senate network. Full implementation of Discovery will be complete in the next few months.

A multi-year project that has progressed in 2014 is the use of broadband Internet service to support Senate State office locations. Using broadband Internet service significantly increases the amount of bandwidth at each of the 460-plus locations, increasing the performance at each site for both intranet and Internet services. The increased bandwidth also affords the ability to support emerging technologies such as increased video conferencing capabilities between DC and a State office.

Replacing Switches

In January 2015, the Senate experienced a significant network outage that impacted e-mail, mobility services, the virtual infrastructure, senate.gov Web sites, and most Enterprise applications. This was the result of a hardware failure on a major distribution switch at the Primary Computing Facility (PCF). The hardware module was replaced and the switch was stabilized. A replacement switch and its partner at the Alternate Computing Facility (ACF) are now installed at both locations, and the network is scheduled to be cutover to the new hardware as soon as a remaining implementation issue is resolved. The new equipment allows us to improve on the original design, providing additional redundancy and eliminating the single point of failure.

Senate Payroll System (SPS)

We are working in collaboration with the Secretary of the Senate to support and enhance the new PeopleSoft Senate Payroll System. This new system replaced a 20-year-old mainframe system and provides a state-of-the-art technological platform that should serve the Senate well over the coming years. During the next quarter, we plan to begin a self-service pilot that will allow individuals online access to view their pay advances, W–2s, benefits summaries, and other personal information.

Data Center Management

We are currently modernizing the management of our two data centers with the addition of a centralized software system, new server rack smart Power Distribution Units (PDUs), and new environmental sensor systems. The software will allow for the bridging of information across organizational domains in order to provide a single holistic view of a data center's performance so that energy, equipment, and floor space are used as efficiently as possible. It will include collecting and monitoring of detailed power usage and environmental statistics from the new hardware equipment, inventory, capacity planning, workflow, as well as dashboards, allowing us to improve efficiency and reduce the risk of failures and outages.

Evaluating New Technologies

One of our core missions is to evaluate new technologies and tools based on customer needs and their fit in the Senate environment. This includes numerous

laptops, desktops, printers, mobile devices, software (including security patches and updates), and services.

Office Application Manager

A new version of the Office Application Manager was released in November 2014. The new application has a significantly improved user interface and functionality, including direct upload of constituent checklist items (eliminating the e-mail intermediary step), ability to have an outside individual submit a recommendation on behalf of an applicant, and Active Directory authentication. The new functionality incorporated in this version of the application makes it the most fully featured and secure release to date. Currently, there have been over 14,000 individual submissions and over 16,000 constituent accounts created.

Systems Management Service (SMS)

Our Systems Management Service remains state-of-the-art by completing upgrades to the backend systems that provide for distribution of software and security patches to Senate Microsoft Windows and Apple Mac computers.

We are researching the use of a new capability in the main application that provides the Systems Management Service software patching solution to Senate offices, which can provide automated security patches to Apple Macintosh computers as well as Windows-based computers. Providing Macintosh patches from this one application will potentially allow us to decommission the second separate system for Macintosh patching, producing a cost savings.

Microsoft Lync 2013

Our unified communication capability has been enhanced by completing the platform upgrade to Microsoft Lync 2013. Efforts are underway to integrate with other legislative branch agencies. More than 6,000 Senate accounts are enabled for Lync, with over 2,000 users logged in on a daily basis for instant messaging and presence. This year, we will further extend communication and collaboration capabilities of the unified client by integrating with our videoconferencing infrastructure and by making a new shared chat feature available.

Active Directory—ID System Integration and Photo Display

A process has been developed to synchronize Active Directory accounts with ID System records. This process positions the Active Directory to be leveraged for unified identity management and authentication services. This means that Senate users are now able to manage a single set of credentials for access to a rapidly increasing number of resources. With a single password to manage, users are more likely to frequently change their password and are less likely to write it down or otherwise store credentials insecurely. This also better facilitates removal of access to systems as users depart from the Senate. By disabling departing users' Active Directory accounts, we automatically disable access to all other systems to which the users had access. We also used the process to deliver a new optional photo display service to publish ID photos in e-mail and IM.

Senate Messaging and Authentication Services (SMAS)

We commenced activities to complete major upgrades to the Senate Messaging and Authentication Services environment. The upgrades to Microsoft Active Directory and Exchange will assure the system remains secure, stable, and capable of supporting current operating systems and applications. Deployment of Exchange Server 2013 will further improve the reliability of the e-mail messaging environment, reduce overall costs, and increase mailbox capacity.

TranSAAct—Our Platform for Doing Business Online

Functionality continues to be added to TranSAAct, our platform for doing business online, eliminating paper-based manual processes and addressing the requirements of offices and the Committee on Rules and Administration. Built on an extensible modern database framework, TranSAAct allows indefinite expansion as new requirements are identified.

In addition, we worked with the Rules Committee and the SAA parking office to simplify the parking request forms, improve features based on customer feedback, update business rules, modernize the technology, and improve the integration with the parking systems.

We are currently planning a technology refresh, upgrading infrastructure components, migrating the platform to virtual servers, simplifying the architecture by eliminating a third party product, and migrating user and group management into TranSAAct. That effort will lay the groundwork for providing users the ability to create profiles to reduce some data entry on request forms and customize commu-

nication preferences. We also have plans to make the home page more useful by presenting consolidated information on open service requests.

Telecommunications

Our voicemail system has been upgraded to the new software level 10.1 and we now have 16 redundant servers. This helps support our continuity of operations, and we continue to look at making this platform more mobile and redundant. With this upgrade, we will be offering more voicemail features and better integration with Microsoft software, and we now have an Interactive Voice Response (IVR) system that we are preparing to assist the Capitol Operators during heavy call periods. We will be offering these new features in fiscal year 2016.

In 2014, we started a multiyear process to upgrade the telephone system (CS2100) in Washington, DC. Once this project is completed, we will support session initiated protocol (SIP), which is a standard unified communication platform allowing us to integrate easily with multiple vendors including Cisco, Microsoft, and Polycom. This will provide the backbone to voice, video, chat, and conferencing services. The upgrade provides more phone features, a higher level of security, reduction of costs, and reduction of equipment. It also provides us the capability to use SIP for our phones and trunk lines to Verizon. Currently, our old trunks to Verizon are costly and we need more of them compared to the technology of SIP. In addition, we will be able to offer SIP phones to our customers, which allows for more mobility and more choices of phone types. We will have this project completed and begin offering these new features in fiscal year 2016.

We have also started our State office upgrade project for 460-plus offices, a multiyear project that will modernize the State office communications systems and bring more features and security to our State offices at a lower cost. These systems are old and costly, and maintenance is becoming more difficult. Most offices will be seeing some of these benefits in fiscal year 2016.

We are currently modernizing both of our telecom switch rooms and providing more power backup and physical security to both rooms. This includes relocation of some equipment to a more secured area; more secured access into these areas; cameras, temperature, and water monitors; power monitors for safety purposes; and computer monitoring of activity in these rooms. This project will be completed in fiscal year 2016.

Constituent Correspondence Services

Over the past decade, Constituent Correspondence Services funding remained at the same level up until the last 2 years, when funding was reduced. The fund appropriation is no longer keeping up with the allotments to member offices and has required a requested increase to ensure that the fund has appropriations equal to the prescribed allotments. Because of cost savings throughout the CIO organization, this increase is achievable while having no impact to the overall SAA budget request.

OPERATIONS

Central Operations

The Senate ID Office issues Smart Cards and standard IDs using two different Card Management Systems (CMS). The ID Office is in the planning phase of simplifying this process by using one CMS, which can issue both types of IDs. In addition, the ID Office is planning to implement an Identity Management System (IDMS) in order to better manage Senate staff credentials across all systems supported by the Sergeant at Arms. A consolidated IDMS will help streamline the creation of user accounts and facilitate access throughout the Senate Enterprise. During each Congress, the Senate ID Office issues over 35,000 IDs to Senators, staff, liaison personnel, and designated members of the media.

Parking Operations

Parking Operations is adopting social media as an additional method of communication to the Senate community. Disseminating information about area and street closures, especially those due to special events or emergency situations, continues to be a focus of improvement.

Monitoring renovations of underground garages scheduled for fiscal year 2016 and the projects' impact to Senate parking areas will be a primary focus of Parking Operations. The Architect of the Capitol is planning renovations of the Russell Legislative Garage and the Thurgood Marshall Judiciary Office Building Garage. The Russell Legislative Garage renovation will displace our parking permit issuance booth and over one hundred spaces under the control of the Committee on Rules and Administration. Parking Operations will work closely with the Committee's staff and AOC personnel to ensure customer service can be maintained and displaced garage

permit holders are accommodated in other Senate areas. The renovation of the Judiciary Office Building Garage will present another set of challenges. Although we will not lose any spaces due to the renovation, we will be relocating our permit holders to different and unfamiliar spaces throughout the renovation.

Transportation and Fleet Operations

Transportation and Fleet Operations procures and maintains Senate vehicles, provides transportation information to offices, and maintains and operates the Senate Daily Shuttle and Parking Shuttle services. The SAA fleet includes trucks, vans, buses, SUVs, electric vehicles, handicapped-accessible vehicles, and Segways.

Photography Studio

The Photography Studio provides photography and photo imaging services for Senate offices and committees. The studio manages and maintains the Photo Browser Application, which provides Senate offices a secure location to upload, organize, download, and place orders for their photos through a Web interface. All photos in a Senator's collection are archived in the Photo Browser system and are accessible during their time in office.

Printing, Graphics, and Direct Mail

The Printing, Graphics, and Direct Mail (PGDM) department provides support to the Senate community through graphic design, printing, mailing, document preservation, photocopying, logistics and security—producing over 59 million items during fiscal year 2014. We continue to modernize processes and applications to expand our product offerings and enhance efficiency to meet the evolving demands of Senate offices.

As a good steward of fiscal resources, PGDM garnered notable savings for the Senate. More than $1.1 million was saved in postage costs by pre-sorting and discounting 5.4 million pieces of outgoing Senate franked mail. Another $34,000 in postage was saved by using software to identify over 69,000 undeliverable addresses before they were introduced into the United States Postal Service mail stream. Since fiscal year 2000, the Postal Service increased the cost of a First Class mail piece from $.33 to $.49, which makes PGDM's mission to maximize discounts increasingly important. With the recent acquisition of state-of-the-art sorting equipment, PGDM has trained employees to perform routine maintenance, which generates an annual savings of $43,000 and ensures our equipment continues to run at an optimal level of performance.

For more than a decade, PGDM has been digitizing daily letter mail for member offices, making it easier to provide a quicker reply to constituents through traditional letters, social media sites, and digital e-mail systems. PGDM has kept pace with the latest technology by implementing high-speed digital scanners, document file management systems, and devices that convert obsolete media to useable files. The implementation of PGDM's document management system, OnBase, has contributed to member offices gaining efficiency by going paperless and providing them the ability to perform searches for specific dates, legislative issues, or individual constituent correspondents throughout their entire document collection.

Since the acquisition of our wide-format digital printing systems in fiscal year 2009, PGDM has printed 42,000 charts and generated a cost savings of approximately $3.8 million compared to having these charts done by an outside entity.

PGDM maintains several high-volume production printers that have a combined copy count of more than 7.5 million impressions. Soon, PGDM will be acquiring a new high-volume digital press to replace two outdated printers. This action will save PGDM $40,000 in annual maintenance costs, and will also generate cost saving in consumable supplies.

Senate Post Office

The Senate Post Office's dedicated workforce tests and delivers mail and packages to over 180 mail stops within the Capitol complex, while providing a messenger service to multiple locations within the Washington metropolitan area.

We recently procured a new mail sorter that was engineered to meet our mail screening specifications and replaced an outdated, less efficient machine. This sorter has duplex imaging technology to facilitate easy lookup of captured images in the event of a mail incident or database queries on specific addressees. This will enhance the Senate's security by augmenting the investigative capabilities of the USCP in response to a threatening mail event. The maintenance contract for the new sorter will net a 50 percent reduction compared to our current costs.

Capitol Facilities

Capitol Facilities supports the Senate community by providing a clean and professional work environment in the Capitol. Our Environmental Services division cleans Capitol spaces, moves Capitol furniture, and provides special event setups in the Capitol—including 10 event spaces in the Capitol Visitor Center. The Capitol Facilities Furnishings division provides furniture, carpeting, and window treatments to Capitol offices, and framing services for offices and committees throughout the Senate.

Focus continues to be on realizing cost savings while not sacrificing service. Salary costs in the department were reduced by nearly 12 percent in fiscal year 2014, resulting in savings of $443,000. To efficiently meet cyclical customer demands during peak event setups and furniture moves, Capitol Facilities supplements the full-time workforce with contracted labor. Using the contract workforce for addressing "surge related" events has allowed us to reduce those costs by 45 percent. With a reduced workforce, Capitol Facilities has combined job specialties and engaged in cross-training employees to ensure that services are maintained at the high level expected. In addition, we are planning an upgrade to the Capitol Facilities Online Request System (CapFOR) to give more information online to offices so that they can identify furniture that more readily meets their needs.

Office Support Services

The State Office Liaison staff serve as the conduit between Senate offices and commercial or Federal landlords, overseeing approximately 450 State offices. Funding for commercial, Federal, and mobile State office rents are primarily driven by the members' desire for suitable office space which best meets the growing needs of their local constituencies. The State Office Liaison staff negotiated 22 new commercial leases, 20 commercial amendments, 3 commercial renewals, and 4 new Federal office leases last year. Establishing a State office includes many activities: coordinating furniture and furnishings, negotiating the rate per square footage, and coordinating parking and office alterations. We continue to work closely with members' staff to ensure they understand the cost implications in relocating an office. We are committed to assisting members in negotiating the most comprehensive lease agreements that are both cost effective and competitive to the commercial market rates.

CAPITOL OPERATIONS

Ensuring that our customers—both internal and external—can have access to the Senate and understand its work remains the focus of the SAA's Capitol Operations team. Over the past year, team members provided a range of services to Senators and their staffs, visitors to the Capitol, members of the news media who cover Congress, and the public. Capitol Operations continues to focus on providing timely, accurate, and useful information that promotes safety, increases transparency, and enhances the experience of those who work in and visit the Senate.

Senate Recording Studio

In a time of instant communication and demands for transparency, the Senate Recording Studio helps ensure that the work of the Senate remains accessible to the public. During 2014, the Recording Studio provided 908 hours of gavel-to-gavel coverage of Senate Floor proceedings. For individuals who prefer to view Senate proceedings online, the Recording Studio also provides technical support for live-streaming and archiving on the Senate's Web site, www.senate.gov. Last year, this online resource was viewed 1.34 million times by more than 136,000 unique visitors. Another priority of the Recording Studio is to enable Senators working in DC to communicate with their constituents back home. During 2014, the Recording Studio produced 787 television and 901 radio productions for Senators.

Senate Media Galleries

For members of the news media, the Senate remains one of the most open and accessible institutions of Government. On any given day, hundreds of reporters, producers, photographers, videographers, and technical support personnel can be found in hearing rooms, hallways, and in the Chamber bringing the news of the Senate to people across the country and around the world. Ensuring that the news media can conduct their business efficiently, safely, and in a manner consistent with Senate rules is the responsibility of the staff of the four Senate Media Galleries. The unique structure of the Media Galleries, dating back to the earliest days of the Senate, requires them to work closely and cooperatively with their respective Standing and Executive Correspondents' Committees, USCP, and press secretaries and communications staff of Senators and Senate committees. Media Gallery staff facilitate

media credentials and arrangements for the 7,000 members of the news media who can cover the Senate in a given year.

Daily Press Gallery

Daily Press Gallery staff support reporters working for publications who publish on a daily or more frequent basis. Last year, the Daily Press Gallery issued credentials to approximately 1,800 journalists. As custodians of the largest press complex on Capitol Hill, the Gallery staff serve more than 100 reporters who physically work in the Press Gallery on a regular basis. Gallery staff also help control access to the Press Gallery inside the Senate Chamber and ensure Gallery rules are followed.

Periodical Press Gallery

The Periodical Press Gallery staff support the news media working for non-daily periodicals and their online publications. Last year, the Periodical Press Gallery approved credentials for more than 1,200 journalists. Gallery staff remain focused on streamlining communications with Gallery members and Senate staff. For example, the number of followers on the Gallery's Twitter account (@SenatePPG) grew by nearly 40 percent, to 3,600, and staff continue to increase the use of Facebook and Instagram as well. These efforts help drive traffic to the Gallery's Web site, where information on Floor proceedings, the credentialing process, and other areas of interest is consolidated. The Gallery's Web site averages approximately 50,000 hits a year.

Press Photographers Gallery

Press Photographers Gallery staff support photographers representing news organizations from across the United States and around the world. Last year, the Gallery credentialed approximately 300 news photographers. Unlike the other three Media Galleries, which have counterparts in the House of Representatives, Press Photographers Gallery staff support the media at news events and hearings in both houses of Congress. During 2014, the Gallery launched a Twitter account (@USSenatePhoto) to keep photographers and Senate staff apprised of congressional events; the account has grown to more than 600 followers.

Radio and Television Gallery

The task of ensuring that the broadcast media's needs are met while the Senate's rules are followed falls largely to the staff of the Radio and Television Gallery. The Gallery issued credentials to approximately 3,600 television and radio reporters, producers, and technical personnel. The Gallery also maintains the studio that Senators use for news conferences. Staff continually look to enhance the appearance and functionality in the studio. Last year, the Gallery oversaw installation of a new background element consisting of a bookshelf and Senate seal, and additional renovations to the audio system and camera risers are currently under development. Gallery staff also oversee upgrades to the technical infrastructure supporting committee hearing rooms and other news event locations. To further enhance communications, the Radio-TV Gallery initiated a Twitter account (@SenateRadioTV) during 2014, with approximately 700 followers to date.

Senate Doorkeepers

Senate Doorkeepers play a critical role in supporting the legislative process of the Senate. Doorkeepers provide access to those with Senate Floor privileges; enforce the rules of the Senate Floor; and facilitate the needs of Senators, Senate Floor staff, and Senate Pages. Doorkeepers also provide support for a number of special events attended by Senators, their families, and special guests. In addition to directly supporting Senators, Doorkeepers also ensure that all Americans can visit the Senate Gallery safely and efficiently. During 2014, approximately 202,000 people visited the Senate, in person, with the help of Senate Doorkeepers. That corresponded to nearly 950 people a day, both when the Senate was in session and during scheduled recesses.

Senate Appointment Desk

The Senate Appointment Desks are responsible for processing, in a safe and efficient manner, thousands of guests who enter the Capitol each year for business meetings or other purposes. During 2014, approximately 184,000 visitors were processed through our network of Appointment Desks located on the first floor of the Capitol, in the basements of the Russell and Hart Senate office buildings, and in the Capitol Visitor Center (CVC). Of these, 116,000 visitors were in the Capitol for official business or a direct meeting with a member, a member's office, or a committee. In addition, more than 2,500 international visitors relied on the CVC Appointment Desk for Senate Gallery Passes and information.

Office of Internal Communications

The Office of Internal Communications (OIC) streamlines communication within the SAA organization and to the rest of the Senate community through a combination of online, digital, and traditional print publications. Last year, the Office sent 468 Notices and 101 Dear Colleague messages electronically, saving resources and speeding delivery of important information. In addition, OIC manages two Web sites—one internal to the SAA and the other accessible to the Senate community—and maintains the electronic Notice system. During 2014, OIC staff edited and helped produce 175 publications, including safety bulletins, newsletters for both Senate and SAA staff, and procedural manuals. Finally, the OIC manages the SAA's use of social media to enhance communication with SAA employees, Senators, the Senate community, and the public. Recently, the SAA Twitter account (@SenateSAA) exceeded 7,400 followers and our Facebook page surpassed 4,000 "likes," both substantial increases from a year ago.

SAA HUMAN RESOURCES

The primary function of the SAA Office of Human Resources is to provide personnel services and advice to SAA managers and employees. The SAA Human Resources department also provides workers' compensation, ergonomic assessment, Americans with Disabilities Act (ADA) accommodation requests, and recruitment services to the broader Senate community.

Senate Placement Office

During fiscal year 2014, Senate offices submitted 513 requests for recruitment assistance to the Senate Placement Office; 49,401 resumes were processed by the Placement Office in response to these requests. Since the start of fiscal year 2015, the Senate Placement Office provided 2,404 resumes for vacancies on the staffs of Senators-elect and processed an additional 1,044 resumes for vacancies in other Senate offices and committees.

SENATE OFFICE OF EDUCATION AND TRAINING

The Office of Education and Training provides training for all Senate staff in Washington, DC, and in State offices. We provide performance skills training on topics such as management and leadership development, human resources management, legislative and staff information, and new staff and intern orientation. The office also provides much of the training for approved software and equipment used at the Senate. Our technical offerings include system administration, MS Office Suite, Photoshop, and digital photography, and Senate-specific applications training. In addition, we coordinate and provide major training events for State and DC staff.

Training is provided through a variety of methods. These include instructor-led classes, one-on-one coaching sessions, facilitation, computer-based training, online lessons, Webinars, videoconferencing, informal training, documentation, and self-paced training.

The Office of Education and Training partners with other training providers, both inside and outside of the legislative branch, to ensure the Senate staff have the training and skills they need to perform their jobs. In 2014, these partnerships included the Library of Congress, Congressional Research Service, Senate Library, Government Accountability Office, Capitol.net, the SAA Office of Protective Services and Continuity, Senate Historian, Office of Attending Physician, Employee Assistance Program, Chief Counsel on Employment, Office of Congressional Accessibility, SAA Human Resources, Senate Disbursing Office, Senate Ethics Committee, and others.

In 2014, the Office of Education and Training and its partners provided 735 instructor-led classes with a total attendance of over 3,000 students. Education and Training staff taught over 250 of the 735 instructor-led classes, at which over 1,900 staff attended. Education and Training provided customized training, facilitation services, and coaching to more than 150 Senate member, committee, and support offices, benefitting more than 1,400 staff. Our trainers spent approximately 600 hours performing training or facilitation in everything from 1-hour sessions to 2 to 4 day-long retreats. We also coordinate the Senate's Intern Program. We provide training for intern coordinators as well as eight orientation and training sessions throughout the year; approximately 1,500 interns attended in 2014.

After every election, we coordinate the Aides to the Senators-elect orientation and new office Admin Directors training. This 2-day orientation consists of 10 different sessions with 20–30 attendees. After swearing-in, we coordinate another 10–12 sessions for the office management. Each session is attended by 10–15 staff.

Health Promotion

Our Health Promotion office has been legislatively mandated to provide Health Promotion activities and events. Our Health Promotion branch coordinates and runs the 2-day Health and Wellness Fair for Senate staff. At this fair, Senate staff can meet vendors who promote healthy living choices and who provide screening and testing for things such as bone density, hearing, cholesterol, and others. In 2014, over 500 staff participated in health promotion activities, which included lung function and kidney screenings, blood drives, and seminars on health-related topics. We also coordinate Weight Watchers, Yoga, and Pilates sessions using a revolving fund. We plan to increase our conference offerings to include one for State Schedulers and for member and committee management. These conferences will provide staff who do similar jobs a place and time to share what is working and get ideas from one another.

We will continue to expand our online training options for Capitol Hill and State staff. We are rolling out an Online Leadership curriculum for Senate managers and continue to work with our training partners to provide just-in-time training. Our office also plans to bring in experts to conduct presentations and training on timely management and legislative topics to complement the training that is already offered. Some of these topics will include Appropriations and Authorizations, and Managing Remote Staff, among others.

EMPLOYEE ASSISTANCE PROGRAM

Our Employee Assistance Program (EAP) offers a variety of emotional, behavioral and work-related support resources and services to staff, their family members, Senate Pages, and interns. In 2014, nearly 1 in 20 Senate employees utilized the services of an EAP counselor; 370 employees took an online mental health screening; 177 managers requested a supervisory consultation; 3,277 employees attended an EAP training activity; and 1,946 employees accessed resources for personalized information and referrals addressing childcare, parenting, adult care, aging, education, legal concerns, and/or financial issues.

CONCLUSION

The Sergeant at Arms is composed of a diverse array of organizations. All of them exist to serve the Senate so that it can function as part of the legislative branch of our Government. To provide the checks and balances on any administration, it must be able to function efficiently in an effort to create and pass legislation. To do so, the Senate Sergeant at Arms must and will provide the needed services that allow it to function.

APPENDIX A

OFFICE OF THE SERGEANT AT ARMS—UNITED STATES SENATE

FINANCIAL PLAN FOR FISCAL YEAR 2016

[Dollars in thousands]

	Fiscal Year 2015 Enacted	Fiscal Year 2016 Request
General Operations & Maintenance:		
Salaries	$69,000	$72,000
Expenses	73,267	66,262
Total General Operations & Maintenance	142,267	138,262
Mandated Allowances & Allotments	47,141	46,858
Capital Investment	1,957	15,051
Nondiscretionary Items	5,935	5,803
Total	$197,300	$205,974
Staffing	892	892

To ensure that we provide the highest levels and quality of security, support services, and equipment, we submit a fiscal year 2016 budget request of $205,974,000, an increase of $8,674,000 or 4.4 percent compared to fiscal year 2015. The salary budget request is $72,000,000, an increase of $3,000,000 or 4.3 percent, and the ex-

pense budget request is $133,974,000, an increase of $5,574,000 or 4.4 percent. The staffing request remains at 892.

There are four budget categories: General Operations and Maintenance (Salaries and Expenses), Mandated Allowances and Allotments, Capital Investment, and Nondiscretionary Items.

The general operations and maintenance salaries budget request is $72,000,000, an increase of $3,000,000 or 4.3 percent compared to fiscal year 2015.

The general operations and maintenance expenses budget request for existing services is $66,262,000, a decrease of $7,005,000 or 9.6 percent compared to fiscal year 2015.

The mandated allowances and allotments budget request is $46,858,000. This budget supports State office rents, $19,691,000; purchase of computer and office equipment, $10,318,000; voice and data communications for Washington, DC, and State offices, $5,609,000; procurement and maintenance of member office constituent services systems, $5,500,000; RPC and DPC recording studios, $2,600,000; wireless services and equipment, $1,473,000; and State office security enhancements, $1,472,000.

The capital investments budget request is $15,051,000, for DC network equipment upgrade, $6,290,000; storage area network, $3,726,000; Chamber audio upgrade, $1,900,000; and Network Management Equipment Upgrade, $1,840,000.

The nondiscretionary items budget request is $5,803,000. The request funds projects that support the Secretary of the Senate: contract maintenance for the Financial Management Information System, $2,819,000; support for the payroll system, $2,359,000; and maintenance and necessary enhancements to the Legislative Information System, $625,000.

Senator CAPITO. Thank you.

Chief Dine.

UNITED STATES CAPITOL POLICE

STATEMENT OF HON. KIM C. DINE, CHIEF OF POLICE

ACCOMPANIED BY:

DANIEL MALLOY, ASSISTANT CHIEF AND CHIEF OF OPERATIONS
RICHARD BRADDOCK, CHIEF ADMINISTRATIVE OFFICER
FAY F. ROPELLA, INSPECTOR GENERAL

Chief DINE. Thank you and good morning.

I would also ask that my full statement be accepted for the record.

Chairman Capito, Ranking Member Schatz, and members of the subcommittee, I am honored to be here today and I appreciate the opportunity to present the United States Capitol Police budget request for fiscal year 2016.

I am joined here today by Assistant Chief Daniel Malloy, our Chief of Operations, and Mr. Richard Braddock, our Chief Administrative Officer, as well as some members of my executive management team and our Inspector General.

First, I would like to thank the subcommittee for its sustained and unwavering support for the United States Capitol Police. I would specifically like to express our appreciation to the subcommittee and the Congress for providing the necessary salaries and general expenses funding for fiscal year 2015 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, indeed, been a remarkable contributor to our success in achieving our mission. You and your staff have taken the time to work closely with the department's leadership team and have shown a keen awareness 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 continue to adapt to those threats has to change. We will continue to meet our mission by finding ways to sharpen and adapt our capabilities while remaining true to our core values. Our ability to thwart attacks and safeguard the Capitol complex hinges on our flexibility to adapt operations and administrative capabilities to the changing environment.

During fiscal year 2014, we were able to provide training to our officers in areas of active shooter and security screening, which are key skills that need to be constantly refreshed for our officers in

this environment. In addition, the department was awarded the Gold Standard in Advanced Law Enforcement Accreditation, our fifth accreditation, from the Commission on Accreditation for Law Enforcement Agencies. The Gold Standard is awarded to law enforcement agencies that have exhibited strong organizational health and an absence of issues that detract from the professionalism of the agency. Assessors were on site validating policies and procedures, interviewing employees, and performing field observations.

At this time, I would like to offer the subcommittee an overarching summary of our fiscal year 2016 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 2016 request totals nearly $379 million and represents an overall increase of 8.9 percent, or nearly $31 million over fiscal year 2015 enacted funding level of $348 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.

Our fiscal year 2016 request, again, only includes funding for 1,775 sworn and 370 civilian positions. These are the staffing levels funded during fiscal year 2015. While the staffing levels remain static in the fiscal year 2016 request, the funding request represents an overall increase of approximately 7 percent over the fiscal year 2015 enacted level. This increase is necessary to address the natural salary increases incurred by the department and increased overtime costs to meet our needs, especially for the 2016 presidential conventions.

The second area I want to cover in some detail is our requested general expenses budget, which includes protective travel; hiring, outfitting, and training of new sworn personnel; supplies and equipment; management systems; non-personnel presidential convention support and other non-personnel needs. We are requesting $71.4 million for general expenses, which is an increase of $10 million over the fiscal year 2015 enacted level. No new initiatives or program increases are included in this request. The increase results from normal increases in operating costs, convention costs, and cost to lifecycle key items and routine equipment and systems, and the restoration of annual levels reduced in previous fiscal years to meet regular needs.

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 provide 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 2014, the department performed over 9.6 million screenings of people entering congressional buildings, including over 1.4 million visitors to the Capitol Visitor Center. Outside the buildings, we kept the Capitol grounds safe by conducting more than 125,000 K–9 vehicle sweeps and nearly 27,000 offsite vehicle inspections.

Further, we continue to work to close audit recommendations and to address our material weaknesses from prior audits by working very closely with our Inspector General and the Government Accountability Office (GAO) to address identified issues and by providing evidence necessary to close findings. In particular, I am pleased to report the department received a fourth consecutive unqualified clean opinion on our financial statements. Also in fiscal year 2014, we worked closely with the Office of the Inspector General (OIG) to close 29 recommendations and completed actions that we believe could lead to closure of another eight recommendations. Also, the department successfully closed all findings from outstanding GAO reports and closed four complete OIG audits that have been open since 2008. Further, we are working on the resolution of a number of other recommendations in order to achieve efficiency and effectiveness of 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.

I am very grateful for your time today. We will continue to work closely with you to make sure that we meet the needs of our mission in a reasonable and responsible manner. I want to thank the women and men of the United States Capitol Police (USCP) for their commitment to our mission and for their support. I appreciate the opportunity to appear before you today and we would be glad to answer any questions you may have at this time.

[The statement follows:]

PREPARED STATEMENT OF HON. KIM C. DINE

Chairman Capito, Ranking Member Schatz and members of the subcommittee, I am honored to be here today, and I appreciate the opportunity to present the United States Capitol Police budget request for fiscal year 2016. I am joined here today by Assistant Chief Daniel Malloy, 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 subcommittee for its sustained and unwavering support of the United States Capitol Police. I would specifically like to express our appreciation to the subcommittee and the Congress for providing the necessary salaries and general expenses funding for fiscal year 2015 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 indeed been a remarkable contributor to our success in achieving our mission. You and your staff have taken the time to work closely with the Department's leadership team and have shown a keen awareness 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 continue to adapt to those threats has to change. We will continue to meet our mission by finding ways to sharpen and adapt our capabilities while remaining true to our core values. Our ability to thwart attacks and safeguard the Capitol Complex hinges on our flexibility to adapt operations and administrative capabilities to the changing environment.

Before I begin the specifics of my fiscal year 2016 budget request I would like to express again our appreciation to the subcommittee and the Congress for providing the essential salaries and general expenses funding for fiscal year 2015 to support our personnel and operations, which has ensured a high-level of capability and mission readiness.

During fiscal year 2014, we were able to provide training to all of our officers in the areas of active shooter and security screening, which are key skills that need to be constantly refreshed for our officers in this environment. In addition, the Department was awarded the Gold Standard in Advanced Law Enforcement Accreditation, our fifth Accreditation, from the Commission on Accreditation for Law Enforcement Agencies. The Gold Standard is awarded to law enforcement agencies that have exhibited strong organizational health and an absence of issues that detract from the professionalism of the agency. Assessors were onsite validating policies and procedures, interviewing employees, and performing field observations.

Our fiscal year 2016 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, communication, accountability and employee empowerment. We are 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. We will continue to deliver safety and security by deploying effective law enforcement services through collaboration, adaptability and innovation. We will strive for organizational excellence to maximize efficiency and effectiveness through best practices, while promoting accountability through employee engagement and a positive work environment. As we carry out these programs, employees are engaged through routine communications and are given an opportunity to provide feedback.

At this time, I would like to offer the subcommittee an overarching summary of our fiscal year 2016 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 2016 request totals nearly $379 million and represents an overall increase of 8.9 percent, or nearly $31 million over the fiscal year 2015 enacted funding level of $348 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 2016 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.

In light of the fiscal constraints of the Department and the entire Federal Government, our fiscal year 2016 request again only includes funding for 1,775 sworn and 370 civilian positions. These are the staffing levels funded during fiscal year 2015. While the staffing levels remain static in the fiscal year 2016 request, the funding request represents an overall increase of approximately 7 percent over the fiscal year 2015 enacted level. This increase is necessary to addresses the natural salary increases incurred by the Department, and increased overtime costs to meet our needs, especially for the 2016 presidential conventions.

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 find more efficiency through information-based management, while developing training and guidance for supervisors on methods for reducing overtime. Once fully implemented, this will result in en-

hancements 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 2016 overtime projection is $30.9 million. This amount will cover base mission requirements, the conventions, 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 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 of new sworn personnel; supplies and equipment; management systems; non-personnel presidential convention support and other non-personnel needs. We are requesting $71.4 million for general expenses, which is an increase of $10 million over the fiscal year 2015 enacted level. No new initiatives or program increases are included in this request. The increase results from normal increases in operating costs, convention costs, 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.

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 2014, the Department performed over 9.6 million screenings of people entering congressional buildings (including over 1.4 million visitors to the Capitol Visitor Center). Outside the buildings we kept the Capitol grounds safe by conducting more than 125,000 K–9 vehicle sweeps and nearly 27,000 offsite vehicle inspections.

For the fifth year in a row, the Department has implemented uniform procedures to effectively measure and justify U.S. Capitol Police 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 decisionmaking 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, in order to ensure the accuracy of our budget request, our fiscal year 2016 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 fourth consecutive unqualified "clean" opinion on our financial statements. Also in fiscal year 2014, we have worked closely with the Office of Inspector General to close 29 recommendations and have completed actions that we believe could lead to closure of another eight recommendations. Also, the Department successfully closed all findings from outstanding GAO reports and closed four complete OIG audits that have been open since 2008. Further, we are working on the resolution of a number of other recommendations in order to achieve efficiency and effectiveness of 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.

I am grateful for your time today. We will continue to work closely with you to make sure that we meet the needs of our mission in a reasonable and responsible manner. I want to thank the women and men of the USCP for their commitment to our mission and their support. I appreciate the opportunity to appear before you today and would be glad to answer any questions you may have at this time.

Senator CAPITO. Thank you. I thank all three of you for your testimony, and I join the voice of my ranking member here in thanking you for what you do for us every day and the general public and really for the country. So I want to make sure I get that on the record as well.

I want to begin with questions for the Secretary of the Senate. You have asked for a request to upgrade the Financial Management Information System (FMIS). But as I understand it, you are going to have 6 years of budget requests to get you fully up to speed. In my view, 6 years is a lifetime in any kind of computer

programming or software, and my concern is—and I am wondering if you have the same concern—is it possible by the time you get to full implementation, you are behind the curve again? What would your comments be on that?

Ms. ADAMS. That is a good question. I think anytime a 6-year project—certainly that does probably raise some eyebrows. But our team, our planners have really done a lot of their homework to put this plan into place. And the software that we will procure will be software that will still work when it is fully modernized. They will be purchasing the stuff that is in production. While we are moving through the phases, if they know that the third phase has gotten new software that we will need, they will make sure that it is the most current form that is available. And we will all be supported when we are done. But I understand. Six years does sound like a long time.

The benefit of doing it over 6 years, though, is truly—I want to make sure all the stakeholders that use FMIS have a system that works in the end that truly works for them. And by jamming it in in a shorter period of time, my concern is that we will not meet all the needs of the Senate in that amount of time. The shortest amount of time that we could do this in would be 3 years, and that would really be pushing it. We would likely need to add some additional full-time equivalents (FTE's) to that in order to support it, and there would also be some stuff for them on the Sergeant at Arms side in terms of their support. Making sure that we have staff that is up to speed and that they can support it when it is done, the 6 years gives us the time to get staff up to speed so that when it is done, we are not having to use contractor support and we have more internal support.

Senator CAPITO. So basically the 6-year timeline, if you were to squeeze it down—that was going to be my next question. Can you get it done in 3 years? Can you get it done in 1 year? Basically you are telling me that is not the advice that you are——

Ms. ADAMS. It is not the advice that our folks that have done all the planning—they have looked at other Federal agencies that have systems to see how long do these sort of things take to implement. And, you know, 3 years is really pushing it. That would be the minimum number that we would be able to.

Senator CAPITO. Well, maybe this time next year, when you have implemented the first year, we can return to this question because I think it is something that we want to make sure we are modernizing to the point where it actually is modern at the time that it concludes.

Ms. ADAMS. I agree. I agree.

Senator CAPITO. I would like to ask the Sergeant at Arms. You mentioned your priorities, safety and security, cyber health, customer relations, preparedness and partnerships. You know, just a general question about number one on the safety and security issue. Obviously, there are threats everywhere. What kind of coordination are you doing in terms of being able to assess what a terrorist threat to the Capitol is? I mean, I am probably the only one of the five of us—well, maybe Julie was here. I know you were in DC at the time on September the 11th. And I understand you were in New York City. You know, as time has gone on here on

the Capitol complex, I know we still have the heightened awareness of that. But are the threats more, less, or without being too specific, could you give us an idea of where you see these threats presently on the Capitol complex itself?

Mr. LARKIN. Absolutely, Chairman.

The threat picture right now is very dynamic. And again, I think that you can look at the information that we are getting from the media and also from companion testimony from other Government leaders up here on the Hill recently. We are in an environment where we have a full spectrum of threat that not only encompasses what we have seen overseas associated with al Qaeda, ISIL, ISIS, and others, but then we are seeing more and more here on the domestic front where we are encountering self-radicalized or self-motivated individuals. And some of these individuals are in communications with folks outside our domestic environment, again taking direction, somewhat supported either financially or with information resources. And then there are others that are fully independent, and they are the ones that remain the toughest target in the sense of identifying them in advance of some type of act that they would like to perform.

The only way that we are going to be able to stay ahead of this is, as you alluded to, close communications and coordination with our Federal partners and in some cases with some of our trusted allies who, again, are dealing with much of the same challenge, both with their assets overseas and their own homelands. We are in daily contact with the intelligence community. We are in daily contact, again, both with the House Sergeant at Arms Office and the U.S. Capitol Police, with our law enforcement partners, the FBI, Secret Service, Park Police, the folks that are generic to the Capitol campus but we are also in touch with law enforcement agencies that have a nexus to each of the member offices in their respective States of jurisdiction.

And again, as we see telltales or indicators that something is not right, we are very aggressive in pursuing and getting to the bottom of exactly what is taking place. And together with that is being able to get effective notifications out to members and staffs and so forth so that they have a level of awareness that we are working something, that we have got it contained, or its in motion and that they need to, along with our assets, increase their vigilance.

Senator CAPITO. Thank you and thank you for that. I think the communication is much improved over what it has been, and I think that is something that we need to keep on top of.

U.S. CAPITOL POLICE MORALE

To the Chief, we talked just briefly as I came in. We talked about the situation last night in Ferguson with two police officers being shot, and I do not know what the details of that are now but it certainly is a tragedy for everybody.

And I know that there have been some morale questions for the Capitol Police. Certainly the greater question of law enforcement in general—you have been in this field for decades. We are having sort of a national discussion. Are you finding within the Capitol Police these same kind of pushes and pulls between the general pub-

lic and law enforcement? What is your perspective on that? And how do you perceive the morale of the Capitol Police right now?

Chief DINE. Well, to the first part, the pushes and pulls I think that law enforcement face across the country sort of highlight the uniqueness of the U.S. Capitol Police. We are essentially an amalgamation of multiple law enforcement agencies rolled into one. A lot is asked of our agency, and it highlights the importance that we maintain the nimbleness and ability to confront all types of threats and issues as we provide safety and security throughout the Capitol complex. That is very critical. We are kind of a combination of an urban department. We do investigations. We do a lot of intelligence work, and we have continued to raise the bar as it relates to intelligence. The challenge is pushing that type of information out to our entire agency so that we can continue to provide safety and security not only here but to member offices, deal with threats, and investigations. Obviously our checkpoints and our doors are critical, which is why the training is so important to our agency, and we appreciate the support you provided us.

One of the unique challenges that we face is training. Unlike more traditional agencies, when we provide training to our officers, we have to take officers offline and then use overtime to fill those back positions. More traditional departments can significantly change the level of staffing out in the street from day-to-day and tour-to-tour. Part of that points then to my mission of making sure that our agency from top to bottom is cohesive, that we have a cohesive management team that understands the mission that we face and those nuances and the uniqueness of who we are and what we do. I think that relates often to the morale piece. It is imperative that we understand that we are one police organization that is more important than any one individual, that we understand what our roles and responsibilities are, and the more and better people understand that, which is my role as Chief of Police to make sure the management team and all of our leaders and managers and officials within the agency are a cohesive team. And in that way, we can best address the morale.

Senator CAPITO. Thank you.

PERCENTAGE OF FEMALE OFFICERS

Just a real quick question. Then I will ask my ranking member. I want to get on the record, Chief—I asked you when I was over at your headquarters what percent of your force is female. Could you put that on the record for us?

Chief DINE. Yes, ma'am. We are proud of the fact that it is about 18 percent.

Senator CAPITO. I think you are doing better than the Senate.

Senator Schatz.

POTENTIAL IMPACT OF SEQUESTER LEVELS IN FISCAL YEAR 2016

Senator SCHATZ. Thank you, Madam Chair.

The Budget Control Act imposes spending caps that were designed to limit discretionary spending. And I support and many others support adjusting those caps to a more responsible level, which would be closer in line with the request your agencies have made to the subcommittee.

The cap in place for fiscal year 2016 would provide a .2 percent increase over the 2015 level. Yet, today we are examining an increase of almost 9 percent for Capitol Police, 4.4 percent for the Sergeant at Arms, and 9.6 percent for the Secretary of the Senate. And I should say I find these increases to be totally reasonable, but not fundable unless we deal with the sequester.

Chief Dine, the adjustments in the Budget Control Act (BCA) caps in fiscal year 2014 and 2015 allowed your force to restore the number of sworn officers protecting the campus to pre-sequester levels and allowed the force to reinstate training that had been canceled under sequester. And I understand you were able to put all of the officers through active shooter training. I am worried that these activities will be difficult, if not impossible, to afford if we go back to the sequester. Your budget request includes $17.4 million just to maintain the current number of officers, plus an additional $13.5 million for critical back-of-the-house support such as replacing 35 computer servers that are past their warranty.

So, Chief, if the budget for the Capitol Police was limited to the current sequester levels, would you have to reduce the number of officers on patrol, and what would happen to training?

Chief DINE. Yes, sir. Thank you. I think there are several key points.

Our fiscal year 2016 budget request includes approximately $5 million of a one-time costs for the protection we provide for the presidential conventions that was not part of the fiscal year 2015 budget. This is a longstanding function in which we engage every 4 years and does require additional funds primarily for overtime and travel costs. Nearly $2 million in overtime and $3 million in travel costs go to fund these activities.

Secondly, the enacted level of the fiscal year 2015 budget for salaries is less than the amount needed to fund the fiscal year 2016 to fully fund, as you noted, the 1,775 sworn and 370 civilians' overtime and training costs. There are increases in salaries due to normal salary increases for the existing staff, annualization of the 2015 living increase, increases in benefit costs, and also the additional day of pay due to leap year in fiscal year 2016 that are not matched over fiscal year 2015.

If the funding levels for fiscal year 2016 are to be frozen at the fiscal year 2015 levels, it will require us to absorb the above increases in salaries and the one-time presidential convention costs. We projected that will force us to reduce our staff by approximately 250 people, which is significant. In addition, we would have to cancel necessary training for the planned officers and, as we discussed, training for our department is critical in all phases.

This type of reduction in staff will force us to reduce—curtail coverage in critical areas impacting the normal functioning of the Capitol complex such as reduction or elimination of mission support to minimal levels, reduce protection and coverage of the congressional leadership, reduce threat validation significantly, reduce post coverage, and an inability to potentially provide coverage for certain response capability and services. It may also affect our hazardous material and hazardous device responses.

Obviously, what will be required and what we continually do is to work with our stakeholders to make sure the required reductions

take place without creating significant security issues. These reductions will result in impacts to access and convenience areas throughout the complex, however.

Senator SCHATZ. But there would be fewer officers on patrol, less money for training, if any money for training.

Chief DINE. Yes, sir.

Senator SCHATZ. And as a result, fewer doors and less training. That is just as a starting point.

Chief DINE. Yes, sir.

Senator SCHATZ. Thank you, Chief.

Mr. Sergeant at Arms, assuming flat funding for 2016, would the Sergeant at Arms Office have to delay the requested upgrades for the IT systems, or would you be able to make adjustments in other places?

Mr. LARKIN. Senator, first of all, I think you have to look at your question in two prongs, at least from the Sergeant at Arms. One is the personnel and the other is non-personnel expense.

With regard to personnel, we could probably absorb that strain internally, and part of that is due to the fact that we have an ongoing effort right now to look at our job tasks and our personnel that are matched against those job tasks to see if they are still relevant. And in some cases, we are re-engineering and repurposing our personnel as we see evolutions in technology where the technology can take up for some of the FTE work, applying that, and balancing that, and it is an ongoing process.

The other aspect of the personnel is that we are converting some of our contractor positions over to Government positions, which then yield savings to our bottom line.

Now, on the equipment side—and they are both linked—is that we would have to prioritize our equipment investments and certainly our refresh and either extending our refresh out, which is sort of the situation that we were in here about 2 months ago where because decisions were previously made to extend the refresh of equipment, we found ourselves challenged one night, as you are well aware. And we were able to quickly recover, but yet it certainly brought to everyone's—to the forefront what can happen when a critical component fails unexpectedly.

Now, what I feel will suffer is—and again, this is about prioritization—extending those refreshes, potentially pushing other equipment change-out or software change-outs further out to other budget years. What I think would suffer would be innovation. And again, I go back to some of the technical advances that we see allow us to create a level of increase in efficiencies and savings that I think that would also suffer. So we would wind up in that do loop of trying to keep our lips above water and support the Senate effectively.

Senator SCHATZ. Thank you.

And, Ms. Adams, I assume under the BCA levels, you would have to delay the upgrade of your financial management system?

Ms. ADAMS. Yes, Senator, we would.

Senator SCHATZ. Thank you very much.

PREPARATION FOR POPE FRANCIS VISIT

I have a quick question about the preparation for the visit of Pope Francis this September, and if you could just briefly talk, each of you, about how you are preparing for it just operationally. But the other question I have is do you bake in an assumption about visiting dignitaries, or is something on the order of magnitude of Pope Francis visiting—you are not able to kind of regularly account for it in your annual budgeting process? Is this going to be a hit to your budget, or can you absorb it? That is one question.

The other question is what you are doing operationally to make sure it is smooth and safe. Maybe starting with the Chief.

Chief DINE. Yes, sir, thank you.

Our Office of Administration estimates the costs for these types of events, based on the requirements that are provided by our operations, and those costs and the planning around those costs is based on a risk/threat, available intelligence, and appropriate response and duration of those types of events obviously.

Normally we project a certain number of hours to be used for these types of unscheduled events. Usually it is about 20,000 hours. But that is based on the events that we know of, such as Congressional Delegation trips (CODEL's), known protests such as the annual national grass-roots organization of disability rights activists (ADAPT) type protests and other special events that normally occur during the year that cannot be projected for any type of pay period. The demonstrations and anticipated activity resulting—as you mentioned earlier, surrounding things like Ferguson, the Concert of Valor which took place right next to us this past summer, the Israeli prime minister visit, and the Pope visit later this year—those were not anticipated, and those are in excess of the 20,000 hours that we currently budget. It is a combination of fluidity in terms of us budgeting for those types of events which we know about and can foresee and project and those that are not.

For example, the Ferguson west front event required the deployment of our civil disturbance unit, utilizing approximately 2,500 hours of overtime and associated enhancements and then we had to continue those. The papal visit will be significant in planning and scope, similar to an inauguration or perhaps even surpassing that. We anticipate very, very, large crowds all during that day, much earlier than prior to even before the Pope coming up to the Capitol, lining all the streets. It is a huge and very significant event.

Now, we do a great job. Our officers do an outstanding job working with the law enforcement community both here in the region and across the country. We work in the field with them seamlessly, and as you know—you have been to our command center. During those major events, if one came to our command center, you would see all of our partner agencies there working with us. But that is a huge event that goes above and beyond our budget.

Senator SCHATZ. Thank you.

Mr. Larkin.

Mr. LARKIN. Thank you, Senator.

For the events that we know that occur each year on the calendar, again, they are easy to forecast and provide a projection. It is for these events that, again, occur out of cycle from our budget cycle where, again, we can take a hit financially on the amount of resources that we have to apply to effect support for those visits, the papal visit being a good example.

Right now, it appears that we are in a good place. However, we do not know what we do not know. They are actively planning. The State Department is working with the Vatican and also local resources here to really scope what that visit is going to entail. The Metropolitan Police Department, a great department, is one that we have a great relationship with them. But the fact is no one police department in DC can lift the strain of this visit alone. So it really requires a significant mutual aid effort that not only involves the departments here in the District of Columbia but also involve outside resources. And all those resources need to be coordinated, need to be supported in order to address what we fully expect to be a mass of humanity that will show up for this event. I have been involved in a number of papal events and have protected a number of Popes, and it is unlike any other—the closest comparison would be an inaugural. But this will go over and above an inaugural.

In addition, depending on where he goes on the eastern seaboard, we could very well be asked to contribute personnel to other cities such as Philadelphia and New York just by virtue of the fact that our police officers here, our departments here are very familiar with these type of events, and as his events take place in other cities, there could be a mutual aid request to send and deploy forces there in support.

Senator SCHATZ. Ms. Adams.

Ms. ADAMS. We do not anticipate any new costs for the Secretary's Office. Our involvement in events—you know, so far I have only participated in a couple of these with the State of the Union and the most recent visit by Prime Minister Netanyahu. But our Office of Interparliamentary Services will work with the Sergeant at Arms Protocol Office, but there should not be any new costs that come to our office.

Senator SCHATZ. Thank you.

And we here want to make sure that this is successful and seamless and safe. And then on the budgeting side, on the appropriations side, maybe we can at least stay in touch to see—I know it is going to be a moving target, but I would sure hate for the chair to be surprised next year about a shortfall. But there is no reason to do anything less than everything that is necessary to make sure that everybody, including and especially the Pope, is safe.

DRONES AND DEFENSE TACTICS

Chief Dine, I have a question about drones. Last month, drones were spotted flying all over Paris, hovering over the Eiffel Tower. We know that a hobbiest voluntarily admitted to flying over onto White House grounds. The Federal Aviation Administration (FAA) has released proposed drones regulations, setting some restrictions, but largely allowing private drone use. And without getting into a classified conversation or any of your operational plans, I would just like you to talk a little bit about how you are ensuring that

the Capitol Police have the latest and best information on drone capabilities and potential defense tactics.

Chief DINE. Yes, sir. Thank you.

The Capitol Police actually has had an airspace coordinator for the past 12 years, and we actively work with other law enforcement partners on a variety of issues, including the challenges we face regarding the unmanned aerial vehicles, or UAVs. In fact, 2 weeks ago, U.S. Capitol Police facilitated a meeting with over 20 law enforcement agencies regarding drones, and the meeting focused on four key areas: the general issues and concerns with these types of UAVs, the current laws that each agency follows and would use to prosecute such types of events—and we actually had people from the U.S. Attorney's Office, local prosecutors at the meeting as well—the types of tools for responding to these kinds of challenges, and lastly, the development of a common and consistent message to the community because that is also important in terms of educating our community about these types of vehicles and what would be legal and not legal. Of course, we discussed a number of other related aspects.

We do work with all of our law enforcement partners on a daily basis in coordination not only regarding UAVs but a variety of other airspace issues. We are very plugged into this issue because of the fact that we have had an airspace coordinator, and you are familiar with some of the capabilities we have in our command center. This unique challenge is something that we need to stay on top of consistently and be plugged in at the highest levels with all of our partner agencies to make sure that we have the capability and adaptability and nimbleness to respond.

Obviously, as it relates to the specific tactics and approaches, I would be glad to meet with you in a private forum to discuss some of the capabilities and things that are being looked at more specifically to combat these types of things. We are very plugged into the issue and aware of the challenges that they bring.

PUBLIC ACCESS POLICIES AND PROCEDURES

Senator SCHATZ. Chief Dine, I want to ask you about the unique mission that the Capitol Police have to contend with, arguably different than any other police force, which is the foundation of American democracy, access to citizens and staff and the press to the Capitol campus. And yet, you have an incredible obligation to protect the members and the staff and the citizens.

And I understand almost 10 million people last year came through the doors, and these are a lot of different doors. Each entry point is unique and traffic volume fluctuates, and some are mostly visitors. Some are members. Others are staff and advocates. But it is an incredible challenge to balance those two things leaning heavily on the safety and the security side, but understanding that you still have to move people efficiently and that a lot of times this is someone from some other State and their only time in their life to really be in the midst of American style democracy in this particular fashion. So I recognize the challenge that the force has and that your officers have.

How do you ensure what policies and procedures and what training do you have in place to make sure that you have alert officers at all times throughout their shifts?

Chief DINE. We do a number of things. We rotate officers through their posts. We give them a number of breaks. One of the things that we have been doing much more aggressively, as I alluded to earlier, was pushing out key pieces of intelligence information. It keeps them focused and alert and cognizant of the various types of challenges that we face.

As you mentioned and as I mentioned earlier, we are kind of an amalgamation of multiple types of agencies, and we take very seriously and are very proud of the fact that we are protectors literally of the democratic process, but we are also ambassadors. Our role as America's police department is such that when people come to the United States Capitol from all over the world, we want, when they see our officers who are often the first faces that they see when they come here and often the last face they see, that they have just encountered the best in American policing. That is what we want them to believe and feel and see when they see us.

The alertness of our officers is critical. The various types of threats that we face as they are moving people around this very open campus, as we know, is quite a challenge, and obviously it is imperative that our officers are alert and on watch 24 hours a day, 7 days a week. We engage in all those types of activities to make sure that they are in that mode.

CELL PHONE POLICY

Senator SCHATZ. What is your policy on cell phones?

Chief DINE. We have a policy, obviously, that precludes folks from not paying full time and attention to their duties while they are on their posts.

Senator SCHATZ. Is it a general prohibition on being distracted, or is there a specific reference to use of smart phones and cell phones?

Chief DINE. Both, but we do give phones to our officials and some officers have phones, but we want them to refrain from using them while on post. As you know, we moved forward last year, thanks to your support, with our new radio system which is working splendidly. We want them to utilize a police radio if they need to call for relief or call for a supervisor or need to make an emergency phone call or deal with some type of thing where they need to go offline. Officers have the capability and adaptability to do that through our police radio, and then obviously, they can get a break and make a phone call. But it is imperative based on the significance of our role that they are paying full time and attention.

Senator SCHATZ. Thank you very much.

Thank you, Chairwoman.

Senator CAPITO. Thank you.

I would like to ask a few more questions if the panel will bear with me here.

I would like to talk to the Sergeant at Arms on the IT upgrades. You mentioned just briefly—but we did have the outage in January where the Senate system—the whole network I think—went down. And you mentioned that the $13 million increase for this coming

year would go a long way to help to prevent something like that happening again. Could you speak to what happened and what this upgrade would do to prevent something like that happening again?

Mr. LARKIN. Yes, Chairman. Essentially we had a significant switch failure at our primary computing facility that was due for an upgrade during the February recess. However, it failed in January. No other explanation other than that.

Senator CAPITO. Was that upgrade in the budget for last year?

Mr. LARKIN. It had been considered for upgrade a number of years ago, but because of some of the budget pressures, a decision was made to push out the refresh, which goes back to Senator Schatz's question about the effects of squeezing our budgetary line.

The source of the shutdown has been clearly identified. The new hardware has been installed and is currently being tested and is due for switch-over very shortly. And we expect that as far as this type of scenario occurring again, we have mitigated it with a high degree of confidence. In the event that we have—again, I do not want to say a similar incident, but an incident that challenges our systems the way we were challenged in January, we will have a seamless switch-over to our alternate computing facility without interruption to services.

Senator CAPITO. Thank you.

I am going to kind of wade into something here. Another topical question in front of us today is the use of official or personal email accounts to conduct business. I guess I am unclear as to who sets the policy here for the Senate and what policy exists. I mean, I think this is something that we need to clarify. Is that something that falls within your domain at the Sergeant at Arms?

Mr. LARKIN. Chairman, I will have to get back to you, again, with a clear answer on that. Again, obviously, with what has occurred recently in the news, it has drawn attention to this. There are policies in place. I would like to get back to you as to the source of those policies and how well they are defined.

Senator CAPITO. Okay, because I am speculating, obviously, that if you are going to guarantee the security of the networks of the Senate.gov, that does call into question where is the security of personal emails. It is not an uncommon practice to have two accounts. So I would like to follow up on this. I think it is a discussion we should have here.

HEARING SECURITY

And one other thing for you is—and you and I have talked about this. There was an occurrence in one of the subcommittee hearings right after you took the job, where there was a call to question as to the security that was provided to the Senators and the witnesses that were testifying because of some protestors in the room.

I mean, having been in several meetings where this has occurred, many times folks who want to verbally protest or wave signs will prepare the panel and the Capitol Police and say this is what we plan to do. We want to have our protest. And normally you can contain that easily, and then most of them will then exit the room or sit quietly for the remainder of the committee hearing.

But in this case, it sounded like it sort of got out of hand. The timeliness of the reaction was questionable. I know Senator McCain was very upset by what had happened in his committee.

So I guess both of you would probably be appropriate to answer this, but I would like to give you as Sergeant at Arms, because you and I have talked about this, what kind of protocols you are putting into place to try to alleviate that situation.

Mr. LARKIN. First of all, Chairman, the McCain incident was underwhelming and ineffective response, which drew the attention to the fact that we have high profile hearings that occur almost daily on this campus. It motivated a look at our procedures. It also created an opportunity to get together with the new committees and ensure that everybody was in sync with the committee processes and how to deal with these scenarios, should they occur. The Capitol Police was very much involved in that effort, along with the Sergeant at Arms and the Secretary's Office, again, to ensure that everybody was operating on the same playing field and understood what the expectations were as far as conducting a committee hearing or, for that matter, conduct that would be inappropriate in a member's office by one of these groups that would show up unannounced to voice their opinion.

There was significant focus on not obstructing their free speech. However, as you alluded to, we accomplished getting with these groups in advance of these hearings clearly outlining what was appropriate behavior and what was not appropriate behavior and then informing them as to what the consequences would be.

Personally I directed the Capitol Police department as the Chairman of the Police Board that anyone that is to be removed from a hearing room for inappropriate behavior, whether it presented a safety issue or a security issue, would be arrested.

Senator CAPITO. Is that a new policy?

Mr. LARKIN. That is a policy that had been exercised in the past. However, I clarified that policy so that there would be no misinterpretation as to when it would be enforced. And we, again, got together with the committees, informed them of that.

Since these new processes have been in place, we have not had any problems. We have had incidents, but they have been quickly brought under control. Folks who have elected to voice their opinion about various subjects have been allowed to do so, but then when they have been warned, they either comply or they are removed from the hearing room.

Senator CAPITO. Chief Dine, did you want to make a comment on that?

Chief DINE. I can echo those remarks from the Sergeant at Arms. Our response that day was not acceptable and not up to our high standards. It did allow us to work with the Sergeant at Arms and his staff and all the committees to highlight further the communication between us, the Sergeant at Arms staff, and the committees so we know ahead of time the expectations of all parties.

We generally do an outstanding job at liaisoning with these groups. Almost on a daily basis we protect the First Amendment and the people's right to be heard up here. As an agency we take that very, very seriously and, frankly, are very proud of the manner in which we do that. That being said, the work of the Congress

must go on uninterrupted, and when we need to take action, we need to do that.

It allowed us to formulate some better training, working with our General Counsel's office who provides us outstanding assistance. We actually are providing scenario-based training so our officers and officials are extremely confident when they are in these types of situations in terms of what actions to take and what different laws apply. As Mr. Larkin said, they do that on a daily basis very well generally. It allowed us to strengthen the communication, the training, and the clarity about which we want the officers to act.

Senator CAPITO. Well, thank you.

USCP OVERTIME

I am going to ask another budgetary question here. I understand that striking the best balance between the cost of on-board officers and the cost of overtime has been a persistent struggle for the Capitol Police. The projected overtime costs for fiscal year 2016 are $30.9 million, and the budget request maintains, as we have said, the current officer strength at 1,775.

So I am curious to know from the leadership's perspective, both Chief Dine and Sergeant at Arms as chairman of the Capitol Police Board, where things stand today. Is this the best we can do? Is it possible to drive down overtime costs, or does maintaining the 1,775 officers mean that we will always have a $30 million cost of overtime? Chief Dine?

Chief DINE. Yes, ma'am. Thank you. I think there are a couple key points that relate to this question.

The first one being the mission requirements of the department significantly exceed the staffing levels we have. There will always be the necessity of overtime.

Senator CAPITO. Could I ask just a quick question here? Because you and I talked about this. Your staffing level is at 1,775. You are authorized for more officers. Correct? Or is that your statutory limit?

Chief DINE. We are authorized 1,800 sworn positions.

Senator CAPITO. 1,800?

Chief DINE. Yes, ma'am.

Senator CAPITO. Okay. Continue. Sorry.

Chief DINE. What is asked of the agency has historically exceeded our ability to do that without overtime. Our requirements just exceed the staffing levels we have. There always will be some use of overtime in certain situations like this, and often it is more practical than having excess capacity. It frankly makes us more nimble in a lot of ways. However, there are additional fiscal year 2016 overtime costs related to the conventions.

The other key point that I mentioned earlier was part of our overtime cost relates to training needs because we have to backfill people when we take them off line for training, which is a little bit different than most other departments would operate.

We obviously work continually with the Capitol Police Board to determine that balance, to try to strike that correct balance between overtime and what we request in a given fiscal year. If we were to ask for more officers ever in the future, it would still not offset overtime for that year because of the time it takes to get offi-

cers on board. I mean, that is sort of a hypothetical answer. It takes about a year to get full utility from officers even when we hire them. I have obviously directed our COO and CAO to continually monitor overtime costs and strike that best balance between where we are fiscally with the use of overtime and the number of people we have on board.

Right now, we are not at 1,775 either. We are always striving to get to that number.

Senator CAPITO. Where are you right now?

Chief DINE. Probably around 1,730 or——

Senator CAPITO. Is that built into your budget that you are 50 under?

Chief DINE. Yes, ma'am. The budget is built to get to 1,775.

So it is a constant, I guess, striking that best balance between staffing and overtime. And as I mentioned, the overtime amount for what we are requesting is almost $2 million for the conventions and training is about $1.5 million.

Senator CAPITO. Sergeant at Arms, do you have a comment on your overview? And I am curious to know, do you have overtime in your department? Do you pay overtime on your budget?

Mr. LARKIN. There is some overtime components, but it is for particular employees that are working in like our parking areas and some of the other, what I would say, ground support activities.

Senator CAPITO. So what comment would you make in terms of the $30 million overtime at the Capitol Police?

Mr. LARKIN. Well, first of all, as chairman of the Police Board, it is incumbent upon me and the House Sergeant at Arms and the Architect who make up the Police Board to provide effective oversight on this overtime issue. Fortunately, my deputy with his extensive appropriations background has been invaluable in the examination of the police budget and the overtime factor.

I think this is going to be an ongoing challenge as we try to adjust the force to the threat conditions that challenge the Capitol and also for the no-notice or those activities that are not planned for or budgeted for in advance.

I will say, Chairman, that one of the things that continues to haunt the force and our staffing is the discussion about opening up doors. That does not come without a cost in human resources and a financial cost, let alone a security challenge that it presents to our armor, so to speak.

Senator CAPITO. One of my colleagues just hit me the other day. They ought to reopen that door, the one down at the——

Mr. LARKIN. Well, I can understand. You know, security is a balance between what is effective against a threat, you know, applying some common sense and reality as to how we can effectively defend against a threat. And I am not talking about goal line defense. I am talking about getting out ahead of the threat, getting to it early so that we mitigate, minimize any destruction. But you got that dynamic tension between that and inconvenience. And there is also a factor of perception. In other words, does your perception of security and a secure environment match the functional security against that threat? And obviously, if you are close to an incident such as 9/11, then you have a high expectation for security. You kind of trade off a lot of the inconvenience that comes with secu-

rity. The more you move away from that date, then you see that pressure. But you have to accept that you also potentially are putting yourselves more into a vulnerable position.

Senator CAPITO. Right. Thank you.

Senator.

Senator SCHATZ. Thank you.

Senator CAPITO. Well, I think I have no further questions. And this concludes the Legislative Branch Appropriations Subcommittee hearing regarding fiscal year 2016. I want to thank the Secretary of the Senate, the Sergeant at Arms, and the Chief of the Capitol Police. Thank you each for your testimony and your frankness in your answering questions.

ADDITIONAL COMMITTEE QUESTIONS

The hearing record will remain open for 7 days, allowing members to submit statements and/or questions for the record which should be sent to the subcommittee by close of business on Thursday, March 19th, 2015.

[The following questions were not asked at the hearing, but were submitted to the agencies for response subsequent to the hearing:]

QUESTIONS SUBMITTED TO HON. FRANK J. LARKIN

QUESTIONS SUBMITTED BY SENATOR SHELLEY MOORE CAPITO

Question. Does the SAA currently utilize, or plan to implement, a cloud computing based information technology infrastructure to operate and deliver programs to the public?

Answer. The SAA is not currently utilizing a specific cloud computing based IT infrastructure, however, the Senate is already utilizing multiple separate cloud services primarily focused on public access to information. We are taking advantage of cloud services where they make the most sense for our environment, including: Committee Video Streaming; Senate.Gov Website Serving; Web development tools/code repository, Application Platform as a Service, Document repository, Document Sharing; Office File Storage, Synchronization, & Collaboration; Social Media; Senate Floor Video Streaming; Live Video Streaming; Video Streaming; Social Media Archiving; Geographic Information Services.

Cloud Computing is a very general term that encompasses a large number of service types that are frequently very complex. The SAA is continually researching and evaluating these services and taking advantage of them whenever the benefits to the Senate and/or the public are clear and measureable. The SAA fully expects to be utilizing more and more cloud services as we move forward.

Question. Are there particular IT applications like e-mail, disaster recovery, analytics, or other programs that SAA would consider moving to cloud computing?

Answer. The SAA has an ongoing Cloud Computing Research and Evaluation initiative with the goal of making recommendations regarding cloud computing strategies for the Senate. The scope of this initiative includes currently available public and private cloud services and will evaluate all IT services provided by the SAA with respect to them. Nothing is off the table from an IT perspective, however, there are many other considerations such as data custody, data security, cost, reliability, and performance, just to name a few.

Question. With today's mobile workforce, how does SAA provide availability, while ensuring data governance and security?

Answer. The SAA provides Mobile Device Management technologies and on-campus wireless network access to offices, which we use to apply fundamental security controls. Additional security controls are under the purview of the office system administrator. Although the SAA does not have authority to control or view the data transmitted, stored, or processed on these devices, we nonetheless offer training and guidance to offices on how they can best secure their information.

Question. What are SAA's plans to leverage technologies like data or video analytics, to provide more proactive security measures on Capitol Hill?

Answer. The SAA works with the U.S. Capitol Police and our Federal law enforcement partners to research and examine various forms of new technology that show

potential for use as security multipliers on Capitol Hill and the member State offices. These forms include data or video analytics as well as other technical security methods. The SAA will continue to consider new technology, their associated deployment capabilities and costs, as they relate to mitigating current/relevant threats and risks.

QUESTIONS SUBMITTED TO HON. KIM C. DINE

QUESTIONS SUBMITTED BY SENATOR SHELLEY MOORE CAPITO

EXPENSES ACCOUNT

Question. The requested increase includes $1.4 million for Government support services from the National Finance Center and the creation of an in-house capability for applicant testing and background investigations. It appears as though you are proposing to contract out for something that could be handled within the Department's Office of Human Resources, while at the same time you are proposing to create an in-house capability that would make more sense to contract out. Please explain why the Capitol Police needs to purchase support services from the National Finance Center and create an in-house capability for background investigations.

Answer. The $1.4 million budget request is intended to upgrade current HR processing functions with the National Finance Center (NFC) and the expansion of an in-house capability to conduct employee background investigations that were previously conducted by contractors.

When the sequester took effect, the Department discontinued using an automated staffing tool with a performance management component that was very costly. The Department currently uses mainframe technology which is antiquated and inefficient to process personnel actions with NFC, which is our payroll system of record. This request will fund a one-time cost to upgrade to a new platform with the National Finance Center using technology that automates personnel action processing, managers self-service, position management and offers an add-on component called ePerformance. ePerformance is a self-service performance evaluation application for managers, employees and human resources administrators. This new platform also offers capability to interface with USAStaffing which is the Department's cost saving automated staffing tool that supports paperless onboarding to provide end to end processing throughout an employee's career lifecycle.

Regarding the expansion of the Department's background investigation capability, recent current events had generated significant concerns surrounding the accountability and security of PII information and the rising costs of cases being investigated through contracted support. Due to such risk, we already are performing more in-house, and this funding will allow us to fully fund and stabilize that effort. Bringing the investigations in-house has minimized the risk of security breaches on Capitol Hill and has allowed for a more thorough investigation into each candidate to include subject interviews, and to interview key individuals in an applicant's sphere of contacts to insure the agency hires the right people who possess the qualities, values and character outlined in the Capitol Police Board's hiring standards. The Department will no longer rely completely on external support to conduct field investigations but will instead perform more of the investigative work and provide controlled oversight of personnel security. This initiative includes merger of the Badging and Credentials and Background Investigations Sections to ensure the integrity of PII, quality, timeliness and eventual cost effectiveness of investigations through internal continuity. This effort also improves the alignment of business processes and expertise with well-defined roles and responsibilities to perform this critical work for the Department. The proposed expansion is designed to eliminate vulnerabilities and instill confidence in our stakeholders.

Question. There are a multitude of requested increases throughout the general expenses budget that pertain to training. Will this funding level be a new baseline for training needs in future fiscal years?

Answer. This is another area that has suffered due to the budgetary constraints of the last several years. Our increase for training is to restore us to training levels throughout the Department that existed about 5 years ago.

There is training that occurs every year. The training of our new recruits is our most significant training effort and our request each year is based on the number of recruits we project to hire. This request is based on ensuring that we maintain our current funded staffing levels of 1,775 sworn officers. However, the on-going training of our sworn officers is the next most significant training effort. Training for our civilian personnel is also critical. This involves non-personnel costs and per-

sonnel costs, as we need to relieve the officers from their ongoing duties to take the training and that backfill costs results in projected overtime for the Department. The non-personnel costs involved in officer training is fairly static each year.

Many of the increases in our request this year is for individual training for officers, officials and civilians, which is reflected in various places in our budget as it affects nearly every bureau and office, not just a targeted group within the Department. In tight fiscal situations this is the training that must be deferred first, as the previous two trainings have the highest priority. But we are asking to restore training for only the highest needs of the Department and are incurring the biggest increases in our most technological entities. The technical training, particular in security services, IT and cyber, are areas we want to keep as up to date as possible. We do see these increases as baseline increases and do not foresee significant increases after this.

Question. The request includes $2.7 million for travel, rental of telecommunications equipment, and other purchases associated with the Republican and Democratic Presidential Conventions scheduled for the summer of 2016. Is this funding request based on actual expenditures from the Presidential Conventions in 2012? Knowing that those conventions are well covered by the Secret Service, the FBI and other law enforcement agencies, would it be possible for the Capitol Police to scale back its presence if the full amount of funding requested was not available?

Answer. The funding request is based on actual expenditures with normal cost increases. There is no new functionality we plan to implement that was not performed at prior conventions. The United States Capitol Police has the primary responsibility for the protection of Members of Congress, Officers of Congress and immediate family members of Members and Officers throughout the entire United States, DC, Territories and Possessions. This, coupled with the scope of members attending this event and criticality of ensuring both the Continuation of Government and Continuation of Legislative Operations, makes the Democratic and Republican Conventions a unique challenge for the United States Capitol Police.

At all events, but particularly events of this magnitude, the United States Capitol Police works collaboratively with all of our partner agencies in a broad array of general law enforcement functions to include, but not limited to, intelligence gathering, dignitary protection, law enforcement actions, and other broad measures of prevention and response capabilities. However, the Capitol Police focuses our resources to ensure that the Congressional Leadership and other members of Congress are safe and can participate in the convention process without fear of harm. This includes, amongst other functions:

—Securing hotels and spaces for their use in much the same manner as we secure buildings and spaces on the U.S. Capitol Grounds. This is often daunting as often multiple hotels are used in the Convention Cities for members;
—Participating in a multi-agency response team to ensure our law enforcement experts are available for action and analysis;
—Analyzing intelligence information for a variety of sources to anticipate and mitigate negative consequence events before they occur; and most critical,
—Implementing emergency action plans to include shelter-in-place, internal relocation and full evacuation plans to ensure the safety of members, the continuation of Government and the continuity of legislative operations.

The U.S. Capitol Police, at the direction of the Capitol Police Board and the authority of U.S. Code focuses on the congressional contingent and their safety. Our resources, which are technical, mechanical and human, are concentrated to the mission of the Agency. As such, it is not recommended that our funding is reduced. However, the U.S Capitol Police will work with our partner agencies, and under the direction of the Capitol Police Board will strive to reduce operational expenses at every opportunity.

QUESTIONS SUBMITTED BY SENATOR BRIAN SCHATZ

Question. What is the USCP policy regarding the use of personal cell phones, personal smart phones, or other personal electronic devices while on duty?

Answer. The Department policy is that while personal cell phones may be carried on their person; officers can only use them in case of emergency. The Department does not tolerate neglect of duty by officers failing to pay full time and attention to their duties.

The actual policy on attention to duty reads as follows:

Directive 2053.013, Rules of Conduct: Rule B10

Rule B10: Neglect of Duty

Employees will devote their full time and attention to the performance of their duties at all times while on duty.

The applicable policy on carrying a cell phone on their person is found in Directive 1701.001, Uniforms and Equipment, Operational Directive UNF 1.1, Uniforms, Equipment and Personal Grooming:

Personal Pagers/Phones/Communication Devices

1. When worn, personal pagers must be black or dark in color to blend in with the web gear.
2. Personal cellular type phones that serve as pagers must be permitted to the extent that they are used as pagers. These phones must be black or dark in color to blend with the web gear.
3. Employees are permitted to carry personal cellular phones, that are black or another color but fully encased in a black cover. Employees must not use personal cellular phones while on duty, except in an emergency.

Question. What is the discipline process and penalty for violations of this policy?

Answer. The disciplinary process for rank and file officers is found in the Collective Bargaining Agreement (CBA) agreed to by the Department and the Fraternal Order of Police Labor Committee. Penalties for these types of violations can range from a written warning to termination based on a series of factors required to be considered in the CBA when determining disciplinary penalties.

A typical process for a violation of this type is that once an employee is observed or otherwise found to be Neglecting Duty, which is defined as failing to devote full time and attention to duty, then discipline is initiated in one of two ways depending upon a number of factors.

1. Command Discipline Report is initiated.

   Command Discipline is lower level discipline that is initiated at the Division-level that can result in a written warning up to 3 days of forfeiture of accrued annual leave. A document is placed in the personnel file for up to 18 months and this can serve as the basis of future progressive discipline. The Chief of Police or Designee is the final adjudicator for this level of discipline.

2. Department-Level Discipline which results in a "Request for Disciplinary Action" which is a more serious type of disciplinary action can occur, typically as part of progressive discipline. The result can range from 1 day suspension (at a higher level) through termination. Disciplinary actions stemming from this more severe type of disciplinary action can be contested to the Assistant Chief of designee, or possibly contested to a Disciplinary Review Board, depending on the level of the recommended penalty. Ultimately, the Chief of Police is the final adjudicator of this type of discipline.

Officers who have a disciplinary history can receive a much higher penalty for a repeated violation or continued various violations, based on their record.

So based on this question, it would be appropriate to advise that for a Commander to determine the most appropriate level of discipline and assign an appropriate penalty recommendation for an officer who improperly uses a cell phone on duty, a Department manager may issue a penalty that can vary based on the required factors for consideration found in the CBA: (1) nature and seriousness of the violation, (2) the employee's record, (3) comparative penalties (within the last 2 years) and (4) any mitigating factors.

Suffice it to say, there is an established process for accountability. Disciplinary actions are based on well-founded observations or evidence stemming from field observation or reports of investigation. These matters are reviewed at several managerial levels of management. Employees are fully aware of the charges made against them and they are permitted to be represented by their Union Stewards. There is due process in every case and employees are fully able to appeal or grieve disciplinary actions.

The Department's disciplinary process employs the theory of progressive discipline, but there is nothing that stops the Department from assigning a penalty that the adjudicator believes to be appropriate in any instance in order to hold employees accountable for their actions. Responsibility for initiating disciplinary actions stems from field commanders who observe violations or from complaints made to the Office of Professional Responsibility. The Chief of Police is ultimately responsible for the overall discipline system.

The Department's management approach to controlling use of personal cell phones has been to regularly emphasize the need for mission-focus to our employees and to provide unclassified intelligence bulletins and briefs on current threats, to employ field supervisor enforcement, and initiate disciplinary actions when appropriate. The importance of attentiveness to duty makes it of paramount importance for super-

visors to instill an anti-complacency message in our workforce and this frequently a topic discussed at roll calls.

SUBCOMMITTEE RECESS

The next hearing of this subcommittee will be held on Tuesday at 3 p.m. in Dirksen 138. At that time, we will hear testimony from the Library of Congress and the Architect of the Capitol regarding fiscal year 2016 budget requests.

Until then, the subcommittee stands adjourned. Thank you.

[Whereupon, at 11:01 a.m., Thursday, March 12, the subcommittee was recessed, to reconvene subject to the call of the Chair.]

LEGISLATIVE BRANCH APPROPRIATIONS FOR FISCAL YEAR 2016

TUESDAY, MARCH 17, 2015

U.S. SENATE,
SUBCOMMITTEE OF THE COMMITTEE ON APPROPRIATIONS,
Washington, DC.

The subcommittee met at 3:05 p.m., in room SD–138, Dirksen Senate Office Building, Hon. Shelley Moore Capito (chairman) presiding.

Present: Senators Capito, Schatz, and Murphy.

LIBRARY OF CONGRESS

STATEMENT OF DR. JAMES H. BILLINGTON, LIBRARIAN OF CONGRESS

ACCOMPANIED BY:

DAVID MAO, DEPUTY LIBRARIAN OF CONGRESS
ROBERT NEWLEN, CHIEF OF STAFF
MARY KLUTTS, CHIEF FINANCIAL OFFICER
MARK SWEENEY, ASSOCIATE LIBRARIAN FOR LIBRARY SERVICES
ELIZABETH SCHEFFLER, INTERIM CHIEF INFORMATION OFFICER AND ASSOCIATE LIBRARIAN FOR STRATEGIC INITIATIVES
DR. MARY MAZANEC, DIRECTOR, CONGRESSIONAL RESEARCH SERVICE
MARIA PALLANTE, REGISTER OF COPYRIGHTS
LUCY SUDDRETH, DIRECTOR OF SUPPORT OPERATIONS
KAREN KENINGER, DIRECTOR, NATIONAL LIBRARY SERVICE FOR THE BLIND AND PHYSICALLY HANDICAPPED

OPENING STATEMENT OF SENATOR SHELLEY MOORE CAPITO

Senator CAPITO. Good afternoon. The subcommittee will come to order, and I would like to welcome everyone to the third of our fiscal year 2016 budget hearings for the Legislative Branch Subcommittee of the Committee on Appropriations.

The ranking member, Senator Schatz, is in the Commerce, Justice, and Science (CJS) Appropriations hearing at the minute. He's in a holding pattern of 7 minutes before he gets to question, and I asked if he didn't mind—he actually encouraged me to go ahead and go forward with the testimony.

So with that in mind, I just would like to welcome everybody. Today we will have two panels of witnesses. The first panel will be Dr. James Billington, the Librarian of Congress, accompanied by the Deputy Librarian, Mr. David Mao, and the Chief of Staff of the Library, Mr. Robert Newlen.

At the completion of Dr. Billington's testimony and the subsequent question-and-answer session with the Library, we will then

turn to the Architect of the Capitol, the Honorable Stephen Ayers, for our second panel.

I would like to begin by welcoming Dr. Billington, who this past September marked his 27th year as the Librarian of Congress, quite an achievement. That's a wonderful accomplishment, and we thank you for your dedication to the Library and for your many years of public service.

I would also like to welcome the newest members of Dr. Billington's team, your leadership team, who together with the combined 75 years of service to the Library of Congress bring a wealth of knowledge to these new leadership positions: Mr. David Mao, the Deputy Librarian of Congress; Mr. Robert Newlen, the Chief of Staff; and Mary Klutts, the Chief Financial Officer. We congratulate you on these new responsibilities and wish you all the best in helping to lead the Library through the next chapter of its life.

I understand that there are several other members of the senior leadership team here today. I did get a chance to meet them all, so I appreciate all of you coming and I want to extend to you the subcommittee's appreciation for all the tremendous work that you do in supporting the Congress in keeping the Nation informed and maintaining the history of our Nation, as well as others around the world.

So again, thank you all for being here with us today for this important discussion on how the Library is planning to move forward in the coming fiscal year.

I note that the Library's total fiscal year 2016 budget request is $624.5 million, or a $33.5 million or 6 percent increase above the fiscal year 2015 enacted level. Given the continued budget constraints within which we must operate, it will be important to hear from you what the most critical priorities are for the Library because we may not be able to fund all of the requested increases.

So now I would like to turn to my ranking member, but he's not here, so I'll turn to him in a few minutes.

I would like to ask Dr. Billington to give a brief opening statement of approximately 5 minutes. The written testimony you submitted to the subcommittee will be printed in full in the hearing record.

Dr. Billington.

SUMMARY STATEMENT OF DR. JAMES H. BILLINGTON

Dr. BILLINGTON. Thank you, Madam Chairman and members of the subcommittee. Thank you for the honor and pleasure of providing testimony in support of the fiscal year 2016 budget request of the Library of Congress. We're grateful for the support that this subcommittee has given to the Library, and we look forward to working with you as public servants, living in a time of both continuing budget constraints and an ongoing revolution in how knowledge is generated and communicated and used.

You have already mentioned several of the new management colleagues appearing for the first time before the subcommittee. I would just mention in addition to the three you mentioned are Mark Sweeney, Associate Librarian for Library Services; Elizabeth Scheffler, Interim Chief Information Officer and Associate Librar-

ian for Strategic Initiatives; Dr. Mary Mazanec, Director of the Congressional Research Service; Maria Pallante, the Register of Copyrights; and Lucy Suddreth, Director of Support Operations; and as well another member of the Library's management team, Karen Keninger, Director of the National Library Service for the Blind and Physically Handicapped.

The Library of Congress fiscal year 2016 budget request is for approximately $660 million and represents a 5.7 percent increase over the Library's fiscal year 2015 funding level. Nearly two-thirds of this requested increase, $21.9 million, is needed to cover mandatory pay increases and unavoidable price level increases anticipated for fiscal year 2016. The remainder, $13.9 million, makes key investments in infrastructure of our aging physical plant and information technology and addresses gaps in critical areas of expertise that we've lost to attrition, a particularly acute need in the Congressional Research Service (CRS).

In recent years, the Library has operated with progressively fewer resources. The total Library appropriation has decreased by more than $53 million—almost 8 percent—since fiscal year 2010. We're doing much more with many fewer employees. Since 1992, the Library has added its massive digital programs to its still growing traditional analog collections and services despite losing 1,429 full-time equivalents (FTEs). Our fiscal year 2016 budget request will further reduce the number of authorized FTEs across the Library by 405, or 11 percent, because we simply cannot support them with current funding.

We are deeply concerned also about moving into fiscal year 2016 with the prospect of another sequestration, which would require making additional cuts to our programs and would prevent us from making necessary investments in infrastructure and in staff with critically needed skills and expertise.

The Library continues to serve the Congress and the American people in ways that no other institution anywhere can match. The Congressional Research Service is the research arm of the legislative and oversight work of the Congress, and we also serve Congress through the Nation's largest law library. As the de facto national library of the United States, the Library now acquires, preserves, and makes accessible free of charge the largest, most wide-ranging collection of humanity's recorded knowledge ever assembled anywhere in the world by any one institution.

The U.S. Copyright Office encourages, protects, and preserves the work of America's innovative curators. The Copyright and Library Services staff work hand in hand to ensure that the copyright of intellectual culture of the American people is preserved, continuing to fulfill the original mandate of copyright when it was brought into the Library in 1870.

The National Library Service for the Blind and Physically Handicapped provides the only free public library reading service for these Americans, wherever they live.

We are taking steps to maximize efficiency, minimize the cost of the Library's services, and placing a much greater emphasis on shared services both within the Library and across the entire Legislative Branch, such as the Legislative Branch Financial Management System, which is hosted by the Library. We recognize that

there is much congressional discussion at the moment about the important work of updating copyright law for the 21st century, and as the Act is updated, Congress' Library needs to be sure that the concept of building, preserving and protecting this key part of the national memory for the benefit of the American people is not lost.

There are two unique characteristics of the Library of Congress that make it an increasingly valuable resource for sustaining American leadership in the information age. First, both our security and economic competitiveness globally are increasingly dependent on the acquisition and the use of the world's knowledge, for which the Library is the entire world's preeminent resource. Secondly, America's special capacity for creative innovation is sustained and advanced by America's only comprehensive storehouse of our citizens' copyrighted intellectual and cultural creativity.

Madam Chairman, the Library of Congress is the world's largest reservoir of knowledge. The Library embodies and advances the distinctive American ideal of a knowledge-based democracy. We will be grateful for your consideration of our fiscal year 2016 funding request.

To the subcommittee, Madam Chairman, all of you, I wish to thank you all again for your support of the Library.

[The statements follow:]

PREPARED STATEMENT OF DR. JAMES H. BILLINGTON

Madame Chairman, Ranking Member Schatz, and members of the subcommittee:

Madame Chairman, thank you for the honor and pleasure of providing testimony in support of the mission and fiscal 2016 budget request of the Library of Congress.

The Congress of the United States created in 1800, and has generously supported ever since, this amazing one-of-a-kind institution. We who work with and for you at the Library of Congress are deeply grateful for the annual appropriation you entrust to us. We are in continuing awe of the enduring mission you have shaped for us through a series of historic mandates. We are, at the same time, public servants living in a time of both continuing budget constraints and an ongoing revolution in how knowledge is generated, communicated, and used.

I come before you today in the midst of an extraordinary year of unprecedented, purely internal, library-wide self-examination from the bottom up and top down. This collaborative process is preparing us to produce by the end of fiscal 2015 an altogether new strategic plan for fiscal years 2016–2020. It will be designed both to maximize efficiency and minimize cost. We will build on the Library's already proven strengths and make the Nation's oldest Federal cultural institution one of its most innovative.

Congress's library now acquires, preserves, and makes accessible free-of-charge the largest and most wide-ranging collection of humanity's recorded knowledge ever assembled anywhere in the world by any one institution. We also house an unparalleled collection of the multi-media cultural and intellectual creativity of the American people.

For fiscal 2016, we are asking for $666.629 million, a 5.7 percent increase over our 2015 budget. Because of the unique skills of so many of the Library's staff, we have kept to a minimum cuts in our pay budget. But irregular funding for mandatory pay raises and price increases, attrition in our aging workforce, and limitations on new hirings have already weakened key areas of our expertise, and they can no longer be replaced by redeployments from base funding. Therefore, the Library's budget request for fiscal 2016 is needed to cover a few critical resource additions ($13.9 million), but mostly just mandatory pay and price level increases ($21.9 million).

The unique services performed by the Library's dedicated and multi-talented staff include:

1. Our highest priority of providing all congressional members and committees with authoritative, timely, and non-partisan 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 (LAW).

2. Encouraging, protecting, and preserving the work of America's innovative creators through the U.S. Copyright Office (COP), which registers these works, records copyright documents, and administers the Nation's copyright law.
3. Providing the only free public library reading service for blind and physically handicapped Americans wherever they live, thanks to the Library's National Service (NLS) and its home delivery of braille and talking books through local libraries.
4. As the de facto national library of the United States, providing multiple and unique services that almost invariably could not be done as well or better by any other existing institution. Library Services (LS) supports the entire library system of America through our cataloging standards and services and our multi-formatted preservation research and practices. And for 20 years the Library has been providing massive, curated, primary documents of American history and culture online for the education and inspiration of K–12 teachers and students and for life-long learners of all ages.

Congress's Library is in many ways America's strategic information reserve: a unique multi-media resource of growing importance for America in the turbulent information age. At the beginning of the current fiscal year on October 1, 2014, the Library contained more than 160 million analog items in virtually all languages and formats and 5 petabytes of stored digital content. The Library also continues to receive, index, and store copies of half a billion Twitter messages a day.

We have put in place an entirely new and collaborative top management team to bring our traditional analog and digital services closer together. We now have an outstanding new Deputy Librarian of Congress, Chief of Staff, and Associate Librarian for Library Services. All three have already successfully exercised multiple responsibilities within the Library of Congress and in the broader library community.

We have also made four additional new appointments to assure the highest quality for future core Library services: a former Dean and President at two leading universities as the director of all of the Library's Scholarly Programs; two widely experienced technologists as the Interim Chief and Acting Deputy Chief Information Officers of the Library; and a deeply experienced new permanent head of the Library's financial services division, which also does work for other legislative branch services.

This new leadership—as well as our year-long, staff-level Futures Program—has been added from within the Library without any additional expenses. We are doing much more work with far fewer employees. Since 1992, the Library has added its massive digital programs to its still growing traditional analog collections and services despite losing 1,429 FTE's, about 30 percent of our workforce.

Last year, the Library provided reference services to more than 467,000 individual researchers, recorded more than 78 million visits to our Web sites, and provided more than 23 million copies of braille and recorded books and magazines to more than 890,000 blind and physically handicapped reader accounts.

In recent years, the Library has operated with progressively fewer resources. The total Federal appropriation has decreased in excess of 7.8 percent: from $684.3 million in fiscal 2010 to $630.9 million in fiscal 2015.

Our fiscal 2016 budget request will further reduce the number of authorized FTE positions across the Library by 405—11 percent—because we cannot support them with current funding. We have cut critical infrastructure, deferred important investments, consolidated broad program areas, and strengthened governance processes.

We will need in the near future more flexibility in hiring an expert staff—not just for this Library, but for our country. The erosion of basic funding is already compromising our ability to deliver high-quality knowledge resources to the Congress and the American people. And we must make key new investments in the critical infrastructure of our aging physical plant and information technology.

The following are some of the most pressing challenges that the Library faces if it is to avoid unintentionally slipping into a decline that might be easy to overlook but impossible to reverse.

The Library's Congressional Research Service provides objective, nonpartisan information and analysis solely in support of the Congress. Last year, in the 100th year of its founding, CRS served 100 percent of Congressional Members and standing committees through tailored briefings, varied programs, and confidential memoranda. The Service supported Congress with a full range of written analyses and personal consultations for which the Director's testimony provides a detailed chronicle. CRS must often move quickly to marshal resources from a variety of disciplines across and beyond the Service to provide members and committees with legal and policy options to confront complex and fast-moving national and international problems.

CRS has lost senior expertise in areas that cannot easily be back-filled: trade, defense, natural resources, social policy, and public finance—and continues to need dynamically to reshape its workforce, to continue to provide the authoritative and objective research and analytical support that have been the Service's hallmark for the last 100 years.

Storage Space: Delays in executing the Ft. Meade master plan have left the Library's existing facilities functionally beyond capacity. Nearly a million books are currently stored on the floor or on book trucks in the Jefferson and Adams buildings, with more than 250,000 new volumes arriving every year. Continuous growth of the collections without a commensurate increase in acceptable storage space has led to a crisis of significant proportion, posing threats to the safety and well-being of Library staff; the preservation and security of collections; the ability to serve the Congress, researchers, and the Nation through free interlibrary loans; and preserving the structural integrity of the book stack areas of the Jefferson and Adams Buildings. We urgently seek $4.8 million to expand collections storage capacity through the installation of compact shelving and lease of interim collections storage space until planned Ft. Meade modules are available. We are grateful for fiscal 2014 funding for the construction of Ft. Meade Module 5; however, even when Module 5 is fully built and available in fiscal 2018, we will still be unable adequately to meet our storage needs and unable to mitigate the issues of overcrowding and safety violations. In the long run, completion of the storage modules at Ft. Meade will be vastly more cost effective.

The Law Library is a small enterprise with a critical mission. The Law Library currently is unable to address fundamental collection needs after multiple years of unfunded pay increases and direct budget cuts. Additional funding is essential to ensure that the Law collections are cataloged in compliance with accessibility and classification standards widely accepted by all researchers. As of September 30, 2014, approximately 408,000 volumes remained unclassified.

Skill Gaps: Over the last 5 years, the Library has developed significant skill gaps that have opened up serious holes in word-class expertise, many of which are caused by the Library's inability to back-fill. Holding positions vacant is one of the few means available to accommodate mandatory pay raises in the absence of new funding. Identifying and filling skill gaps was one of the strongest recommendations of the staff in the Library's Futures Program.

Library Services, the largest unit of the Library, recently lost the language and subject matter expertise and technical skills of its sole South Asian expert, seriously reducing the servicing of collections and reference questions about India. We also lost our Turkic language expert, radically diminishing our acquisitions and reference service for material from the many different Turkic-language-speaking countries. The Manuscript Division now lacks high-level subject matter expertise in legal, military, science, and technology areas. And many Library Services divisions, as well as the Law Library, need more skilled technologists to work with our growing digital content.

The U.S. Copyright Office: A Scholar in Residence recently delivered to the Register a comprehensive report with recommendations for transforming the operation of publicly recording copyright-related documents, including copyright assignments and licenses. It was the first substantive analysis of document recordation in several decades and will assist the Register in planning activities necessary to bringing recordation online in fiscal 2015 and 2016. The Copyright Office also recently published a major policy study on the current music licensing system, *Copyright and the Music Marketplace,* which one leading industry publication called a "rare instance of government getting out in front of moving technology." The many challenges of copyright in the digital age are discussed in detail in the separate report of the Register of Copyrights to the committee.

The Library recognizes there is much congressional discussion at the moment about updating the copyright law for the 21st century. This work could not be more important when the economic, social, and intellectual value of copyrighted works is so significant to America and the world. As the Act is updated, the Library wants to be sure that the concept of building, preserving, and protecting a "national collection" for the benefit of the American people is not lost.

Fifty or 100 years from now, members and constituents will turn to the national collection to read, learn from, and build upon the creative output of American authors, composers, filmmakers, artists, and others—just as citizens today are reaping the value of creative works that were added to the collections in 1965 and in 1915.

Copyright deposit built much of the national collection. Congress has made the Library the sole repository of copyrighted works. New works must continue to be added to the national collection at the Library—especially in the Internet age, when the nature of information itself undergoes so many changes. This is a commitment

that the Congress, the patron of the national collection, and the Library, its steward, have made to current and future generations of Americans.

Despite our many challenges, this is a time of great promise for the Library. Digital technology is transforming in all areas of our work to deliver services to the Congress and its constituents.

We are asking for $2 million to fund the Digital Collections Center, to provide proper stewardship of the Library's rapidly growing digital content. Over the last 5 years, the Library's traditional analog collections have averaged 3.6 million added pieces per year. During this same period, archived Web content has grown exponentially from roughly 125 to 582 terabytes, an annual average increase of more than 73 percent. The development of a dedicated Digital Collections Center, with the capacity to manage and sustain all this digital content, is an essential investment to fulfill the Library's collections stewardship mission now and into the foreseeable future.

The Library's strategic management of its information technology assets and operations is a significant issue addressed in the report language of this subcommittee last year and in recent findings of the GAO. Management of recommendations in strategic planning, enterprise architecture, human capital management, investment management, system acquisition and development, security, and service management are all challenges that our Interim Chief Information Officer and her Deputy are now moving aggressively to address; and the Library is conducting a national search for a permanent Chief Information Officer, whom we expect to have in place by the end of this year.

Last year I spoke of the Futures Program that will inform the next strategic plan. Library staff from many different programs and levels below the Executive Committee suggested new 21st century approaches to fulfilling the Library's historic service missions. The Futures Program's recommendations have generally built on the Library's unique strengths and required minimal new resources. They reaffirmed the historical integrity and objectivity of all Library of Congress services—keeping the Library free from any commercial or political advocacy agendas and demonstrating the Library's importance for sustaining American leadership in an increasingly knowledge-dependent world, while launching new initiatives.

The Library is also meeting the challenges of minimizing duplication in performing its services—placing a much greater emphasis on shared services both across the legislative branch and within the Library. Currently, the Legislative Branch Financial Management System (LBFMS) resides at the Library, which holds the financial system not only for the Library but also for four other legislative branch agencies. In fiscal 2016, the Architect of the Capitol will become the fifth cross-serviced agency.

The Library collaborated with the House and Senate and other legislative branch agencies to more effectively exchange and present legislative information by adding new online features and data to Congress.gov and by contributing to the Speaker's Bulk Data Task Force. Internally, the Library is moving forward with a range of shared service initiatives, such as implementing a Library-wide geospatial information system to address the mutual needs of staff in CRS, Library Services, and the Law Library in responding to congressional requests. Other examples of service and economy-motivated joint opportunities are the execution of a Library-wide plan for the contract and use of mobile devices, development of a business case for Library-wide performance of IT security certification and accreditation requirements, and forming the requirements for a single authoring/publishing system for research performed at the Library.

The Library's Veterans History Project (VHP), unanimously mandated by both houses of Congress, is now the largest oral history project in America. VHP will celebrate its 15th anniversary in October and will soon reach 100,000 recorded oral histories. Over the last year this program has collaborated with more than 150 congressional offices, providing constituent services, briefings, and volunteer training sessions for interviewing those who served in the military in all America's wars during the last century.

In 2014, the Library continued its very popular evening services of Congressional Dialogues on Great American Presidents, provided exclusively for Members of Congress. The Library's new James Madison Council Chairman, David Rubenstein, skillfully interviewed renowned experts like David McCullough, Scott Berg, and Doris Kearns Goodwin about the challenges and accomplishments of seven iconic Presidents: George Washington, John Adams, Thomas Jefferson, James Madison, Abraham Lincoln, Theodore Roosevelt, and Woodrow Wilson. Members then asked questions and made off-the-record comments, having previously studied key original documents from each President's collections in the Library's vast holdings of early Americans. We are continuing this series into 2015, expanding it to include great

Americans. These unique events regularly attract at least 120 Members of Congress, and this year's series opened on February 3 with a well-attended dinner and dialogue on Benjamin Franklin.

The Library has presented a particularly rich array of public exhibitions and special events over the past year. More than 112,000 visitors viewed the *Magna Carta: Muse and Mentor* exhibition at the Library from November 6, 2014 to January 19, 2015 in honor of the 800th anniversary of this document. The King John 1215 Magna Carta, loaned by the Lincoln Cathedral, was its centerpiece, and rare items from the Library's rich collections showed the Magna Carta's importance to the development of constitutional law in the United States. Seven United States Supreme Court Justices took part in the celebratory events along with a former Chief Justice of the United Kingdom, and HRH The Princess Royal, the only daughter of Queen Elizabeth II.

Other new Library exhibitions last year included *Mapping a New Nation: Abel Buell's Map of the United States, 1784; A Thousand Years of the Persian Book;* and *The Civil Rights Act of 1965: A Long Struggle to Freedom,* including Martin Luther King, Jr.'s original copyrighted "I Have a Dream" speech.

The Library of Congress had an unusually rich year of free poetry readings and concerts. Particularly memorable was a program led by the great baritone Thomas Hampson celebrating the different historical stages and versions of our national anthem. A star-studded program at a packed Constitution Hall honored Billy Joel with the Library of Congress Gershwin Prize for Lifetime Achievement in American Popular Song. PBS extended the length of its nation-wide television broadcast from its customary hour to a first-ever 90 minutes.

On February 4, 2015 the Library formally opened to researchers the Rosa Parks collection of approximately 7,500 manuscripts and 2,500 photographs. On loan to the Library for 10 years from the Howard G. Buffett Foundation, the collection includes personal correspondence and photographs, and letters from Presidents. A small display of items from the collection will subsequently be on public exhibit.

During March 4–7 we celebrated the 150th anniversary of Abraham Lincoln's great speech at his second inaugural with a rare public display of the President's original reading copy. The 15th annual National Book Festival will take place this September.

The Library of Congress is the world's preeminent reservoir of knowledge. The Library embodies and advances the distinctly American ideal of a knowledge-based democracy. We will be grateful for your consideration of our fiscal 2016 funding request.

PREPARED STATEMENT OF MARY B. MAZANEC, DIRECTOR, CONGRESSIONAL RESEARCH SERVICE

Madame Chairman, Senator Schatz and members of the subcommittee:

As the Congressional Research Service (CRS) begins its second century of service to Congress, it is a pleasure to appear before you today to present our fiscal year 2016 budget request. Two thousand fourteen—our centennial year—was a time of celebration, reflection, and activities that drew our staff together. We also engaged present and former members in discussions concerning CRS, the evolution of the institution and its support for the Congress, and what the future may hold for both the Service and Congress.

I hope you have had the opportunity to read the history we prepared of CRS's first one hundred years, "CRS at 100: Informing the Legislative Debate Since 1914". It not only highlights the accomplishments of CRS in support of the Congress but also shows the breadth and depth of expertise embodied in our staff and their commitment to our mission of helping provide for a more informed legislature.

We are also very proud of another special centennial publication, the Senate Rules Committee Print, "The Evolving Congress", which features a series of essays analyzing important trends in the evolution of congressional organization and policy making over the last many decades. Next month, with support from the Hewlett Foundation, we are continuing that important discussion at a special event with E.J. Dionne, Michael Gerson, and Frances Lee. I hope you will be able to join us for what should be a fascinating evening delving into the history of Congress and its future development.

Last year also marked the 100th anniversary of the Constitution of the United States of America Annotated, which we celebrated with a day-long program in September. Popularly known as CONAN, this Senate Document is prepared by attorneys in the CRS American Law Division and tracks the jurisprudence of the Supreme Court of the United States. The program brought together prominent legal

scholars and commentators and included a dialogue about the Supreme Court with Justice Ruth Bader Ginsburg.

It was truly an honor to serve as the Director of CRS during this important milestone in our history.

SUPPORT FOR CONGRESS

While we celebrated our centennial, CRS also provided research and analysis, expert consultation, and an enhanced Web presence to support the full spectrum of congressional policy deliberations. In the last year, CRS experts worked with every member office and congressional committee to help you and your staffs navigate the wide range of complex and controversial issues that confronted Congress. We answered over 61,000 individual requests; had over 7,500 people attend CRS seminars, trainings, and briefings; and provided more than 3,500 new or refreshed CRS reports and other products. CRS.gov is now the repository for nearly 10,000 reports and other information that is accessible at all times.

Two high-profile issues that were addressed by the 113th Congress help illustrate both the depth and flexibility of CRS work for Congress:

The 2014 Farm Bill is a good case study of how the Service assists in the regular, deliberative process of reauthorizing major, complex legislative programs. From the very start of deliberations to replace the expiring 2008 Farm Bill, CRS food and agriculture policy analysts provided in-depth analysis of various legislative proposals across a broad spectrum of policy areas that included farm commodity support, conservation, trade, rural development, nutrition, credit, bio-energy, livestock, horticulture, and research.

Authorizing committees, individual members, and congressional staff called on CRS to explain the intricacies of current farm and food policy and to help identify and analyze policy options for revamping the Federal farm safety net. As the legislation moved forward, CRS experts continued to provide individualized support, including preparing committee staff for legislative markup, analyzing proposed committee and floor amendments, briefing individual members and their senior policy staff, and evaluating a slate of legislative options.

As a group, CRS analysts conducted several well-attended seminars for congressional staff on the various farm bill titles, with consideration of how farm bill spending is affected by pressures for deficit reduction. These seminars were so popular that CRS needed to schedule additional sessions to accommodate interested congressional staff.

With many provisions of the 2008 Farm Bill expiring before the new legislation could be finalized, CRS also fielded many questions about the effects on issues of concern for members' districts. CRS staff responded with authoritative reports and tailored briefings to help members manage the evolving situation.

The overall support to Congress was a testament to the interdisciplinary nature of contemporary policy deliberations, as agriculture and budget analysts at CRS collaborated with attorneys to provide comprehensive coverage of the issues.

Of course, CRS support did not end with enactment of the legislation. After passage, Congress shifted to their oversight role, closely monitoring the Department of Agriculture's implementation of the new law. CRS analysts continue to play an integral role in the oversight process, responding to numerous requests on the implications of the new farm bill, and have conducted a number of "Agriculture 101" briefings for member offices and committee staff about the law. In addition to multiple informative reports on the farm bill, CRS developed a side-by-side analysis of the new law compared to its predecessor and the Senate and House bills.

The Ebola Virus Outbreak highlights the flexibility of the Service to provide in-depth research and analysis for the unanticipated, fast-breaking global challenges that can suddenly find their way onto the legislative agenda.

Last summer, reports of the rapidly spreading Ebola Virus Disease (EVD) raised serious concerns among U.S. and international government officials and lawmakers. At one point in early August, the Centers for Disease Control and Prevention estimated that there could be over one million cases of EVD globally by 2015 if the rate of transmission was not dramatically curbed. Those concerns, which became heightened and accelerated once the first U.S. case was reported, triggered a large number of inquiries from congressional offices, along with hearings on the public health, legal, and international implications of the disease, as well as the U.S. Government response to the crisis.

The CRS response to this public health crisis was swift, thoughtful, multi-disciplinary, authoritative, and timely. CRS analysts from across the Service supported ongoing congressional hearings and investigations into the response to EVD. To provide a broad spectrum of information, CRS experts from multiple divisions used the

full range of CRS products—from traditional reports to newer short-form documents, including Insights, Legal Sidebars, and FAQs—to examine the crisis from a variety of perspectives, including public health, legal, international health and relations, transportation and commerce, immigration, homeland security, and clinical research and product development.

Analysts also conducted in-person briefings and hosted a "Question and Answer" event that was made available to all members and staff in person and through video on the CRS Web site.

By having deep in-house expertise on a wide range of issues, and the ability for CRS experts to work collaboratively, the Service was able to quickly develop the information Congress needed on EVD. That in turn helped members and their staff develop appropriate courses of action to respond to a rapidly changing situation with broad health and national security implications for the country.

Other Legislative Topics: While the Farm Bill and the Ebola outbreak provide a snapshot of how CRS works, over the last year, CRS provided similar support on the entire range of issues before Congress.

CRS analyzed multiple economic, financial, and budget issues, including tax reform, oversight of the implementation of the Dodd-Frank Wall Street Reform and Consumer Protection Act, the Export-Import Bank reauthorization, and Bitcoin, just to name a few. Experts also helped congressional offices understand the impact of the Government shutdown and tracked and analyzed the fiscal year 2015 budget request and appropriations process throughout the year. Congress looked to CRS for support on many complex domestic issues, including unaccompanied immigrant children, veterans' health, human trafficking, child welfare, violence against women, and sexual assault in the military. CRS experts also supported the congressional debate on the Keystone XL pipeline, hydraulic fracturing, re-authorization of Federal highway and public transportation programs, and cybersecurity.

On the foreign affairs front, CRS staff analyzed policy options to address the conflicts in Syria, Iraq, Iran, and the Ukraine; and relations with Russia, North Korea, and China. In addition, CRS supported the Congress on pending international free trade agreements and monitored the negotiations of the Trans-Pacific Partnership, and the U.S.-EU Transatlantic Trade and Investment Partnership.

CRS also presented a symposium on Senate rules changes last year. CRS experts, a former parliamentarian, and past Secretaries of the Senate discussed the impact of these changes with senior Senate staff in attendance. The program was followed by numerous briefings and seminars tailored to member and staff needs.

BUDGET CONSIDERATIONS

Over the last year, the Service has been able to fill some critical gaps in our analytical and information professional ranks. We also hired research assistants to support analysts and contribute to a broader mix of products and services and we continue to improve the CRS Web site and technical capabilities. With the additional staff, we have replaced about one-third of the decreases in personnel that occurred over the past few years due to budget reductions. While we are thinner than we would like in some areas, we are constantly monitoring our staffing across the service to ensure that we have the skill sets and expertise needed to support Congress.

The CRS fiscal year 2016 budget request is $111,956,000 to fund mandatory pay and price level changes as well as a program increase to enhance research capacity on healthcare policy.

Health Experts. The budget request includes a program increase of $1,087,000 and six FTEs to add six health policy analyst/attorney positions and $250,000 of contractor technical and programming support for large health data systems. This increased analytical capacity is needed to meet the high client demand and fully support the work of Congress on healthcare issues. As the healthcare industry is becoming increasingly complex, additional expertise is needed to analyze for Congress recent changes in the financing of health insurance and the delivery of healthcare services. Extra analytical support is also needed to support Congress as it confronts emerging issues under Medicare, Medicaid, the State Children's Health Insurance Program, and employer-based and private health insurance. In addition, the regulatory framework has become more complex, and provision of healthcare to veterans has come under recent scrutiny. That increase in demand and complexity is putting real pressure on CRS health experts, some of whom are shouldering two to three times the average number of requests as other CRS staff. The six requested staff positions would help relieve that pressure and add expertise in evaluating health industry trends and availability, tax and legal issues, veterans' care, and data evaluation.

Workforce Initiatives. We are continuing to examine the composition of our workforce to ensure that we have the right mix of skill sets and expertise to best serve the Congress. Last year, we hired 11 research assistants to assist analysts and diversify areas of specialization. We also increased our editorial capacity to support authors in the preparation of products for Congress and have expanded our graphics capabilities to enhance the visual presentation of CRS research and analysis. Our information professionals utilize digital librarianship skills, and recent hires have reflected changes made to these positions. We plan to critically assess these initiatives to determine how these positions and skill sets best fit into the organization and what other modifications to our workforce may be needed.

Product and Service Enhancements. CRS continues to seek new and innovative ways to deliver information and analysis to Congress. In fiscal 2014, CRS increased the diversity of its product line by establishing a new product type, the CRS Insight, a short, Web-only product designed to present timely information, research, data, and analysis in an easily accessible format. Along with the earlier launched Legal Sidebar, the Insight responds to client demand for succinct products that are published quickly in response to fast-moving public policy issues.

CRS is participating in a Library-wide project to develop a geospatial infrastructure that will enable the Service to offer interactive maps to Congress. The goal is to make available to Congress fully interactive maps that allow clients to view details of interest and toggle data layers to visualize the resulting differences. We have a small team of geographic information system (GIS) analysts and information professionals that provide GIS services to congressional clients. GIS uses visualization for the focused analysis of complex concepts.

CRS established an infographics working group in 2014 to consider methods to improve delivery of image-based content in our written products and on our Web site. The use of this content to convey information and analysis is widely recognized as an effective form of communication. Although image-based content (e.g., tables, graphs, maps) produced by CRS is typically embedded into written products, users of CRS products could benefit from the creation of a new product line devoted to stand-alone, high-quality "infographics," which present complex information in a condensed visual form that may be easily understood without the need for an accompanying written product. A pilot study has begun with the goal of displaying infographics products on CRS.gov this year.

CRS enhanced its Web site home page last year with a modern appearance with more space for content and for expanding product lines. The home page is also stylized to the modern user's preference for mobile access. Other new features of the website include graphic images to accompany highlighted reports and icons to help the user distinguish the different types of products. A video carousel at the foot of the home page highlights CRS videos, and a similar display on issue pages highlights CRS experts who have authored products on selected issues and who are available for consultation.

As part of the Library's multi-departmental team, CRS contributed to continuing development and daily operations of the next generation legislative information system platform and services. Congress.gov will replace two legacy legislative information systems (LIS and THOMAS) with a single, modern one. 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. Since late September, 2014, Congress.gov has been the official website for U.S. Federal legislative information.

CONCLUSION

As CRS begins its second century, we remain committed to our core values and mission: providing comprehensive, authoritative, objective, timely and nonpartisan research and analysis on all legislative, oversight, and representational issues of interest to Congress.

The entire CRS staff works hard every day to ensure that you, your staffs, and committees have the information, analysis, and support you need as you do your jobs.

We are very proud of the work we do. But we know we could not have achieved all we have in our first 100 years without this subcommittee's support. I appreciate your continued support and look forward to working with you to ensure that CRS is a state-of-the-art research service responsive to the information and analytical needs of the 21st century Congress.

PREPARED STATEMENT OF MARIA A. PALLANTE, REGISTER OF COPYRIGHTS AND DIRECTOR OF THE UNITED STATES COPYRIGHT OFFICE

Madame Chairman, Ranking Member Schatz, and members of the subcommittee:

Thank you for the opportunity to present written testimony in support of the budgetary needs of the United States Copyright Office.

As always, I am grateful to the Librarian for putting forward the request detailed below. While it does not reflect the entirety of Copyright Office needs, it is a reasonable request put forward in a difficult budget environment, and one of many that the Librarian has sought to balance. As stated in more detail in the Librarian's written request, the agency is also seeking funding for library acquisitions, storage, preservation, and staffing relating to the singularly important national collection.

The Copyright Office is a congressionally-created department within the Library of Congress and is vested with the statutory responsibility of administering the Copyright Act and other provisions of title 17, including the national copyright registration and recordation systems and several statutory licenses. Today, the Copyright Office sits at the center of a complex and dynamic legal and regulatory system. Its work is vital to all types of businesses, the Congress, courts, and the digital economy.

Copyright industries create jobs, invest in content, and bring to market important works of authorship, from films to video games to business software to books to musical works. The technology companies with whom they partner also create jobs, drive innovation, and bring to market a variety of platforms and mobile devices that have defined the digital economy. It is no surprise that copyright issues are so essential to trade agreements and the global marketplace.

In past couple of years, the House Judiciary Committee has held extensive hearings on the copyright law, including, for example, the exclusive rights of authors, enforcement issues, fair use, and voluntary agreements. The Copyright Office has supported Congress in these efforts, including by testifying, assisting with interpretation of the law, and conducting major policy studies. Last year, the Copyright Office issued a major report recommending the creation of a small claims system. This year, the Copyright Office published a comprehensive report on the music marketplace and is finalizing additional reports on orphan works and the "making available" right.

Congress is also reviewing the Copyright Office. On September 18, 2014, the House Judiciary Committee held an oversight hearing on the Copyright Office, at which I testified. On February 26, 2015, it held a hearing entitled, "The U.S. Copyright Office: Its Functions and Resources," at which external witnesses testified.[1] During these hearings, Members of Congress covered a range of questions including budgetary and resource needs, efforts to upgrade and improve Copyright Office services, and the Copyright Office's current statutory and constitutional structure within the Library. We are respectful of these proceedings and are ready to respond to inquiries or otherwise participate, as appropriate.

Since I was appointed Register in June, 2011, I have focused the Copyright Office on projects that are self-evaluative, including how to upgrade our current practices and whether to create entirely new paradigms for certain processes. This might include, for example, the ways in which we register works of authorship or record documents such as assignments, licenses, security interests, and other forms of ownership. Most would agree that the Copyright Office must be more interoperable with the technology of its customers, and must offer timelier and more innovative services, including business-to-business data exchange and applications that work on mobile devices.

As I explain further below, the Copyright Office has spent the past few years engrossed in foundational work, including rebuilding and rethinking staff positions, updating registration practices, assessing legal and business issues related to recordation, and conducting a variety of public-facing projects to engage our customers as to the future Copyright Office. We have undertaken this work to ensure that we make plans that will have a meaningful impact on our customers, and make IT and staffing investments that are both responsible and prudent. We are now at the point where we are compiling research, coordinating conclusions from reports, and engaging in cost and other business analysis. This work will proceed in accordance with available funding.

[1] Witnesses included Keith Kupferschmid (General Counsel for the Software & Information Industry Association), Lisa Dunner (Partner at Dunner Law PLLC, on behalf of the American Bar Association's Section on Intellectual Property Law), Nancy Mertzel (Partner at Schoeman Updike Kaufman & Stern LLP, on behalf of the American Intellectual Property Law Association), and Robert Brauneis (Professor at the George Washington University Law School).

This Committee—the Senate Subcommittee on Legislative Branch Appropriations—is also interested in the ability of the Copyright Office to evolve. In 2014, the Report language that accompanied the fiscal year 2015 appropriation stated:

> The Committee recognizes that the digital revolution has transformed the copyright marketplace and, as a result, the role of the Copyright Office in our economy. The Committee finds that Copyright Office will also need to evolve and adapt to the challenges of these new realities. In fact, the Committee notes that public comments recently submitted by the copyright community indicate that the Copyright Office is currently in need of significant IT and related upgrades in order to be fully interoperable with the digital economy it serves.

The Report also included a directive to the Government Accountability Office (GAO) "to examine the Copyright Office's current information technology infrastructure and identify any deficiencies or obstacles to serving the copyright community in a modernized environment." We have responded to GAO's questions regarding IT management during the past several months and hope the subcommittee will find this information helpful.

I would also note that on February 18, 2015, we released a report of the Technical Upgrades Special Project Team. This team was charged with assessing the concerns and suggestions of the Copyright Office's customers during the past few years, and has made a number of recommendations regarding future services that would require sound enterprise architecture and a robust IT infrastructure. I am grateful to the Project Team for this valuable contribution, which will serve as an important resource for the Copyright Office, the Library, and the Congress. The Report, notice of public inquiry, and public comments are available at http://copyright.gov/docs/technical__upgrades/.

Thank you for your support of the Copyright Office and for considering the appropriations request put forward today.

FISCAL YEAR 2016 BUDGET REQUEST

The Copyright Office is funded through a combination of fees for services and dedicated appropriated dollars. The Copyright Office administers funds through three separate budgets or program areas: (1) Basic Budget, (2) Licensing Budget,[2] and (3) Copyright Royalty Judges Budget.[3] Together, the requests for these total $58.875 million for fiscal year 2016.

The focus of this statement, however, is the Basic Budget, which funds most of the Copyright Office's core work and operations. The Basic Budget request this year is $51.9 million. Approximately $30 million of this is derived from fees for which the Copyright Office is seeking spending authority. The Copyright Office is also requesting $21.9 million in appropriated dollars.

This request calls for an increase of $2.705 million dollars and the reinstatement of 25 FTEs. Fees would fund about $2.029 million of the total; we would use the fees to backfill 20 vacant positions in our registration program. As discussed below, the Copyright Office implemented a revised schedule of fees on May 1, 2014, following an extensive public process. Putting this money back into registration services is a fitting investment.

The remaining $675,825 is a request for appropriated dollars; we would use this funding to add five new hires to our recordation staff.

It should be understood that some of the Copyright Office's operational costs are offset by services provided by the Library of Congress through appropriations it receives as the parent agency. These costs are not itemized or tracked, and they are not taken into account when the Copyright Office analyzes and implements its fee schedules.

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[2] The Licensing Budget request is $5.388 million, all of which derives from licensing royalty and filing fee collections paid by private parties (copyright owners as well as cable and satellite licensees) pursuant to statutory licenses administered by the Copyright Office. The requested increase is for mandatory pay and price-related increases.

[3] The Copyright Royalty Judges report by statute to the Librarian, but the Register administers their budget as an administrative courtesy. The budget request for the Copyright Royalty Judges is $1.584 million to support mandatory pay-related and price level increases, of which $389,000 (for non-personnel-related expenses) derives from licensing collections. The remainder, $1.195 million in appropriated dollars, is to cover the personnel-related expenses of the Judges and their staff.

Registration

If the subcommittee approves our request for additional spending authority, most of the 2 million dollars would go to strengthening the registration staff under the expert guidance of Robert Kasunic, Associate Register and Director of Registration Policy and Practice. In fiscal year 2014, the Copyright Office approved and registered claims in approximately 476,000 creative works, including 219,000 literary works and 65,000 sound recordings. Since fiscal year 2012, however, the Copyright Office has been experiencing an upward trend in the backlog of claims and average processing time for applications. In 2012, the average processing time for claims filed on paper applications was 4.8 months; the current processing time is 13.5 months. The average processing time for claims filed online electronically has also increased, rising from 3.1 months to 4.4 months over the same period. These increases are mostly attributable to the loss of registration staff, which has declined by approximately 50 FTEs.[4] (In the case of electronic claims, some of the delay stems from ongoing problems with technology systems, as well.)

As we hire new registration experts, the Copyright Office must train them in the copyright law, regulations and practices, and prepare them to address a constantly changing world of content and business models. The lengthy training schedule, coupled with the fact that the backlog continues to grow, provides a sense of urgency to reverse staff losses in this critical division. It is also the case that practices are becoming more complex than before, as authors, publishers, and producers continue to change the ways in which they create and disseminate works of authorship.

In December 2014, we completed a major, multi–year special project by releasing the *Compendium of Copyright Office Practices, Third Edition.* The first major revision in two decades, the Compendium is a comprehensive guidebook regarding registration and other Copyright Office practices. It is relied upon by Copyright Office staff but also serves as a recognized authority consulted by copyright owners, legal practitioners, and the courts, which frequently give the Copyright Office deference in registration policy and related issues. This was an important and necessary accomplishment for the Copyright Office, and one that we announced publicly in our 2011–2013 work plan, entitled *Priorities and Special Projects of the U.S. Copyright Office.*

Notably, the *Compendium* is just the beginning of a digital makeover for registration. It provides the necessary legal foundation by which the Copyright Office may now pursue regulations and practices that recognize and serve the digital economy. For example, the Copyright Office will need to determine the rules and standards by which it registers: works that change routinely (like news Web sites); works that are disseminated by streaming instead of copies (like on-demand film, television, and sports programming); works that contain valuable and proprietary source code (like business software); and works that contain copy controls and other anticircumvention measures (like video games).

Recording Assignments, Security Interests, and Other Copyright Documents

Regarding the recordation provisions of the Copyright Act, the Copyright Office also needs resources. The requested increase of $675,825 in appropriated dollars for fiscal 2016 would fund five new hires in the Recordation section. The Copyright Office has a very lean permanent staff of 13 dedicated to this function at the moment. In 2014, this staff recorded 8,146 documents pertaining to copyright interests in more than 144,376 identified works. This function remains a paper process, however, in which staff manually index the materials received.

In fiscal 2015, the Congress allocated $1.5 million to the Copyright Office to conduct planning and business analysis related to updating the recordation function. The long-term objective is to automate the document submission and review process to include an online filing capability for customers. Significant changes are also contemplated regarding service options and the content and format of the public record. As noted below, the business analysis we are now engaged in follows 2 years of research regarding the overall technology of the Copyright Office (relevant to its customer base) as well as the relevant legal and business issues related to recording documents in the online environment. The additional FTEs we are requesting for

[4] This number tracks losses since 2010. The Copyright Office today has 76 professionally trained examiners to handle approximately half a million copyright claims involving millions of works of authorship; we had close to 130 examiners in 2010. Assuming we can hire 12–32 examiners in 2015 and 2016, the Copyright Office will still be below capacity, particularly given the increasing complexity of addressing digital works and new practices.

Recordation represent new positions with skills that will be more appropriate to an online function.

The future of the document recordation function has been an intense focus of the Copyright Office for several years, and it too was publicly announced in the 2011–2013 *Priorities* work plan. In the past 2 years, the Copyright Office engaged stakeholders through multiple public roundtables on potential changes to the legal and administrative aspects of document recordation and published a major report. We were able to staff this work by making targeted appointments and leveraging research partners.

In 2014, with the Librarian's support, I established a dedicated Office of Public Records and Repositories. For the first time, as of March 2014, these functions are now headed by Ms. Elizabeth Scheffler, a senior level officer reporting directly to the Register. (As of January, 2015, Ms. Scheffler has been temporarily reassigned to the Librarian's Office where she is serving as the Interim CIO for the Library until a permanent CIO can be recruited.)

I also appointed the first Abraham L. Kaminstein Scholar in Residence, Professor Robert Brauneis of George Washington University. In addition to his own independent research, Professor Brauneis completed an in-depth study of the relevant legal issues related to updating the business and legal issues related to recording copyright documents. Similarly, through Jacqueline Charlesworth, the Copyright Office General Counsel, the Copyright Office engaged with Stanford University Law School in an academic partnership. Working with Professor Paul Goldstein, the Copyright Office considered recordation questions from the perspective of students in Silicon Valley. In January 2015, we released the report of the Kaminstein Scholar, entitled *Transforming Document Recordation at the U.S. Copyright Office,* which in turn references the work of the Stanford students.

Statutory Licenses

The Copyright Office administers several statutory licenses that require the Copyright Office to manage and distribute royalties, including those collected on behalf of copyright owners of broadcast television programming that is retransmitted by cable and satellite operators. The disposition of these private monies is determined by the Copyright Royalty Judges (together, the Copyright Royalty Board or "CRB") in distribution proceedings. The work of the CRB is reviewable by the Register for legal error, but for constitutional reasons the CRB reports to the Librarian as head of the agency. In fiscal year 2014, the Copyright Office collected approximately $318 million in royalties and made disbursements in accordance with CRB's decisions.

In fiscal 2014, the Copyright Office completed a second pilot of an electronic licensing system to facilitate its administration of statutory licenses. The end goal is to launch a system that supports online filing and processing of statements of account by statutory licensees. As with all Licensing Division operations, this administrative initiative is being funded by private funds collected under the relevant licenses.

SUPPORTING THE CONGRESS AND FEDERAL AGENCIES

Copyright Policy and the Digital Economy

With respect to policy, the Copyright Office has been at the center of discussions regarding potential updates to the Copyright Act, working closely with Members of Congress and, in particular, the House Committee on the Judiciary. As mentioned above, the House Judiciary Chairman convened twenty copyright hearings in the past 2 years, with the clear mission of comprehensively reviewing the law to assess how well it is working in the digital age. As Register, I have both testified on these issues and lent the impartial expertise of my Office to assist the process. Associate Register Karyn Temple Claggett, and her policy and international affairs staff, were of particular assistance during these proceedings.

It would be an understatement to say that the copyright law is complex. Indeed, in the context of the digital economy, the entire copyright ecosystem is in a state of ongoing transformation and innovation. While challenging, this is also an exciting development for the United States, which has long championed a strong but balanced intellectual property framework to the benefit of both the content and technology industries.

In addition to its service to the Congress, the Copyright Office supports the work of the U.S. Trade Representative, the U.S. Department of Justice, the U.S. Department of State, and the U.S. Department of Commerce. This work involves major trade agreements, treaty negotiations, Supreme Court briefs, and other interagency and intergovernmental matters. The Copyright Office has relationships with copy-

right and other intellectual property offices around the world, and is frequently involved in intergovernmental and bilateral meetings, as well.

Policy Reports of the Copyright Office

In February 2015, the Copyright Office published an in-depth study and legislative recommendations entitled *Copyright and the Music Marketplace.* This report, which analyzes the statutory framework and business environment of the music industry, is indicative of the Copyright Office's policy role. The report has been recognized by Members of Congress, songwriters and composers, music publishers, performing rights organizations, record labels, and digital delivery services. The expertise comes from the Copyright Office's daily role in administering the Copyright Act, and the legal and cultural significance of issues such as these is an important factor we use to recruit talented lawyers. Nonetheless, the lack of resources, including insufficient staff and travel budgets, makes for a challenging environment for even the most dedicated of public servants.

In addition to the music study mentioned above, the Copyright Office is currently preparing to issue reports on orphan works and mass digitization issues, as well as the application of authors' "making available" rights in the online environment under U.S. law. Beyond studies, the Copyright Office works closely with congressional offices every day to provide assistance on complex issues.

Through its work with the Intellectual Property Enforcement Coordinator, the Copyright Office is also nearing completion of an online index of fair use cases to serve as a resource for authors and others.

CHALLENGES OF THE CURRENT FISCAL ENVIRONMENT

The Copyright Office carries out a significant workload for the benefit of the Nation. It is doing so, however, with reduced staffing and technology deficiencies. These challenges are part of broader discussions throughout the Library, but I will note them here briefly.

Staffing and Appointments

The Copyright Office's total staff is smaller than it should be to perform its complex and important statutory assignments. We currently have approximately 360 filled positions under the Copyright Basic Budget, a number that will improve somewhat if fees remain steady and we can make the 25 requested hires in Registration and Recordation in fiscal 2016. Internally, staff reductions are felt as a workload distribution increase on already over-burdened employees. And over time the Copyright Office will be at a disadvantage if it cannot attract and retain experts, particularly in the legal and technology fields.

To compound the stress, our authorized FTE ceiling will be reduced to 411 (for the Copyright Basic Budget including the 25 FTEs mentioned above) following recent congressional direction to the Library to reconcile and eliminate unfunded positions. This is a considerable reduction at a time when the Copyright Office needs staff and would in fact hire them if it had funding. In 2005, by comparison, the FTE ceiling was 492 (again, for the Copyright Basic Budget).

On a positive note, the Copyright Office completed the first phase of reorganizing its departments and resources in 2014 and has begun filling senior-level positions as a foundational step toward a fully modernized Copyright Office. Among other things, with the Librarian's support, I established the first Copyright Office Chief Information Officer (CIO). Doug Ament was appointed to the position in March 2014, after serving several years of heading the Copyright Office's small technology office. As CIO, Mr. Ament advises the Register on strategic IT issues and engages regularly with our customers, as well as technology experts in the government and private sector. He, in turn, appointed a new Director of the Copyright Technology Office, who reported for duty this January, and is responsible for managing day-to-day activities of the Copyright Office's IT team and overseeing compliance issues with Federal law, regulations, information technology standards, and best practices.

Although these are positive first steps, the reality is that Copyright Office has a very small technology office that as of this writing has approximately 23 FTEs. This office has always functioned as a liaison office to the parent agency, which manages the agency IT resources and has more than 200 IT staff. I believe that engaging in the kind of IT development activities the Copyright Office needs to achieve in the coming years—including building the next generation online registration system, achieving interoperability with private databases, accommodating mobile technologies, and more—will require the agency to reassess this management paradigm.

The Copyright Office also has a new Office of Public Records and Repositories, headed by an experienced senior-level official who reports directly to the Register. Similarly, I appointed William Roberts, an experienced copyright lawyer and long-

time public servant, as the first Associate Register and Director Public Information and Education. As with other positons mentioned here, this position carries out significant responsibilities, including managing the substantive content and protocols of www.copyright.gov, the portal through which customers access legal materials, participate in rulemakings, register claims to copyright, and record licenses and other copyright documents.

Government Accountability Office

The agency's IT systems and infrastructure are of paramount concern for the Copyright Office, and it has been working with the Library, the public, and the Government Accountability Office ("GAO") to assess IT-related issues in the past year. Last year, the House Appropriations Committee directed the GAO to conduct a Library-wide audit of IT management and governance. Copyright Office staff provided information for the audit and were interviewed by the auditors.

Moreover, this subcommittee directed the GAO to review the technology issues relating specifically to the Copyright Office. GAO was instructed to identify "any deficiencies or obstacles to serving the copyright community in a modernized environment." The subcommittee also directed the GAO to "provide a legal and technical evaluation of the information technology infrastructure that the Copyright Office shares with the Library of Congress." These directives followed from the subcommittee's recognition that "the digital revolution has transformed the copyright marketplace and, as a result, the role of the Copyright Office in our economy." The subcommittee report also cited comments and concerns submitted by a variety of actors throughout the copyright community indicating that the Copyright Office needs significant IT upgrades to become fully interoperable with the digital economy that it serves.

Copyright Office staff has been responsive to GAO's team, which included some of the same auditors assigned to the Library audit. We appreciate the work of the auditors and look forward to their findings. Having completed several years of core foundational research, the Copyright Office remains extremely concerned about recommending major IT investments while continuing to utilize the singular enterprise architecture and IT infrastructure of the Library, which is under considerable strain. Service from the Library has been inconsistent at best, as the Library's IT staff manages multiple projects and systems from across the agency. Indeed, although the Library has more than two hundred IT staff, none are devoted exclusively to the Copyright Office. It is difficult to see how this kind of paradigm is sustainable. In short, the Library is faced with multiple missions and an array of equally important but competing concerns, in some ways adding up to an impossible job.

Technical Upgrades Special Project

During the past few years, the Director of the Copyright Technology Office, who has served as the Copyright Office's first CIO since last February, chaired a special project designed to assess the areas in which the Copyright Office needs to modernize, which included soliciting the talent and expertise of the Copyright Office's customers and stakeholders. In February 2015, the project team delivered its findings and recommendations to me, and I have in turn released them to the public. This document, *Report and Recommendations of the Technical Upgrade Special Project Team,* will be a very helpful resource as we consider future strategies for the Copyright Office. The report acknowledges challenges with the current user experience and with access to the public record, while offering recommendations for improvement, such as developing a more dedicated IT infrastructure to support the registration and recordation functions, and deploying Application Programming Interfaces ("APIs") to provide for data exchange with the rich data of private copyright databases. The Report is available on the Copyright Office Web site.

STATUTORY AUTHORITY TO SET FEES

The Copyright Office appreciates the subcommittee's dedicated appropriation in fiscal 2015 of $2.25 million, with $750,000 to fund backlog reduction in registration and $1.5 million for year one planning and analysis for the reengineering the document recordation process.

More globally, as Register I have concluded that we should reconsider the funding process for the Copyright Office as it relates to fees. For business planning, including expenditures for IT and related issues involving multi–year contracts, the Copyright Office is constrained by the inability to spend across multi-year budget cycles. In addition, the Copyright Office would benefit from more flexibility in both its retention and spending of fee revenues, particularly in relation to longer-term capital

improvements. This would require a review of the statutory provisions for fees in Chapter 7 of the Copyright Act.

I would like to thank the subcommittee members for your support of the Copyright Office and national copyright system. Our fiscal 2016 budget request, if approved, would address some immediate, high-priority needs, primarily through the authority to hire staff and use fee revenues received for services rendered.

Senator CAPITO. Thank you so much.

I'm going to begin with a question about—and this will go to the posters, I believe, and thank you for visiting my office and helping me understand some of the challenges.

In your budget request, you've asked for $4.8 million and nine new FTEs for the National Collection Stewardship Program to provide additional collections space. I understand this is an interim solution that consists of some additional compact shelving within the Library's existing buildings and the lease of additional storage space.

Would you please explain why this is necessary and if and how the work would be phased out?

NATIONAL COLLECTION STEWARDSHIP PROGRAM

Dr. BILLINGTON. Well, I would just say that the Library adds approximately 2.5 million items to the collections each year, and of the 2.5 million analog items, 250,000 volumes are books which make up the largest component of our immediate space requirements.

I'd like to turn to Mark Sweeney, who can provide you with more specific details on the emergency collection storage needs of the Library and answer your questions more fully.

Mr. Sweeney.

Mr. SWEENEY. Collection storage is a critical need for the Library right now. As Dr. Billington said, we are growing at about 250,000 volumes per year. We have more than a million items that are stored on the floor or on book trucks in our Capitol Hill buildings. We have about a million volumes stored at our Landover Annex Complex that is in a less-than-desirable environment, and we're about 10 years behind in building Fort Meade preservation modules for the growth of our collection.

So our plan right now is to be able to occupy Ft. Meade Module 5 when it becomes available in late 2017. At the same time, we are looking at space in our existing buildings here on Capitol Hill. This is primarily the Madison Building, where we can get greater collection density by installing compact shelving. We're limited in how much of that we can do, but it's based on the physical limitations of the building, what collection weight the building can handle.

In addition to that, we're requesting an interim lease facility. This would be a 5-year lease with additional 5-year options.

Senator CAPITO. Where is that lease? If I could just interrupt you quickly, where is that facility?

Mr. SWEENEY. At this time we're working with the Architect of the Capitol to identify a facility that can meet the requirements that we've already provided them.

Senator CAPITO. Okay.

Mr. SWEENEY. The two posters that we have to the left over here, the first one, the one closest to me demonstrates the books that are on the floor, as well as book trucks. This arrangement inhibits our

ability to retrieve material. It also puts the books at risk in terms of damage. And then the lower image, number 3, demonstrates a location in which we have a structural deficiency in one of our storage buildings.

The poster to the left of that is our solutions. The first is a photograph of our high-density preservation storage facility at Fort Meade, a wonderful storage environment, that can not only hold an awful lot of material but also can increase the longevity of those collections; as well as image number 2, which is an example of using existing space and getting more density by shelving material by size. The third is an example of compact storage solutions that were installed in our Adams Building, which give us about a 40 percent increase in capacity in that space.

Senator CAPITO. Well, following up on that, if you're collecting more than you've ever collected before, and part of your budget speaks to the digitization of certain items and certain other things in terms of the demands on your budget, what kind of prioritization is the Library doing in terms of reconfiguring what your collection priorities might be in terms of trying to balance the burgeoning collection that you're doing here, the digital you're doing here, and maybe meshing that with some sort of efficiencies?

DIGITAL COLLECTION CENTER

Dr. BILLINGTON. Between the additional small elements, relatively, that we're adding to the digital collection center, and the priorities involved that Mr. Sweeney was able to speak to—adjudicating between digital and a hard-copy or analog version—qualitative judgments are made on the basis of what is the substance. There are qualitative judgments made throughout the process of collection building. But I think Mark can speak to that in more detail.

Mr. SWEENEY. Well, I would say that we live in an interesting time in which there is just an explosion of creativity. So we're living in a "both" world, both having to collect analog at scale, as well as emerging digital collections. To date, our digital conversion program has primarily been about access. That's taking an analog item already in our collection, putting it in digital form, and making it accessible on the Web. That doesn't mean that we no longer need the analog copy or that it shouldn't be part of our collection. We have taken some steps to reduce holdings. We are reducing our dependence on second copies of works in our collection so that we can get some efficiency there.

Senator CAPITO. Right.

Mr. SWEENEY. However, this is not going to accommodate the volume of work that we anticipate will be available on the market that will be needed for Congress and the American people.

Senator CAPITO. Let me ask you this. You mentioned in your opening statement that your FTEs are way down, yet in the budget you're asking for 15 more full-time equivalent positions for a new digital collections center. Help me understand how some people—their positions aren't being filled is probably how you're doing that, I would imagine, through attrition and other ways. Is that how you got down to that number, and are you ramping up for different skill sets, and are you cross-training folks so that when the digital

collection center is inventoried they can move into different parts of the Library?

Dr. BILLINGTON. I think that maybe Mr. Sweeney and possibly the Deputy would want to add a few words on that.

Mr. SWEENEY. Of course, our level of staffing down is primarily through attrition. There is a different skill set that's required to work with digital content, and the staff that we have available, the diminished number of staff, are primarily preoccupied with dealing with the analog collections, which have also grown.

So the DC2, the digital collection center, is an opportunity for us to meet an emerging demand that we have, and this is not about converting analog items into digital form. It's primarily about dealing with digital content that's newly being received by the Library, where there is no analog equivalent.

Senator CAPITO. Okay. I wanted to compliment you on the Books for the Blind and Physically Handicapped. We talked about this when you were in my office, and you mentioned that West Virginians have chosen to access this as a service, and I think that it has been a great service for those folks. So I want to say thank you on that, and I was wondering, with the budget request there, is there enough there to cover these needs? Obviously, it's the only free access library in the country, is the way I understand it, for the blind and physically handicapped. If you could just give me hope for the future on that and where you see that going.

FUNDING FOR BOOKS FOR THE BLIND AND PHYSICALLY HANDICAPPED

Dr. BILLINGTON. Well, since 1931 the National Library Service has been addressing the needs of this important constituency. I think Karen Keninger, our excellent head of the National Library Service, can provide you with the details and answers to your questions. I know that there are five major distribution centers in West Virginia, but she'll give you more of the details.

Ms. KENINGER. Thank you, Senator. The budget that we have requested will be sufficient for the upcoming year. We are very fortunate in that regard at this point in time. So we are okay there.

Senator CAPITO. Finding more people, becoming aware of the services, is your reach broadening?

Ms. KENINGER. We are actually in the process of launching a public education and information program that will, we believe, expand our reach and increase our service. We have a lot of things to offer people, and it's always been a challenge to let people know that we're there at the time that they are ready to take advantage of it. We share that responsibility with our partners in all of the States, and they do what they can. We're going to be doing a national program, as well as helping the states with some local and regional advertising and outreach as well. So we're hoping that we'll be able to expand our reach significantly in the next couple of years.

Senator CAPITO. Thank you, thank you.

Another question I had, you mentioned in your opening statement that you had a world reach, you're the world's resource, and we've been reading news reports of ISIS members destroying artifacts of ancient civilizations.

I'm curious to know if the Library's overseas offices have been successful in salvaging any art relics or artifacts that may have been or may yet be targeted for destruction, and how has the Library's overseas operation been impacted, if at all, by any kind of ongoing terrorist activities in the Middle East? Because you have several offices in the Middle East.

IMPACT OF TERRORISM ON OVERSEAS OPERATIONS

Dr. BILLINGTON. Yes, we do. Of course, three-dimensional objects, the kinds of things that are in museums, are not part of the Library's collection policy. But the sort of paper-based things, archival things, books, maps, the things which record the knowledge and essential information about many of these countries, have been very much on our mind.

We've played a role. We don't have a foreign aid budget, but we have expertise in dealing with fires and damage, which the State Department will fund trips for. We provide the expertise, which we have done in the case of the Iraq National Library to a very substantial degree.

The damage that has been done in Egypt, where we have a Cairo office, and damage or real destruction of the historic laws of Afghanistan, where we have duplicate copies of some of this material and can restore some of the historical memory of Afghanistan in our Pakistani office, are examples of the kinds of damage, associated with fire or water, where restoration assistance has been provided working through our overseas bases. We had to move our Cairo office, which collects generally in the Arab world, when there was chaos there. The Cairo office was directed from Washington for a while.

The overseas offices are directed by American employees, but there are multiple foreign service nationals who work on building the collections. In certain areas like Yemen most recently and in large parts of Syria, options have been limited. We still get some things from Damascus, but not much from Aleppo, for example.

Our six overseas offices are mostly in danger spots. The one in Nairobi gave us additional background, for instance, on our first African American President. We also collect in these overseas offices for other research libraries in America that conduct research in these languages, who pay for the materials they receive.

So the overseas offices are an enormous asset for America, a very important service that we're able to provide.

Mark may want to add something to that since that's part of his immense domain as keeper of the National Collection. But it is also an international collection of great importance, and Mark may want to add a word.

Mr. SWEENEY. I would just say on the impact of terrorism on our operations, first we've had to contribute to capital cost sharing for improved security in embassies, because that's primarily where we operate out of. So that's had a budget impact on us. In Cairo and Islamabad, both of our directors have had to be out of country for periods of time because of security issues. We've also had the offices closed for periods of time so that the national staff weren't available to be able to work there.

So it's a difficult situation, but we continue to work with our staff there, as well as with agents that we have in some of the problem countries in order to be able to acquire material. Sometimes they'll hold material for a period of time for us until it can be safely sent to Washington.

Senator CAPITO. Okay. Well, I think that's an aspect of the Library of Congress that not many Americans really know about, and I wanted to highlight that because it's an interesting service. I think if we're going to learn the lessons of the past, we have to preserve the documentation and news and everything else that revolves around that.

My last question will be around the Congressional Research Service, which every member of the House or Senate, has used. It is a vital resource to us as a non-partisan, very objective view of a variety of issues, obscure and not-so-obscure.

HEALTHCARE EXPERTISE IN CRS

But the budget request is asking for six full-time equivalent positions for the expertise of healthcare. I understand the need for six more people for the expertise in healthcare with all of the various things that are moving around with the ACA and Medicare and Medicaid. It's very complicated and it needs to be examined as closely as possible.

But I would ask, are there other areas where less expertise is needed where you can shift people? Or do you feel that healthcare is the premier need right now? Does that mean in 10 years it will be something else? Do you have any feel for that on the CRS?

Dr. BILLINGTON. Dr. Mary Mazanec, who is actually a medical doctor as well as a qualified lawyer, is the best person——

Senator CAPITO. She must like school.

Dr. BILLINGTON. I would just make this one quick comment, and that is that you need real expertise. I think they only have one expert working mainly in this field. She can specify exactly. But you can't spread them too thin or you don't have the kind of highly specialized expertise that for 100 years now the Congressional Research Service (CRS) within the Library has been providing to Congress. So I think this is the minimal request, and it's not solely, but it's mainly for healthcare.

Dr. Mazanec can explain.

Dr. MAZANEC. Thank you. I would echo what Dr. Billington said. In the last 5 years, and that's about my tenure at CRS, our staffing numbers have come down, and we have looked at portfolios as people have retired and left CRS. We have reassigned issue areas. We're spread very thin, especially in the healthcare area. It's received the highest volume of requests across the Service. It receives about 10 percent of our targeted inquiries.

On top of that, the capacity that we're seeking in these six FTEs really is not adequately represented in the current staffing. It requires academic study and professional experience that we don't sufficiently have; for example, a health tax policy expert, or an expert on the private insurance sector, the industry.

As you stated, Chairman, the healthcare sector is becoming increasingly complex as it evolves. There is increased regulation. So I also think there are emerging issues every day in Medicare and

Medicaid. I don't think that healthcare is going to become a quiescent issue area in the near term, or in the longer term, especially as the population ages and their health needs increase. Healthcare expenditures also represent a significant percentage of our national economy, and I am told by my experts, my health experts, that 40 percent-plus of Americans currently receive health benefits at least in part from various Federal programs.

So I really do think that we need to build additional capacity in this area.

Senator CAPITO. I said that was my last question, but this will be a short one.

We've had testimony from the GAO and others that they're having difficulty finding the level of expertise they need mostly in the economics field. Do you share that same difficulty finding expertise, or do you rely mostly on, once folks get in the door, training them on how to research, et cetera?

Dr. MAZANEC. We do both, but there is a certain expertise that has to come in through the door, and I would agree with both Doug Elmendorf and Gene Dodaro that healthcare economists are very marketable. They're difficult to recruit because there is such demand today, and even more difficult to retain.

Senator CAPITO. Right. Thank you.

Senator Schatz.

STATEMENT OF SENATOR BRIAN SCHATZ

Senator SCHATZ. Thank you, Chair Capito.

I think it's important in the digital age to remember that books matter, libraries matter. I subscribe to the "both/and" approach. I support the Library's effort to incorporate digital material into its collections and make materials available online whenever possible, but I also support the Library in continuing to collect physical materials.

It's important to recognize that search engines are not curated by experts. Libraries have not and cannot be replaced by the Internet.

Funding for the Library of Congress, which we review today, supports the subject-matter experts and library scientists who curate and preserve American creativity and scholarship. It's this world-class knowledge and care that makes the Library of Congress the premiere repository of our Nation's historic works and original knowledge, and the largest, broadest-reaching library in the world. It's our responsibility to show this to our children. Libraries aren't dusty museums that the Internet left behind. They are living, breathing, and growing institutions that deserve our investment. This makes our job of ensuring that the Library has the resources it needs to curate, preserve, and store its collections especially important.

BUILDING THE DIGITAL COLLECTION

My first question for the Library of Congress has to do with digital collections. Due to the rapid growth of digital technology and content, the rate of the Library's digital acquisitions now rivals that of its analog collections. You may not characterize it as analog.

I'm interested to learn how the Library plans to build and improve upon its digital capacities to best fulfill its historic mission.

So, what is your long-term vision on building the digital collection, and how is that reflected in the budget request?

Dr. BILLINGTON. Well, I think I should perhaps turn that over to Liz Scheffler, our new interim chief information officer. She's been working to deal both with the infrastructure question, the status, and the outline of our future path and strategy in this area. But perhaps we should also call on Mark Sweeney, because the integration of the digital, the choice of prioritization of whether you take a digital or an analog object when both is available depends on the substance, because we're interested in the best substance.

But I would just say, before I turn it over to my colleagues on this very important question, I appreciate your general statement as well as your focus on this, because integrating the digital with the analog so that we can answer the questions the Congress asks and the Nation requires a qualitative selection process for its national collection. So nothing could be more important.

I'll begin with Liz Scheffler, who has a great deal of experience in this and is our interim chief information officer, and then I'll call on Mark Sweeney who will answer the other questions that she may not cover.

Liz, go ahead.

Ms. SCHEFFLER. Thank you, Dr. Billington, and thank you so much for the question.

My focus is primarily on the ability to accept what the Library decides it wants to collect on the digital side, and working alongside Library Services, the Law Library, and also Copyright, on how it will be stored and preserved for the future. My primary focus right now as part of the overall Library IT strategic planning that I'm leading is planning for the long-term storage needs on the technology side which, looking at the rapid growth we've had—and I should say it like this: last year it was triple what we had expected, and we do not expect that to end, as far as the growth levels grow, of receiving the digital materials.

So we're looking forward to working alongside Mark Sweeney and the others as we plan what will be the needs.

I'm going to turn it over to Mark because Mark is really the expert.

Senator SCHATZ. Well, can I just ask a question? There are several questions. One of them is how, operationally, you're going to do this. Another is who makes the judgments and what judgments are to be made about either what comes in digitally and then gets archived or comes in in analog form and then gets digitized? But then the other question is, to what extent is this all reflected in the budget request? So, could you speak to those questions?

Ms. SCHEFFLER. Okay. Let me go first and say we look to the Library side, basically those who are in charge of the curatorial aspects, to be providing to the technology side what will be their needs and what they will be collecting and what will be digitized, and that we work as a partnership.

Senator SCHATZ. But does the expertise, is it the same set of knowledge and expertise and all the rest of it on the Library side, so to speak, or is there a growing field of specialized expertise in

the curating of digital materials? Because it seems to me that may not be the same expertise.

Ms. SCHEFFLER. There is a different expertise, and I'm going to rely on Mark Sweeney, who leads Library Service, to discuss what that program will look like.

But what we do on the technology side is we work alongside them as they determine what they want to bring in, what will be digitally collected, which is born digital, will be digitized, and then how we'll be storing it, whether it will be in long-term storage, how things will be presented to the public.

Senator SCHATZ. So, in the interest of time, I'd actually like to maybe put these questions in the record——

Ms. SCHEFFLER. That would be fine.

Senator SCHATZ [continuing]. And have you get back to me on the details. But here's sort of a more basic question.

How far along, how mature are your processes and procedures? How mature are you in your hiring? I mean, are you all set and now you have to fund it and execute, or are you sort of boarding a moving train at this point?

STAFFING THE DIGITAL COLLECTION

Ms. SCHEFFLER. I would never say we're boarding a moving train. However, I would say that there is an upside to maturity and that we have been doing this for a number of years. We've learned a lot from what we have done. We know what we have to do to proceed to the future.

Senator SCHATZ. Okay, thank you.

Dr. BILLINGTON. Mark may be able to provide an answer on this.

Senator SCHATZ. Sure, go ahead, and then we'll move on to the next question.

Dr. BILLINGTON. Thank you.

Mr. SWEENEY. I think the heart of your question speaks to why we proposed the Digital Collection Center and the number of staff for that. We do have some experience with acquiring already born digital content, but we know that we have to scale that, and the expertise that is needed is both curatorial, identifying what is of value in digital and bring it in, but also requires skills that are unique to managing that content both from the moment it arrives at our institution, adding metadata to it, having preservation plans for it, and eventually making it accessible. So it's really the whole life-cycle of it.

Senator SCHATZ. Thank you.

COPYRIGHT OFFICE WITHIN THE LIBRARY OF CONGRESS

Dr. Billington, I have a question for you about the Copyright Office within the Library of Congress. This was based on the Library's need to build its collection by acquiring one copy for each registered work. So it made sense at the time for the two entities, the Copyright Office and the Library of Congress, to operate under one roof.

My view is that the reality has changed, and now the Copyright Office has a staff of more than 400 who are responsible for processing nearly half-a-million copyright registrations each year,

maintaining the national copyright recordation system, and administering all of our copyright laws.

The work of the Copyright Office is vital to the Congress, the judicial system, copyright-related industries, international trade and the global marketplace. I'm worried that the Copyright Office may be out-growing its home within the Library of Congress and that it may no longer be the right fit. As we deliberate—and this isn't a decision that we would undertake precipitously, but I wanted to put this question on the table because I think that we need to re-evaluate whether this fit which had a specific rationale a long time ago makes sense anymore.

Dr. BILLINGTON. Well, as I said in my introductory statement, there are many questions about how copyright will function in the future. I think it's extremely important to remember that before 1870–1871, when the Congress decided to put Copyright inside, to function within the Library of Congress, that nothing copyrighted was preserved at all. So the question of determining what is important to have as permanently preserved and ultimately part of the national memory and the national collection was a basic reason for bringing it into the Library in the first place.

Now, of course, things have changed. The problems have multiplied. We've requested 25 new FTEs, exactly what the Register requested for this year to address operational requirements.

I think the most important thing to consider in the future, in how you modernize the Copyright Office from the point of view of the national collection, is that the record of the private-sector intellectual and cultural creativity, innovation and creativity has to be preserved for the future.

Senator SCHATZ. Well, I agree.

Dr. BILLINGTON. Prior to 1870, deposits were kept for the purpose of enforcing the copyright laws; the preservation of these records was not a consideration. So this is an important Library consideration that is very central because it's one of the two things that we are unique custodians of for the rapidly changing future: the world's knowledge and America's intellectual and cultural copyright activity, which would not be priorities of the Patent Office or other places that might be considered an appropriate location.

I'll let the Register speak to this issue, Maria Pallante, our Register of Copyrights.

RESOURCES AND ORGANIZATIONAL LOCATION OF COPYRIGHT

Ms. PALLANTE. I appreciate the question very much, Ranking Member Schatz. I think, as Dr. Billington said, there have been a lot of long-term synergies between the Copyright Office and the Library. But as you stated, ultimately today they need to focus on acquisition preservation and making use of scholarly materials. For a variety of reasons, we need to focus on serving e-commerce, and we administer a Federal law that protects intellectual property rights.

The reason that I think the tensions are becoming more apparent, or the challenges, to use a better word, is because of resources. So before, for example, I can ask you for capital funds to bring recordation online. Because it's still paper, I think the question is how do we make that investment. Do we do it in the current Library

infrastructure for IT, or do we begin to make investments in a more strategic, targeted way? And that's without getting into some of the constitutional issues and other things that are pending before the Judiciary about the relationship. But there certainly are still some synergies.

COPYRIGHT—LIBRARY OF CONGRESS SYNERGIES

Senator SCHATZ. Can you give me an example of some of the synergies? I'm wondering if there are economies of scale operationally? Because it doesn't seem to me that you're actually operating together.

Ms. PALLANTE. I think there were, but we're subordinate to the Library in terms of the organization.

Senator SCHATZ. So what are the synergies?

Ms. PALLANTE. The synergies are that to the extent we continue to request materials for the purpose of examining them for legal protection and preserving them for litigation, it's certainly possible that the Library could continue to be the repository for those materials.

What we're finding, though, is that that has to be done according to a very careful regulatory scheme that can't simply just be made available to the public as though they're part of the Library's regular collection because people have given them to us because they want to protect their rights, not re-publish the work. Those are not things that I think we can't solve.

The bigger question, though, is if we're going to re-think registration, period, do we need those kinds of preservation-quality deposits. That has to be aired publicly and carefully and can't just be an agency decision.

Senator SCHATZ. Thank you, and thanks, Chair Capito, for your indulgence. I'm done with the Library of Congress.

Senator CAPITO. Senator Murphy.

Senator MURPHY. Thank you, Madam Chair. Just one question for Dr. Billington.

CAIRO, EGYPT OVERSEAS OFFICE

Some years ago, on a trip to the Middle East, I had the opportunity to visit a Library of Congress facility in Cairo and was really blown away by the scope and the reach of a very small staff there. And it strikes me now more than ever that those efforts to collect information—pamphlets, propaganda, whatever it may be—that aren't published traditionally are more important to the United States now than ever.

I, frankly, have not followed the progress of that work being done in and around the Middle East region, but I just would love to know whether the budget cuts that you've sustained over the course of years have affected that operation and what the plans and prospects are for that international effort, especially in that very volatile region, to collect information and publications that are not coming to you through other means, what the future of that looks like.

Dr. BILLINGTON. Well, we've had to pay more to maintain these offices. They're more expensive. We've had to pay rent and different carrying costs to the State Department and others. It is extremely

important that we maintain our overseas operations because they are the only means of acquiring and preserving a multitude of unique collection materials. If we're not going to be the repository, in effect, for the mandatory receipt of copyrighted materials for permanent retention as part of the national memory of American creativity, we will be in trouble. But we'll also be in trouble if we don't continue these overseas collections for the knowledge of the world.

For instance, our Cairo office does remarkable things. All of these overseas offices travel widely. They have enormous knowledge of foreign languages, which is extremely important because more and more places are popping up with material that nobody else could decipher. We have somebody in our Cairo office, for instance, who speaks all three languages of the Kurds. Most people don't know that there's even one language of the Kurds. These are not dialects. These are separate languages. We have preserved the entire Coptic liturgical music, the oldest that relates to Christian history. The Copts are an important part of the Egyptian population. That's never been preserved before. It's now the official language of the Coptic Church.

There is so much information that is in danger of not surviving, of not being part of the national memory. We're a part of the national memory and we're part of the world's knowledge. There's nothing equal to it. If we were to lose copyrighted knowledge or be dependent on some future arrangement that may not happen, you go back to the situation before 1870 when none of the copyrighted record was preserved.

If our overseas offices don't function, we'll cease to be a place on the world's frontiers for preserving things that may be destroyed by extremists or terrorists or just fires that are never put out or water damage that's never repaired, which we are the best in the world at.

SUSTAINING THE OLDEST FEDERAL CULTURAL INSTITUTION

This is a unique, one-of-a-kind American institution that the Congress has created and sustained. It's the oldest Federal cultural institution, and it is I think capable of being one of the most innovative if its collections and staff are not diminished.

We have a tremendous new leadership team. We've had a year-long futures process that I have personally conducted with staff below this level. So from bottom-up and top-down, we offer you not something that we've created but something that Congress originated, created. But once it starts declining, once you miss 1 year, you double the problem in the following year, and the decline will be irreversible.

I think we ought to hear a word from Robert Newlen who is my chief of staff, in conclusion so it's not just the old professor going on for 15 minutes.

So, Robert Newlen and David Mao can just wrap things up very quickly for you and supplement my passion with a little more youthful vigor and energy.

Mr. NEWLEN. Mr. Murphy, just to follow up on Dr. Billington's question about budget impact on our foreign office, one area of concern is the annual assessment that we have from the State Depart-

ment for security for our facilities, many of which are located in American embassies. It's a very complex formula to determine our assessment. But this year I believe it ran in the neighborhood of over $2.5 million, and we anticipate that it will continue to grow in the future.

But thank you for your comments about those offices. They are absolutely critical to our future acquisition policy. We are able to accumulate materials that we routinely use to service the Congress, so we continue to value them very much.

Senator MURPHY. I would just make a final note which I think, Dr. Billington, you're very right to note the fact that in many of these places you have regimes or entities, non-state actors, who are controlling large portions of territory that are in the business of destroying the historical record, destroying the cultural record. And when these communities and societies try to rebuild, if that record isn't preserved, and we are the only ones that have the resources to preserve it, it makes reconciliation much more difficult. So I appreciate the work of your overseas offices and I appreciate your comments. Thank you.

Senator CAPITO. Thank you. I think this concludes our first panel of this hearing and I want to thank Dr. Billington, Mr. Mao, Mr. Newlen, and all the others who came forward to give their expertise on the Library of Congress, for your time today.

The hearing record will remain open for seven days so that senators may submit any statements and/or questions for the record to the subcommittee by close of business Tuesday, March 24, 2015.

I would now like to ask Stephen Ayers, the Architect of the Capitol, to take a seat at the witness table for the second panel of the day.

Thank you all.

Are you ready, Mr. Ayers?

I'd like to welcome the Honorable Stephen T. Ayers, the Architect of the Capitol, and the talented and dedicated members of his senior staff: Christine Merdon, who is the Chief Operating Officer; Tom Carroll, Chief Financial Officer; and Mamie Bittner, who has just joined the Architect's team this past December as the new Director of Communications and Congressional Relations.

I understand that there are several superintendents of daily operations and maintenance of many of the buildings within the jurisdiction, that many of them are here today. So I want to thank you for your dedication and public service. I admire it every day. I feel honored and privileged to be working here in what is, I always say, the largest symbol of our freedom, the United States Capitol and associated buildings. It's a magnificent place, and we want to keep it that way, as you do too.

So briefly, the budget is an increase of $61.5, or about 10 percent, and I realize that there is a deferred maintenance backlog of about $1.4 billion, and you've had some very tough decisions that you've had to make. But it is an increase of 10 percent, and if you heard me with Dr. Billington, I basically posited that it's highly probable that we'll be faced with a flat budget for 2016 and be unable to make some tough decisions ahead of us.

I noticed the theme of exterior envelope repair needs in this building or your request, including significant roof and stone dete-

rioration on several buildings. I thank you for the tour so we could see up close and personal, particularly in the Russell Building, Hart, and the Capitol itself.

One of the questions I'm going to be asking later is how do we prevent that from accumulating to such great degrees in the future? Do we need more maintenance, more cleaning, different materials? We can get into that later.

So now, for an opening statement, I'd like to turn to my ranking member, Senator Schatz, for any opening comments he may make.

Senator SCHATZ. Thank you, Chair Capito. I'm ready to hear from Mr. Ayers.

Senator CAPITO. Mr. Ayers, I'd like to ask you to give a brief opening statement of approximately 5 minutes. The written testimony you submitted will be printed in full as part of the hearing record.

ARCHITECT OF THE CAPITOL

STATEMENT OF HON. STEPHEN T. AYERS, ARCHITECT OF THE CAPITOL

ACCOMPANIED BY:

CHRISTINE MERDON, CHIEF OPERATING OFFICER
TOM CARROLL, CHIEF FINANCIAL OFFICER
MAMIE BITTNER, DIRECTOR OF COMMUNICATIONS AND CONGRESSIONAL RELATIONS

Mr. AYERS. Thank you and good afternoon, Chairman Capito, Senator Schatz and members of the subcommittee. I'm delighted to be with you today, and thank you for the opportunity to testify.

I'm pleased to present the Architect of the Capitol's (AOC) fiscal year 2016 budget. Our incredibly talented team of professionals has worked diligently to prioritize the challenges we face as our magnificent Capitol campus continues to age.

Thanks to the outstanding support from you, we're hard at work at delivering our common mission of stewardship for the buildings and grounds of Capitol Hill. The start of the Dome Restoration Project in the fall of 2014 is a prime example of how we have worked together to reinvest the necessary resources on a project that will protect America's inspiring Capitol. I'm pleased to report today that we're nearly halfway through the exterior Dome restoration work. We currently anticipate completion of the exterior restoration this time next year.

However, beyond the Capitol Dome, enormous challenges remain. From falling stone to aging infrastructure, coupled with safety and operational issues, the problems of Capitol Hill are continuing to get worse over time. This year's budget request addresses several critical projects across the Capitol campus, and I would like to highlight a few of them now for you.

First, we continue to address the systemic problem of stone deterioration across the campus. To this end, we are seeking support for the third phase of the five-phase Russell Senate Office Building Exterior Envelope Repair and Restoration project. This will make repairs to the west façade of the 105-year-old office building. Rehabilitating the Russell Building exterior will significantly reduce the risk of falling stone and will result in increased energy savings with the maintenance of the doors and windows.

Another project that I think is critical to our success is the next phase of the West Refrigeration Plant Chiller System Replacement at the Capitol Power Plant. This project will replace two old, inefficient chillers and chilled water pumps that date back to the 1970s, with a new chiller and other essential equipment.

The Capitol Power Plant plays an essential role in the Architect of the Capitol's (AOC) long-term energy conservation and cost reduction efforts. The existing chillers were installed in the 1970s and are far beyond their useful life expectancy.

Lastly, we are seeking your support to fund the first of three phases of the Senate Underground Garage Restoration and Landscape Restoration project. Constructed in 1932, the Senate Underground Garage, plazas and fountains continue to deteriorate and are in need of renovation and restoration. The project will also improve the Senate fountain's water efficiency and save future maintenance costs.

These projects, among others highlighted in our budget request, are indicative of the critical nature of the work necessary to maintain the Capitol campus. Every day when I walk around Capitol Hill I'm reminded that the AOC's work directly affects members of Congress, your staff and visitors, and allows you to conduct the important work of government. Rest assured that the proud men and women of the AOC are your partners and we will continue to work around the clock and dedicate ourselves to our mission, no matter the challenges that lie ahead. Thank you.

[The statement follows:]

PREPARED STATEMENT OF HON. STEPHEN T. AYERS

Chairman Capito, Senator Schatz, and members of the subcommittee, thank you for the opportunity to testify today regarding the Architect of the Capitol's (AOC) fiscal year 2016 budget request.

With the support of Congress, the AOC is a strong steward of the buildings and grounds that comprise Capitol Hill. The incredibly talented and skillful employees of the agency care for facilities that are decades and even centuries old—buildings that were constructed without the modern equipment and efficiencies we now take for granted.

Safety canopy over the Rotunda in support of the Capitol Dome Restoration.

In service to the U.S. Senate, the AOC achieved a number of major accomplishments in the past year. This work included moving 15 committee offices and 7 Senator's offices as required by the majority transition. We also began work on the Hart Senate Office Building roof and skylights replacement, including an ongoing structural analysis of the Calder Clouds Mobile. We made critical life-safety systems upgrades to the historic Russell Senate Office Building Rotunda that also preserves its ornate features.

Recognizing that AOC employees are among our most important assets, we continue to make investments to empower them. In 2014, we held more than 30 town halls, sharing critical information and soliciting feedback from our staff. In addition, we conducted an organizational assessment survey and are pleased that more than 80 percent of AOC employees participated. Based on this feedback, AOC was ranked 8th out of 25 mid-sized Federal agencies by the Partnership for Public Service's Best Places to Work in the Federal Government rankings.

AOC is also working to strengthen our supervisors. We have launched a "Supervisory Academy," a week of intense supervision, management and leadership theory and skills development to help our supervisors become extraordinary leaders. Beyond our supervisors, we have launched two programs to encourage our staff to further improve their abilities. This includes the Architect's Mobility Program that allows employees who lack qualifying experience to move into positions where they can gain a specialized skill set, enabling them to progress according to their abilities. And our Exchange of Critical Expertise and Learning (ExCEL) program serves to improve organizational productivity, enhance strategic efficiencies and increase employee knowledge.

As strong as our employees are, our buildings are in need of additional help. Materials like stone, cast iron and bronze are key elements that provide the character and charm that thousands of Members of Congress, their staff and visitors have enjoyed throughout our Nation's history. Yet even these robust materials degrade over time. The maintenance needs of the Capitol campus continue to grow every year, allowing small problems to become major life-safety and infrastructure problems requiring significant investments and resources to remedy.

Taking into account the emerging priorities and looming urgent repairs for fiscal year 2016, we are requesting $661.8 million—a decrease of 2.2 percent from our fiscal year 2015 budget request.

To address capital projects categorized as urgent or immediate, we are requesting $144.5 million. This is a $12 million or 7.7 percent decrease from our fiscal year 2015 request, leaving $182.9 million of deferred maintenance work to be requested in future fiscal years. We recognize that not every project can be funded at the same time, and the deferred work will continue to be added to future funding requests. While we work to mitigate the risk of major failure by carefully monitoring and maintaining the facilities and systems, we know that delaying critical projects will inevitably result in increased fiscal demands on future budgets.

Ongoing budget constraints mean we must carefully weigh competing demands and use our expertise to recommend investments in the most critical projects. Our Project Prioritization Process ranks every project based on its importance and urgency so that we can effectively recommend to Congress the investments most needed to ensure the Capitol campus remains safe, functional and protected for all who work and visit the buildings and grounds.

AGING BUILDINGS REQUIRE CRITICAL INVESTMENT

Viewed from a distance, the buildings of Capitol Hill are inspiring and impressive, but up close, the buildings are more distressing than impressive, as weather, age and deferred maintenance are destroying many of the finer details of these awe-inspiring stone edifices.

Deteriorating stone on the Russell Senate Office Building exterior.

When stone is properly maintained, it is one of the world's most enduring materials; but when exterior stone deteriorates, major problems such as water infiltration, rusting of steel structures, mold and energy loss can occur within the building.

While our dedicated employees perform the work necessary to maintain our buildings and grounds, they can only ensure the integrity of the materials when they are given adequate resources and support. Years of austere budgets have already resulted in the loss of many irreplaceable heritage assets.

Stone preservation continues to emerge as one of our most important priorities. The condition of the exterior stone on most, if not all, of the buildings on Capitol Hill is rapidly deteriorating. The AOC's historic preservationists, structural engineers and stonemasons are in a race against time as the infrastructure ages and deferred maintenance projects accumulate.

AOC stonemason makes repairs to the Olmsted Terrace Walls.

Stonemasons from our Construction Division have been hard at work making repairs to the Olmsted Terrace—the first in more than a century. Designed by Frederick Law Olmsted in 1874, considered the founder of American landscape architecture, the terrace walls provide a strong visible base to the Capitol and a heightened sense of grandeur and scale. Unfortunately, the terrace conditions have deteriorated over time. But through the expertise of our Historic Preservation Officer and our stonemasons—funded from Capitol Construction and Operations—we are able to make the critical repairs needed to save these assets and restore the Olmsted Terrace to its former splendor.

The longer these stone buildings are left to the destructive effects of time and the elements, the more the problems compound. Instances of cracking and spalling stone grow more serious and more costly to repair every year, and the temporary fixes the AOC undertakes to prevent catastrophic failures are not enough to prevent conditions from worsening. Investing in stonework projects will pay long-term dividends and preserve these historic buildings for decades to come.

At the U.S. Capitol Building, an investment in the rehabilitation of the exterior stone will prolong the building's life expectancy and preserve its historic features. The U.S. Capitol South Extension Exterior Stone and Metal Preservation work will include mortar replacement, fabrication and installation of Dutchman repairs, and stone cleaning. This work will help stem the water infiltration that has been destroying the existing historic fabric of the building.

Spalling stone on the U.S. Capitol Building.

The third phase of the five-phase Russell Senate Office Building Exterior Envelope Repair and Restoration project will address the west façade of the 105-year-old office building. The work will repair the façade, windows and doors; repoint the masonry; restore and refinish the exterior metals and make structural repairs to the balustrades. Rehabilitating the Russell Building exterior will significantly reduce the risk of falling stone and will result in increased energy savings with the maintenance of the doors and windows.

Stone sugaring on the Russell Senate Office Building balustrade.

The Summerhouse, a favorite Capitol Grounds respite during the hot summer months, is rapidly deteriorating and requires intervention to restore the structure to its former grand condition. In particular, the terra cotta roof and bricks are crumbling, leading to an increase in life-safety issues, and the center fountain and grotto lack a recirculating water system, which is an inefficient use of resources. If the

Summerhouse Restoration project is completed, it will ensure that this Capitol Grounds treasure is preserved for generations.

Olmsted's Summerhouse is an American historic treasure.

In future fiscal years, stone preservation will continue to be the AOC's main focus, as nearly every building on Capitol Hill is built from stone and nearly all are in need of repair. Scaffolding already surrounds parts of the U.S. Capitol Building and will soon be visible around the Russell Senate Office Building and Cannon House Office Building as well. These critical stone restoration efforts will ensure that the work of Congress can continue for decades to come.

CRITICAL PROJECTS

In our fiscal year 2016 budget request, we are requesting funding for projects that will ensure necessary investments are made in our historic infrastructure and increase the safety and security of those who work or visit Capitol Hill. Providing superior service to our customers and executing numerous large–scale and highly visible multi-year construction projects is a formidable challenge that we are addressing by managing risk and transparently communicating with Congress and the American public.

AOC is responsible for meeting a wide range of fire, life safety, accessibility and performance standards, while also balancing operational needs and challenging working conditions that are unique to Capitol Hill and our aging buildings. In particular, we are focused on energy efficiency, addressing safety deficiencies and repairing crucial building infrastructure.

The Capitol Power Plant (CPP) will continue to play an essential role in the AOC's long-term energy conservation and cost reduction efforts. The CPP's existing chillers, located in the West Refrigeration Plant (WRP), were installed in the 1970s and are rapidly approaching the end of their useful life expectancy. The risk of chiller failure increases as we continue to rely on this equipment to provide environmental control to the buildings on Capitol Hill. The next phase of the WRP Chiller System Replacement will replace two old, inefficient chillers and primary chilled water pumps with a new chiller, in addition to making other essential upgrades and repairs. The chiller replacement will reduce the Capitol Power Plant's energy consumption, increasing efficiency and simultaneously providing a significant electrical cost savings.

Chiller reaching the end of its life expectancy.

To mitigate Office of Compliance citations across the Capitol campus, we are requesting funding for the second phase of the Library of Congress Thomas Jefferson Building North Exit Stair B, which will address important egress deficiencies in the building. The AOC will construct a new self-supporting masonry exit stair in the northeast stacks that extends from the cellar to the top floor of the building, in addition to constructing new fire-rated exit passageways. The project will ensure that occupants of the Jefferson Building will be able to efficiently and rapidly exit the building during an emergency evacuation.

Constructed in 1932, the Senate Underground Garage, plazas and fountains continue to deteriorate and are in need of renovation and restoration. Our request to fully fund the first of three phases of the Senate Underground Garage Renovations and Landscape Restoration will waterproof the upper and middle plaza fountains and surrounding stonework, restore the walkways and waterproof part of the garage ramp. The project will improve both of the fountain's water efficiency and save future maintenance costs for stonework repair.

Deteriorated Senate Underground Garage.

The longer these projects are delayed, the more the conditions of the buildings will decline. Proper investment is needed to ensure the historic fabric of these buildings is not lost to the ravages of time.

CONCLUSION

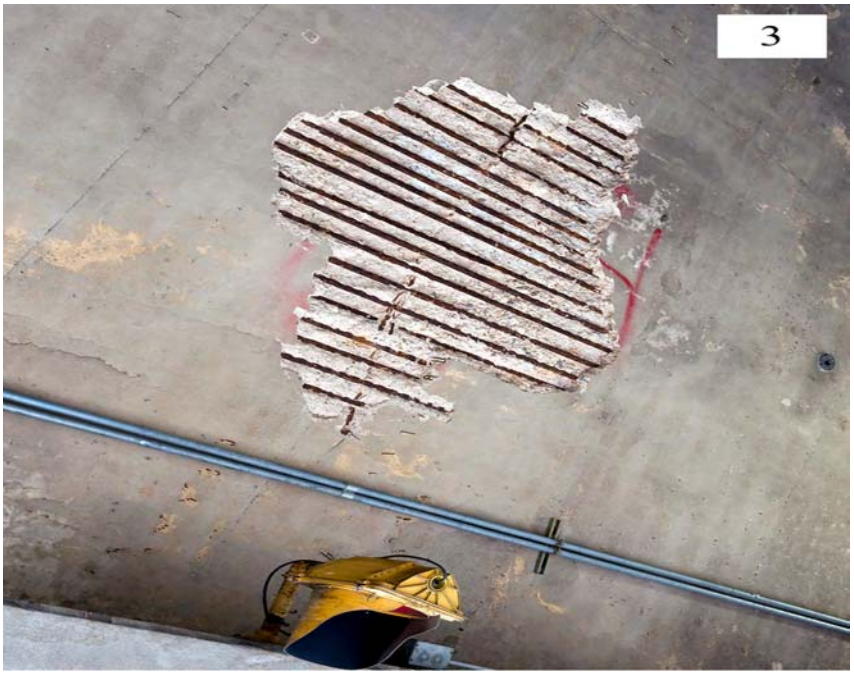
Chairman Capito, Senator Schatz and members of the subcommittee, funding our recommended capital projects in fiscal year 2016 ensures that necessary investments are made in our aged infrastructure, and maintains the unique and historic buildings that serve Congress and the American people.

We appreciate the previous investments, support and trust Congress has placed in us to address critical construction projects across the Capitol campus. The investments made in the AOC have enabled us to preserve history and ensure Congress can accomplish its daily functions.

The buildings of the Capitol campus are well cared for by the dedicated men and women of the AOC who use their incredible talents and skills to maintain the buildings and grounds. Day after day, our employees deliver inspiring and professional service to our customers. Each employee's contribution is vital to our success as an organization.

There is much work to be done, but we believe that there is no greater mission than upholding the historic buildings entrusted to our care. The American people and future generations are counting on us to work together to invest the necessary resources to sustain the treasures of Capitol Hill.

ARCHITECT OF THE CAPITOL POSTER BOARDS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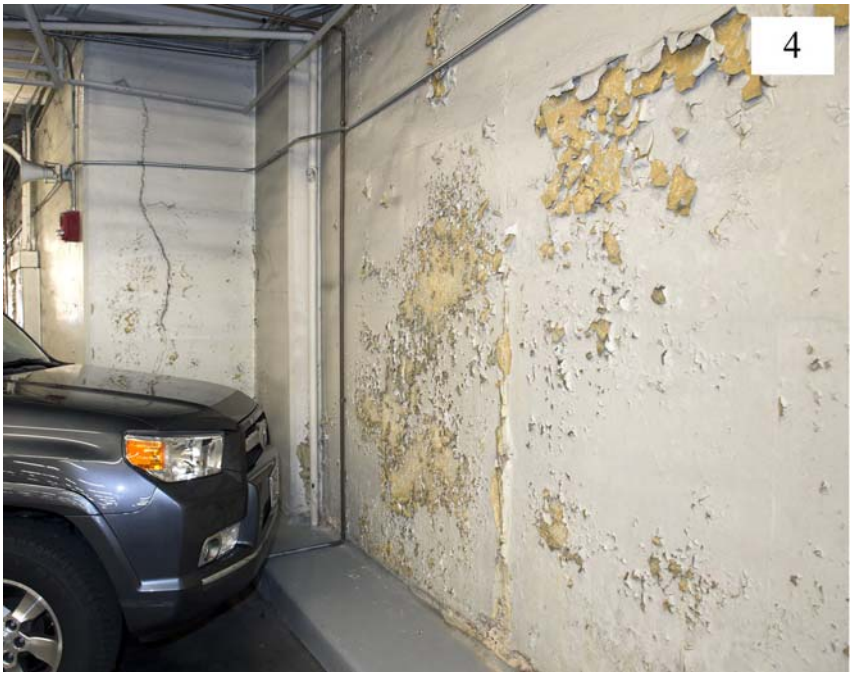
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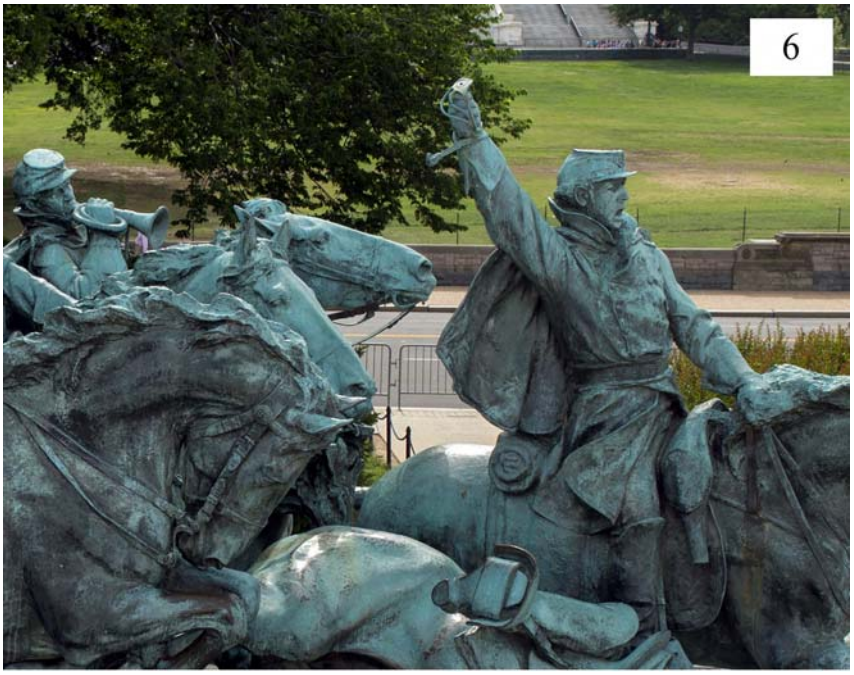
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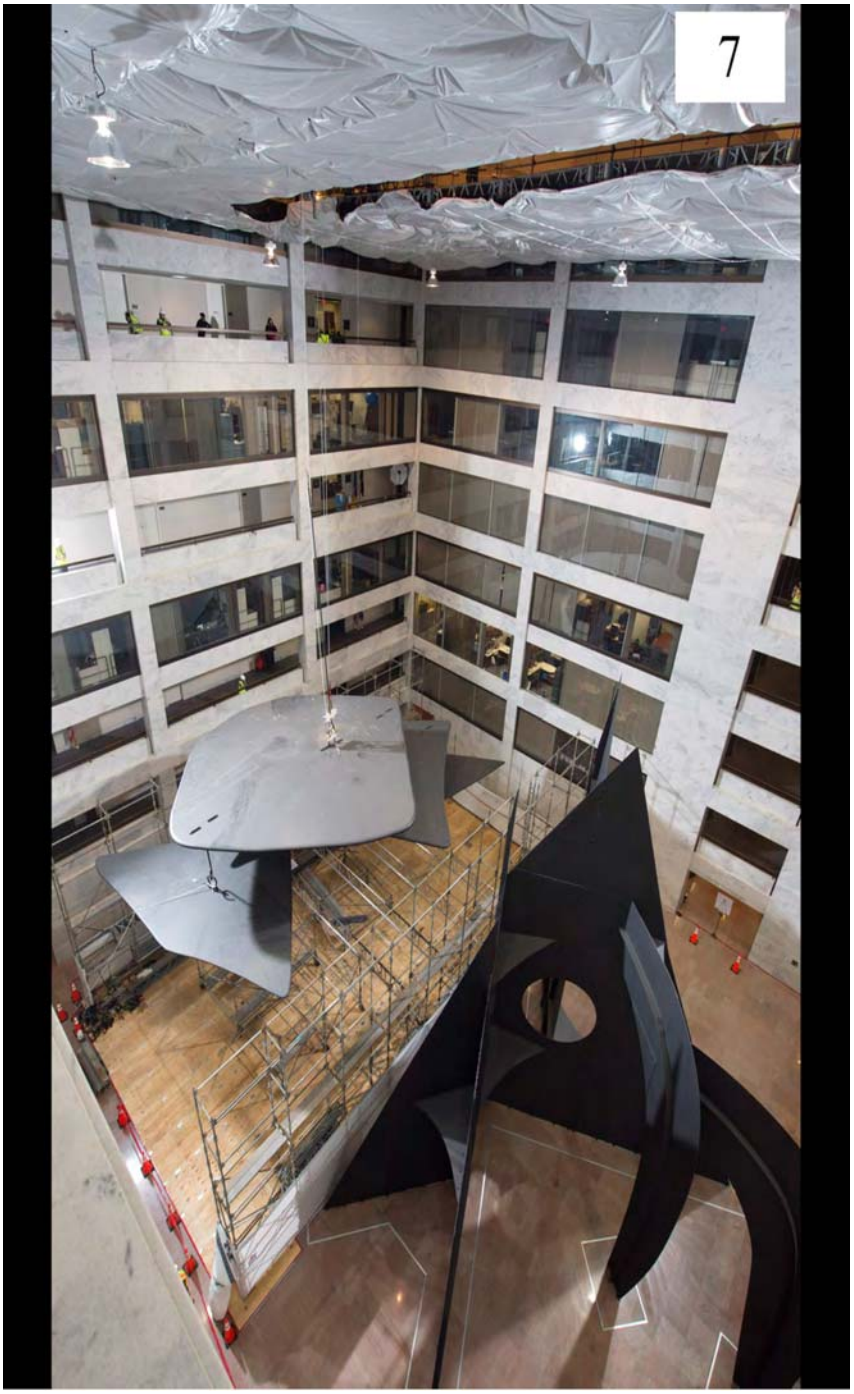
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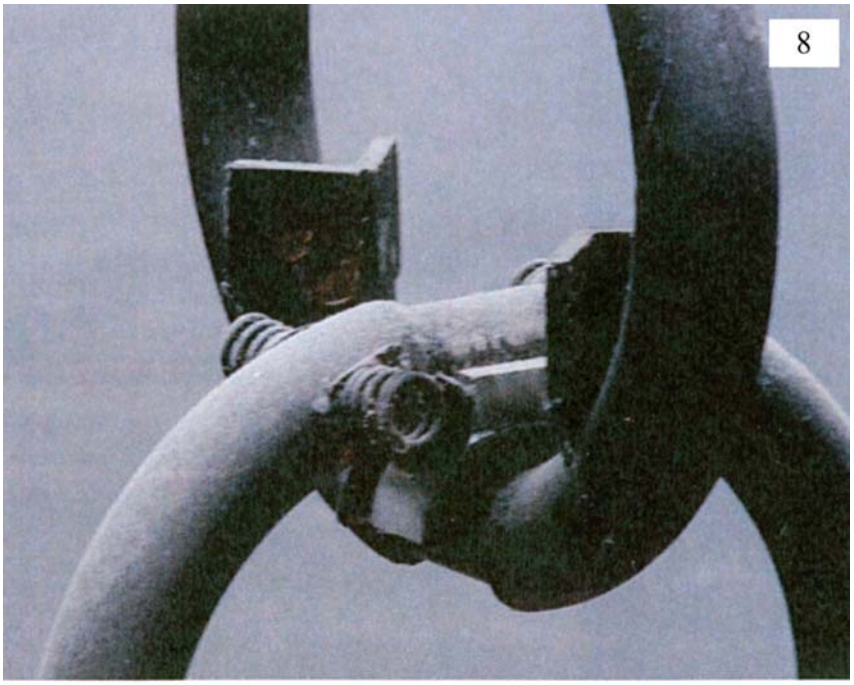
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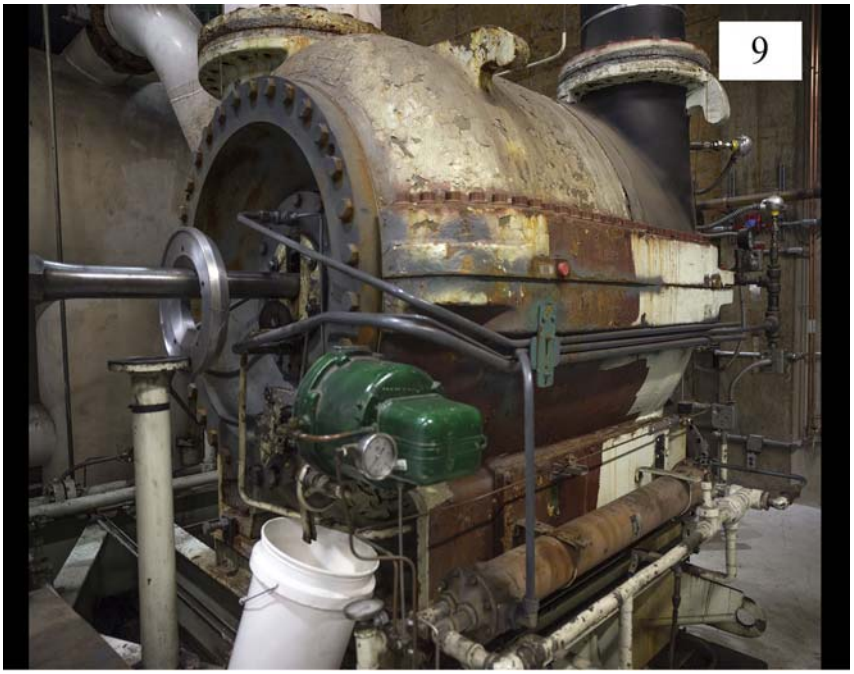
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U.S. CAPITOL DOME RESTORATION

Senator CAPITO. I want to thank you, and I'll go right to questioning.

The Dome, obviously, is the most prominent demonstration of the work of the Architect of the Capitol, the rehabilitation work which you toured for us, probably on the coldest day of the year. Thank you very much for that.

I understand you mentioned that it is on budget and on schedule. I'd just like a reaffirmation of that because obviously I have concern about the inauguration of 2016. Do you have full confidence that you'll have this completed in time for that?

Mr. AYERS. Yes, I do. This is a three-phase project. We're executing the exterior now, and we expect that to be finished this time next year. So that's well in advance of the 2017 presidential inauguration. And the final two phases, the interstitial space and the Rotunda space, are both awarded, and work and planning is well under way. We're pretty confident that we'll make that date.

PROJECT PRIORITIZATION PROCESS

Senator CAPITO. Good, that's good news.

On your request, you have line-item construction projects in priority order. I noticed that you mentioned Phase 3 of the Russell Building exterior envelope. We also looked at that as well and concur that it's in need of restoration and repair.

But as we're looking through the budget, if we flat fund you, we're not even going to get to that project. Do you anticipate that you will be reconfiguring some of your top projects or phases? The

$29 million for the West Refrigeration Plant, is that the final phase of that project?

Mr. AYERS. It is not the final phase. I think the total expenditure on that program is about $180 million.

Senator CAPITO. Wow.

Mr. AYERS. We've already broken it down into about six phases. I think there's potential that we can certainly work with the subcommittee to move those projects up and down the priority list as funding is available, and we're well poised to work with the subcommittee to do that.

It's interesting, as I look through that list, nearly all of them are immediate priorities. The difference in priorities is rather small between them, and moving one above the other will have fairly low consequences. We would welcome the opportunity to do that.

STONE DETERIORATION

Senator CAPITO. What about the question I asked in my opening statement in terms of the large projects, and you mentioned in your opening statement the deterioration of the Capitol Plant in and of itself. Do you have a side part of your vast responsibilities where you're looking at ways to do better maintenance or prevent the grand deterioration? When we looked out at the park over by the Russell Building, I think it was mentioned that these stones had been moving for decades, and I know you tried to address them, but couldn't address them.

What do you say about that? Because certainly that would help with cost issues.

Mr. AYERS. First let me show you an image or two of the stone restoration.

Senator CAPITO. Okay.

Mr. AYERS. I think you have some photographs at the dais, and let me just refer you to images 1, 2, 3 and 4. Image 1 is a great example of stone deterioration. This comes from water, and you can see the base of the wall that has pulled away from its structural system, and the severe deterioration at the bottom.

Similarly, if you look at photographs 1, 2, 3 and 4, you'll see very similar deterioration there.

To answer your question, the work that we do and our maintenance is not out of the ordinary. I think it's in line with industry best practices.

What's different is we are managing historic buildings that are 100 to well over 200 years old, and we are dealing with the materials and methods of construction from that time. Keeping those buildings maintained is the issue that causes us the most difficulty.

Take stone, for example. We are using the latest technology. Thirty or forty years ago, cleaning stone would have been done with high-pressure power washers or sand blasting, and today we're doing that with water misting and the newest technology of hand-held laser cleaning of stone that is making incredible efficiencies in our projects, and costs as well.

We are abreast of the latest technologies and are using those in the work that we do today.

UNION SQUARE AND GRANT MEMORIAL CONSERVATION

Senator CAPITO. My last question will be about the Union Square and Grant Memorial conservation. My understanding was that in the 2012 budget you took over the responsibilities for Union Square and the Grant Memorial conservation without really any additional funding provided to you.

It is a beautiful area as you're walking down from the Capitol, a lot of visitors walk through there. I understand you're going to be refurbishing the Grant Statue and all of the walkways and the pumping system for the Reflecting Pool there.

How are you putting this into your budget, and what do you see for that area of the Capitol?

Mr. AYERS. What an important space that is for this grand city of Washington, DC, and what an important memorial to Grant this is. It is in a significant state of disrepair, and we were delighted that the Congress acquired that property, and we are working hard to be good stewards.

I have another image or two, if I may, of that. If you can look at image 5 and 6, a great example is image 6. This is the current state of that statue. You can see the military officer here with his hand raised in victory with his sword, only that the sword is missing, and this is just one of probably 100 pieces of the statue that have been removed and deteriorated.

Similarly, you see the deteriorating condition of the bronze statue and the staining of the marble of this stone, and we're eager to undertake that work and get it looking the way it should be looking.

The first thing that we've done at Union Square is to stabilize it and make it safe by removing the tripping hazards and making sure people can safely traverse through Union Square. We have expended about $1 million doing that work.

Secondly, we've spent or will spend about $1 million in the short term conserving the bronze, conserving the marble, and getting this piece of important statuary collection back to the way it should be.

Thirdly, we have undertaken a series of studies to help us understand the cultural importance of this piece of property and what needs to be done long term to the infrastructure. When we acquired the property, the pumping room was completely submerged in nearly 10 feet of water and had been that way for a very, very long time. We've now drained it and are beginning to understand what needs to happen to get this Reflecting Pool functioning the way it needs to function.

Senator CAPITO. Senator Schatz.

Senator SCHATZ. Senator Murphy.

Senator CAPITO. Senator Murphy.

Senator MURPHY. I'm going to leap over Senator Schatz. I just have one quick question, so I appreciate Senator Schatz allowing me to ask it.

HART ATRIUM AND CALDER SCULPTURE

Thank you for the work that's going on right now in the Hart Atrium regarding a structural assessment of the Calder Statue.

Calder is a Connecticut-based sculptor, someone that we're very proud to be associated with. Of course, that statue has not been operating according to Calder's wishes for some time. I know that this is going to be a lengthy analysis because you're looking at whether there is the structural ability to re-mechanize the clouds portion of the statue while also just trying to understand whether it's financially feasible as well. I was able to take a quick tour of the work, and I think there's great progress being made. But I'd love an update on that analysis as it stands today.

Mr. AYERS. Thank you, Senator. We are certainly concerned about that. The roof of the Hart Building and the skylights were leaking significantly, and we came to the Congress seeking money to replace the roof and replace a significant number of skylights. As part of that project, we had to scaffold the Atrium. It presented a wonderful opportunity to analyze the Calder sculpture and understand why the clouds haven't been rotating since 1992, I think it was. We're in the process of doing that analysis.

You may have seen a notice we've sent out to member offices just within the last few days that we're about to undertake the x-ray portion of that analysis. We will be looking very carefully at all of the welded joints in the clouds themselves and the connecting devices of the clouds to see if there are cracks and understand the depth of the welds. That process will happen over a number of weekends over the course of the next several weeks.

We expect to have that report this summer and come back to the Congress with our recommendation on how we should proceed with getting it repaired and whether or not it can continue to spin and function as it was originally intended to.

Senator MURPHY. Well, we have about three feet of snow on the ground in Connecticut, so we've seen a lot of clouds over the course of the last few months. It's nice to see occasional cloudless skies, but we're hopeful to have that structure back up and operating as it was originally intended to.

Thank you, Senator Schatz, for allowing me to jump in.

Senator CAPITO. Senator Schatz.

CONTRACT OVERSIGHT

Senator SCHATZ. Thank you, Chair Capito.

I have a few questions, Mr. Ayers.

I know the Architect relies on contractors for a number of your major construction contracts, and I think that makes sense, especially when you lack the specialized expertise. I'm interested in how you do your contract oversight, and I'm particularly focused in on whether you're following GAO's best practices for contract oversight.

Mr. AYERS. To answer the second question first, we believe that we are. We had a recent GAO audit of our cost estimating and risk assessment practices within the last year, and we are following those practices and have done five cost and risk assessments on our major capital projects, and all of them seem to be in line with our expectations. We are achieving an 80 percent confidence rate, both in cost and schedule, and in many of our projects we are exceeding that 80 percent confidence rate in both cost and schedule. So we think we're following the best practices.

Secondly, we take a very comprehensive approach to contract management. We treat our contractors as our partners. Our success and the success of the Congress in these endeavors are related to the success of our contractors. We partner with them and perform rigorous oversight of our contractors. We are engaged with them at so many different levels, starting with a contracting officer and a contracting officer's technical representative, a project executive, a project manager, a project inspector, a construction manager, and on down the line.

A great example of that is we recently had about 15 of our construction managers certified as certified construction managers through the Construction Management Association of America. So making sure the folks that are on the ground working with contractors are the best they can be is important to us, and we're investing in that.

Senator SCHATZ. Are you adhering to your existing internal policies and standards? Is this an improvement that you've made over the last couple of years?

Mr. AYERS. It's only been in recent years that we've actually captured our project management practices in a written manual. All of those procedures, just within the last 5 years, have been written and codified both in a manual and guidance and policy that I've signed and directed all of the members of our organization to follow these procedures as we perform contractor oversight.

PROJECT SCHEDULE AND COST

Senator SCHATZ. Speaking of contract management, Chair Capito asked about the Capitol Dome restoration being finished before inauguration, made reference to the Grant Statue in Union Square, and also the exterior stone work I believe. Can you just confirm for the subcommittee that all of those projects and any other projects will be completed before the inauguration?

Mr. AYERS. I'd be happy to, and I can confirm that. Every member of this organization understands how important the presidential inauguration is and knows that we are front and center on every television screen across the world on that day.

Senator SCHATZ. And who bears the cost if something unforeseen happens? Let's say you had to take down scaffolding to conduct the inauguration and then re-start one of those projects. Would it depend on the reason for the delay and the way the contract is written, or is there some way this goes every time?

Mr. AYERS. I think all of those things are situationally dependent. If it's some force majeure, then we have to pay for that. If it's delayed because of the contractor's fault, then we would insist that the contractor pay for that.

The scaffolding and everything else is going to come down by the time the presidential inauguration happens, and we will ensure that the West Front and the East Front of the Capitol look terrific.

FORT MEADE

Senator SCHATZ. Thank you. And my final question on the Fort Meade acquisition, my understanding is that there is 100 acres, the total number of acres, and then there's seven acres or so that were part of an old railroad owned by the State of Maryland. Have you

made your arrangement with the State of Maryland, gotten your easements, and is there any thought given to not acquiring that last seven acres because of the potential environmental mitigation that may be required and the cost associated with it?

Mr. AYERS. We did submit legislative language in our budget request, and the purpose of that is to allow us to begin negotiating with the State of Maryland to acquire that piece of property. I think all of that will be determined in the negotiations.

Today, what's in front of us is the construction of Fort Meade Module 5, and we have negotiated and signed a Right of Entry with the State of Maryland allowing us to proceed with construction of Module 5.

Senator SCHATZ. Module 5 is not on those seven acres. You just need an easement through the seven acres to do the construction?

Mr. AYERS. Correct. We have to run utilities through the easement to feed Module 5.

Senator SCHATZ. Okay. I would just ask you to stay nimble on this one because we're obviously nowhere near having built out all 93 acres, which are by all accounts free and clear. So it would be great to acquire those last seven acres. But if it proves to be difficult, as sometimes is the case with parcels of property that may have environmental requirements, I think we should all be prepared to just work with the first 93 acres and not get into a long and potentially expensive process, especially if it's not necessary. So let's all stay nimble on this.

I don't have a dog in that hunt, except that I don't want to see you wasting your time, and I certainly don't want to see us using taxpayer dollars to have to do environmental mitigation on land that we went out of our way to acquire.

Mr. AYERS. I understand, and we certainly will. Thank you.

Senator SCHATZ. Thank you.

Senator CAPITO. Any further questions?

Senator SCHATZ. No. Thank you.

Senator CAPITO. Thank you, Mr. Ayers. I have no further questions.

I want to thank the staff, too, of the Architect's Office for your time here today.

ADDITIONAL COMMITTEE QUESTIONS

The hearing record will remain open for seven days, allowing members to submit statements and/or questions for the record, which will be sent to the subcommittee by close of business on Tuesday, March 24th, 2015.

[The following questions were not asked at the hearing, but were submitted to the agency for response subsequent to the hearing:]

QUESTIONS SUBMITTED TO DR. JAMES H. BILLINGTON

QUESTIONS SUBMITTED BY SENATOR BRIAN SCHATZ

BUILDING THE DIGITAL COLLECTION

Question. What is your long term vision on building the digital collection?

Answer. The vision for digital collections at the Library of Congress is anchored in the Library's mission to support the Congress in fulfilling its constitutional duties and to further the progress of knowledge and creativity for the benefit of the Amer-

ican people. It is also part of the larger vision that covers both analog and digital collections. The Library strives toward:

—A universal collection of knowledge, unmatched in the world, analog and digital;
—Routine and easy acquisition of analog and digital materials by deposit, purchase, gift, and exchange, in pursuit of serving our patrons in the present and preserving a national patrimony for the future;
—Collections moving quickly to the hands and screens of on-site scholars and users of the public Web site;
—Serving patrons and the public with the tools and skills needed to access and analyze digital collections;
—A digital and analog collection that is universal, well organized, and easy to use, enabling authoritative research and analysis for Congress; and,
—The Library of Congress continuing as a center of excellence in the practices of acquiring, describing, managing, preserving, and providing cultural heritage material and as a world leader in the handling of digital material.

Question. How is that reflected in your budget?

Answer. The Library has requested fiscal year 2016 funding of $2.005 million (15 full-time equivalents (FTE)) to establish a Digital Collections Center, which will provide an essential increase in the institution's capacity to ingest, process, manage, preserve, and provide access to digital material. As a centralized team, this operation will collaborate with technical staff elsewhere in the Library. It also will assist other staff members who work with digital collections, increase standardization of the work, engage underserved curatorial divisions, and provide training across the Library.

Question. Who makes the judgments and what judgments are to be made about either what comes in digitally and then gets archived or what comes in in analog form and then gets digitized?

Answer. In general, subject specialists make such judgments under a framework of existing policies. The Library has a set of more than 70 Collections Policy Statements and Supplementary Guidelines documents (see http://www.loc.gov/acq/devpol/cpsstate.html) that guide the institution's acquisitions and selection operations for both analog and born digital materials. The policies provide a plan for developing the collections and maintaining their existing strengths. They set forth the scope, level of collecting intensity, and goals sought by the Library to fulfill its service mission. Proposals to digitize analog materials are prepared by specialists and submitted to the Digital Library Content Group (DLCG), a committee with Library-wide representation. Proposals are evaluated by the DLCG using these criteria:

—Value to Congress
—Scholarly research value
—General audience interest
—Educational value
—Historical or cultural significance
—Extent to which it fills in major gaps in subjects covered
—Extent to which it augments/complements existing collections presented on the Library's Web site
—Extent to which it represents "star" materials in LC collections (top treasures, extraordinary items)
—Extent to which it reduces wear and tear on fragile and/or valuable physical materials
—Potential to engage new audiences
—Relationship to a planned event
—Relationship to a planned exhibit
—Extent to which it provides an opportunity to collaborate with outside communities

Question. Is there a growing field of specialized expertise in the curating of digital materials?

Answer. Yes, specialized expertise is required on the technical side. The Library already has limited resident expertise in digital curation. The establishment of the Digital Collections Center will allow for an expansion of that expertise base in the Library and result in the ability to greatly expand our digital collecting program.

Question. Are you all set to bring on this expertise, and now you just have to fund it and execute?

Answer. The Library is prepared to expeditiously establish and staff the Digital Collections Center.

CONCLUSION OF HEARINGS

This concludes the Legislative Branch Appropriations Subcommittee hearings regarding the budget request for fiscal year 2016.

The subcommittee stands adjourned.

[Whereupon, at 4:20 p.m., Tuesday, March 17, the hearings were concluded, and the subcommittee was recessed, to reconvene subject to the call of the Chair.]

LEGISLATIVE BRANCH APPROPRIATIONS FOR FISCAL YEAR 2016

U.S. SENATE,
SUBCOMMITTEE OF THE COMMITTEE ON APPROPRIATIONS,
Washington, DC.

DEPARTMENTAL WITNESSES

[CLERK'S NOTE.—The subcommittee did not hold formal hearings for the Government Publishing Office and the Office of Compliance. Following are the statements submitted by them:]

GOVERNMENT PUBLISHING OFFICE

PREPARED STATEMENT OF DAVITA VANCE-COOKS, DIRECTOR

Chairwoman Capito, Ranking Member Schatz, and Members of the Subcommittee on Legislative Branch Appropriations, it is an honor to present the appropriations request of the Government Publishing Office (GPO) for fiscal year 2016. As background, my prepared statement provides an overview of GPO's functions and operations.

GOVERNMENT PUBLISHING OFFICE

The 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 the production and distribution of information products for all three branches of the 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 of Fiscal Year 2015 (Public Law 113–235), which contains a provision redesignating GPO's official name as the Government *Publishing* Office. GPO currently employs about 1,700 workers.

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 fiscal year 2014 FDsys averaged 38.1 million retrievals per month, with a spike up to 47.5 million during the Government shutdown of October 2013. We also provide public access to Government information through partnerships with approximately 1,200 libraries nationwide participating in the Federal Depository Library Program.

In addition to GPO's Web site, www.gpo.gov, we communicate with the public routinely via Facebook http://www.facebook.com/USGPO, Twitter twitter.com/USGPO, YouTube http://www.youtube.com/user/gpoprinter, and Pinterest http://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 is a nation based on documents, and our governmental tradition since then has reflected 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 various systems of contracting for printed documents that were beset with scandal and corruption, 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.

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. This work goes on today, in both digital as well as print forms.

Strategic Vision and Plan

GPO is transforming from a print-centric to a content-centric publishing operation. In fiscal year 2016 and the years ahead, GPO will continue to develop an integrated, diversified product and services portfolio that focuses primarily on digital. Although industry experts predict 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, we recognize that the volume of tangible print that is requisitioned from GPO is declining and will continue to decline.

GPO's strategic plan, which is available for public review at http://www.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 the fiscal year to review the plan and approve it before it is issued.

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 they pale by comparison with the transformation that accompanied our incorporation of electronic information technologies, which began over 50 years ago in 1962 when the Joint Committee on Printing directed the agency to develop 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 on a more complex 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 fiscal year 2014 we took delivery of a new zero make-ready press to support congressional and Federal agency publishing requirements, which will replace two aging presses that have been in place since 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 bedrock 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.

GPO AND CONGRESS

For the Clerk of the House, the Secretary of the Senate, and the committees of the House and the Senate, GPO publishes the documents and publications required by the legislative and oversight processes of Congress in digital and tangible formats. This includes the daily *Congressional Record,* bills, reports, legislative calendars, hearings, committee prints, and documents, as well as stationery, franked envelopes, memorials and condolence books, programs and invitations, phone books, and the other products needed to conduct the business of Congress. We also detail expert staff to support the publishing requirements of House and Senate committees and congressional offices such as the House and Senate Offices of Legislative Counsel. We work with Congress to ensure the provision of these services under any circumstances.

Today the activities associated with creating congressional information databases comprise the majority of the work funded by our annual Congressional Publishing Appropriation (formerly known as the Congressional Printing and Binding Appropriation). Our advanced digital authentication system, supported by public key infrastructure (PKI), is an essential component for assuring the digital security of congressional publications. The databases we build are made available for providing access to congressional publications in digital formats as well as their production in tangible formats.

GPO's congressional information databases also form the building blocks of other information systems supporting Congress. For example, they are provided directly to the Library of Congress to support its Congress.gov system as well as the legislative information systems the Library makes available to House and Senate offices. We work with the Library to prepare summaries and status information for House and Senate bills in XML bulk data format. We are also collaborating with the Library on the digitization of historical printed documents, such as the *Congressional Record,* to make them more broadly available to Congress and the public.

GPO Cuts the Cost of Congressional Work

The use of electronic information technologies by GPO has been a principal contributor to lowering the cost, in real economic terms, of congressional information products. In fiscal year 1980, as we replaced hot metal typesetting with electronic photocomposition, the appropriation for Congressional Publishing was $91.6 million, the equivalent in today's dollars of $263 million. By comparison, our approved funding for fiscal year 2015 is $79.7 million, a reduction of more than two-thirds in constant dollar terms.

Productivity increases resulting from technology have enabled us to make substantial reductions in staffing requirements while continuing to improve services for Congress. In 1980, GPO employment was 6,450. Today, we have 1,695 employees on board, representing a reduction of 4,755, or more than 70 percent. This is the smallest GPO workforce of any time in the past century.

Highlights of Fiscal Year 2014 Congressional Work

In fiscal year 2014, essential staff from GPO remained on duty during the Government shutdown in October 2013 to meet the publishing requirements of Congress throughout the shutdown period without any interruption or reduction in service. During the year, we published the *Congressional Directory* for the 113th Congress under the direction of the Joint Committee on Printing, and late in the year we released the *New Member Pictorial Directory for the 114th Congress* as prepared by the Committee on House Administration. We also worked with the Office of the Clerk of the House to prepare an eBook version of *Hispanic Americans in Congress 1822–2012.*

At the direction of the House Appropriations Committee, and in support of the House's task force on bulk data, in 2014 we began work with the Library of Congress to make House bill status information prepared by the Congressional Research Service available in XML bulk data format. Late in the year our work in making legislative information available in XML bulk data format was expanded to include Senate bills, at the request of the Secretary of the Senate.

GPO AND FEDERAL AGENCIES

Federal agencies are major generators of information in the United States, and GPO produces their information products for official use and public access. Federal agencies and the public also rely on a growing variety of secure credentials produced by GPO, including travelers holding U.S. passports, members of the public who cross our borders frequently, and other users. Our digital systems support key Federal agency publications, including the annual *Budget of the U.S. Government* and,

most importantly, the *Federal Register* and associated products. As it does for congressional documents, our digital authentication system, supported by public key infrastructure (PKI), assures the digital security of agency documents. GPO does not receive appropriations to produce work for Federal agencies. Instead, we provide products and services on a reimbursable basis.

Highlights of Fiscal Year 2014 Agency Operations

For the past 3 years we have made the *Budget of the U.S. Government* available as a mobile app.

One of GPO's major agency customers is the Office of the Federal Register (OFR), which produces the daily *Federal Register* and related publications such as the Code of Federal Regulations, and other key information products like the *Daily Compilation of Presidential Documents* and the *Public Papers of the President.* GPO produces these publications in both digital and tangible formats.

Since 1926 GPO has been responsible for producing the U.S. passports for the Department of State. At one time, no more than a conventionally printed document, the U.S. passport since 2005 has incorporated a digital chip and antenna array capable of carrying biometric identification data. With other security printing features, this document—that we produce in Washington, DC, as well as a secure remote facility in Mississippi—is now the most secure identification credential obtainable. In fiscal year 2014, we made changes to our facilities to begin installing equipment that will be used to produce the next generation passport.

Since 2008, we have served as an integrator of secure identification smart cards to support the credentialing requirements of Federal agencies and other Government entities. Our secure credential unit has been certified by the General Services Administration (GSA) as the only government-to-government provider of credentials meeting the requirements of Homeland Security Presidential Directive 12 (HSPD–12).

We anticipated that the sequester implemented during fiscal year 2013 would impact funding for printing and other information products ordered through GPO. In response, we implemented increased controls on spending, reprioritized capital investment plans, and closely monitored costs. GPO was able to continue its support of Federal agency publishing and information product requirements without any interruption or reduction in service. During the October 2013 Government shutdown, GPO initially scaled back support of Federal agency requirements consistent with Office of Management and Budget and related requirements for a lapse in funding. However, as the shutdown continued and some agencies returned to business (such as the Department of Defense), GPO responded to their essential requirements. Additionally, GPO provided public access via FDsys to health and safety regulatory information issued by the Office of the Federal Register during the shutdown.

During fiscal year 2014, GPO reported positive results on a customer satisfaction survey of approximately 500 Federal agencies. The survey focused on GPO's products, services, and programs, the cost-effectiveness of services, and satisfaction with GPO's Web site and customer service. Some of the results included:

—91 percent of customers are satisfied with overall service from their primary GPO location

—90 percent are likely to recommend GPO to a colleague

—90 percent say they do not believe they can beat or match GPO pricing

The survey was conducted in support of GPO's Strategic Plan, that emphasizes a customer-centric approach through agency-wide procedures, policies, and activities implemented to ensure GPO is meeting customers' needs and exceeding their expectations.

Partnership With Industry

Other than congressional and inherently governmental work such as the *Federal Register,* the Budget, and secure and intelligent documents, we produce virtually all other Federal agency information products via contracts with the private sector printing and information product industry issued by our central office and regional GPO offices around the country. In fiscal year 2014, this work amounted to approximately $289.3 million. Approximately 16,000 individual firms are registered to do business with GPO, the vast majority of whom are small businesses averaging 20 employees per firm. Contracts are awarded on a purely competitive basis; there are no set-asides or preferences in contracting other than what is specified in law and regulation, including a requirement for Buy American. This partnership provides great economic opportunity for the private sector.

GPO AND OPEN, TRANSPARENT GOVERNMENT

Producing and distributing the official publications and information products of the Government fulfills an informing role originally envisioned by the Founders, as James Madison once said:

> "A popular Government without popular information, or the means of acquiring it, is but a Prologue to a Farce or a Tragedy, or perhaps both. Knowledge will forever govern ignorance, and a people who mean to be their own Governors, must arm themselves with the power which knowledge gives."

GPO operates a variety of programs that provide the public with "the means of acquiring" Government information that Madison spoke of. These programs include the Federal Depository Library program (FDLP), Federal Digital System (FDsys), Publications Sales, and Social Media.

Federal Depository Library Program

The FDLP has legislative antecedents that date back 200 years, to 1813. Across those years, depository libraries have served as critical links between "We the People" and the information made available by the Federal Government. GPO provides the libraries with information products in digital and, in some cases, tangible formats, and the libraries in turn make these available to the public at no charge while providing additional help and assistance to depository library users. The program today serves millions of Americans through a network of approximately 1,200 public, academic, law, and other libraries located across the Nation, averaging nearly three per congressional district. Once limited to the distribution of printed and microfiche products, the FDLP today is primarily digital, supported by FDsys and other digital resources. This overwhelming reliance on digital content allowed for the first digital-only Federal depository library designation in fiscal year 2014, with others to follow.

In fiscal year 2014, GPO completed work on our FDLP Forecast Study, a collaborative research project between GPO and depository libraries, that surveyed all depository libraries to assess the current conditions of the program. Primary issues identified in the survey include budget constraints, use of physical space, staffing, and collection scope changes. Results from this initiative will serve as a blueprint for developing a new National Plan for Access to Federal Government Information.

Also supporting the Federal depository libraries and the public nationwide is the work GPO does under its statutory mandate to catalog a comprehensive index of public documents issued or published by the Federal Government that are not confidential in character. The public interface for accessing these cataloging records is GPO's *Catalog of U.S. Government Publications* (CGP). In fiscal year 2014, there were 25.6 million successful searches of the CGP, an increase of 10.5 million over fiscal year 2013. Also during this period, more than 13,800 new cataloging records were added to the CGP, of which 60 percent contained direct online links to the cataloged content. Additionally, more than 150 free Federal Government eBooks from various agencies are now available via the CGP, with more being added continuously. Thanks to a partnership we forged with the Digital Public Library of America (DPLA), more than 150,000 records from GPO's digital Catalog of Government Publications are now also available to the public through the DPLA's Web site.

Federal Digital System

GPO has been providing access to digital congressional and Federal agency documents since 1994. Today, FDsys provides the majority of congressional and Federal agency content to the FDLP as well as other online users. This system has reduced the cost of providing public access to Government information significantly when compared with print, while expanding public access dramatically through the Internet. Public utilization of FDsys has increased substantially. In 2014, FYFDsys recorded its 1 billionth document retrieval since replacing our original online Web site, *GPO Access*. Currently, FDsys serves as a secure preservation repository for more than 1 million individual titles from all three branches of the Government, the only system of its kind in operation today. In fiscal year 2014, FDsys averaged 38.1 million retrievals per month, with a spike of up to 47.5 million during the October 2013 Government shutdown.

GPO is continually adding collections to FDsys to provide increased public access to Government information. In fiscal year 2014, new collections were added ranging from audio books to digital editions of historic publications like the Warren Report on the assassination of President Kennedy and the Civil Rights Act of 1964. At the end of the year, we were one of 5 institutions named by the Library of Congress and the National Institute of Museum and Library Services to be part of the Na-

tional Digital Stewardship Residency program, under which we are now preparing to become the first Federal agency certified as a Trustworthy Digital Depository for Government information.

During the October 2013 Government shutdown, the FDsys congressional and regulatory information collections were continually updated as an essential function in order to provide public access to this essential information. The other collections on FDsys were not updated but were still accessible. All other information on gpo.gov (concerning our Online Bookstore, FDLP.gov, Contractor Connect, etc.) remained static during the shutdown.

FDsys Improvements Planned for Fiscal Year 2016

As GPO's enterprise information management system for digital information dissemination and preservation, FDsys is a critical component of our integrated publishing operation. Continued investment in this cornerstone system is needed in order to ensure FDsys technology, features, and functionality supports GPO's mission and meets the needs of key stakeholders, including Congress, Federal agencies, and the American public.

In fiscal year 2016, the Next Generation FDsys public website (NextGen) will officially launch and the legacy site will be retired. NextGen functionality will greatly enhance the way stakeholders can interact with FDsys, including a responsive user interface, replacement of the current search engine with an Open Source search engine, the implementation of linking between related publications, and user interface improvements based on extensive stakeholder engagement.

Along with the launch of NextGen, other initiatives are crucial for managing Federal Government content in FDsys, including developing new content collections, increasing content in existing collections, enhancing the accessibility of content, and increasing the discoverability of information within the system. GPO also has begun the initial process to seek certification for FDsys as a Trustworthy Digital Repository in compliance with the International Organization for Standardization (ISO 16363). This certification will validate that FDsys, its infrastructure, and its supporting organization are reliable and sustainable, in order to ensure the highest level of service now and into the future.

With the planned updates to the FDsys search, content management, and preservation components and along with certification of FDsys as a Trusted Digital Repository, it is also critical to invest in the IT infrastructure supporting the system. This includes bandwidth, storage, and servers needed for the Production, COOP, Test, and Development environments. In fiscal year 2016, GPO will also explore how to migrate FDsys to the Cloud to reduce reliance on on-site physical infrastructure.

GPO Achieves Savings in Information Dissemination

Since fiscal year 1995, the first full year of our online operations, the cost of producing and distributing millions of copies of printed publications to Federal depository libraries nationwide was funded at $17.6 million, the equivalent of $27.3 million in constant dollars. For fiscal year 2016, we are proposing to fund this function at $8.2 million, a reduction of nearly 70 percent in constant dollar terms. Along with appropriations to GPO's Revolving Fund, we have used the savings from reduced printing and distribution costs to pay for the establishment and operation of our digital information dissemination operations, achieving additional savings for the taxpayers and vastly expanding public access to Government information.

Publication and Information Sales Program

Along with the FDLP and FDsys, which are no-fee public access programs, GPO provides public access to official Federal information through public sales featuring secure ordering through an online bookstore, a bookstore at GPO headquarters in Washington, DC, and partnerships with the private sector that offer Federal publications as eBooks. As a one-stop shop for eBook design, conversion, and dissemination, our presence in the eBook market continues to grow. We now have agreements with Apple, Google's eBookstore, Barnes & Noble, OverDrive, Ingram, Zinio, and other online vendors to make popular Government titles such as the *Public Papers of the President-Barack Obama,* the *Financial Crisis Inquiry Report,* and *Ponzimonium: How Scam Artists are Ripping Off America* available as eBooks. Additionally, in fiscal year 2014 we worked with Congress to make *Hispanic Americans in Congress* available as an eBook.

Reimbursable Distribution Program

We operate distribution programs for the information products of other Federal agencies on a reimbursable basis, including General Services Administration (GSA) Consumer Information Center publications, from warehouses in Pueblo, CO, and Laurel, MD.

GPO and Social Media

We use Facebook, Twitter, YouTube, and a book blog to share information about GPO news and events and to promote specific publications and products. By the end of fiscal year 2014, we had 3,932 likes on Facebook, 5,372 followers on Twitter, and 120,000 views across 66 videos on YouTube. On Pinterest, we had 422 followers pinning on 15 boards of Federal Government information. Our book blog, Government Book Talk, focuses on increasing the awareness of new and classic Federal publications through reviews and discussions.

GPO'S FINANCES

Business Operations Revolving Fund

All GPO activities are financed through our Business Operations Revolving Fund. This business-like fund is used to pay all of GPO's costs in performing congressional and agency publishing, information product procurement, and publications dissemination activities. It is reimbursed from payments from customer agencies, sales to the public, and transfers from GPO's two annual appropriations: the Congressional Publishing Appropriation and the Public Information Programs of the Superintendent of Documents Appropriation.

The Business Operations Revolving Fund functions as GPO's checking account with the U.S. Treasury. GPO pays its expenses from this account either with electronic transfer or check. The fund is reimbursed when the Treasury Department transfers money from agency appropriations accounts to the fund when agencies pay GPO invoices. This procedure also applies to the payment of transfers from the Congressional Publishing and Public Information Programs appropriations, and to deposits of funds collected from sales to the public.

GPO maintains a cash balance in the Business Operations Revolving Fund that is used to pay all expenses. The cash balance fluctuates daily as payments are received from agency reimbursements, customer payments, and transfers from GPO appropriations.

Retained Earnings

Under GPO's system of accrual accounting, annual earnings generated since the inception of the Business Operations Revolving Fund have been accumulated as retained earnings. Retained earnings make it possible for GPO to fund a significant amount of technology modernization. However, appropriations for essential investments in technology and plant upgrades are also necessary and are requested annually.

Appropriated Funds

GPO's Congressional Publishing Appropriation is used to reimburse the Business Operations Revolving Fund for costs of publishing the documents required for the use of Congress in digital and tangible formats, as authorized by the provisions of chapters 7 and 9 of Title 44, U.S.C. The Public Information Programs of the Superintendent of Documents Appropriation is used to pay for costs associated with providing online access to, and the distribution of, publications to Federal depository libraries, cataloging and indexing, statutory distribution, and international exchange distribution. The reimbursements from these appropriations are included in the Business Operations Revolving Fund as revenue for work performed. Money is also appropriated to GPO's Business Operations Revolving Fund to increase working capital for necessary investments in information technology and facilities maintenance and repair.

Fiscal Year 2014 Financial Results

Revenue totaled $696.3 million while expenses charged against GPO's budget were $672.3 million, for an overall net income of $24 million from operations. Included in both GPO's revenue and net income is approximately $15.1 million in funds set aside for passport-related capital investments, as agreed to by GPO and the Department of State, and $2.1 million in funds resulting from an adjustment to GPO's long-term workers' compensation liability under the Federal Employees Compensation Act (FECA). Apart from these funds, GPO's net operating income from fiscal year 2014 was $6.8 million. GPO's financial statements are audited annually by an independent third party contracted for by our Office of Inspector General, and we routinely receive a clean, or as it is now called, "unmodified," opinion.

FISCAL YEAR 2016 APPROPRIATIONS REQUEST

We are requesting a total of $120,000,000 for fiscal year 2016, which is essentially flat compared to the level of funding, $119,993,000, approved for fiscal year 2015

in Public Law 113–235. Continuing overhead cost–cutting actions undertaken since fiscal year 2011, in addition to a buyout successfully conducted in the first quarter of fiscal year 2015 that reduced GPO's workforce by 103 positions, have helped make this flat funding request possible. Additionally, with the approval of the House and Senate appropriations committees, each year we have transferred any unspent prior year balances from our appropriations to GPO's business operation revolving fund, where they are available for the uses for which they were originally appropriated. This also has made it possible for us to reduce the need for new funding.

Our fiscal year 2016 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 and perform facilities maintenance and repair.

Congressional Publishing Appropriation

We are requesting $79,736,000 for this account, the same level approved for fiscal year 2015 in Public Law 113–235. 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 for fiscal year 2015 and fiscal year 2016.

House Report 112–148, accompanying the Legislative Branch Appropriations bill for fiscal year 2012, 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.

For fiscal year 2015, we estimate that total congressional publishing requirements will be $82,669,000, using projections based on prior year data. We plan to use $2,933,000 of transfers from the unexpended balances of prior year appropriations to help offset these requirements. This reduced our need for new funding to $79,736,000, the level that has been approved for this year.

For fiscal year 2016, we estimate that total congressional publishing requirements will be $85,750,000, using projections based on prior year data. We plan to use $6,014,000 that is available in unexpended prior funds to offset part of these requirements, resulting in our request for $79,736,000 in new funding. Additionally, we plan to set aside $7,478,000 in transferred unspent prior year funds to finance the continuing development of our Composition System Replacement project, which will implement an XML-based composition system in place of our 30-year old Microcomp system. This year, we plan to request approval for the transfer of approximately $540,000 in unspent prior year funds to our Business Operations Revolving Fund, to help cover future congressional publishing requirements.

The estimated requirements for fiscal year 2016 include a projected price level increase of $1,881,000, primarily to cover employee pay increases equivalent with those paid government wide. Additionally, there is a $1,200,000 increase to cover anticipated volume requirements as derived from historical data, principally for the *Congressional Record,* calendars, and hearings. Partially offsetting these increases are volume decreases projected primarily for documents, bills, and committee prints.

Public Information Programs of the Superintendent of Documents

We are requesting $30,500,000 for this account, representing a decrease of $1,000,000 or 3.2 percent from the amount approved for fiscal year 2015 in Public Law 113–235. As with our Congressional Publishing Appropriation, 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 for fiscal year 2015 and fiscal year 2016. 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 112–148.

The funding we are requesting for fiscal year 2016 will cover mandatory pay and related cost increases of $342,000. Merit and other pay increases are included for 94 FTE's, the same as for fiscal year 2015. In addition, the requested funding covers projected price level increases of $175,000, including ongoing systems maintenance and FDsys operating expenses.

Unspent prior year appropriations balances that have been transferred with the approval of the Appropriations Committees to our Business Operations Revolving Fund, totaling $1,517,000 will be used to fund the continuation of cataloging and

indexing efforts to harvest and catalog historical publication for digital preservation. In 2015, we plan to request approval for the transfer of an additional $6,000,000 in unspent prior year funds to support GPO's digitization efforts to expand and develop new digital content and maintain the integrity of the system as a trusted digital repository.

Business Operations Revolving Fund

We are requesting $9,764,000 for this account, to remain available until expended, for continued information technology projects and necessary facilities projects. This compares with $8,757,000 that has been appropriated for fiscal year 2015.

Information Technology Projects $5,532,000

FDsys Projects—$4,000,000

—General Development ($3,050,000)—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 in FDsys.

—NextGen FDsys Public Website ($450,000)—Completion of development and launch of FDsys NextGen to support a responsive user interface, search engine replacement, public ation linking, user interface improvements, and content curation.

—Certification of FDsys as a Trustworthy Digital Repository ($250,000)—Development to support the certification of the FDsys Preservation Repository as a Trustworthy Digital Repository.

—FDsys Infrastructure ($250,000)—Infrastructure for the hardware, storage, and infrastructure environments to manage system performance as FDsys content and usage continues to grow, including support for GPO efforts to migrate FDsys infrastructure components to the Cloud.

Enterprise System Upgrades—$1,532,000

—Core Router/Switch Replacements ($400,000)—Replacement and upgrade for segments of GPO's existing core routing infrastructure that have reached end of life.

—Itanium Servers ($400,000)—Replacement and upgrade of the servers that support GPO's publishing and printing capabilities.

—Enterprise Storage ($300,000)—Infrastructure funding is necessary to ensure that GPO's IT storage capacity continues to grow to support the agency's application and data storage requirements.

—Data Communications Equipment ($232,000)—Replacement and upgrade of core communications equipment that has reached end of life.

—Web Filtering ($200,000)—Replacement and upgrade of the web filtering equipment that protects GPO users from accessing malicious and/or inappropriate Internet sites.

Facilities Projects $4,232,000

—Upgrade Electrical Substation ($3,500,000)—There is only one 480V substation in all of GPO's Buildings A, B and C. New, more efficient equipment is 480V by standard (including elevators as well as production equipment). Without upgrading our substation, we risk running out of power to produce essential work for Congress and Federal agencies.

—Structural Evaluations and Remedy Actions ($400,000)—We have areas of concrete floors that are degrading to the point where they may fail. This funding is to continue any third party structural analysis and for ongoing repairs on the areas in the worst shape.

—Roof replacement ($332,000)—This represents the remaining phase of our multi–year roof upgrade to improve energy efficiency and reduce the potential for damage and health and safety concerns that can result from leaks in areas that are currently compromised.

Chairwoman Capito, Ranking Member Schatz, and members of the subcommittee, this concludes my prepared statement and I look forward to working with you and members of your staff as you consider our appropriations request for fiscal year 2016.

OFFICE OF COMPLIANCE

PREPARED STATEMENT OF BARBARA J. SAPIN, EXECUTIVE DIRECTOR OF THE OFFICE OF COMPLIANCE

Madam Chairwoman Capito, Ranking Member Schatz, 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 2016 for the Congressional Office of Compliance (OOC).

In its 2016 budget request, the OOC seeks an appropriation of $4,020,000 for fiscal year 2016, the same amount as the fiscal year 2015 budget request and an additional $61,000, or 1.5 percent over the fiscal year 2015 enacted amount. This increase will allow us to make necessary improvements to protect our Web site www.compliance.gov to comply with existing cybersecurity standards and to build into the site the capacity to host on-demand on-line interactive training modules that we are developing for Congressional employees. The Congressional Accountability Act (CAA) requires the OOC to carry out a program of education for Members of Congress and other employing authorities of the legislative branch. As approximately half of congressional staff members are working in district and State offices instead of on Capitol Hill, our focus has shifted to e-learning as a means of carrying out our statutory educational mandate.[1] We recently completed our first on-line module, on sexual harassment, and plan for more on other employment issues, such as the Family Medical Leave Act (FMLA) and the Americans with Disabilities Act (ADA). A comprehensive training program, as envisioned in the CAA, continues to be one of the most effective investments an employer can make in reducing complaints and improving worker productivity and reducing absenteeism and employee turn-over. With readily available, user-friendly training modules, we expect to reach more employees.

Looking forward to fiscal year 2016, we will continue to cross-train our small staff of 22 full-time equivalent (FTE) positions and leverage our already lean operations with short term contracts for services. For example, we have used our occupational health and safety (OSH) specialists to conduct our ADA inspections to identify barriers to access for persons with disabilities. We have also used contractors to supplement those inspections so we could cover more areas and buildings. Following enactment of the Office of Compliance Administrative and Technical Corrections Act of 2015, we have increased our use of outside mediators, who are reimbursed with a flat fee per mediation. This request contains sufficient funds to maintain a new case management system that we developed with fiscal year 2015 funds. We are working to add an e-filing component to the system. We are also enhancing our video teleconference equipment to save money on hearing officer travel for cases in district and State offices, and for providing technical assistance and training. The balance of our 1.5 percent budget increase is for cross-servicing providers (Library of Congress, National Finance Center) and other equipment, services, and supplies needed to operate the OOC.

For 20 years now, the OOC has served Congress as a third party neutral for disputes and as an educator for workplace rights. The OOC has made significant contributions to the safety of congressional workplaces through its OSH biennial inspections and OSH case work, and it has used its ADA inspections and ADA case work to eliminate barriers to access to congressional facilities and programs for persons with disabilities. Each of the OOC's five Board members received new 2-year terms in fiscal year 2015.[2] They have an ambitious agenda for their remaining time, including but not limited to, publishing new ADA, Fair Labor Standards Act (FLSA), and FMLA regulations for approval by Congress. The OOC staff will act on those initiatives as well as continuing to provide quality services to the congressional community on a day to day basis.

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[1] Public Law 104–1, Section 301(h)(1).

[2] The Board members count as one FTE and are paid by OOC on a "while-actually-employed" basis.

I am available to answer any questions or address any concerns the Chairwoman, the Ranking Member, or any of the Legislative Branch Subcommittee Members may have.

NONDEPARTMENTAL WITNESSES

[CLERK'S NOTE.—The subcommittee did not hold formal hearings for nondepartmental witnesses. The statements of those submitting written testimony are as follows:]

PREPARED STATEMENT OF THE AMERICAN ASSOCIATION OF LAW LIBRARIES

[Testimony on behalf of the American Association of Law Libraries, Association of Academic Health Sciences Libraries, Medical Library Association, and Special Libraries Association.]

Dear Chairwoman Capito, Ranking Member Schatz, and members of the subcommittee:

Thank you for the opportunity to submit testimony for the record in support of the fiscal year 2016 funding requests of the Government Publishing Office (GPO) and the Library of Congress (LC). We congratulate Chairwoman Capito on her selection as chair of the Legislative Branch Subcommittee and Ranking Member Schatz on his selection as ranking member. We appreciate the supportive comments both of you made during the March 17 hearing on the Library of Congress.

The American Association of Law Libraries (AALL), the Association of Academic Health Sciences Libraries (AAHSL), the Medical Library Association (MLA), and the Special Libraries Association (SLA) represent more than 18,000 librarians and information specialists in the United States and around the world. We serve researchers, students, professionals, businesses, and members of the public with their information needs. Our members rely on GPO for permanent public access to official, authentic Government information and on LC for access to unique collections and authoritative resources. GPO and LC also provide leadership on many critical information policy issues, such as authentication, digitization, and preservation. Therefore, advocating for adequate funding for these agencies is a high priority for our associations.

GOVERNMENT PUBLISHING OFFICE

Access to Government information is the bedrock of a strong democracy. For more than 150 years, GPO has "kept America informed" by providing access to official, authentic Government information. Today, GPO provides cost-effective access to Government information from all three branches in tangible and electronic formats primarily through the 200-year-old Federal Depository Library Program (FDLP) and FDsys.

We are pleased that Congress recognized GPO's place in the twenty-first century by approving a name change for the agency in the *Consolidated and Continuing Appropriations Act of Fiscal Year 2015,* Public Law 113–235. The new name, which changed GPO from the Government Printing Office to the Government Publishing Office, reflects GPO's essential role in publishing and providing access to print and electronic information in the digital age.

Our associations strongly support GPO's request of $120 million, essentially a flat funding request. We urge the subcommittee to fully fund each account within the request, including Congressional Publishing, Public Information Programs of the Superintendent of Documents, and the Revolving Fund.

Our associations support GPO's request of $79,736,000 for the Congressional Publishing account. Legislative information—the daily and bound *Congressional Record,* congressional bills, full committee hearings, reports, prints and documents, as well as other materials—is among the most highly used Government material. While our members value the ability to access many of these materials electronically through FDsys, they continue to rely on print distribution of congressional and other materials to depository libraries. In part, this is because not all collections on FDsys are complete; for example, GPO recently conducted a study that revealed that thirty percent of distributed hearings are not available on FDsys. In addition, many users, including members of the public, law students, and faculty, still prefer to use the

print. Therefore, it is essential that GPO continue to produce some materials in tangible form.

We also urge you to approve the requested $30,500,000 for the Public Information Programs of the Superintendent of Documents, which supports cataloging, indexing, and distribution of Federal publications to depository libraries. As indicated in the Superintendent of Documents' National Plan for the Future of the FDLP, support for a strong cataloguing and indexing program is essential to ensuring continued discovery and access to Government information.

For more than 200 years, the FDLP has provided geographically convenient access to Government information through a network of libraries around the country. Today, your constituents have access to congressional and other important Government publications and information products through the FDLP, with the assistance of trained librarians. The FDLP is undergoing a transformation to an increasingly electronic program. A key component of the National Plan is the Federal Information Preservation Network, which we believe will ensure continued access to Government information, now and for future generations.

Our associations also support GPO's request of $9,764,000 for the Revolving Fund. Particularly important to our associations is funding for the next generation of FDsys. FDsys launched in 2009 as the source for no-fee access to official, authentic Government information and today includes more than one million individual titles from all three branches of Government. Members of our associations contributed to the development of the first generation of FDsys. For example, AALL members suggested the "search by citation" feature, which was implemented by GPO. It is very important that GPO has adequate funding to increase FDsys content, improve search functionality, and pursue certification as a Trustworthy Digital Repository.

LIBRARY OF CONGRESS

For 215 years, the Library of Congress has been dedicated to its mission to support the Congress in fulfilling its constitutional duties and to further the progress of knowledge and creativity for the benefit of the American people. LC has the unique role of acquiring, cataloguing, preserving, and making accessible a vast array of books, recordings, photographs, maps, and manuscripts.

The Law Library of Congress is the world's largest law library, with a collection of nearly three million volumes spanning the ages and covering virtually every jurisdiction in the world. The Law Library is a world leader in providing access to reliable 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 Law Classification and the hiring of dedicated staff to complete this work. Additional staff will allow the Law Library to complete this challenging work in a timely manner and improve the discoverability and accessibility of these materials.

We also support the Library's $4,814,000 request for its National Collection Stewardship Program to protect its collections by expanding storage on its Capitol Hill campus through the installation of compact shelving and the lease of interim collections storage space until construction of Fort Meade modules, including Module 5, is complete. The Library's one-of-a-kind collection must be protected.

As information is increasingly produced, acquired and preserved electronically, the Library faces monumental challenges in its quest to provide access to knowledge. Therefore, we support the Library's decision to hire a Chief Information Officer (CIO) and Deputy CIO. We believe the CIO and Deputy CIO will help the Library update its infrastructure and better respond to the growing needs of the institution.

We commend LC and GPO for working together, along with the National Archives and Records Administration, to form the Federal Web Archiving Working Group. Preserving born-digital Government information and making it accessible will benefit librarians, researchers, historians, and all Americans. Without this collaboration, publicly available born digital materials are at risk of being lost forever.

CONCLUSION

GPO and LC play a critical role in ensuring permanent public access to Government information in all formats and preserving our cultural heritage. GPO and LC ensure that the American people have continued access to the information that supports a strong democracy.

AALL, AAHSL, MLA, and SLA respectfully urge you to fully fund the appropriations requests of the Government Publishing Office and the Library of Congress.

Sincerely,

HOLLY M. RICCIO,
President,
American Association of Law Libraries.

ABOUT THE ASSOCIATIONS

AALL.—The American Association of Law Libraries (AALL) was founded in 1906 to promote law libraries' value to the legal and public communities, foster the law librarianship profession, and provide leadership in the legal information field. With nearly 5,000 members, AALL represents law librarians and related professionals who are affiliated with law firms; law schools; corporate legal departments; courts; and local, state, and Federal Government agencies.

AAHSL.—The Association of Academic Health Sciences Libraries (AAHSL) supports academic health sciences libraries and directors in advancing the patient care, research, education and community service missions of academic health centers through visionary executive leadership and expertise in health information, scholarly communication, and knowledge management. AAHSL membership is composed of 166 academic health sciences libraries whose medical schools hold member or associate member status in the Association of American Medical Colleges.

MLA.—The Medical Library Association (MLA) is a nonprofit, educational organization with 3,700 health sciences information professional and institutional members worldwide. Founded in 1898, MLA provides lifelong educational opportunities, supports a knowledgebase of health information research, and works with a global network of partners to promote the importance of quality information for improved health to the healthcare community and the public.

SLA.—The Special Libraries Association (SLA) is a nonprofit global organization for innovative information professionals and their strategic partners. SLA serves about 8,000 members in 75 countries in the information profession, including corporate, academic, and Government information specialists. SLA promotes and strengthens its members through learning, advocacy, and networking initiatives.

PREPARED STATEMENT OF THE CONGRESSIONAL DATA COALITION

Dear Chairman Capito, Ranking Member Schatz, and Senators Kirk, Moran, and Murphy:

Thank you for the opportunity to submit testimony on legislative branch funding priorities for fiscal year 2016. Our recommendations focus on improving efficiency within and transparency concerning offices and agencies of the legislative branch, with an emphasis on better use of information technology.

ABOUT US

The Congressional Data Coalition is a coalition of citizens, public interest groups, 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 SENATE ACTIVITIES

We commend the United States Senate for its recent commitment to publish bill status and summary information—soon to be joined by legislative text—online and in a structured data format. We also appreciate the quarterly public meetings hosted by the invaluable Bulk Data Task Force, of which delegates from the Senate often participate. We remain hopeful that progress will be made on the Joint Committee on Printing's directive to digitize volumes of the Congressional Record from 1873 to 1998.

SUMMARY OF REQUESTS

—Extend and broaden the Bulk Data Task Force
—Publish the Congressional Record in XML and eliminate electronic publication gaps
—Publish a complete and auditable archive of bill text, in a structured electronic format

[1] For more information, visit http://congressionaldata.org/.

—Instantiate a Senate-wide committee record publishing system
—Publish a contemporaneous list of widely-distributed CRS reports that contains the report name, publication/revision/withdrawal date, and report ID number
—Release widely-distributed CRS reports to the public
—Publish Bioguide in XML with a change log
—Publish the Constitution Annotated in a machine-readable format
—Publish Senate office and support agency reports online
—Publish Senate Expenditure Reports in a machine-readable format

EXTEND AND BROADEN THE BULK DATA TASK FORCE

One of the greatest successes of the efforts to modernize legislative information was the creation of the Bulk Data Task Force,[2] the recommendations of which led to the online publication of bill summaries and text in a structured data format and the commitment to add bill status information this year, 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 hope the Senate will deepen its participation as it continues to send delegates from its Senate and legislative support offices to participate in deliberations.

We urge the subcommittee 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.[3] 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.

CONGRESSIONAL RECORD 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 less versatile PDFs. In addition, the Congressional Record is available online only from 1994 forward and prior to 1873. The Joint Committee on Printing authorized GPO to fill in the 100-plus-year gap in 2011,[4] although it is unclear whether online publication would be as structured data or in a less flexible format (such as PDF).

While there had been efforts by the public to scrape the version of the Congressional Record on the old THOMAS.gov,[5] the results were incomplete and the same scrapable information no longer exists on Congress.gov. Moreover, there is no substitute for official publication in a structured data format like XML. We urge the committee to inquire into GPO's efforts to fill the online publication gap and to require future publication of the Congressional Record in XML.[6]

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) that it does not make available to the public at all (i.e., in 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.

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[2] House Report 112–511, available at http://www.gpo.gov/fdsys/pkg/CRPT-112hrpt511/pdf/CRPT-112hrpt511.pdf.

[3] See http://xml.house.gov/.

[4] See http://www.scribd.com/doc/48672433/Constitution-Annotated-Congressional-Record-and-Statutes-at-Large.

[5] https://sunlightfoundation.com/blog/2014/02/20/sample-the-new-a-la-carte-congressional-record-parser/.

[6] 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.

INSTANTIATE A SENATE-WIDE COMMITTEE RECORD PUBLISHING SYSTEM

Committee documents are vital records of congressional activity, but they often are hard to find or search, and are subject to removal from a committee website when leadership turns over or Web sites are updated. We urge the Senate to institute a chamber-wide committee publishing system that serves as a comprehensive repository across committees and congresses.

To address this problem, the House of Representatives created Docs.house.gov, which "provides access to committee documents and text of legislation being considered in committee . . ." dating back to the 112th Congress in XML formats where available. It includes meeting notices, witness lists, witness and member statements, legislative and amendment text, and more. The Clerk of the House administers the site to ensure it is viewed as nonpartisan. Docs.house.gov guarantees that public access to committee records is maintained even as leadership changes and committee websites are updated. We urge the Senate to provide the same level of access to its committee documents.

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. However, unlike its sister legislative branch agencies, CRS reports are not released to the public by CRS even though CRS routinely shares them with the media upon request and with officials in the executive branches. In addition, public access often is through third parties that routinely charge a fee for access. We believe all Americans should have an equal opportunity to be educated about important legislative issues—including knowing which reports have recently been released and having free access to them.

We request the subcommittee require CRS to contemporaneously publish online a list 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 Senators if they see a report they are interested in upon its publication or revision. CRS already provides an annual report to the Committee, published on CRS's Web site, which lists the total number of reports issued or updated. In fiscal year 2012, for example, 534 new reports were prepared and 2,702 reports were updated.[7] This accounting should be expanded to include an index of the reports and be updated on a daily basis in a machine-readable format.

We further request the public be provided direct online access to the recent Congressional Research Service reports, which we have discussed in prior testimony to the Committee.[8]

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. Since at least 2007, the underlying data structures for Bioguide data have been provided by the House at its XML Web site. Unfortunately for those who wish to programmatically make use of the information, the Web site's data is published only in HTML. In addition, the Bioguide Web site 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 Web site. We recommend Bioguide information be published in XML. In addition, a change log for the Bioguide Web site 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

[7] Annual Report of the Congressional Research Service of the Library of Congress for Fiscal Year 2012, p. 2, available at http://www.loc.gov/crsinfo/about/crs12_annrpt.pdf.

[8] See Comments of the Sunlight Foundation, May 24, 2013, available at https://s3.amazonaws.com/assets.sunlightfoundation.com/policy/testimony/Sunlight%20Foundation%20Leg%20Branch%20Approps%20Testimony%202013-05-24.pdf.

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.[9] 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. This issue is ripe for resolution. At a minimum, publication of either the XML source or the HTML pages would address many of our concerns.

SENATE OFFICE AND SUPPORT AGENCY REPORTS

The legislative offices and agencies that support the work of the United States Senate 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 routinely publish their reports online, others do not, or do not do so in a timely fashion. We urge that the subcommittee 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.

SEMI-ANNUAL SENATE REPORT ON RECEIPTS AND EXPENDITURES

The semi-annual Senate report on Receipts and Expenditures contain all spending by the U.S. Senate and are currently published online as a PDF. They should be published as data files, such as CSV, to allow for the public to easily analyze the information. The online publication that started in 2011 was a significant step forward, but the data should be available in a more flexible format.

We appreciate your attention to these issues.

Sincerely yours,

Congressional Data Coalition	GovTrack.us
Data Transparency Coalition	OpenTheGovernment.org
Demand Progress	R Street Institute
Free Government Information	Sunlight Foundation

[This statement was submitted by Daniel Schuman, Demand Progress Policy Director.]

PREPARED STATEMENT OF THE LIBRARY OF CONGRESS PROFESSIONAL GUILD, AFSCME LOCAL 2910

Chairwoman Capito, Ranking Member Schatz, and members of the subcommittee:

Thank you for providing us with this opportunity to comment on the fiscal year 2016 budget request for the Library of Congress submitted by the Librarian, Dr. James H. Billington. Our organization—the Library of Congress Professional Guild, AFSCME Local 2910—represents over 1250 professional employees throughout the Library of Congress including Library Services, the Copyright Office, the Law Library, Information Technology Services and the Office of Strategic Initiatives, and all of the Library's Support Operations.

The American economy is a knowledge-based economy which demands high levels of education and innovation. The ability to leverage the intellectual capital in our society is becoming as important as the utilization of our natural resources or the production of commodities. Advances in medicine, science, energy, literature and the arts, telecommunications and information technology are being transformed into economic prosperity for our Nation.

The Library of Congress has a pivotal role to play in this unfolding drama. We thank you for your support of the Library's programs in fiscal year 2015 and we urge you to support the Librarian's current budget request of $666.6 million.

Staffing.—Sequestration and flat funding in recent years have taken a toll. It can be debated whether the Library is experiencing a "retirement tsunami." But one thing is certain—talented, seasoned Library veterans are leaving the workforce at an alarming rate, taking with them their institutional knowledge and often a lifetime of experience. This exodus of career employees poses a growing threat which is undermining the Library's ability to fulfill its' mission.

Hiring staff to fill critical vacancies is imperative to stem the erosion of the Library's mission-critical functions. As statistical information the Guild recently compiled shows, two of the Library's core functions have suffered crippling shortages.

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[9] See http://www.scribd.com/doc/48672433/Constitution-Annotated-Congressional-Record-and-Statutes-at-Large.

In 2004 there were 506 staff members in the Acquisitions and Bibliographic Access (ABA) unit of Library Services. Ten years later—in 2014—these cataloging and acquisition librarians saw their numbers reduced to 238, a roughly 50 percent decrease. Similarly, reference services in the Library's Collections Services (CS) unit were supported by 313 staff members in 2004. But by 2014 their numbers were reduced to 238, almost a 25 percent reduction in the staff who directly serve our users. Congressional support is essential if the Library is to sustain its' staff many of whom have highly specialized subject matter and foreign language expertise.

I am pleased to report to the subcommittee one small, but important initiative at the Library, a 1 year Phased Retirement Pilot program that was negotiated with the Library's three unions.

On August 8, 2014 the Office of Personnel Management (OPM) published the final rules for its' phased retirement program and, soon thereafter, the Library proposed the establishment of a Phased Retirement Pilot. Although the Library's pilot is a modest one, we are pleased to note that it is the first one implemented in the Federal Government; we hope it will assist the Library with the transfer of knowledge from veteran staff to the next generation of employees.

Stewardship.—The Library of Congress is well-known for having the largest and most comprehensive collection of intellectual and cultural materials in the world. But where is it going to house all of these collections? Even digital resources must be housed.

Members of the subcommittee may have heard stories of the hundreds of thousands of books on the floor or on book trucks in the Jefferson and Adams buildings. It may be hard for subcommittee members to visualize, but this overcrowding of the stacks also creates and magnifies the fire safety and life safety hazards present in those book stacks, putting the collections at greater risk as well as the employees who work in the stacks.

Our book stacks are housed on a metal grid of flooring that is very old. Unlike the regular floors in these historic buildings, the stacks provide no good barriers to the spread of fire and smoke. An old book conveyor system cuts through the floors making a path for the spread of fire. In addition, the weight of all of these books is nearing the peak load sustainable by the metal grid of flooring. These areas have no protected exit path for staff and some even lack fire doors.

As far back as 2000–2001, the Office of Compliance cited the Library and the Architect of the Capitol for these life safety and fire safety hazards and while some corrections have been made, overloading the stacks and piling books on the floor makes conditions worse. At least, the overcrowding can be alleviated with funds for offsite storage. And please support the Architect's request for funding to build protected exits for the Adams and Jefferson buildings.

Like Gutenberg's printing press seven centuries ago, advances in information technology have triggered another information revolution that affects every part of American society. Just like traditional print materials, acquiring, maintaining, providing access and preserving digital materials and digital collections present unique problems and challenges. For the past 30 years, the Library's programs to collect and manage digital materials in its special collections have been based in different Library units without an adequate central location to provide coordination and communication, but with your support that is about to change.

The Guild seeks your support for the Library's request for funding to establish and staff a Digital Collections Center. The Library's collection of digital materials doubles in size every few years and this rapid growth shows no sign of abating in the years to come. Both for the Library itself and the wider American and world library community, there needs to be a centralized platform for managing the vast array of digital materials that the Library collects.

The National Library Service for the Blind and Physically Handicapped.—The National Library Service for the Blind and Physically Handicapped (NLS) administers a free library service to U.S. citizens who, due to organic dysfunction, are unable to read conventionally printed materials. This includes persons with blindness, low vision, macular degeneration, as well as those with physical disabilities, such as Parkinson's Disease, Muscular Dystrophy, Cerebral Palsy, spinal cord injuries—in other words, anyone with a condition that inhibits the handling of printed material. NLS administers this national library system for persons with print disabilities and supplies audio and braille books, magazines, and music-instructional materials via a network of libraries that includes 55 regional, 39 sub-regional libraries and 14 advisory and outreach centers serving over 500,000 patrons. Books and magazines are available in accessible audio and braille formats; books are sent on flash memory cartridges to patrons or can be downloaded directly from the BARD Web site and

a free digital player is provided for audio titles. Over 23 million books and magazines are circulated annually by NLS.

Due to the rapid changes in accessible technologies and improvements in delivery mechanisms, access to materials by the print disabled community is improving. To that end, the Guild supported the staff of NLS by advocating for the Marrakesh Treaty to Facilitate Access to Published Works for Persons Who Are Blind, Visually Impaired or Otherwise Print Disabled. 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 for many persons with disabilities across the United States.

The U.S. Copyright Office.—The creativity of authors in the United States is available everywhere one looks—in ebooks and print, in songs on streaming Internet radio, in motion pictures, and in smartphone apps hidden in our pockets. It is no understatement to say that American creativity brings cultural and economic riches.

As the agency administering Copyright Law, the U. S. Copyright Office plays a critical role in the life of our Nation. Today, elected officials, academics, and others are examining how the Copyright Office can better serve the public; strengthen its technology infrastructure, and broaden its external mission. Such a review is important and long overdue. Behind this big picture, we wish to highlight the Copyright Office's Registration Program, whose employees work directly with small authors and the large copyright industry.

Copyright owners rely on registration because the Copyright Office uses it to establish a public record of copyright ownership. These public records represent a stable foundation of copyright facts that enable parties to resolve problems without litigation. Of the 476,000 copyright claims that were registered by the Office in 2014, less than 1 percent ended up in U.S. Federal court. The copyright registration system hums because of 79 registration specialists and 7 problem resolution specialists. These individuals are the unflagging engine of the Copyright Office.

Unfortunately, the number of registration staff has diminished substantially over the last 4 years (there were 130 registration specialists in 2010). For this reason, the Guild strongly supports the budget request for increased funding to the Copyright Office. The addition of 20 Registration Specialists comes at a critical time; work-on-hand is increasing and the electronic system remains inadequate and unfinished.

The Guild also supports the Library's request to add 5 full-time equivalents (FTEs) in Recordation to direct the business process reengineering in that area. The office must continue its transition from a labor-intensive paper process to an effective electronic one.

Office of Inclusiveness, Opportunity and Compliance.—Resources for the Library's Office of Inclusiveness, Opportunity and Compliance (OIC) are at its lowest ebb. OIC implements the Library's Equal Employment Opportunity Program. It is responsible for the internal resolution of complaints and charges of discrimination and for assisting managers, supervisors, and employees with the resolution of other workplace disputes through mediation. The Office is a resource for identifying effective accommodations under the Americans with Disabilities Act and it provides interpreting services for deaf and hard of hearing employees and members of the public. It provides training and analysis on diversity issues. But insufficient staffing and stature within the Library has resulted in significant delays in mediation services, providing effective accommodations, and discrimination complaint processing.

Information Technology.—This past year the Government Accountability Office (GAO) has been at the Library studying the Library's technology infrastructure. And on January 23, 2015 Dr. Billington announced that the Library will be conducting a national search for a Chief Information Officer and a Deputy Chief Information Officer. The forthcoming GAO report and the selection of a CIO is big news.

We assure the members of the subcommittee that whatever recommendations or changes may be implemented as a result of these initiatives, they can depend upon the IT specialists at the Library of Congress to move forward with dedication, expertise and skill. While there is an air of uncertainty about the future of the Library's IT management structure, we know that the employees who provide direct, in-house technology services and digital planning will be there for us on the front lines, thinking forward to the next challenge.

In conclusion, thank you for your continuing support for the programs and staff of The Library of Congress.

SAUL SCHNIDERMAN,
President,
Library of Congress Professional Guild, AFSCME Local 2910.

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