Census Bureau Overview Briefing with the Agency Review Team  
December 6, 2016

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Economics and Statistics Administration (ESA)
Bureau of the Census

Mission

To serve as the leading source of quality data about the nation’s people and economy. We honor privacy, protect confidentiality, share our expertise globally, and conduct our work openly. We are guided on this mission by scientific objectivity, our strong and capable workforce, our devotion to research-based innovation, and our abiding commitment to our customers.

In close collaboration with the Economics and Statistics Administration (ESA) and the Bureau of Economic Analysis (BEA), we developed a strategy to ensure the continuous improvement of the quality, scope, and timeliness of economic statistics. One result of which is the Economic Statistics Board, a leadership forum designed to enhance our collaboration and sharing with BEA. Additionally, the Department’s Data lead, the Under Secretary for Economic Affairs, convenes a regular meeting to ensure the Department’s data efforts are synchronized and coordinated across the data-centered bureaus. As one of the Department’s primary data producers, we play a significant role and coordinate fully to help the Department achieve its strategic goal “to maximize the positive impacts of Commerce data on society.” Together our economic data helps to make the United States the world leader in economic information.

Locations and Workforce Demographic Trends

Overall Workforce: 14,264 federal employees¹
Headquarters: Suitland, MD (4,574 federal employees)
Regional Offices: Atlanta, GA (1,669 federal employees); Chicago, IL (1,259 federal employees); Denver, CO (1,545 federal employees); Los Angeles, CA (1,242 federal employees); New York, NY (1,149 federal employees); Philadelphia, PA (763 federal employees); National Processing Center/Telephone Centers: Jeffersonville, IN (1,514 federal employees); Tucson, AZ (375 federal employees); Hagerstown, MD (174 federal employees)

Historical Total Staffing Levels (Positions)

<table>
<thead>
<tr>
<th></th>
<th>FY 2013 Actual</th>
<th>FY 2014 Actual</th>
<th>FY 2015 Actual</th>
<th>FY 2016 Budget</th>
<th>FY 2017 President’s Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>7,905</td>
<td>8,027</td>
<td>6,592</td>
<td>7,995</td>
<td>8,413</td>
</tr>
</tbody>
</table>

Budget Trend - Appropriations ($ in Millions)

<table>
<thead>
<tr>
<th></th>
<th>FY 2013 Actual</th>
<th>FY 2014 Actual</th>
<th>FY 2015 Actual</th>
<th>FY 2016 Budget</th>
<th>FY 2017 President’s Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$841.6</td>
<td>$945.0</td>
<td>$1,088.0</td>
<td>$1,370.0</td>
<td>$1,633.6</td>
</tr>
</tbody>
</table>

¹ Includes workforce supporting Working Capital Fund and reimbursable activities

Census-1
Principal Responsibilities

Decennial Programs (2016 Budget $916.8 million)
The Decennial Census Directorate is comprised of three programs: the 2020 Census, the American Community Survey (ACS), and Geographic Support. These are supported by additional offices for Statistical Studies, IT, Administration, Program Management, and Communications, as well as the separate Decennial Translation and Census Redistricting and Voting Rights Data offices. The 2020 Census (every decade) and ACS (ongoing), together with their supporting programs, comprise the demographic and geographic data framework that underpins virtually all business and governmental decision-making in the United States.

Economic Programs (2016 Budget $286.6 million)
The Economic Programs Directorate oversees the statistical programs that count and profile US businesses and government organizations. It is responsible for economic and government censuses taken every five years; more than 60 separate surveys taken monthly, quarterly, and annually, including 12 principal federal economic indicators; merchandise export and import statistics produced monthly; extensive compilations of administrative records; and numerous special research and technical studies. The economic surveys conducted span 19 of the 20 industry sectors and cover approximately 97% of GDP. Examples of industry sectors that are surveyed by the Economic Programs Directorate include utilities, manufacturing, retail trade, finance and insurance, health care and social assistance, and accommodation and food services. However, the Census Bureau does not conduct the Agriculture, Forestry, Fishing, and Hunting survey, which is conducted by the United States Department of Agriculture. Of the survey work conducted by the Economic Programs Directorate, $47.3 million was planned for federal and non-federal organizations through the Census Bureau's reimbursable program in FY 2016. The directorate spans seven divisions and four smaller offices primarily located at Headquarters.

Demographic Programs (2016 Budget $80.0 million)
The Demographic Programs Directorate develops and manages over 30 demographic surveys (monthly, quarterly, and annually) from which data are used to create official US measures of employment, unemployment, poverty and widely used measures of crime, housing, education, income and health insurance coverage. Of the survey work conducted by the Demographic Directorate, $235.6 million was planned for federal and non-federal organizations through the Census Bureau’s reimbursable program in FY 2016. International Programs works with developing countries through funding provided by USAID, to help countries produce and disseminate quality statistics. The directorate is the source of significant insight for decision-makers on topics such as immigration, families and children, and participation of individuals and households in federal, state, and local assistance programs. The directorate houses the Bureau’s

2 Leading economic indicators: 1) construction put in place; 2) new residential construction; 3) new residential sales; 4) monthly wholesale trade; 5) advance monthly sales for retail and food services; 6) manufacturing and trade inventories and sales; 7) manufacturers’ shipments, inventories, and orders; 8) advance report on durable goods, manufacturers’ shipments, inventories and orders; 9) Advance US International Trade in Goods; 10) Advance Monthly Retail Inventories; 11) Advance Monthly Wholesale Inventories; and 12) US international trade in goods and services (with the Bureau of Economic Analysis). Additionally, Census releases quarterly certain principal economic indicators: Quarterly Financial Report—Manufacturing, Mining and Wholesale Trade; Quarterly Financial Report—Retail Trade; and Quarterly Estimates for Selected Service Industries.
subject matter experts on topics such as race and ethnicity, income and poverty, and families. It also provides updated estimates of the US population for the nation, states, counties, and cities as well as basic demographic characteristics, in the years between the decennial censuses.

**Research and Methodology**

(2016 Budget $52.3 million funded by other Census directorates and direct appropriation)

The Research and Methodology Directorate performs research into innovative methods and products and establishes and refines methodologies that lead to new products and processes. The directorate explores ways that the Census Bureau can collect, process and disseminate data more efficiently, while still providing high-quality statistical results and fully meeting our legal and ethical obligation to protect respondents’ confidentiality. The directorate’s research areas include adaptive design, disclosure avoidance, survey management, statistical research and methodology, big data research and applications, longitudinal data and economic studies. The Center for Economic Studies administers the Federal Statistical Research Data Center (FSRDC) program. With 24 locations, an FSRDC is a secure facility providing authorized access for researchers to restricted-use microdata for statistical purposes. Additionally, the Center for Administrative Records Research and Applications (CARRA) is responsible for acquiring, ingesting, and linking administrative records used by the Census Bureau. CARRA uses probabilistic matching to link these data across systems and over time, in order to reduce respondent burden and create new statistics. In FY 2016, these data were used in support of 11 major surveys, 10 formal joint projects with other institutions, and a new initiative to make the linked data infrastructure available for program evaluation and policy analysis.

**Information Technology**

(2016 Budget $310.5 million funded by other Census directorates and direct appropriation)

The Information Technology Directorate delivers innovative, responsive and trusted IT services and capabilities for over 200 program-specific and Enterprise applications. Its employees are located primarily at headquarters and the data center located in Bowie, MD. Current priorities include 2020 IT readiness, cybersecurity, virtual desktop infrastructure, IT service delivery via shared services, operational stability and continuous performance improvement, systems engineering and integration, Cloud computing, and mobile computing. The directorate provides continuing support for the Census Enterprise Data Collection and Processing (CEDCaP) Program, a major transformation initiative that aims to create an enterprise-wide approach to data collection and processing. CEDCaP will develop a suite of systems and supporting infrastructure to handle data collection and processing for the surveys and censuses within the Census Bureau. CEDCaP is critical to the conduct of the 2020 Census and supports the following capabilities: internet and mobile data collection; integrated data capture and entry; address listing and mapping; questionnaire design and metadata; survey (and listing) interview operational control; centralized operational analysis and control; dashboard for monitoring; centralized development and testing environment; service oriented architecture; electronic correspondence portal; and survey response processing. For more information on the relationship between CEDCaP and the 2020 Census, please refer to the 2020 Census policy paper.

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3 The Research and Methodology and Information Technology Directorates are funded by overhead contributions from the Census Bureau’s appropriated programs, including the Decennial, Demographic, and Economic Programs. As such, the budget estimates for those programs are not additive.

4 Ibid.
Strategic Partnerships, Key Stakeholders, and Interagency Groups

The Census Bureau's robust data collection and acquisition infrastructure is integral to the operation of the Federal Statistical System (led by OMB's Office of Information and Regulatory Affairs); members include the Bureau of Labor Statistics, Bureau of Justice Statistics, National Center for Education Statistics, and others. For example, the Census Bureau provides 66% of the data that the Bureau of Economic Analysis (BEA) uses to generate its flagship statistic, GDP. We know that our customers want, and will benefit from, data that is more timely and in greater detail regarding region and industry. These data provide an important foundation in this data-driven age, and many of our customers leverage the data directly while many others use the data through third-party providers. Additionally, the Census Bureau is working with the Commerce Data Service to explore the feasibility of using big data tools within the architecture of the Center for Enterprise Dissemination Services and Consumer Innovations platform (CEDSCI).

The Census Bureau works closely with the oversight bodies that monitor major programs' execution. These include Congress, the Government Accountability Office, the Office of the Inspector General, and the Office of Management and Budget. The bureau also maintains strategic partnerships with our data users—both federal (Congress and other agencies) and non-federal (businesses; non-profit organizations; state, local, and tribal government agencies; researchers; and the general public)—to ensure that the data products we release meet their needs in terms of timeliness, format, and granularity. Finally, the agency seeks advice from the Census Advisory Committees and other experts on methodology, population and demography issues, technical issues, and others.

Any Potential Congressional or Media Issues (first 100 days from 1/20/17)

- The House Oversight and Government Reform Committee continues to be interested in the Census Bureau's readiness for the 2020 Census, particularly Census IT security and infrastructure.
- The Department of Commerce Office of Inspector General and the Government Accountability Office are conducting audits on an ongoing basis of various 2020 Census tests and programs. Release dates for, and possible congressional testimony on, these audits have not been determined.
- Every decade, the Census Bureau undertakes a review of the decennial residence criteria and residence situations to ensure that the concept of usual residence is interpreted and applied in the decennial census as intended and that these interpretations are consistent with the intent of the law. The final criteria are to be released late 2016 and will receive interest from Congress and the public.

Awaiting Decisions (first 100 days from 1/20/17)

The final topics for the 2020 Census and ACS must be submitted to Congress by the statutory deadline of March 31, 2017. Final questions are due to Congress one year later. Both submissions are expected to generate a high level of public and Congressional interest.
Quick Wins (first 100 days from 1/20/17)

- Securing legislation that allows the Census Bureau to access the National Directory of New Hires (NDNH) data for the 2020 Census. The NDNH file would help strengthen Census' use of administrative records to enumerate non-responding housing units by corroborating other federal data and provide a source of timely information.

- The impressive ramp-up of talent required for a successful decennial census is enabled by innovative hiring authorities and workforce flexibilities. In FY 2016 and FY 2017, through the President's Management Agenda Smarter IT Delivery Initiative, we received the ability to directly hire digital services employees to support the 2020 Census. Extension of this authority through the end of the decennial cycle would help us continue to reach the right talent expeditiously. We are also seeking waivers for workforce flexibilities including waivers for extended term employment, dual federal employment, and to refrain from reducing federal benefits like the Supplemental Nutrition Assistance Program (SNAP) and Temporary Assistance for Needy Families program (TANF) for temporary employees among others. These flexibilities will enable us to recruit and retain the workforce we need in headquarters and the field to conduct a successful 2020 Census.

Points of Contact

<table>
<thead>
<tr>
<th>Name</th>
<th>Nancy Potok</th>
<th>Robin Bachman</th>
</tr>
</thead>
<tbody>
<tr>
<td>Title</td>
<td>Deputy Director and Chief Operating Officer</td>
<td>Chief, Policy Coordination Office</td>
</tr>
<tr>
<td>Email</td>
<td><a href="mailto:nancy.a.potok@census.gov">nancy.a.potok@census.gov</a></td>
<td><a href="mailto:robin.j.bachman@census.gov">robin.j.bachman@census.gov</a></td>
</tr>
<tr>
<td>Phone</td>
<td>301-763-2138</td>
<td>301-763-1302/6440</td>
</tr>
</tbody>
</table>
Budget Overview

The FY 2017 Department of Commerce (DOC) Budgetary Resources are $13.2 B.

There are two major parts to the total budget:

1. Amount appropriated in the 2016 Commerce, Justice, Science, and Related Agencies Appropriations Act, which total $9.7 B in our FY 2017 request;
2. On top of that, another $3.5 B is composed of United States Patent & Trademark Office (USPTO) spending authority ($3.3 B) and National Technical Information Service (NTIS) spending authority ($0.2 B).

<table>
<thead>
<tr>
<th></th>
<th>FY16 (Enacted)</th>
<th>FY 2017 PB</th>
</tr>
</thead>
<tbody>
<tr>
<td>Appropriated by Congress</td>
<td>$9.2 B</td>
<td>$9.7 B</td>
</tr>
<tr>
<td>USPTO Spending Authority</td>
<td>$3.1 B</td>
<td>$3.3 B</td>
</tr>
<tr>
<td>NTIS Spending Authority</td>
<td>$0.2 B</td>
<td>$0.2 B</td>
</tr>
<tr>
<td><strong>Total Budgetary Resources</strong></td>
<td><strong>$12.5 B</strong></td>
<td><strong>$13.2 B</strong></td>
</tr>
<tr>
<td><strong>Total Workforce</strong></td>
<td>40,071</td>
<td>41,113</td>
</tr>
</tbody>
</table>

Total Budgetary Resources and Workforce Breakdown by Bureau

<table>
<thead>
<tr>
<th>Department of Commerce (DOC) Bureaus</th>
<th>FY 2016 (Enacted)</th>
<th>FY 2017 PB</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>SM</td>
<td>Positions</td>
</tr>
<tr>
<td>Departmental Management</td>
<td>77.1</td>
<td>202</td>
</tr>
<tr>
<td>Office of the Inspector General</td>
<td>32.0</td>
<td>177</td>
</tr>
<tr>
<td>Economic Development Administration</td>
<td>261.0</td>
<td>198</td>
</tr>
<tr>
<td>Bureau of the Census</td>
<td>1,370.0</td>
<td>7,995</td>
</tr>
<tr>
<td>Economics and Statistics Administration</td>
<td>109.9</td>
<td>520</td>
</tr>
<tr>
<td>International Trade Administration</td>
<td>483.0</td>
<td>1,924</td>
</tr>
<tr>
<td>Bureau of Industry and Security</td>
<td>112.5</td>
<td>433</td>
</tr>
<tr>
<td>Minority Business Development Agency</td>
<td>32.0</td>
<td>58</td>
</tr>
<tr>
<td>National Oceanic and Atmospheric Administration</td>
<td>5,769.7</td>
<td>12,792</td>
</tr>
<tr>
<td>U.S. Patent and Trademark Office¹</td>
<td>3,063.2</td>
<td>12,714</td>
</tr>
<tr>
<td>National Institute of Standards and Technology</td>
<td>964.0</td>
<td>2,698</td>
</tr>
<tr>
<td>National Technical Information Service¹</td>
<td>205.0</td>
<td>200</td>
</tr>
<tr>
<td>National Telecommunications and Information Administration</td>
<td>39.5</td>
<td>160</td>
</tr>
</tbody>
</table>

| **Total Budget**                   | **$12,518.0** | **40,071** | **$13,196.5** | **41,113** |

1. Discretionary Appropriation shown with exception to USPTO and NTIS. USPTO and NTIS specific funding reflects spending authority. Otherwise USPTO and NTIS would equal zero.
2. NTIS spending authority rounded up to $0.2 B in overview table.
Historical Perspective

- In FY 2009, we saw a confluence of large investments, with urgent preparations for the 2010 Decennial Census\(^1\) ($3.5 billion) occurring at the same time American Recovery and Reinvestment Act (ARRA) funds ($6.9 billion) were appropriated to DOC. The largest ARRA item for DOC was $4.7 billion for NTIA’s Broadband Technology Opportunities Program, which extended broadband access across the country.

- In FY 2010, peak operations of 2010 Decennial Census occurred, with funding of $6.4 billion\(^2\).

- FY 2011 through FY 2013 were particularly lean years, culminating in budget sequestration in FY 2013 due to the Budget Control Act of 2011. During these years, DOC prioritized its funding to support mission-critical activities, rather than applying across-the-board cuts to all programs.

- Starting in FY 2014 and continuing through today, DOC has made progress in growing its overall resources (5% average yearly growth). We have found the Administration and Congress to be receptive to tangible and targeted investments that support our “Open for Business Agenda” by promoting trade and investment, spurring innovation, gathering and acting on environmental intelligence, and fueling our data-driven economy.

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**DOC Total Budget Appropriations ($ Billions)**

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>Total Appropriation</th>
<th>Decennial Census</th>
<th>ARRA</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY07</td>
<td>6.6</td>
<td></td>
<td></td>
</tr>
<tr>
<td>FY08</td>
<td>7.6</td>
<td></td>
<td></td>
</tr>
<tr>
<td>FY09</td>
<td>3.5</td>
<td>6.9</td>
<td></td>
</tr>
<tr>
<td>FY10</td>
<td>6.8</td>
<td>13.9</td>
<td></td>
</tr>
<tr>
<td>FY11</td>
<td>7.5</td>
<td>6.6</td>
<td>4.2</td>
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<tr>
<td>FY12</td>
<td>7.6</td>
<td>7.8</td>
<td></td>
</tr>
<tr>
<td>FY13</td>
<td>7.5</td>
<td>8.2</td>
<td></td>
</tr>
<tr>
<td>FY14</td>
<td>8.2</td>
<td>8.5</td>
<td></td>
</tr>
<tr>
<td>FY15</td>
<td>9.2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>FY16</td>
<td>9.2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>FY17 PB</td>
<td>9.7</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

\(^1\) $3.5 billion = Demographic Statistical Programs ($3.7 billion) minus American Community Survey ($0.2 billion)

\(^2\) $6.4 billion = Demographic Statistical Programs ($6.7 billion) minus American Community Survey ($0.2 billion) minus P.L 111-224 Rescission ($0.1 billion)
### Commerce Resource Categories FY 2017 Total Budgetary Resources

- Pay (not including training, travel, rent, etc.) makes up 39.3% of the total budget.
- Contracts make up 25.3% of the budget.
- Research & Development (R&D) represent 13.7% of the budget.
- Daily Operations (Travel/Transportation, Rental Payments, Communications, Printing, Supplies, Equipment, Lands & Structures, Insurance Claims & Indemnities, and Investments & Dividends) account for 12.9% of the budget.
- Grants represent 8.8% of the budget.

<table>
<thead>
<tr>
<th>Category</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pay</td>
<td>39.3%</td>
</tr>
<tr>
<td>Contracts</td>
<td>25.3%</td>
</tr>
<tr>
<td>R&amp;D</td>
<td>13.7%</td>
</tr>
<tr>
<td>Daily Operations</td>
<td>12.9%</td>
</tr>
<tr>
<td>Grants</td>
<td>8.8%</td>
</tr>
</tbody>
</table>

Total = $13.2 Billion
Top 5 Bureaus as % of FY 2017 President's Budget Request (Budget Authority)

- NOAA 60%
- NIST 10%
- ITA 5%
- EDA 3%
- ALL OTHER 5%

Total = $9,746.6 Million

Top 5 Bureaus as % of FY 2017 President's Budget Request (Spending Authority)

- USPTO 25%
- CENSUS 12%
- NIST 8%
- ITA 4%
- ALL OTHER 7%

Total = $13,196.5 Million
Selected Congressional Mandates from “Commerce, Justice, Science, and Related Agencies Appropriations Act, 2016” with FY 2017 Implications

- In FY 2016 the Economic Development Administration (EDA) was provided $15 million for assistance to coal communities as part of its Power Initiative program. The funding is specifically targeted to coal communities that were negatively impacted by changes in the coal industry and power sector.

- The Census Bureau had 50% of its information technology (IT) funding (a total of $138.5 million) restricted until it provided Congress with supporting information on the enterprise IT investments requested in its FY 2016 budget. The requirement was completed and the funding released for use. This requirement also appears in the FY 2017 House Appropriations Bill.

- In FY 2016 the National Oceanic Atmospheric Administration (NOAA) was appropriated $80.1 million for a new ship to begin fleet recapitalization in 2017. The funding was made contingent upon NOAA providing Congress a fleet recapitalization plan, which was transmitted to the Hill on October 31, 2016. NOAA’s aging fleet is projected to decline from 16 to 8 ships by 2028 without further investment. We expect congressional language in FY 2017 on how to proceed.
## Commerce: Our People

<table>
<thead>
<tr>
<th>Department of Commerce Staff – By Region</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>United States and Territories</strong></td>
<td><strong>STAFF</strong></td>
<td><strong>% OF TOTAL</strong></td>
</tr>
<tr>
<td>DC Metropolitan Area (includes all of Washington, D.C and parts of Maryland (11,491), Virginia (9,598) &amp; West Virginia (3))</td>
<td>23,810</td>
<td>51.7</td>
</tr>
<tr>
<td>Outside DC area (includes all other states and parts of Maryland (473), Virginia (666) &amp; West Virginia (99))</td>
<td>21,922</td>
<td>47.6</td>
</tr>
<tr>
<td>Territories (American Samoa, Guam, North Mariana Islands &amp; Puerto Rico)²</td>
<td>128</td>
<td>0.3</td>
</tr>
<tr>
<td><strong>Total, States and Territories</strong></td>
<td><strong>45,860</strong></td>
<td><strong>99.5%</strong></td>
</tr>
<tr>
<td><strong>Other Nations</strong></td>
<td><strong>236</strong></td>
<td><strong>0.5%</strong></td>
</tr>
<tr>
<td>Europe (includes Austria, Belgium, Bulgaria, Czech Republic, Finland, France, Germany, Greece, Hungary, Italy, Poland, Portugal, Russia, Serbia, Spain, Sweden, Switzerland, Ukraine &amp; United Kingdom)</td>
<td>56</td>
<td>23.7³</td>
</tr>
<tr>
<td>Northeast Asia (includes China, Hong Kong, Japan, South Korea &amp; Taiwan)</td>
<td>54</td>
<td>22.9³</td>
</tr>
<tr>
<td>Americas (includes Argentina, Brazil, Canada, Chile, Columbia, Dominican Republic, El Salvador, Guatemala, Honduras, Mexico, Panama &amp; Peru)</td>
<td>45</td>
<td>19.1³</td>
</tr>
<tr>
<td>South Asia and Middle East (includes India, Israel, Kazakhstan, Kuwait, Pakistan, Qatar, Saudi Arabia, Turkey &amp; United Arab Emirates)</td>
<td>31</td>
<td>13.1³</td>
</tr>
<tr>
<td>Southeast Asia and Australia (includes Australia, Antarctica, Indonesia, Malaysia, Myanmar, New Zealand, Philippines, Singapore, Thailand, &amp; Vietnam)</td>
<td>30</td>
<td>12.7³</td>
</tr>
<tr>
<td>Africa (includes Algiers, Angola, Chad, Egypt, Ethiopia, Ghana, Ivory Coast, Kenya, Morocco, Mozambique, Nigeria, South Africa &amp; Tanzania)</td>
<td>20</td>
<td>8.5³</td>
</tr>
<tr>
<td><strong>Total, All Staff</strong></td>
<td><strong>46,096</strong></td>
<td><strong>100%</strong></td>
</tr>
</tbody>
</table>

1. Staff levels throughout the region based on Office of Human Resources (OHRM) reporting as of September 30, 2016
2. Employees within NOAA (70), Census (56), ITA (1) and USPTO (1).
3. Represents the percentage of Other Nations, not the percentage of the total.

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Budget Overview - 6
### Department of Commerce Staff – By State/Territory

<table>
<thead>
<tr>
<th>STATE</th>
<th>STAFF</th>
<th>% of TOTAL</th>
<th>STATE</th>
<th>STAFF</th>
<th>% of TOTAL</th>
<th>STATE</th>
<th>STAFF</th>
<th>% of TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Maryland</td>
<td>11,964</td>
<td>26.1</td>
<td>20 Oregon</td>
<td>466</td>
<td>1.0</td>
<td>38 Connecticut</td>
<td>134</td>
<td>0.3</td>
</tr>
<tr>
<td>2 Virginia</td>
<td>10,264</td>
<td>22.4</td>
<td>21 South Carolina</td>
<td>435</td>
<td>0.9</td>
<td>40 Idaho</td>
<td>132</td>
<td>0.3</td>
</tr>
<tr>
<td>3 District of Columbia</td>
<td>2,718</td>
<td>5.9</td>
<td>22 Hawaii</td>
<td>421</td>
<td>0.9</td>
<td>41 South Dakota</td>
<td>128</td>
<td>0.3</td>
</tr>
<tr>
<td>4 California</td>
<td>1,720</td>
<td>3.8</td>
<td>23 New Jersey</td>
<td>379</td>
<td>0.8</td>
<td>42 Arkansas</td>
<td>125</td>
<td>0.3</td>
</tr>
<tr>
<td>5 Indiana</td>
<td>1,687</td>
<td>3.7</td>
<td>24 Oklahoma</td>
<td>369</td>
<td>0.8</td>
<td>42 Iowa</td>
<td>125</td>
<td>0.3</td>
</tr>
<tr>
<td>6 Colorado</td>
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* Staff levels throughout the region based on Office of Human Resources (OHRM) reporting as of September 30, 2016.

### Department of Commerce Staff – By Bureau

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<th>BUREAU</th>
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<th>% OF TOTAL</th>
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TOTAL 46,096 100%

* Staff levels throughout the region based on Office of Human Resources (OHRM) reporting as of September 30, 2016.
Executive Summary

Shortfalls or delays in annual appropriations for the 2020 Census add unnecessary risk to successfully carrying out the most automated, modern and dynamic decennial census in history, one that is designed to save over $5 billion compared with repeating the paper-and-pencil approach of the 2010 Census while maintaining high quality results. In 2017, the Census Bureau must complete development, integration, and testing of all of its production systems and finalize plans for its 34 operations for the beginning of the “dry run” 2018 end-to-end Census test in the fall of 2017. The 2018 end-to-end Census test is essential to thoroughly test the performance and integration of all IT technologies and data collection methods that will be deployed in 2019 and 2020. Failure to adequately test would lead directly to cost increases and impact data quality in the 2020 Census. The Census Bureau, in consultation with the Economics and Statistics Administration (ESA) and other DOC leadership, is actively mitigating its top risks for the 2018 end-to-end Census test and 2020 Census through robust enterprise and program-level risk management. This includes systems readiness, lifecycle cost estimation, and IT security, which are some of the top concerns of the Government Accountability Office (GAO), Commerce Office of Inspector General (OIG), and the congressional oversight and appropriations committees via their intensive engagements overseeing 2020 Census preparations.

Background

Top Risk – Funding
The number one risk for conducting a successful 2020 Census is sufficient and timely funding to implement, test, and refine a complex and innovative operation consisting of 34 areas and developing, integrating, and securing a suite of systems to support and modernize the 2020 Census.

Facing the uncertainty of these levels and the need to start expending resources on the field test before knowing the final outcome of our final full-year appropriation, the Census Bureau mitigated this risk by announcing in fall 2016 it had stopped plans to test field operations in Puerto Rico and on two American Indian reservations. This allowed the Census Bureau to prioritize and preserve even more critical systems development and integration for the 2018 end-to-end Census test. Depending on future funding levels, the Census Bureau will consider adding these sites to the 2018 end-to-end Census test. Delaying these tests to 2018 will raise costs and increase operational risk for the 2018 test and the 2020 Census. At these levels, some key investment in community partnerships also will be lost for 2017, which will require even greater investments in 2018 to catch up without damaging the data quality of hard-to-count populations. Additional impacts may result depending on the final FY 2017 appropriation.

• **Key Progress.** Robust funding for the 2020 Census has been a top priority not only of the Department of Commerce and ESA but also for the White House for the past four years, and
this support must continue to grow. This progress must continue as the decennial census cycle enters the final years of the decade where the criticality of every dollar in the budget request has heightened, as the consequences of every dollar of funding shortfall grows more damaging and harder to mitigate.

Key Risk - IT Systems Readiness

Systems failure ahead of or during the 2018 end-to-end Census Test could lead to significant added costs or damaged data quality in the 2020 Census, making 2017 the most critical year in systems development. As evidenced by recent hearings and reports, Congressional and oversight (GAO and OIG) confidence is limited regarding the Census Bureau’s ability to design and build a comprehensive IT system that supports the 2020 Census. Currently, much of the disconnect stems from GAO considering decisions the Census Bureau has scheduled at various points in the future as delayed decisions. The Census Bureau has emphasized that these decisions could only be made once the Census Bureau gathered sufficient information from tests and research and engaged with vendors following award of key contracts.

- **Key Progress.** Following the decision in May 2016 to purchase a commercial off-the-shelf (COTS) platform-based solution, in tandem with several in-house solutions, to form the core of the 2020 Census IT solutions, the decision path and the program remains on schedule. With the aid of private-sector expertise, the platform will be fully integrated with other systems and rigorously tested in 2017 before being used in production for the 2018 end-to-end Census test. In addition to funding for the 2020 Census, immediate and full funding for this program, called Census Enterprise Data Collection and Processing (CEDCaP), is vital to systems readiness for the 2018 end-to-end Census test by mid-2017, which will ultimately alleviate oversight concerns over 2020 Census systems readiness.

Key risk - Cyber Security/Privacy

A breach at the Census Bureau, or any similar public institution, in or around the 2020 Census would have a chilling impact on national self-response rates, causing the cost of a complete and accurate 2020 Census to skyrocket. The OPM breach amplified the public’s concern that the government cannot protect their personal data. Trust in that ability is key to the 2020 Census design which is heavily reliant on Internet response. Additionally, security breaches could happen to the Census Bureau’s Internet data collection instrument, mobile devices used for fieldwork, and data processing and storage systems.

- **Key Progress.** IT security controls being implemented will block attempts from outside infiltration, as well as prevent negative impacts to services or data such as network disruption, technical malfunctions, and stolen or corrupted data. Information will be encrypted during transmission and at rest. The Census Bureau employs sophisticated security protocols, is covered by DHS’ Einstein, and has brought in private-sector expertise to further ensure state-of-the-art defense against cyber-attacks. There is no surefire way to avoid a breach in the United States that could impact the 2020 Census, but continued access to necessary funding and top experts in this field will be crucial to minimizing this risk.
Key risk - Use of Administrative Records

Over 25 percent of the estimated $5.2 billion in cost avoidance associated with the redesigned 2020 Census involves using existing government information to remove vacancies, or enumerate housing units after one visit if there are corroborated high quality administrative data available. For this reason, legislative outreach is required to ensure that Congress continues to support these uses of administrative data. While no one has yet proposed to limit or ban these uses for the 2020 Census, representatives of hard-to-count populations are concerned that their population group or their state/district will be undercounted if we use administrative records which are generally weak for hard-to-count populations. The Census Bureau will only use administrative records to enumerate households with corroborated data across multiple strong sources. Other constituencies are concerned about the Census Bureau’s ability to receive and protect data sets from other federal and state agencies. If the volume of concern grows, the new Administration could help by seeking an active affirmation from Congress of these usages to lock in this $1.4 billion in cost savings. Additionally, a sizable piece of anticipated cost savings depends upon gaining access to one particular data set—the National Directory of New Hires—which requires legislative action.

- Key Progress. Meetings have been held with members of Congress about legislative action regarding access to these records. Robust communications on the 2020 Census Operational Plan and other decisions and releases are maintained with the public and Congress to ensure transparency in an effort to mitigate the risk of a late pushback in this and other areas.

Relevant Internal Stakeholders
- Other Census Bureau directorates, including the Field and Information Technology
- Deputy Secretary of Commerce – 2020 Census Milestone Decision Authority, milestone review board (MRB) chair
- Undersecretary of Economic Affairs

Relevant External Stakeholders
- Oversight entities: GAO, Commerce OIG, House Oversight and Government Reform, and Senate Homeland Security and Government Affairs
- Advisory Bodies: Including Census Scientific Advisory Committee, Census Bureau National Advisory Committee on Racial, Ethnic, and Other Populations, National Academies Committee on National Statistics
- Budget Community given large cost requirements of 2020 Census and cost-savings goals
- Census Project: coalition advocating for high-quality 2020 Census and American Community Survey (ACS) data

Next Steps/Upcoming Deadlines/Timing

Hot Topic - Residence Criteria. Final criteria to be published in December 2016.

Who is counted and where they are counted is governed by the Residence Criteria, a policy the Census Bureau writes and revises each decade with extensive public input and review. The most controversial populations regarding where to count are prisoners and deployed military, both of which were counted in their current institution or base in all recent decennial censuses. After a
2015 public comment period, the Census Bureau proposed criteria in June 2016 for comment which changed the deployed military to be counted at their homes but did not propose to alter the count of prisoners. We anticipate we will have issued final Residence Criteria by late 2016. While this will be prior to the beginning of the new Administration, it will be important to have robust communication and legislative strategies to address any public or Congressional concerns.

**Hot Topic - Content of the 2020 Census.** Topics due to Congress March 31, 2017; questions due March 31, 2018.

As we prepare for the 2020 Census, we have been conducting research on several key dimensions of race and ethnicity questions and other demographic characteristics. Our current questions do not satisfy concerns from an increasingly diverse population that their population group will be accurately counted. These include middle-eastern and North-African populations, sexual orientation and gender identity, tribal enrollment, native Hawaiian and Asian populations, and Hispanic populations. Additionally, adding citizenship and legal status, which is covered on the ACS, could become a larger issue later in the decade. The Census Bureau has a rigid schedule in content finalization, forms design, and printing, which can bring about large unanticipated costs if disrupted late in the decade. Additionally, the inclusion or exclusion of various topics or their questions could be controversial with the public and with Congress. For these reasons, the Census Bureau will require ESA, DOC, and Administration support on the final topics and questions, including active communications and legislative outreach strategies.
INTRODUCTION

The U.S. Census Bureau’s 2020 Census Operational Plan documents the current design for conducting the 2020 Census. As the initial version of an emerging concept of operations, it reflects and supports evidence-based decision-making by describing design concepts and their rationale, identifying future decisions, and describing significant issues and risks related to the implementation of the Operational Plan.

This document presents a summary of that plan. It includes an overview of the current 2020 Census operational design and presents the high-level schedule of key milestones and the most critical project risks.

The 2020 Census Program includes a broad set of documentation that will be further developed as the program matures.

As shown in Figure 1, this Executive Summary (shaded in yellow) is part of a broader set of documentation. Those items outlined in dark blue (i.e., the 2020 Census Operational Plan, the Operational Plan Briefing Materials, the Life-Cycle Cost Estimates, and the Rebaselined Schedule) are being released.

Figure 1: 2020 Census Program Documentation Structure
Many organizations across the Census Bureau and the Decennial Census Directorate have been involved in developing the 2020 Census Operational design.

Figure 2 illustrates the various organizations and governance bodies involved in the development of the 2020 Census Operational Plan. The Operational Plan Team consists of subject matter experts from the key Census Bureau organizations with significant roles in supporting the 2020 Census. This team, supplemented with additional subject matter experts from across the Census Bureau, plays a key role in identifying research needs, preparing for and analyzing the results of tests, and recommending design decisions. The Decennial Census Management Division is leading the development of the schedule and life-cycle cost analysis and the testing program. The Decennial Statistical Studies Division is leading the quality analysis. The Decennial Leadership Group and the 2020 Census Executive Steering Committee reviewed and approved the 2020 Census Operational Plan. Over the next 2 years, Operational Integrated Project Teams are developing Detailed Operational Plans for each production operation.
The 2020 Census Operational Design comprises a set of decisions informed through research, testing, and analysis.

As shown in Figure 3, the operational design comprises a set of design decisions that drive how the 2020 Census will be conducted. These design decisions are informed through research, testing, and analysis of the cost and quality impacts of different design options. The operational design also drives the requirements for Information Technology (IT) capabilities and acquisitions.

The 2020 Census is being designed and developed on a rolling schedule. Accordingly, this process is iterative. Preliminary design decisions were based on early research, testing, and analysis, and these decisions were used to determine initial requirements for capabilities and acquisitions. As the design matures and more decisions are finalized, the requirements will be updated to reflect the revised design.

BACKGROUND

Decennial data support multiple important uses.

The purpose of the decennial census is to conduct a census of population and housing and disseminate the results to the President, the states, and the American people. Decennial data are used for many purposes. A primary use is for the apportionment of seats allocated to the states for the House of Representatives as mandated in the United States Constitution. Decennial data are also used by governmental entities for redistricting (defining the representative boundaries for congressional districts, state legislative districts, school districts, and voting precincts), enforcing voting rights and civil rights legislation, and determining the sampling frames (address lists) for many Census Bureau surveys. These, in turn, support important government functions, such as appropriating federal funds to local communities (an estimated $400 billion annually); producing
unemployment, crime, and poverty rates; and publishing health and education data. Finally, decennial data are foundational to the information used by businesses to understand demographic, economic, and geographic trends required to inform critical business decisions.

The Census Bureau is committed to conducting a 2020 Census at a lower cost per household (adjusted for inflation) than the 2010 Census, while maintaining high-quality results. This challenge is exacerbated by multiple environmental factors that have the potential to impact its success (see Figure 4). The Census Bureau is committed to proactively addressing the challenges.

Several of the societal, demographic, and technological trends shown can result in a population that is harder and more expensive to enumerate. As it becomes more challenging to locate individuals and solicit their participation through traditional methods, the Census Bureau must, decade after decade, spend more money simply to maintain the same level of accuracy as in previous censuses.
Figure 5: Costs—Traditional vs Innovative 2020 Census

As shown in Figure 5, on average, the total costs—in constant dollars—of conducting the decennial census have increased significantly each decade. Initial estimates for expected total costs for the 2020 Census are $17.8 billion in 2020 constant dollars if the Census Bureau repeats the 2010 Census design and methods. However, through a series of innovations that rely on technology and the use of existing data, the Census Bureau estimates that it can conduct the 2020 Census for $12.5 billion in 2020 constant dollars.

The cost parameters for this estimate were based on input from subject matter experts and the following sources:

- Historical data collected from the 2010 Census
- The American Community Survey
- The 2020 Census Research and Testing program results to date from the following tests:
  - 2012 National Census Test
  - 2013 National Census Contact Test
  - 2013 Census Test
  - 2014 Census Test
  - Local Update of Census Addresses (LUCA) Focus Groups
  - 2014 Human-in-the-Loop Simulation
  - 2015 Address Validation Test
  - 2015 Optimizing Self-Response Test
  - 2015 Census Test

Analysis of quality impacts of the redesigned 2020 Census will ensure that trade-offs between cost and quality are understood and accounted for in the final design.

Given the multiple important uses of Decennial data, it is critical that the data meet high-quality standards to ensure good decision-making and to continue building confidence in government data. The Census
The 2020 Census Operational Overview

Figure 6: The 2020 Census—A New Design for the 21st Century

Bureau has begun analyzing the quality impacts of several key innovations related to address canvassing, self-response, and the use of administrative records and third-party data to reduce the workload for Nonresponse Followup. For example, the initial analysis of the reengineered address canvassing approach suggests that the innovations result in an address frame of similar quality to the level of quality achieved through the 2010 Census Address Canvassing operation as defined by two key metrics: the percentage of missed adds and missed deletes. The quality analysis will continue as the design is refined.

**THE DESIGN OF THE 2020 CENSUS**

The 2020 Census Operational Design includes all operations required to execute the 2020 Census, starting with precensus address and geographic feature updates, and ending once census data products are disseminated and coverage and quality are measured.

**The 2020 Census is designed for the 21st Century, relying on advances in technology and available data to reduce cost, maintain quality, and minimize risk.**

Figure 6 presents a high-level design for a 21st Century 2020 Census.

The first step in conducting the 2020 Census is to identify all of the addresses where people could live, or **Establish Where to Count**. An accurate address list helps ensure that everyone is counted. For the 2020 Census, the Census Bureau will begin an In-Office review of 100 percent of the nation’s addresses in September 2015 and continually update the address list based on data from multiple sources, including the
U.S. Postal Service; tribal, state, and local governments; satellite imagery; and third-party data providers. This office work will also determine which parts of the country require fieldwork to verify address information. While fieldwork will occur in 2016 on a small scale for address coverage measurement, the bulk of the In-Field Address Canvassing will occur in 2019 and is anticipated to cover approximately 25 percent of all addresses, a significant reduction from the 100 percent that were reviewed in the field during the 2010 Census.

Response rates to surveys and censuses have been declining. To **Motivate People to Respond**, the 2020 Census will include a nationwide communications and partnership campaign. This campaign is focused on getting people to respond on their own (self-respond) as it costs significantly less to process a response provided via the Internet or through a paper form than it does to send a fieldworker to someone’s home to collect the response. Advertising will make heavy use of digital media, tailoring the message to the audience.

The Census Bureau **Counts the Population** by collecting information from all households, including those residing in group or unique living arrangements. The Census Bureau wants to make it easy for people to respond anytime and anywhere. To this end, the 2020 Census will offer and encourage people to respond via the Internet and will not require people to enter a unique Census identification with their response. Online responses will be accurate, secure, and convenient. If people are at the bus stop, waiting at the doctor’s office, or watching TV and do not have their Census ID handy, then they can provide their address instead.

For those who do not respond, the Census Bureau will use the most cost-effective strategy for contacting and counting people. The goal for the 2020 Census is to reduce the average number of visits by using available data from government administrative records and third-party sources. These data can be used to identify vacant households, determine the best time of day to visit a particular household, or to count the people and fill in the responses with existing high-quality data from trusted sources. A reduced number of visits will lead to significant cost savings. It can also allow the Census Bureau to focus its field resources to achieve consistent response rates across geographic areas and demographic groups.

Additional cost savings are expected to result from the use of automation to streamline n-field census-taking. Fieldworkers will use handheld devices for collecting the data. Operations such as recruiting, training, and payroll will be automated, reducing the time required for these activities. New operational control centers will rely on automation to manage the work, which will enable more efficient case assignment, automatic determination of optimal travel routes, and reduction of the number of physical offices. In general, a streamlined operation and management structure is expected to increase productivity and save costs.

The last step in the 2020 Census is to **Release the 2020 Census Results**. The 2020 Census data will be processed and sent to the President (for apportionment) by December 31, 2020, to the states (for redistricting) by March 31, 2021, and to the public beginning in December 2021.

**Four key innovation areas comprise the bulk of the cost reductions.**

The 2020 Census design focuses on four Key Innovation Areas, each of which is described below:

- Reengineering Address Canvassing
- Optimizing Self-Response
- Utilizing Administrative Records and Third-Party Data
- Reengineering Field Operations

**A reengineered address canvassing operation significantly reduces the amount of fieldwork required to produce a quality address list.**

The goal of Reengineering Address Canvassing innovation area is to eliminate the need to canvass every block. Instead, the Census Bureau is developing innovative methodologies for updating the Master Address File (MAF)/Topologically Integrated Geographic Encoding and Referencing (TIGER) System throughout the decade. Figure 7 highlights the key concepts in the Reengineering Address Canvassing approach.

Continual research and updating will be conducted through an In-Office Address Canvassing operation that will begin in September 2015 and continue through the 2020 Census. Clerks will start with the 2015 Census address list and update it based on new information
Continual In-Office Canvassing
Update and verify the MAF using aerial imagery, administrative records and commercial data.

Master Address File (MAF) Coverage Study
Ongoing fieldwork to measure coverage, validate in-office procedures, and improve in-field data collection methodologies.

In-Field Canvassing
Limited In-Field Canvassing in 2019 for those areas where address updates cannot be obtained or verified or are undergoing rapid change.

2020 Census Begins
Updated MAF used to conduct 2020 Census.

Figure 7: Summary of Reengineering Address Canvassing

from the United States Postal Service and data from tribal, state, and local governments and third parties (i.e., commercial vendors). Clerks will review satellite imagery to determine where changes in addresses are occurring, and based on these changes, the Census Bureau will develop a plan for capturing those changes. This plan will include an In-Field Address Canvassing operation where address updates cannot be obtained or verified or in areas undergoing rapid change. The number of addresses requiring In-Field Canvassing is expected to be approximately 25 percent of the total number of addresses. These design changes have the potential to save the Census Bureau an estimated $900 million.

Multiple methods and tools are aimed at generating the largest possible self-response, reducing the need to conduct expensive in-person follow-up activities.

The goal of the Optimizing Self-Response innovation area is to communicate the importance of the 2020 Census to the U.S. population and generate the largest possible self-response. As shown in Figure 8, the Census Bureau plans to motivate people to respond by using technology and administrative records and third-party data to target advertisements and tailor contact strategies to different demographic groups and geographic areas. The Census Bureau also plans to utilize its partnership program, providing information...
to government agencies and hosting events with community, recreation, and faith-based organizations. Communication and contact strategies will encourage the use of the internet as the primary response mode through a sequence of invitations and postcard mailings. In addition, when Census fieldworkers visit a house and no one is home, the notice of visit will encourage self-response.

A second key aspect of Optimizing Self-Response is to make it easy for people to respond from any location at any time. This is done in several ways:

- By enabling people to respond via multiple modes (Internet, paper, or telephone if they call the Census Questionnaire Assistance Center)
- By allowing respondents to submit a questionnaire without a unique identification code
- By providing on-line forms in multiple languages

For these innovations to be successful, respondents must know that their personal information is protected. Thus, a key element of this innovation area is to assure respondents that their data are secure and treated as confidential.

These design changes have the potential to save the Census Bureau an estimated $400 million.

**Information already provided to the government or third parties can be leveraged to increase the efficiency and effectiveness of the data collection operations.**

The goal of the Utilizing Administrative Records and Third-Party Data innovation area is to use information people have already provided to improve the efficiency and effectiveness of the 2020 Census, and in particular reduce expensive in-person follow-up activities.
<table>
<thead>
<tr>
<th>Improve the quality of the address list</th>
<th>Update the address list</th>
<th>Validate incoming data from tribal, federal, state, and local governments</th>
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<tbody>
<tr>
<td>Increase effectiveness of advertising and contact strategies</td>
<td>Support the micro-targeted advertising campaign</td>
<td>Create the contact frame (e.g., e-mail addresses and telephone numbers)</td>
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<tr>
<td>Validate respondent submissions</td>
<td>Validate respondent addresses for those without a Census ID and prevent fraudulent submissions</td>
<td></td>
</tr>
<tr>
<td>Reduce field workload for follow-up activities</td>
<td>Remove vacant and nonresponding occupied housing units from the Nonresponse Followup workload</td>
<td>Optimize the number of contact attempts</td>
</tr>
</tbody>
</table>

**Figure 9: Summary of Utilizing Administrative Records and Third-Party Data**

Administrative record data refers to information from federal and state governments. Third-party data refers to information from commercial sources. As shown in Figure 9, data from both sources can help improve the quality of the address list (frame), increase the effectiveness of advertising and contact strategies, validate respondent submissions, and reduce field workload for follow-up activities.

As has been done in prior decades, administrative data from the United States Postal Service and other government records are used to update the address frame and reflect changes that occur over time. Additional administrative records sources, as well as third-party data from commercial companies, will also be used for this purpose. In addition, these data sources will be used to validate incoming data from tribal, federal, state, and local governments.

To increase the effectiveness of advertising and contact strategies, the Census Bureau will use demographic and geographic information from various administrative record and third-party data sources to help target the advertising to specific populations. These data will also be used to create a contact frame that includes e-mail addresses and telephone numbers. A contact frame with this additional information enables the Census Bureau to expand its contact methods beyond traditional postal mail.

Administrative records and third-party data will also be used to validate respondent addresses for those who respond without providing a unique Census ID. This will help prevent fraudulent and erroneous submissions.

Finally, a principal use of administrative records and third-party data is to reduce field workload for follow-up activities. To this end, the Census Bureau will use data from internal and external sources, such as the 2010 Census, the United States Postal Service, the Internal Revenue Service, and the Centers for Medicare and Medicaid Services to identify vacant and nonresponding occupied housing units and remove them from the Nonresponse Followup workload. The Census Bureau plans to continue acquiring and testing data from other sources, including the National Directory of New Hires, the Supplemental Nutrition and Assistance Program, and state-administered programs, such as Temporary Assistance for Needy Families, to understand how these data sources can help reduce follow-up field workload.

These design changes have the potential to save the Census Bureau an estimated $1.4 billion.
## Table: Streamlined Office and Staffing Structure

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<thead>
<tr>
<th>Area Manager of Operations</th>
<th>Increased Use of Technology</th>
<th>Increased Management and Staff Productivity</th>
</tr>
</thead>
<tbody>
<tr>
<td>Census Field Managers</td>
<td>• Automated and optimized work assignments</td>
<td>• Increased visibility into case status for improved workforce management</td>
</tr>
<tr>
<td>Census Field Supervisors</td>
<td>• Automated recruiting, training, payroll, and expense reporting</td>
<td>• Redesigned quality assurance operations</td>
</tr>
<tr>
<td>Listers and Enumerators</td>
<td>• Ability to conduct address updates and enumeration on same device</td>
<td>• Improved communications</td>
</tr>
<tr>
<td></td>
<td>• Reduced paper and manual processing</td>
<td></td>
</tr>
</tbody>
</table>

### Figure 10: Summary of Reengineering Field Operations

**Technology and automated operational control and administrative systems reduce the staffing, infrastructure, and brick and mortar footprint required for 2020 Census field operations.**

The goal of the Reengineering Field Operations innovation area is to use technology to manage the 2020 Census fieldwork efficiently and effectively. Figure 10 shows the three main components of the reengineered field operations: streamlined office and staffing structure, increased use of technology, and increased management and staff productivity.

The 2020 Census field operations will rely heavily on automation. For example, the Census Bureau plans to provide fieldworkers with the capability to work completely remotely and perform all administrative and data-collection tasks directly from a handheld device. Supervisors will also be able to work remotely and communicate with their staff via these devices. These enhanced capabilities significantly reduce the number of offices required to support 2020 Census fieldwork. In the 2010 Census, the Census Bureau established 12 Regional Census Centers and nearly 500 Local Census Offices. The agency hired and trained over 516,000 enumerators to conduct Nonresponse Followup activities. The new design for the 2020 field operations includes six Regional Census Centers with up to 250 Area Census Offices.

Automation enables significant changes as to how cases are assigned and the supervision of field staff. By making it easier for supervisors to monitor and manage their workers, the ratio of workers to supervisor can be increased, reducing the number of supervisors required. This streamlines the staffing structure. Other design changes include optimized case assignment and routing.

All administrative functions associated with field staff will be automated, including recruiting, hiring, training, time and attendance, and payroll. The new capabilities also allow quality to be infused into the process through alerts to supervisors when there is an anomaly in an enumerator's performance (e.g., the Global Positioning Satellite indicator on fieldworker's handheld device indicates that she or he is not at the assigned address) and real-time edits on data collection. Accordingly, the quality assurance process used in the 2010 Census is being reengineered to account for changes in technology.

In total, these design changes have the potential to save the Census Bureau an estimated $2.5 billion.
The 2020 Census comprises 34 operations that together represent the work to be done to prepare for and conduct a high-quality census.

The 2020 Census includes 34 operations that are organized into eight major areas, which correspond with the Census Bureau standard work breakdown structure. The term “operation” refers to both support and business functions. For example, Program Management is considered a support function, and Address Canvassing is considered a business function. Table 1 provides a high-level purpose statement for each operation.

### Table 1: Operations and Purpose

<table>
<thead>
<tr>
<th>Operations</th>
<th>Purpose</th>
</tr>
</thead>
<tbody>
<tr>
<td>Program Management</td>
<td>Define and implement program management policies, processes, and the control functions for planning and implementing the 2020 Census.</td>
</tr>
<tr>
<td>Census/Survey Engineering</td>
<td>Manage the delivery of a system of systems that meets the 2020 Census Program business and capability requirements. Implement and manage the full Enterprise Systems Development Life Cycle for systems supporting the 2020 Census.</td>
</tr>
<tr>
<td>Systems Engineering and Integration</td>
<td>Ensure that all operations and systems used in the 2020 Census adhere to the appropriate systems and data security, respondent, and employee privacy and confidentiality policies, and regulations.</td>
</tr>
<tr>
<td>Security, Privacy, and Confidentiality</td>
<td>Identify, research, and finalize content and design of questionnaires and other nonquestionnaire materials, ensure consistency across data collection modes and operations, and promote high response rates and accurate and consistent responses across modes.</td>
</tr>
<tr>
<td>Content and Forms Design</td>
<td>Assess and support language needs of non-English speaking populations for all modes and other mailing and field materials, determine the number of languages and level of support required, optimize non-English content, and ensure cultural relevancy and meaningful translation of non-English materials.</td>
</tr>
<tr>
<td>Frame</td>
<td>Provide the geographic foundation in support of the 2020 Census data collection and tabulation activities, including delineation of boundaries in the Master Address File (MAF)/Topologically Integrated Geographic Encoding and Referencing (TIGER) System, delivery of address and spatial extracts from the MAF/TIGER System, and updates to the MAF/TIGER System.</td>
</tr>
<tr>
<td>Geographic Programs</td>
<td>Provide an opportunity for tribal, federal, state, and local governments to review and improve the address lists and maps used to conduct the 2020 Census as required by Public Law (P.L.) 103-430.</td>
</tr>
<tr>
<td>Local Update of Census Addresses</td>
<td>Provide a complete and accurate address list and spatial database for enumeration, and determine the type and address characteristics for each living quarter.</td>
</tr>
<tr>
<td>Address Canvassing</td>
<td>Print and distribute Internet invitations, reminder postcards, and questionnaire mailing packages to support the 2020 Census mailing strategy and enumeration of the population.</td>
</tr>
<tr>
<td>Forms Printing and Distribution</td>
<td>Capture and convert data from the 2020 Census paper questionnaires, including document preparation, scanning, Optical Character Recognition, Optical Mark Recognition, Key-From-Image, editing, and checkout.</td>
</tr>
<tr>
<td>Paper Data Capture</td>
<td>Communicate the importance of participating in the 2020 Census to the entire population of the 50 states, the District of Columbia, and Puerto Rico. Motivate people to self-respond, preferably via the Internet, and raise and keep awareness high throughout the entire 2020 Census.</td>
</tr>
<tr>
<td>Integrated Partnership and Communications</td>
<td>Collect response data via the Internet to reduce paper and Nonresponse Followup and maximize online response to the 2020 Census via contact strategies and improved access for respondents.</td>
</tr>
<tr>
<td>Internet Self-Response</td>
<td>Make it easy for people to respond anytime, anywhere to increase self-response rates by providing response options that do not require a unique Census ID.</td>
</tr>
<tr>
<td>Operations</td>
<td>Purpose</td>
</tr>
<tr>
<td>-------------------------------------</td>
<td>--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Update Enumerate</td>
<td>Update the address and feature data, and enumerate housing units in certain designated geographic areas with special enumeration needs (e.g., areas that do not have city-style addresses and areas with unique challenges associated with accessibility).</td>
</tr>
<tr>
<td>Group Quarters</td>
<td>Enumerate people living or staying in group quarters, people experiencing homelessness, and people receiving service at service-based locations.</td>
</tr>
<tr>
<td>Enumeration at Transitory Locations</td>
<td>Enumerate individuals in occupied units at transitory locations, such as recreational vehicle parks, campgrounds, tent cities, racetracks, circuses, carnivals, marinas, hotels, and motels, who do not have a usual home elsewhere.</td>
</tr>
<tr>
<td>Census Questionnaire Assistance</td>
<td>Provide questionnaire assistance for respondents by answering questions about specific items on the census form or other frequently asked questions about the 2020 Census and provide an option for callers to complete a census interview over the telephone.</td>
</tr>
<tr>
<td>Nonresponse Followup</td>
<td>Determine housing unit status for nonresponding addresses and enumerate housing units for which a census response was not received.</td>
</tr>
<tr>
<td>Response Processing</td>
<td>Establish the initial 2020 Census universe, assign the specific enumeration strategy for each census case based on case status and associated metadata, create and distribute workload files required for enumeration operations, track case enumeration status, and run post-data collection processing actions in preparation for producing the final 2020 Census results.</td>
</tr>
<tr>
<td>Federally Affiliated Americans Count Overseas</td>
<td>Obtain counts by home state of U.S. military and federal civilian employees stationed or deployed overseas and their dependents living with them.</td>
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<tr>
<td>Publish Data</td>
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</tr>
<tr>
<td>Data Products and Dissemination</td>
<td>Prepare and deliver the 2020 Census population counts to the President of the United States for Congressional apportionment, tabulate and disseminate 2020 Census data products for use by the states for redistricting, and tabulate and disseminate 2020 Census data for use by the public.</td>
</tr>
<tr>
<td>Redistricting Data</td>
<td>Provide to each state the legally required P.L. 94-171 redistricting data tabulations by the mandated deadline of 1 year from Census Day: April 1, 2021.</td>
</tr>
<tr>
<td>Count Review</td>
<td>Enhance the accuracy of the 2020 Census by implementing an efficient and equitable process for Federal-State Cooperative Population Estimates members to identify missing housing units and missing or geographically misallocated large group quarters.</td>
</tr>
<tr>
<td>Count Question Resolution</td>
<td>Provide a mechanism for governmental units to challenge their official 2020 Census results.</td>
</tr>
<tr>
<td>Archiving</td>
<td>Provide 2020 Census records deemed permanent, including files containing individual responses, to the National Archives and Records Administration for archiving and to the National Processing Center to use as source materials to conduct the Age Search Service.</td>
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<tr>
<td>Other Censuses</td>
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</tr>
<tr>
<td>Island Areas Censuses</td>
<td>Update and enumerate all living quarters in the Pacific Island Area of American Samoa, the Commonwealth of the Northern Mariana Islands, Guam, and the U.S. Virgin Islands, collectively known as the Island Areas.</td>
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<tr>
<td>Test and Evaluation</td>
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</tr>
<tr>
<td>Coverage Measurement Design and Estimation</td>
<td>Develop the survey design and sample for the post.enumeration survey for the 2020 Census. It also produces coverage error estimates and independent assessment of coverage via demographic analysis.</td>
</tr>
<tr>
<td>Coverage Measurement Matching</td>
<td>Identify matches and non-matches between the 2020 Census and the Census Coverage Measurement Survey for the enumerated housing units and people.</td>
</tr>
<tr>
<td>Coverage Measurement Field Operations</td>
<td>Collect person and housing unit information (independent from the 2020 Census operations) for the sample of housing units in the Census Coverage Measurement Survey.</td>
</tr>
<tr>
<td>Evaluations and Experiments</td>
<td>Measure the success of critical 2020 Census operations. Formulate and execute an experimentation program to support early planning and inform the transition and design of the 2030 Census.</td>
</tr>
</tbody>
</table>
**Table 1: Operations and Purpose—Con.**

<table>
<thead>
<tr>
<th>Operations</th>
<th>Purpose</th>
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<tbody>
<tr>
<td>Decennial Service Center</td>
<td>Support 2020 Census Field Operations and handle all service requests initiated by field staff.</td>
</tr>
<tr>
<td>Field Infrastructure</td>
<td>Coordinate lease management and space acquisition for the Regional Census Centers and field offices and provide the administrative infrastructure for data collection operations covering the 50 states, the District of Columbia, and Puerto Rico.</td>
</tr>
<tr>
<td>Decennial Logistics Management</td>
<td>Provide logistics management services to include procuring warehouse space, warehousing, inventory management, kit assembly, deployment of materials, and receiving and accessing materials.</td>
</tr>
<tr>
<td>IT Infrastructure</td>
<td>Provide the IT Infrastructure to support the 2020 Census, including enterprise systems and applications, 2020 Census-specific applications, field IT infrastructure, and mobile computing.</td>
</tr>
</tbody>
</table>

**The designs of the 34 operations are at different maturity levels, reflecting the focus of early planning on those operations with the greatest potential for cost savings.**

Figure 11 presents a graphic representation of the 34 operations organized into the eight areas described above. Program Management, Census/Survey Engineering, and Infrastructure are combined into one general group called Support, which is shown at the top of the diagram. As noted by the shading on the diagram, the degree to which detailed planning has been conducted for each operation varies. The maturity of the operational design for the 34 operations also varies based on the amount of planning conducted to date.

**Based on work performed thus far, major operational design decisions for the 2020 Census have been made.**

Table 2 lists the key design decisions made for the main steps of the 2020 Census (Establish Where to Count, Motivate People to Respond, Count the Population, and Release Census Results) as well as for infrastructure. Where appropriate, the table also indicates specific parameters used in the life-cycle cost estimates.
**Figure 11: Operational Overview and Status**

<table>
<thead>
<tr>
<th>FRAME</th>
<th>RESPONSE DATA</th>
<th>PUBLISH DATA</th>
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<tbody>
<tr>
<td>Geographic Programs</td>
<td>Forms Printing and Distribution</td>
<td>Data Products and Dissemination</td>
</tr>
<tr>
<td>Local Update of Census Addresses</td>
<td>Paper Data Capture</td>
<td>Redistricting Data</td>
</tr>
<tr>
<td>Address Canvassing</td>
<td>Integrated Partnership and Communications</td>
<td>Count Review</td>
</tr>
<tr>
<td></td>
<td>Internet Self-Response</td>
<td>Count Question Resolution</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Archiving</td>
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</tbody>
</table>

**OTHER CENSUSES**

<table>
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<tr>
<th>Island Areas Censuses</th>
</tr>
</thead>
</table>

**TEST AND EVALUATION**

<table>
<thead>
<tr>
<th>Coverage Measurement Design and Estimation</th>
</tr>
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<tbody>
<tr>
<td>Coverage Measurement Matching</td>
</tr>
<tr>
<td>Coverage Measurement Field Operations</td>
</tr>
<tr>
<td>Evaluations and Experiments</td>
</tr>
<tr>
<td>Area</td>
</tr>
<tr>
<td>----------------------------------</td>
</tr>
<tr>
<td>Establish Where to Count</td>
</tr>
</tbody>
</table>
| Motivate People to Respond      | An Internet self-response option will be provided and will be available in languages other than English and Spanish, including those with non-Roman alphabets (number of responses via this mode estimated at 47 percent after 6 weeks). Census Questionnaire Assistance will complete interviews by telephone (number of responses via this mode estimated at 5.3 percent after 6 weeks). A paper response option will be provided (number of responses via this mode estimated at 11.2 percent after 6 weeks).  
  - Paper questionnaires will be sent to 20 percent of all housing units during the first mailing.  
  - Paper questionnaire will be mailed to nonresponding housing units after 2 weeks of self-response (estimated at 59.7 percent of total housing units). The 2020 Census will offer respondents the opportunity to respond without a unique census identification code via the Internet or via telephone agents. A formal “Notify Me” option will not be offered. |
| Count the Population             | Administrative records and third-party data will be used to identify vacant units (approximately 11 percent of nonresponding housing units removed). Nonresponding housing units will be visited at least once (approximately 22.5 percent of the remaining nonresponding follow-up workload resolved through this visit). Administrative records and third-party data will be used to enumerate remaining nonresponding housing units (approximately 16.5 percent of the remaining nonresponse follow-up workload enumerated via these data). Administrative records and third-party data will be used to reengineer the Vacant/Delete and Coverage Followup operations. Coverage improvement operations will be included. The Nonresponse Followup operation will utilize a reengineered field management and staffing structure due to increased efficiencies from automation:  
  - Change in ratio of production enumerators to Census Field Supervisors from 8:1 in 2010 to 15:1 in 2020.  
  - Removal of crew leader assistants. The Nonresponse Followup operation will consist of production and quality assurance components. The Group Quarters operation will allow an individual to self-respond and self-identify the group quarter type for the facility in which he or she resides. Census Questionnaire Assistance will not collect questionnaire data via e-mail or web chat, nor will it accept e-mails with PDF attachments, faxes, or Internet uploads of completed Census questionnaires. Text messaging will not be used as a data collection mode. |
Table 2: Operational Design Decisions Made to Date—Con.

<table>
<thead>
<tr>
<th>Area</th>
<th>Design Decisions Made and Cost Estimating Numbers</th>
</tr>
</thead>
<tbody>
<tr>
<td>Infrastructure Support</td>
<td>The 2020 Census field office infrastructure will include six Regional Census Centers (reduced from 12 in 2010). The 2020 Census field office infrastructure will include up to 250 field offices (reduced from 494 in 2010). The number of training hours for Address Canvassing will be reduced from 35 in 2010 to 28 in 2020; and for Nonresponse Followup from 44 in 2010 to 28 in 2020. The training pay rate for Address Canvassing and Nonresponse Followup (both enumerators and Census Field Supervisors) will be $1.50 lower than the production rate. The 2020 Census will have two paper data capture centers, reduced from three in 2010. Whenever technically feasible and cost-effective, enterprise solutions will be used in support of the 2020 Census (e.g., Integrated Capture and Data Entry is the planned paper data capture system for the 2020 Census). A hybrid cloud design will be used for scaling the Census Enterprise Data Collection and Processing systems when needed for the 2020 Census.</td>
</tr>
<tr>
<td>Release the 2020 Census Results</td>
<td>The tabulated 2020 Census data will be available to the public through the Center for Enterprise Dissemination and Consumer Service Innovation.</td>
</tr>
</tbody>
</table>

Source: U.S. Census Bureau, Life-Cycle Cost Estimates.

While key design decisions for the major operations have been made, more work is needed to refine the design for these operations, to plan and design the less mature operations, and to design and develop the capabilities required to support the operational design. The refinements will address the specifics of how the operations will be executed, the details associated with the use, acquisition, and timing of administrative records and third-party data, finalizing workload planning estimates, finalizing decisions on field staffing and office locations, and clarifying the interactions among certain operations (e.g., Address Canvassing and LUCA validation, Nonresponse Followup and Non-ID Processing, and Group Quarters and Internet Self-Response).

The operational design decisions made to date are based on planning, research, and a series of tests conducted between 2012 and 2015.

The Census Bureau has been conducting, and continues to conduct research, analysis, and tests to inform the design decisions. The tests are documented in the 2020 Census Research and Testing Management Plan, which provides the overarching management and analysis framework for executing research and testing projects and integrating the results across projects. More detailed information about each test is captured in formal research and test plan documents and in an integrated master schedule. Detailed test plans and results are available for review upon request.
As shown in Figure 12, the tests conducted early in the decade (2012–2015) were aimed at answering specific research questions (objectives) needed to make decisions on important aspects of the operational design for the four key innovation areas. Starting in 2016, the focus shifts to validating and refining the design by testing the interactions across operations and determining the proposed methodology for the operations. In addition, testing of production systems begins during this time frame and continues through 2018, with final performance testing to ensure scalability occurring in 2019. An end-to-end test in 2018 will test the integration of all major operations and systems.

Table 3 provides a brief description of the operational tests executed between 2012 and 2015. Table 4 provides a brief description of the tests planned for 2016 through 2019.

Figure 12: High Level View of Tests
Table 3: Operational Tests Conducted From 2012 Through 2015

<table>
<thead>
<tr>
<th>Calendar Year</th>
<th>Test</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>2012</td>
<td>Public-Opinion Polling</td>
<td>A public-opinion survey of attitudes toward statistics produced by the federal government (focuses on statistical uses of administrative records and third-party data). Uses the Nightly Gallup Polling. 850 nationally representative housing units telephoned per week. Started in February 2012 and continues as needed.</td>
</tr>
<tr>
<td>2013</td>
<td>2013 National Census Contact Test</td>
<td>A study of the quality of the Contact Frame (a list of supplemental contact information, such as e-mail address and phone numbers, built from third-party data sources) and automated processing of census responses lacking a preassigned census identification number. Included 39,999 nationally representative addresses.</td>
</tr>
<tr>
<td></td>
<td>2013 Census Test</td>
<td>An operational study of Nonresponse Followup procedures. Conducted in late 2013 and involved 2,077 housing units in Philadelphia, PA.</td>
</tr>
<tr>
<td>2014</td>
<td>2014 Census Test</td>
<td>An operational study of Self-Response and Nonresponse Followup procedures. Census Day of July 1, 2014. Included 192,500 housing units in portions of Montgomery County, MD, and Washington, DC. Continuous small-scale testing (ongoing as needed throughout the decade) A study of respondent and nonrespondent reactions to new modes of contact and response (focus on privacy and confidentiality). Started in January 2014; ongoing as needed. Includes e-mails to 1,000–2,200 housing units sampled from an opt-in frame.</td>
</tr>
<tr>
<td></td>
<td>Local Update of Census Addresses (LUCA) Focus Groups</td>
<td>A collection of input on potential LUCA models from eligible LUCA participants representing various sizes and types of governments across the nation. 46 governmental entities participated. Conducted from March 2014 through June 2014.</td>
</tr>
<tr>
<td></td>
<td>2014 Human-in-the-Loop Test</td>
<td>A simulation of the reengineered field operations using an Operational Control Center and an enhanced operational control system. Occurred in November 2014. 87 field and office staff participated.</td>
</tr>
</tbody>
</table>
### Table 3: Operational Tests Conducted From 2012 Through 2015—Con.

<table>
<thead>
<tr>
<th>Calendar Year</th>
<th>Test</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>2015</td>
<td>Address Validation Test (started in late 2014)</td>
<td>An evaluation of methods for reengineered Address Carvassing. Conducted from September 2014 to December 2014 and included 10,100 nationally representative blocks (~1.04 million addresses). Evaluated feasibility of canvassing portions of blocks, rather than entire blocks using both In-Office and In-Field methods. Conducted from December 2014 to February 2015. 615 blocks with national distribution were listed by 35 professional staff.</td>
</tr>
<tr>
<td></td>
<td>2015 Optimizing Self-Response Test</td>
<td>An operational study of Self-Response procedures. Census Day of April 1, 2015. Included 407,000 housing units in the Savannah, GA, media market, with 120,000 sampled self-responding housing units.</td>
</tr>
<tr>
<td></td>
<td>2015 Census Test</td>
<td>An operational study of Nonresponse Followup procedures. Census Day of April 1, 2015. Included 165,000 sampled housing units in Maricopa County, AZ.</td>
</tr>
<tr>
<td></td>
<td>2015 National Content Test</td>
<td>An evaluation and comparison of different census questionnaire content. Census Day of September 1, 2015. Included 1.2 million nationally representative households, including 20,000 households in Puerto Rico and 100,000 reinterviews.</td>
</tr>
</tbody>
</table>

### Table 4: Planned Tests

<table>
<thead>
<tr>
<th>Calendar Year</th>
<th>Test</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>2016</td>
<td>2016 Census Test</td>
<td>Planned to be an operational study of both Self-Response and Nonresponse Followup procedures. Census Day of April 1, 2016. Includes approximately 225,000 housing units per site in Los Angeles County, CA, and Harris County, TX.</td>
</tr>
<tr>
<td></td>
<td>Address Carvassing Test</td>
<td>Planned to be an operational study of In-Office and In-Field Address Carvassing procedures. Begin in the fall of 2016 and will continue into 2017.</td>
</tr>
<tr>
<td>2018</td>
<td>2018 Census End-to-End Test</td>
<td>Planned to test seven major threads that cover the vast majority of the 2020 Census requirements. Census Day of April 1, 2018 (Address Carvassing to begin in late 2017).</td>
</tr>
<tr>
<td>2019</td>
<td>Post End-to-End Testing</td>
<td>Final performance testing to ensure scalability.</td>
</tr>
</tbody>
</table>
An integrated design is required to ensure the 34 operations work together to achieve a successful 2020 Census.

Although each operation is presented separately, the operations must work together to achieve a successful 2020 Census. Information flows among the operations as the census proceeds from frame development through collection of response data to the publishing and release of the data.

The integration of these business operations requires integration of the IT systems that support them. This is a significant effort and is underway. All of the interfaces for the 2020 Census are not fully defined at this time. However, the Systems Engineering and Integration operation will detail those interfaces as the Research and Testing phase ends and systems are built for production.

KEY MILESTONES AND RISKS

The 2020 Census has multiple decision points, milestones, and production dates that must be met to deliver the final apportionment and redistricting data.

Figure 13 depicts the key decision points, milestones, and production dates.

Test results and planning assumptions also informed the timing of the major production field operations for the 2020 Census as shown in Figure 14. This schedule may change based on available funding and final design decisions.
### Figure 13: Key Decision Points and Milestones

<table>
<thead>
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<tbody>
<tr>
<td>Begin 2020 Census</td>
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<tr>
<td>Launch 2020 Census Web site</td>
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<tr>
<td>2020 Census Operational Plan</td>
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<td>1/15</td>
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<tr>
<td>Award Census Questionnaire Assistance Contract</td>
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<td>Award Communications Contract</td>
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<td>Census Topics to Congress</td>
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<td>Deliver Final Residence Rules</td>
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<td>Open Regional Census Centers</td>
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Figure 14: 2020 Census Operations—Production Timeline
The 2020 Census program is actively identifying and managing program and project-level risks.

The 2020 Census program is actively identifying and managing program and project-level risks and appropriate mitigation strategies to reduce their probability of occurring, or impact should they occur, and therefore increase the likelihood of a successful 2020 Census.

Twenty-seven program-level risks have been identified and are being monitored. Figure 15 shows the current risk matrix for all risks in the 2020 Census Program Risk Register, as of August 31, 2015. Six selected risks are presented below. These represent the major concerns that could affect the design or the successful implementation of the 2020 Census. The full risk register is available upon request.

Funding Requests Not Realized

To execute a 2020 Census that reduces cost while maintaining quality, the Census Bureau requires appropriate funding during the entire life cycle of the program.

If the funding appropriated for each FY during the 2020 Census life cycle is less than requested or not provided at the start of each fiscal year, then the Census Bureau will have to reprioritize the projects, which may affect the ability to reengineer the systems and operations supporting the 2020 Census.

Mitigation Strategies include the following:

- Formulate and submit robust cost estimates (including contingencies for known and unknown risks) for planned FY16 2020 Census activities.
- Develop strong budget justifications that demonstrate the negative impact of insufficient funds in FY16 for 2020 Census activities.
- Prioritize research, testing, and implementation activities to focus on those areas that can significantly impact cost and quality, and develop contingency plans to respond quickly to budget cuts.

Administrative Records and Third-Party Data—External Factors

The Census Bureau is planning to use administrative records and third-party data to reduce the need to follow up with nonrespondents through the identification of vacant and deleted housing units (those that do not meet the Census Bureau’s definition of a housing unit) and the enumeration of nonresponding housing units.

If external factors or policies prevent the Census Bureau from utilizing administrative records and third-party data as planned, then the Census Bureau may not be able to fully meet the strategic goal of containing the overall cost of the 2020 Census.
Mitigation Strategies include the following:

- Identify external stakeholders that have an interest in Census Bureau policies regarding administrative record and third-party data usage.
- Develop a stakeholder communications plan for identified external stakeholders.
- Regularly communicate to and seek feedback from identified external stakeholders on design decisions and research and testing results related to the use of administrative records and third-party data for the 2020 Census.
- Assess impacts of any changes to the design based on feedback from external stakeholders and update plans accordingly.
- Monitor external factors and policies that may impact the Census Bureau's planned use of administrative records and third-party data for the 2020 Census.

Public Perception of Ability to Safeguard Response Data

The accuracy and usefulness of the data collected for the 2020 Census are dependent upon the ability to obtain information from the public, which is influenced partly by the public's perception of how well their privacy and confidentiality concerns are being addressed.

IF a substantial segment of the public is not convinced that the Census Bureau can safeguard their response data against data breaches and unauthorized use, THEN response rates may be lower than projected, leading to an increase in cases for follow-up and cost increases.

Mitigation Strategies include the following:

- Develop a communications strategy to build and maintain the public's confidence in the Census Bureau's ability to keep their data safe.
- Research other Census Bureau divisions, other government agencies, and the private sector to understand how they effectively mitigate cyber security incidents.

Continually monitor the public's confidence in data security in order to stay abreast of their probable acceptance of the Census Bureau's methods for enumeration.

Prepare for rapid response to mitigate public concerns regarding any incidents that occur that could affect public perception of the Census Bureau's ability to safeguard response data (e.g., breach of data from another government agency).

Cyber Security Incidents

Security breaches could happen to the Census Bureau’s Internet data collection instrument, mobile devices used for fieldwork, and data processing and storage systems. IT security controls will be put in place to block attempts from outside infiltration, as well as to prevent any negative impacts to services or data, such as network disruption (denial of services), technical malfunctions, and stolen or corrupted data.

IF a cyber security incident (i.e., breach) occurs to the systems or devices being utilized for the 2020 Census, THEN additional technological efforts will be required to repair or replace the systems and devices affected in order to maintain secure services and data.

Mitigation Strategies include the following:

- Monitor system development efforts to ensure the proper security guidelines are followed during the system development phase.
- Research other Census Bureau programs, other government agencies, and the private sector to understand how they effectively mitigate cyber security incidents.
- Audit systems and check logs to help in detecting and tracing an outside infiltration.
- Contract with third-party testers to perform threat and vulnerability analysis.
- Prepare for rapid response to address any detected cyber security incidents.
Technological Innovations Surfacing After Design Is Finalized

Technological innovations inevitably surface, but the 2020 Census program must move forward toward building the operational design, which will be finalized and put into production for the 2018 Census End-to-End Test.

If technological innovations surface after the design for the 2020 Census has been finalized, THEN development and testing life-cycle phases must be compressed if the innovations are adopted, resulting in less time to mature the innovations in census methodologies and systems.

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Mitigation Strategies include the following:

- Build versatile operations and systems design.
- Keep team members and management aware of evolving technological innovations.
- Devote dedicated resources to track and communicate innovations.
- Dedicate funds to incorporate innovations into the design.

Late Operational Design Changes

After key planning and development milestones are completed, stakeholders may disagree with the planned innovations behind the 2020 Census and decide to modify the design, resulting in late operational design changes.

If operational design changes are required following the completion of key planning and development milestones, THEN the 2020 Census program may have to implement costly design changes, increasing the risk for a timely and successful 2020 Census.

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<th>Probability 3</th>
<th>Impact 4</th>
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</thead>
<tbody>
<tr>
<td>(Moderately likely)</td>
<td>(Substantial impact)</td>
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Mitigation Strategies include the following:

- Identify external stakeholders that have an interest in the 2020 Census operational design.

- Develop a stakeholder communications plan for identified external stakeholders.
- Regularly communicate to and seek feedback from identified external stakeholders on design decisions and research and testing results.
- Assess impacts of any changes to the design based on feedback from external stakeholders and update plans accordingly.
- Monitor external factors and policies that may impact the Census Bureau's planned innovations for the 2020 Census operational design.
- Establish a change control management process to assess impacts of change requests to facilitate decision-making.
- Prepare for rapid response to implement change based on the results of the change control process.

SUMMARY

The 2020 Census Operational Plan documents the current design for conducting the 2020 Census. As the initial version of an emerging concept of operations, it reflects and supports evidence-based decision-making by describing design concepts and their rationale, identifying decisions still to be made, and describing significant issues and risks related to the implementation of the Operational Plan.

The 2020 Census is a design for the 21st century. No longer dependent on paper-based processes, the design takes advantage of technology and the vast amount of already available data to conduct an efficient census that produces high-quality results. These innovations are focused in four key areas:

- **Reengineering Address Canvassing:** New, in-office methods allow the Census Bureau to use imagery and other data sources to validate the address list, significantly reducing the amount of fieldwork required to produce a quality address list.

- **Optimizing Self-Response:** Multiple methods and tools aimed at generating the largest possible self-response reduce the need to conduct expensive in-person follow-up activities. These methods and tools include targeted advertising, extensive use of partnerships, effective contact strategies, encouraging people to respond via the Internet, and making it easy for people to respond anywhere and anytime.

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1 The closer it is to the start of the 2020 Census, the higher the impact of this risk. Thus, while currently yellow, this risk will become red as it becomes later in the decade.
2 Ibid.
- **Utilizing Administrative Records and Third-Party Data:** Information already provided to the government or third parties can be leveraged to increase the efficiency and effectiveness of the data collection operations.

- **Reengineering Field Operations:** Technology and automated operational control and administrative systems reduce the staffing, infrastructure, and brick-and-mortar footprint required for 2020 Census field operations.

Together, these innovations are expected to result in a Census that costs $5.2 billion less than it would have cost if the 2010 Census design were repeated in 2020.

The Census Bureau has been and continues to conduct research and perform tests to evaluate alternative designs and to validate the assumptions regarding the feasibility of these designs and their impacts on cost and quality. The design decisions made to date are based on research, analysis, and tests performed thus far. These decisions will be refined through further testing in 2016 and 2017.

The Census Bureau is well on its way to meeting its challenge of conducting a 2020 Census at a lower cost per household (adjusted for inflation) than the 2010 Census, while maintaining high-quality results.
DOCUMENT LOGS

Sensitivity Assessment

This table specifies whether the document contains any administratively restricted information.

Verification of Document Content

This document does not contain any:

- Title 5, Title 13, or Title 26 protected information.
- Procurement information.
- Budgetary information.
- Personally identifiable information.

Review and Approvals

This 2020 Census Operational Plan Executive Summary document has been reviewed and approved for use. This table documents the necessary approvals leading up to the point of baselining.

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<thead>
<tr>
<th>Name</th>
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<tr>
<td>Ann G. Wittanauer</td>
<td>2020 Census Operational Plan Team</td>
<td>9/8/2015</td>
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2020 Census Operational Plan Team Leadership Group:

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<tr>
<td>Lisa M. Blumerman</td>
<td>Associate Director for Decennial Census Programs</td>
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<tr>
<td>Shirin A. Ahmed</td>
<td>Assistant Associate Director for Decennial Census Programs</td>
<td>9/8/2015</td>
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<tr>
<td>Deirdre D. Bishop</td>
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<tr>
<td>Patrick J. Cantwell</td>
<td>Chief, Decennial Statistical Studies Division</td>
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<tr>
<td>Timothy F. Trainor</td>
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<td>Phani-Kumar A. Kalluri</td>
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<td>2020 Census Executive Steering Committee</td>
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Version History

The document version history recorded in this section provides the revision number, the version number, the date issued, and a brief description of the changes since the previous release. Baseline releases are also noted.

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PREPARED STATEMENT OF

JOHN H. THOMPSON
DIRECTOR
US CENSUS BUREAU

2020 Census: Outcomes of the 2016 Site Test

Before the House Subcommittee on Government Operations
US House of Representatives

16 November 2016

Good morning Chairman Meadows, Ranking Member Connolly, and members of the Subcommittee. I appreciate the opportunity to update you on the 2020 Census. I am proud to report today that we are on time and on schedule.

In June, I testified to the Committee that we are on track to execute an innovative, efficient, and accurate 2020 Census. Since then I have appreciated the ability to engage further with you Chairman Meadows, as well as your staff and the minority staff, to further explain our exciting plans and progress to date. Today I would like to update the Subcommittee on the following topics pertinent to achieving this goal:

1. 2020 Census Goals and Operational Plan
2. CEDCaP Build vs. Buy Decision
3. Funding Uncertainty and Adjustment to Scope of 2017 Testing
4. 2020 Census Testing and Production
   - 2016 Census Test
   - In-Office Address Canvassing Operation
   - Address Canvassing Test
   - 2017 Census Test
• 2018 End-to-End Census Test
5. Integrated Master Schedule
6. Systems Development and Operational Readiness
7. Significant Contract Awards
   • 2020 Census Questionnaire Assistance
   • 2020 Census Integrated Communications
   • 2020 Census Technical Integrator
   • Census Schedule A Human Resources Payroll System (C-SHaRPS)
   • Upcoming Contract Awards
8. Content
   • 2015 National Content Test
   • Tribal Consultations
   • Residence Criteria

2020 Census Goals and Operational Plan
When we designed the 2020 Census, we focused our initial efforts on areas that are the major cost drivers of the Census. With cost reductions in mind, we focused on four key innovation areas that will bring the greatest cost savings to the 2020 Census:
   1. Reengineering Address Canvassing
   2. Optimizing Self-Response
   3. Utilizing Administrative Records and Third-Party Data
   4. Reengineering Field Operations

As a result of our efforts, we estimated that the 2020 Census will cost $12.5 billion – compared with a cost of $17.8 billion for repeating the paper-and-pencil-based design of the 2010 Census – representing more than $5 billion in cost avoidance.

In October 2015, after four years of research and testing, we released the 2020 Census Operational Plan that documents the current design for conducting the 2020 Census. As the initial version of an emerging concept of operations, it reflects and supports evidence-based decision making by describing design concepts and their rationale, identifying decisions still to
be made, and describing significant issues and risks related to the implementation of the Operational Plan. An updated version of the Operational Plan was released on October 28, with updates to our planned tests and milestone schedule, program and project risks, descriptions of the census operations and decisions made, and the process for performing quality analysis.

The 2020 Census Operational Plan lays out a series of tests and decision points that the Census Bureau will make in the years leading up to the 2020 Census to develop innovative and efficient methods to increase the response rates, decrease the number of door-to-door interviews, raise workforce productivity, and streamline operations without sacrificing the accuracy of the Census. These changes have the potential to save taxpayer money, maintain accuracy, and reduce the burden on respondents. To achieve these benefits, the 2020 Census Program will rely on many of the systems covered by the Census Enterprise Data Collection and Processing (CEDCaP) approach as one key part of the overall 2020 Census Business Solution Architecture. Our CIO Kevin Smith will also discuss the readiness of these systems in his testimony.

**CEDCaP Build vs. Buy Decision**

The Census Bureau learned many lessons in systems development and readiness from failed efforts in 2010, and with the support of Congress has been able to develop and field test proof of concept systems as part of our series of Census Tests from 2012 through 2015 during our research and testing phase. As a result, we were able to craft a design by the end of 2015, before moving into developing robust capabilities, requirements, and business rules for our systems and operations, validated by the Census Tests conducted so far.

In May 2016, as we moved into our design implementation phase and after months of rigorous evaluation and analysis of alternatives, we made the decision to use a hybrid approach to delivering the CEDCaP solutions. We chose a commercial off-the-shelf platform integrated with select Census Bureau custom solutions that will optimally address the goal of successfully deploying an automated 2020 Census.

The resulting buy decision is helping to reduce risk for the 2020 Census and our other surveys and censuses by adopting proven technology and standards-based solutions to help deliver secure
systems and information. We selected an industry leading enterprise application development platform – the Pega 7 platform of Pegasystems, Inc. We are calling the Pega 7 platform implementation the Enterprise Censuses and Surveys Enabling platform, or ECaSE platform.

With the ECaSE team now onboard, we have been actively working to move from the vendor’s prototype into an initial system that can be deployed for the first time in the 2017 census testing programs. We are also integrating the complete suite of 2020 Census systems with the platform.

We are transitioning to the new ECaSE platform by configuring the needed applications using the validated requirements, capabilities and business rules. Proven requirements will be translated into applications during 2017 using agile development to provide fully functional applications well ahead of the 2018 End-to-End Census Test.

Additionally, we have brought in expert help through the recently awarded technical integrator contract to aid with the integration of our full system of systems, discussed in detail below in this testimony. Having a fully integrated system of systems ahead of the 2018 End-to-End Census Test is key to our 2020 Census readiness and risk mitigation. We have built and continue to maintain a comprehensive Integrated Master Schedule that allows us to ensure we are on track for systems and operational readiness for the 2018 End-to-End Census Test. We will discuss this schedule in more detail below.

**Funding Uncertainty and Adjustment to Scope of 2017 Testing**

We are now less than one year from beginning field work on the final major test for the 2020 Census – the 2018 End-to-End Census Test – but there is not yet clarity regarding funding for this program for fiscal year 2017.

Despite this being a critical point in the decade for testing and implementing the design of the 2020 Census, the current House and Senate fiscal year 2017 appropriations marks from the spring of 2016 fund the program at 16 and 9 percent below the President’s Budget respectively. The House funding level, just 5 percent above FY 2016, nearly eliminates funding requested in FY 2017 to fully implement the innovative design decisions that will help save an estimated $5.2 billion relative to repeating last decade’s methods. This would be the fifth consecutive year that
the program has received appropriations significantly below the request, and we are at a point
where there is a significant cost to continuing to defer work.

To address the immediate risks of this funding uncertainty, we announced on October 18 the
difficult but necessary decision to stop work on two planned field test operations in 2017 on two
tribal reservations – one in Washington State and the other in North and South Dakota – and in
three municipios in Puerto Rico in order to prioritize funding resources on higher priority
activities key to readiness for the 2018 End-to-End Census Test. Having now been forced to
move these tests out of FY 2017, these sites will be considered for potential inclusion in the
2018 End-to-End Census Test. However, incorporating these into the 2018 End-to-End Census
Test increases the operational risk to both the 2018 End-to-End Census Test and the 2020
Census. In 2017, we are replanning the 2017 Census Test to focus only on the activities we must
test – internet self response, non-ID processing, the use of cloud technology, and Census
Questionnaire Assistance, as well as completing all of the systems development and integration
required for readiness for the 2018 End-to-End Census Test.

The Census Bureau made this decision now to mitigate funding uncertainty risk to the program
and ensure readiness for a highly successful 2018 End-to-End Census Test, but we still require
the timely appropriation of the remainder of the 2017 President’s Budget request in order to stay
on track.

Let me turn to discuss some of recent and upcoming tests as well as our key production activities.

2020 Census Testing and Production

2016 Census Test

As I have already mentioned, the Census Bureau is pursuing four key innovation areas that will make
it easier for people to respond and save taxpayers more than $5 billion. Conducting a decennial census
is a major undertaking with many moving parts. As we implement the operational design for the 2020
Census, we are leveraging new methods, procedures, systems, and solutions. Census tests are critical
to preparing for 2020 because that is how we test the implementation of these innovation areas.
Earlier this year, we conducted a test in Harris County, Texas, and Los Angeles County, California, to study a variety of new methods and advanced technologies. The primary focus of this test was to refine the methodology for Nonresponse Followup – the operation we conduct to visit nonresponding households in person. The Census Bureau also refined methods and related activities for maximizing self-response (particularly via the Internet) to the 2020 Census. We focused testing on six operations: the questions on the 2020 Census questionnaire (content and forms design), language services, Internet self-response, allowing individuals to respond without a Census ID (non-ID processing), Nonresponse Followup, and how we process, store, and protect the data we collect from respondents (response processing).

The 2016 Census Test was a valuable learning experience, with many notable successes, including but not limited to:

- Our self-response contact strategy demonstrated a positive impact on response rates through the use of a letter rather than a postcard as a first reminder and through the use of language services such as a brochure or Frequently Asked Questions insert. In addition, the 2016 Census Test results reinforced that in some areas of the country response rates improve when we send a paper questionnaire in the first mailing.
- We validated the positive trend we have experienced in past census tests regarding collecting and processing responses without unique Census IDs, confirming our ability to successfully match a large majority of respondent addresses to our frame through real-time matching, administrative records, and clerical matching.
- Our partnership presence in the test sites generated awareness and encouraged response during both the self-response and Nonresponse Followup phases.
- We successfully expanded language support services, including Chinese and Korean (languages using non-Roman alphabets).
- Administrative records and third-party data reduced the Nonresponse Followup workload for both vacant and occupied addresses.
- Collaboration with the United States Postal Service (USPS) furthered our understanding of USPS processing of mail pieces, specifically Undeliverable As Addressed, or the
USPS-provided reason for why mail is unable to be delivered. This helped inform our assessment of vacancy status to reduce the Nonresponse Followup workload.

- Implementation of two different staffing ratios that increased the number of enumerators to each supervisor over that of the 2010 Census were both shown to be viable, due to increased automation of operational control capabilities and system generated alerts regarding enumerator performance, automated payroll submission and processing, etc.
- We improved use of optimized assignment generation and routing of enumerators and use of smartphones by enumerators for data collection.
- We added quality control by re-contacting a sample of Nonresponse Followup cases to validate the data collection in the initial Nonresponse Followup interview.

The Census Bureau leveraged the flexibility of being in a test environment to add new dimensions to the test as the opportunities arose. We gained valuable insights into areas where we must make improvements such as:

- **Better training for enumerators.** We learned from the 2016 Census Test that certain topics, such as conducting proxy interviews, require additional emphasis in the training. Balancing training content against the critical components of an enumerator’s job – while also considering cost and schedule – will be key to our success. Future tests will continue to use a combination of online and classroom training for enumerators.

- **Better procedures for enumerators at multiunit structures.** In the 2016 Census Test, we implemented new procedures for contacting nonresponding addresses at multiunit structures such as apartments and condominiums. Because the layout and addressing of multiunit structures are not standard, we observed situations where the revised approach worked well and others where it did not. For example, garden-style apartments differ from high-rise complexes, and no two high-rise complexes are the same. These variations make finding a one-size-fits-all solution a challenge. As a result, we will consider enhancements that create flexibility for enumerators to assess unique situations. For example, allowing the enumerator to contact nonresponding addresses in an order that suits the layout of the multiunit structure.
• **Enhancements to the proxy interview process.** During the 2016 Census Test, if a proxy respondent, like a neighbor, could not provide the names of a nonresponding household’s residents, the interview concluded and no information was captured. We need to enhance our data collection application to enable the enumerator to capture information in this situation – for example, whether the housing unit is occupied, vacant, or not a housing unit. Additionally, if the housing unit is occupied, we need to capture its population count even when no other information can be provided by the proxy. We are also considering collecting household demographics to the extent that they are known.

• **Continued development of closeout processes and procedures for data collection operations.** Our test data showed an increased number of nonresponding cases that reached the maximum number of contact attempts without a successful enumeration. In large part, this was a result of the rigor of our automation and reengineering efforts; in the test, a case was automatically removed from the workload when it reached the maximum number of attempts. Moving forward, we will closely monitor the progress of the Nonresponse Followup workload to ensure a complete and accurate count for all localities. We will monitor enumerators’ performance and productivity and proactively retain enumerators who are successful in reaching respondents and completing household enumerations. We will implement procedures such that cases are actively worked until completion.

These key findings are not exhaustive, but are major themes that will inform the operational design for the 2020 Census ahead of the 2018 End-to-End Census Test.

**In-Office Address Canvassing Operation**

Earlier in the decade, we conducted research and testing to identify our cost-saving innovation areas. Now that the design for 2020 is in place, our testing is about refinements and integration. For 2020, we are taking an innovative approach to the way we conduct address canvassing. We are canvassing every block in-office using satellite imagery and other geospatial data. For the Address Canvassing Test, discussed below, we will walk every block in the test areas to ensure the quality of the in-office methods and procedures.
The In-Office Address Canvassing is a continuous process of monitoring the residential and nonresidential landscape to measure, assess, and ensure the completeness and accuracy of the Master Address File (MAF) and associated attributes and geospatial data.

The ultimate goals of the In-Office Address Canvassing and Review are to:

- Identify geographic areas that are stable and do not require address or geospatial updates.
- Update all living quarters in geographic areas through In-Office Address Canvassing processes. This includes group quarters, like dormitories and prisons, and transitory locations.
- Identify geographic areas that will require In-Field Address Canvassing in addition to in-office prior to the census enumeration.

The 2020 Census In-Office Address Canvassing operation has begun and is meeting the expected production goals. More than 250 geospatial clerks at the National Processing Center have reviewed 6,625,929 blocks during Interactive Review from the beginning of production in September 2015 through October 31, 2016. This process classifies the blocks into three categories:

- Passive = blocks that do not show signs of change from previous update and need no further review at this time.
- Active = blocks that show signs of change and need to move to the next phase of In-Office Address Canvassing for further review.
- On Hold = blocks that need updated imagery prior to classification as passive or active.

As of October 31, 2016, 73.6 percent of the blocks were classified as Passive, 16.2 percent were classified as Active, and 10.2 percent were classified as On Hold.

*Address Canvassing Test*
We began the Address Canvassing Test on September 30. The sites selected include Buncombe County, North Carolina, and part of the city of St. Louis, Missouri, and we were thrilled to welcome you to Buncombe for a field observation earlier this month. These sites were selected because they provide us an opportunity to execute the Address Canvassing Operation in an urban/suburban/rural site that is experiencing both population and housing growth, and have a mix of housing types and address styles and in an urban site that has had sustained population and housing loss and recent redevelopment. Combined, the sites have over 220,000 housing units.

The goals of this test are to:

- Measure the effectiveness of In-Office Address Canvassing through In-Field Address Canvassing.
- Measure the effectiveness of In-Field Address Canvassing (process related).
- Conduct an In-Field Relisting of a sample of blocks to collect any missed adds, deletes, and quality assurance data to help refine the Quality Control Operations for the 2020 Census.

This work will be accomplished by updating over 7,500 blocks across the sites using about 144 field staff in Buncombe and 134 field staff in St. Louis, including 8 field supervisors in each location. Some of the systems we will deploy in this test include the Listing and Mapping Instrument, updated to display imagery, Mobile Case Management, optimization and automated routing, and the Census Bureau’s geospatial systems. In order to assess and accomplish the Address Canvassing Test goals, both In-Office Address Canvassing clerical staff and In-Field Address Canvassing listers will work every block in the two test sites, which allows for the comparison of results from both In-Office Address Canvassing and In-Field Address Canvassing.

The results of the Address Canvassing Test and additional research will validate our assumption of the in-field canvassing workload of approximately 25 percent of nationwide blocks in 2020.

2017 Census Test
In addition to the Address Canvassing Test, the Census Bureau has been planning for test operations in 2017 ahead of the 2018 End-to-End Census Test.

Due to funding uncertainty, on October 18 the Census Bureau announced the stoppage of work on the Puerto Rico Census Test and the field component of the 2017 Census Test. Stopping these tests is not an ideal outcome for operational risk of the 2018 End-to-End Census Test and 2020 Census, but is the best overall option remaining for the program given the funding uncertainty the program faces in fiscal year 2017.

2017 Census Test. Despite the stoppage of the field test operations in 2017, the self-response operation of the 2017 Census Test will continue. This allows the key systems and operations that must be integrated and deployed in the field in 2017 to ensure readiness for the 2018 End-to-End Census Test to remain in scope in 2017 testing.

Scheduled to occur with an April 1, 2017 Census day nationwide, we plan to conduct a test of the self-response operations and systems over a sample of at least 80,000 housing units across the country. Foremost, this will allow us to test the Internet self-response system, with a Spanish language option, and Operational Control Systems integrated with the Census Questionnaire Assistance and non-ID processing operations, as well as the ability to provision and run in a Cloud. These key systems and operations must be integrated and tested ahead of the 2018 End-to-End Census Test. We will be able to test the feasibility of collecting tribal enrollment information.

2018 End-to-End Census Test
The 2018 End-to-End Census Test is the final major field test prior to the beginning of the 2020 Census. It is scheduled with an April 1, 2018 Census day, but field operations will begin in August 2017 with the Address Canvassing operation. We will be conducting our 2018 End-to-End Census Test in at least three areas: Pierce County, Washington; Providence County, Rhode Island; and the Bluefield-Beckley-Oak Hill area of West Virginia. Collectively, the test on these three sites will cover about 770,000 housing units.
As mentioned earlier in my testimony, due to the decision to stop work on the 2017 field test operations, we will evaluate the feasibility from a cost and risk perspective of moving the 2017 field testing in Puerto Rico and tribal lands to 2018. This would potentially add approximately 131,000 housing units to the total for 2018.

The reason the 2018 End-to-End Census Test is so important is that it allows the Census Bureau to prove-in our design and validate that we are ready for the 2020 Census. In it, we will test and validate nearly all 2020 Census operations, procedures, systems, and field infrastructure together to ensure proper integration and conformance with functional and non-functional requirements. We will also produce a prototype of our geographic and data release products. Using our experiences in the 2018 End-to-End Census Test and any lessons learned, we will finalize plans for all operations and make any necessary adjustments to ensure readiness for the 2020 Census.

**Integrated Master Schedule**

The last time I testified, we had a discussion on the Census Bureau’s Integrated Master Schedule (IMS), and I am happy to report a copy of the 2020 Census IMS was provided to this committee after the June hearing. We continue to share the Integrated Master Schedule with GAO on a monthly basis, and would be happy to continue to share it with you on a monthly basis.

The Census Bureau maintains schedule alignment between the 2020 Census Program and all of its corporate service providers at the agency, including the Census Enterprise Data Collection and Processing system (CEDCaP), through a single integrated master schedule. The 2020 Census Program Integrated Master Schedule (IMS) drives the schedule for all corporate service providers that support the program based on the key milestones. The IMS is the single schedule that all projects, including those managed by corporate service providers, interact with in order to provide status on their work on a weekly basis. Project teams may have their own detailed schedules to support day-to-day tasks in order to support the timelines necessary to meet the 2020 Census milestones. Those detailed schedules are linked to the IMS though the 2020 key milestone dates.
The 2020 Census Program IMS is developed and maintained using Primavera scheduling software capable of handling the complex requirements of the program, which falls in line with GAO recommendations. This work is guided by the 2020 Census Schedule Management Plan.

As part of the 2020 Census Program's Monthly Status Report (MSR) process, the Census Bureau provides an executive status report on the program's scheduled activities. The MSR, after review with the Department of Commerce and the Office of Management and Budget, is provided to a variety of stakeholders, including the CJS Appropriations Subcommittee staff, GAO and Office of the Inspector General.

I want to assure you the Census Bureau is ready and on-time with our systems and operations. Let me go into further detail.

**Systems Development and Operational Readiness**

**2020 Census Architecture and Infrastructure Transition**

As part of establishing a framework for the technology solutions for the 2020 Census Program, the Census Bureau's Information Technology Directorate has provided overall guidance for the enterprise architecture and standards for the development of the 2020 Census Business Solution Architecture. The solution architecture defines the systems required for the successful conduct of the 2020 Census, how these systems interact, and how the enterprise systems (i.e. CEDCaP) support the 2020 Census Program. The 2020 Census Business Solution Architecture defines data flows, interoperability, interfaces, scalability requirements, and systems to be deployed in the Cloud environment. The Census Bureau has completed a set of documents to ensure alignment of the 2020 Census Business Solution Architecture with the 2020 Census Operation plan. These documents are described below.

While the 2020 Census Business Solution Architecture and the architectural framework allow us to understand what we will need in support of various 2020 Census Operations, the 2020 Census Enterprise Architecture and Infrastructure Transition plan allows us to understand the end state (the target state), when we need to have all of the solutions in place for the end state, and how we get from current state to end state.
As such, the 2020 Census Enterprise Architecture and Infrastructure Transition Plan is aligned with the 2020 Census Operational Plan, with a phased approach to support each of the Census Tests, and finally the 2020 Census. The individual Census Tests and activities demonstrate the progress in implementing the Business, Application, Information, IT Infrastructure, Security, and Quality domains transition.

The 2020 Census Architecture consists of multiple enterprise programs, including CEDCaP. Moving towards a target solution that meets the business requirements, the 2020 Census Architecture’s transition milestones align with the CEDCaP program milestones and transition activities, as well as other IT infrastructure roadmap timelines.

**2020 Census Architecture Incremental Transition Model**

Through a strategic approach, the transition is phased and promoted incrementally until the target state. For each Census Test and eventually the 2020 Census, a specific solution architecture is developed, verified, and validated by the appropriate stakeholders.

Leveraging the outcome of each test, new capabilities are introduced, enhancements are made, system performance and scalability are evaluated, and security is verified – all while ensuring that the milestones for each test are met.
The 2020 Census Architecture Incremental Transition Model (above) illustrates the phased testing approach supported by detailed operation plans, goals, objectives and success criteria, and importantly the business requirements as the control. The enabling technologies such as Service Oriented Architecture, Cloud and Mobile are the mechanisms.

The 2020 Census Enterprise Architecture and Infrastructure Transition plan is part of a broader set of plans, road maps, and architecture definitions, including the CEDCaP Segment Architecture and the CEDCaP Transition plan.

**How the Transition Plan Relates**

The 2020 Census Operational Plan documents the current operational design for conducting the 2020 Census. It includes a set of design decisions that drive how the 2020 Census will be conducted. The operational design also drives the requirements for IT capabilities and acquisitions.

The 2020 Census Architecture defines the target solution architecture with systems and their interfaces in support of the 2020 Census operations. It defines the infrastructure needed to handle the large scale of the 2020 Census. It also provides guidance on the development of systems that comprise the solution architecture, and communicates the architectural principles to be considered when developing or providing the capabilities for the 2020 Census.

Similarly, the CEDCaP Segment Architecture defines the target solution architecture for CEDCaP systems that will support the 2020 Census.

The 2020 Census Integration and Implementation plan provides a framework and milestones for engineering planning, and communicates key dates to project teams at the solution component level.
The CEDCaP Transition Plan, in alignment with the 2020 Census Enterprise Architecture and Infrastructure Transition plan and the 2020 Census Integration and Implementation plan, provides the framework and milestones for CEDCaP components.

Significant Contract Awards
Since I last testified, the 2020 Census Program has awarded four significant contracts to ensure the success of systems integration, operational readiness, and well conceived communications and outreach. We also have additional awards planned in the upcoming months.

2020 Census Questionnaire Assistance
In July, we awarded the Census Questionnaire Assistance (CQA) Contract, which will be the key way in which self-responders communicate with the Census Bureau over the phone and the Internet. This solution, which will be integrated with the full 2020 Census system of systems, will provide full service capability for two primary functions. The first is to assist respondents by providing information about specific items on the census form and answering general questions related to the census. The second is to provide a new option for respondents to complete a Census interview over the phone. Through CQA, when the public calls our 1-800 numbers we will actively help them to complete their questionnaire via the phone. This contract was awarded to General Dynamics Information Technology, which brings a management team familiar with the conduct of this operation from prior censuses.
2020 Census Integrated Communications

In August, the Census Bureau also awarded the Integrated Communications Contract. To support the national headcount in 2020, the Census Bureau is planning an integrated communications program to increase awareness of and participation in the 2020 Census. Effective and strategic communications with many diverse audiences will be crucial to the success of the 2020 Census, including everything from educating the public about the Census to maximizing response rates. This includes creating awareness and facilitating participation among all racial and ethnic groups across the Nation. The contract covers important research and data analytics; marketing; advertising; public relations; partnership support; emerging communications technologies; and project management. The Census Bureau selected the vendor Young & Rubicam, who provided services for the Census 2000 Program.

2020 Census Technical Integrator

In August, we also awarded a Technical Integrator contract. The Technical Integration contract supports all design and architecture engineering and integration activities for the 2020 Census Program – for example the integration of the system of systems for 2020. Additionally, this contract supports all the infrastructure planning and design for the data center capability (both physical and Cloud), the Regional Census and Area Census Offices, and any other designated locations. As part of determining the data center capability, the contractor will ensure our readiness for scalability of all systems and use of Cloud infrastructure, as well as provide design and disaster recovery solutions for the 2020 Census system of systems. Lastly, the Technical Integrator contract provides resources for specialized expertise in areas, such as fraud detection and security. The contract was awarded to T-Rex, which is partnered with several other companies including Leidos (formerly Lockheed Martin’s IT Business) and Accenture¹, to bring to bear these important services for 2020. Of note, the management team of T-Rex has demonstrated experience on prior censuses, both within the U.S. and internationally.

Census Schedule A Human Resources Payroll System (C-SHaRPS)

¹ Other T-Rex subcontractors include: Z, Inc, General Dynamics Information Technology, SES, Whirlwind Technologies, LLC, Vidoori, and Octo.
Lastly, the C-SHaRPS contract will provide services to automate the recruiting, hiring, onboarding and separation of our Schedule A temporary staff, who work as address listers and enumerators in the field. These automated activities will replace decades-old manual processes for these activities, which frustrated both applicants and hiring managers. On October 28 we announced the award to CSRA using the Department of Commerce Support Services Initiative - Service Desk Technology & Support Blanket Purchase Agreement, and earlier this month we issued the initial call order.

**Upcoming Contract Awards**

Additionally, during the past six months, the Census Bureau conducted extensive market research to inform development of the “decennial device as a service” contract. This contract allows the Census Bureau to lease smartphones as the predominant mobile device for enumeration and address canvassing. This contract vehicle will ensure the best local telecommunication carrier when available, and will cover the mobile device provisioning, shipping, storage, and disposition. Note, we awarded a smaller “device as a service” contract as part of the testing in 2016 to better understand requirements and capabilities for the contract, which is expected to be awarded in February 2017 for the 2018 End-to-End Census Test and the 2020 Census program.

**Content**

There are several important initiatives for establishing the content for the 2020 Census Programs, which includes the American Community Survey (ACS) – the long-form data for the 2020 Census.

We are currently working to finalize the content that will appear on the questionnaires in the 2020 Census, having undertaken extensive research and testing as well as stakeholder consultations. The topics for the 2020 Census and ACS are due to Congress by the statutory deadline of April 1, 2017. Following the 2017 Census Test and additional consultations in 2017, we will make final determinations about the questions that will appear on the 2020 Census and ACS and submit to Congress by the statutory deadline of April 1, 2018. The following sections detail where we are in researching 2020 Census content.
2015 National Content Test

During the fall of 2015, the Census Bureau undertook a critical mid-decade study to explore ways to improve our race/ethnicity questions and to better measure and represent our Nation’s myriad racial/ethnic identities. Over the past year, our research team has shared and discussed plans for testing different question designs, explained the research study plan and goals, and participated in numerous dialogues about the research plans and community feedback.

This research, the 2015 National Content Test (NCT), has provided the means for refining successful strategies to address known race and ethnicity reporting issues. The NCT builds upon the important work of the 2010 Census Alternative Questionnaire Experiment (AQE) Research on Race and Hispanic Origin and addresses racial/ethnic community feedback on improving data for our Nation’s growing and diversifying populations.

The ultimate goal of this research is to improve the question design and data quality for the 2020 Census, while addressing community concerns that we have heard over the past several years, including the call for more detailed, disaggregated data for our diverse American experiences as Germans, Mexicans, Koreans, and myriad other identities.

This fall, we released the preliminary findings from the 2015 NCT research and have discussed our insights with Census Bureau advisory groups, community leaders, and the public. In early October, we convened two virtual webinars with our Census advisory committees.

On October 3, we discussed the results with our Census National Advisory Committee (NAC) on Racial, Ethnic, and Other Populations. That same week, on October 6, we discussed the results with our Census Scientific Advisory Committee. In addition, on Friday, October 28, we presented the NCT results publicly at the quarterly 2020 Census Program Management Review. We also presented the NCT results at the NAC semi-annual meeting on November 3.

We continue to discuss the research findings with our advisors, stakeholders, and the public, to address their questions and receive their feedback. We are working with the Office of Management and Budget to finalize our plans for the March 2018 Congressional submission of
our final questions for the 2020 Census. Together with OMB and our fellow federal statistical agencies, we will continue to investigate these topics for improving federal data on race and ethnicity as the OMB solicits public feedback through the Federal Register Notice process to review particular components of the current standards for data on race and ethnicity.

I am confident that the 2015 NCT research results provide a strong foundation for collecting 2020 Census data, which will more accurately reflect our diverse racial/ethnic communities in the United States.

**Tribal Consultations**

Another aspect in our preparations for the 2020 Census are the tribal consultations we have held across the country since 2015. The consultations are a critical part of overall communication and outreach efforts directed at ensuring an accurate, cost-effective population count in 2020. I am personally involved in our tribal consultations and I am excited about the collaboration we have had and will continue to have with tribal leaders.

Based on lessons learned from our 2007 tribal consultation meetings we began our tribal consultations two years earlier than last decade. The first round of consultation began in October 2015 and went through March 2016, with eight consultations around the country. We concluded with a national webinar on April 7, 2016. We began our second round of followup meetings in September and they will continue through this month. Building awareness about the importance of the 2020 Census is essential in motivating response to the census in communities across our diverse Nation, including the American Indian and Alaska Native population both on and off tribal lands.

We are keen to build on our government-to-government relationship to receive feedback. During our consultations, we have heard from tribal leaders on topics such as outreach and promotion, data collection operations, content, geography and others.

In response to extensive discussion regarding the importance of tribal enrollment data during the 2007 American Indian and Alaska Native Tribal Consultations and a formal request from the
U.S. Department of Housing and Urban Development (HUD), the Census Bureau committed to testing the feasibility of a tribal enrollment question in a Census environment. The Census Bureau is currently exploring the feasibility of collecting data on tribal enrollment through a combination of qualitative and quantitative testing. The qualitative testing consisted of focus groups and cognitive interviews.

At this time, we have made no decision about adding the tribal enrollment question to the 2020 Census. We are testing the feasibility of collecting the information and we are still in consultations with the tribes and other agencies.

**Residence Criteria**

We have been working on our plans for the 2020 Residence Criteria and Situations. In May 2015, we issued a Federal Register notice requesting public comment on the 2010 Residence Rule and Residence Situations. We then published a Federal Register Notice on the proposed 2020 Census Residence Criteria and Situations on June 30, 2016. Public comments were accepted through September 1, 2016.

We received almost 78,000 public comments to the June 30th Federal Register Notice. We are currently evaluating these comments and we aim to have responses to the comments by the end of the year. The vast majority of the comments were on where we tabulate prisoners. The Census Bureau plans to release the final 2020 Census Residence Criteria and Residence Situations by the end of 2016.

In the 2010 Census, we tabulated prisoners at the facility where they usually lived at the time of the Census using records provided by prisons, which was consistent with the concept of usual residence. Our proposed 2020 Census Residence Criteria and Residence Situations include a proposal to continue to count prisoners at the facility where they usually lived at the time of the Census. However, we are also assessing the feasibility of counting prisoners elsewhere.
In the 2010 Census, we worked with the Department of Defense to count members of the Armed Forces and federal civilian employees serving overseas, as well as their dependents living with them, at their “home of record” for the purposes of apportionment.

Our proposed 2020 Residence Criteria and Residence Situations include a proposal to count military personnel temporarily deployed overseas at their usual residence in the United States, using administrative data from the Department of Defense. We are currently evaluating the ability to integrate these data successfully into the resident population counts.

We also proposed to continue counting military and civilian employees of the U.S. Government who are stationed or assigned outside the United States, and their dependents living with them, in their home state, also known as their “home of record,” for apportionment purposes only. We are currently evaluating public comments made in response to the Federal Register Notice on this proposal.

Throughout this process, we have engaged our key stakeholders, including Congress, by having extensive discussions about the Residence Criteria and Residence Situations. I thank the Subcommittee for your continued support and interest in our work. With your support, I am confident the Census Bureau will achieve its goal of counting everyone in America once, only once, and in the right place in 2020. I look forward to answering your questions. Thank you.
John H. Thompson  
Director, U.S. Census Bureau

John H. Thompson was sworn in as the 24th Census Bureau Director on Aug. 8, 2013.

Thompson succeeds Robert Groves, who left the Census Bureau to become provost of Georgetown University in 2012.

A statistician and executive, Thompson had been President and CEO of NORC at the University of Chicago since 2008. He served as the independent research organization’s Executive Vice President from 2002 to 2008. NORC, previously known as the National Opinion Research Center, collaborates with government agencies, foundations, education institutions, nonprofit organizations and businesses to provide data and analysis that support informed decision making in key areas including health, education, criminal justice, energy, substance abuse, mental health and the environment.

As Director, Thompson will oversee preparations for the 2020 Census and preside over more than 100 other censuses and surveys, which measure America’s people, places and economy and provide the basis for crucial economic indicators such as the unemployment rate.

Upon being confirmed, Thompson said: “As America forges its data-driven future, the Census Bureau must lead the way by tracking emerging trends, developing more efficient processes and embracing new technologies for planning and executing the surveys it conducts that are so important to the nation. A culture of innovation and adaptability will allow the Census Bureau to serve the public's needs and meet the challenges of this dynamic new environment.”

Thompson had a distinguished career at the Census Bureau from 1975 to 2002 before joining NORC. As an Associate Director, he was the senior career executive responsible for all aspects of the 2000 Census. Prior to that, Thompson served as Chief of the Decennial Management Division. He worked in the Statistical Support Division from 1987 to 1995 and the Statistical Methods Division from 1975 to 1987.

A longtime leader in the social science research community, Thompson is an elected fellow of the American Statistical Association and past chair of the association’s Social Statistics Section and Committee on Fellows. He served as a member of the Committee on National Statistics at the National Academy of Sciences. He participated as a member of the CNSTAT panel on the design of the 2010 Census Program of Evaluations and Experiments and the panel to review the 2010 Census.

He holds bachelor’s and master’s degrees in mathematics from Virginia Tech.
Census Bureau

BRIEFING MEMORANDUM

FROM: Lisa Blumerman
Associate Director for Decennial Census Programs
301-763-8050

SUBJECT: American Community Survey – Protecting funding and mandatory nature

EXECUTIVE SUMMARY

Among the three million households surveyed annually in the American Community Survey (ACS), the Census Bureau receives several hundred complaints and concerns both directly from respondents and through their elected leaders regarding respondent burden of the ACS. On several occasions, this has resulted in legislative proposals to reduce or eliminate the ACS appropriation or make costly changes to its mandatory authority. While the Census Bureau, working together with ESA leadership, has and will continue to take action to robustly address these concerns by removing questions, reducing follow-up contacts, improving survey materials and communicating the value of the data, as well as using data from other sources, new issues could still arise early in the new Administration. The Census Bureau must submit the topics covered by the ACS and 2020 Census to Congress in March 2017. This submission may provoke renewed demands from Congressional stakeholders to restrict the topics covered by the ACS, cut its budget, or make the survey voluntary. All of these will require swift intervention from Census Bureau, ESA, and Department of Commerce leadership, and potentially the White House.

BACKGROUND

The American Community Survey (ACS), which surveys a sample of 290,000 household each month, is the only source of quality, comprehensive information about our people and the socio-economic contours of our nation. This includes information on age, race, children, veterans, income, education, housing. The ACS is used extensively by our communities, businesses, and governments to make better decisions that make our country stronger.

The ACS is vital to small and large businesses to better serve the full range of markets, find workers with the needed skillsets, and inform decisions on where to invest and create jobs. Local communities rely on the ACS to locate schools, first responders, roads, and hospitals, and to target resources to areas in need of assistance. The federal government uses the ACS to distribute well over $400 billion a year in federal funding to communities, in addition to using the ACS to make government run smarter and more efficiently. There is no substitute for the ACS; it is foundational data, undergirding our nation’s data infrastructure. The ACS is a national treasure, providing needed data about who we are, and how our population is changing, and is used to make important decisions that improve the quality of life for Americans every day.

Key Challenges to Date

In recent years, the Census Bureau has received a number of complaints and concerns from respondents, privacy groups, and members of Congress about the length, personal nature of certain questions, number of times contacted, data security, and the mandatory requirement to complete the survey. This has led a few members of Congress to propose drastic measures that would either severely reduce or eliminate ACS funding, make the ACS a voluntary survey, or both. If enacted, a funding reduction would require a drastic cut to the three million household
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ACS sample, which would have a negative impact on overall data quality and severely limit the data available for small and rural communities. This loss in accuracy and timeliness would impact business and local government decision-making nationwide, and impact the allocation of Federal funds to communities. Likewise, an enacted change to make the ACS voluntary would effectively serve as a severe funding cut. Census Bureau testing has shown a noteworthy drop in self-response rate when mandatory response language is removed from ACS mailing envelopes. As such, the Census Bureau would require an additional $90 million per year in order to maintain the necessary statistical sample to continue accurate data collection from all American communities. Either of these outcomes would critically damage the integrity of the ACS data.

Congressional and Administration Stakeholders: History

House of Representatives. Due to several ACS opponents on the Commerce/Justice/Science (CJS) Appropriations Subcommittee, the FY 2013 House proposed appropriations bill included language to fully defund and de-authorize the ACS. Proposals to reduce funding and make the ACS voluntary returned in 2015 due to a vocal opponent taking over as chair of the House Appropriations CJS Subcommittee. The 2017 House bill released in May 2016 had no harmful proposals, but the current environment is not entirely clear since the provisions have often been included as floor amendments, and the bill never progressed to that stage.

Senate. The Senate has consistently protected the ACS, both under Democratic and under Republican control, but this support could change pending retirement of a long-time supporter in 2017. In both 2013, 2015, and 2016, House language and funding levels detrimental to the ACS were stripped from Senate bills, Senate reports, and ultimately enacted Omnibus bills. The 2016 Senate report included language specifically supportive of the ACS.

White House. In both 2013 and 2015, in response to proposed harmful legislation, ESA and Census Bureau leadership as well as Executive Office of the President (EOP) stakeholders at the Office of Management and Budget, Domestic Policy Council, National Economic Council, Council of Economic Advisors, Office of Public Engagement, and Office of Intragovernmental Affairs convened to coalesce support around the ACS and activate a network of vocal supporters in the event of an elevated threat of passage of legislation detrimental to the ACS.

Key Progress to Date

Despite the ACS being spared from the impact of harmful legislation in recent years, the Census Bureau understands fully that as times change, so does the need to be more nimble and flexible in the approach to the survey, respecting respondent concerns. The Census Bureau must do this in ways that continues to provide the Nation with the highest quality data on the changing population because the increasingly data-driven society depends upon it. Since 2015, the Census Bureau has implemented a plan to improve this vital survey, covering four categories:

Remove questions or ask questions less frequently. The ACS researched and removed two questions in 2015, which had high combinations of low usage/value and high perceived respondent burden. The Census Bureau also conducted workshops to tailor future research and activities in this area, including how to better measure the perceived burden of a question.

Reduce Follow-Up Contact Attempts. As ACS mail materials and Internet interface evolve, the ACS office continues to focus on reducing follow up contacts with households. A noteworthy change began in June 2016 when the Census Bureau implemented an automated stopping system for household visits, reducing those households’ respondent burden as well as complaints.

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*Improve How ACS Asks Questions.* The Census Bureau has tested multiple new approaches for reducing the size of the mail package, better wording of questions and Internet user experience, and better explaining how the data is used, and implemented the most successful ones already.

*Obtain Data from Other Sources.* The Census Bureau created expert teams to determine whether certain pieces of information the public has already provided to the government could replace current Survey questions. Reports have already been completed on the availability of alternative data on telephone service, HOA/condo fees, year of home construction, and personal income, with additional research being completed on the latter two as potential question replacements.

In addition to these four areas, the Census Bureau also has a Respondent Advocate for Household Surveys to work both with respondents and with program managers to help ensure that respondents and the burden placed upon them is always considered in the ACS. Taken together, these actions make the ACS more user-friendly and reduce respondent concerns while still maintaining the high quality data that the country demands and deserves.

**Relevant Internal Stakeholders**

- Decennial Programs and other Census Bureau directorates, particularly the Census Bureau’s Demographic Programs directorate.
- Dep. Secretary of Commerce – Received high-level memos and briefings on ACS status.
- Undersecretary of Economic Affairs – Key advocate for ACS value on the Hill.

**Relevant External Stakeholders**

- Other Federal Agencies depending on ACS data to administer programs.
- Census Project – coalition of groups advocating for high quality 2020 Census and ACS.
- Business Owners and Associations – key for business decision making.
- Local Governments – key for decision making and allocation of Federal funds.
- Privacy Groups – see above
- Congress – see above

**Relevant Inter-Agency Groups**

- Group of key stakeholders from EOP mentioned above.

**UPCOMING DEADLINES/TIMING**

The Census Bureau must meet a statutory deadline of submitting all topics for the 2020 Census and the American Community Survey to Congress by March 31, 2017. This is one year ahead of the deadline for submitting all questions for these collections to Congress. There is a chance that this once-a-decade submission of ACS content to Congress could rekindle some of the concerns that led to more serious legislative threats in 2012 and 2015, or demands for changes to ACS content. This could come through the responses to the submissions themselves or in the 2018 or 2019 appropriations processes that will soon follow these two submissions. A robust communications strategy to the public and legislative outreach strategy to Congress from Census Bureau, and ESA leadership will be necessary to convey the value of the ACS and its questions, as well as what the Census Bureau is doing to continue to modernize and otherwise address stakeholder concerns. If harmful legislation is introduced, the White House policy coalition that helped the ACS in 2015 should be reengaged in its new form in the incoming Administration and briefed on the ACS value and its legislative challenges.

Last updated: Sept. 27, 2016
FROM: Ron Jarmin  
Associate Director, Economic Programs  
301-763-8842

SUBJECT: 2017 Economic Census and Census of Governments

EXECUTIVE SUMMARY

Measuring the dynamic economy, the Census Bureau will produce an accurate, timely and cost-effective 2017 Economic Census and Census of Governments. Together, these censuses cover nearly all of the Gross Domestic Product (GDP). The Economic Census is the cornerstone of the United States’ system of economic statistics. The Census of Governments is the most comprehensive, comparable, and precise measure of government economic activity. The resulting data products provide the foundation for other key measures of economic performance. The 2017 Economic Census and Census of Governments will move to 100% Internet data collection and will leverage enterprise investments to minimize system, application, and dissemination costs. The new Administration’s support of the Census Bureau’s design innovations and its funding requests will ensure a timely, relevant, and modernized census that is the best picture of the U.S. economy.

Within the Department, the Census Bureau provides 66% of the data that the Bureau of Economic Analysis (BEA) uses to generate its flagship statistic GDP. The Census Bureau and BEA’s customers want, and will benefit from, data that is more timely and in greater detail regarding region and industry. In close collaboration with the Economic Statistics Administration (ESA) and BEA, the Census Bureau has developed a strategy to ensure the continuous improvement of the quality, scope, and timeliness of economic statistics.

BACKGROUND

2017 Economic Census

Conducted every five years, the Economic Census is the cornerstone of the nation’s system of economic statistics. The 2017 Economic Census will collect data on over 29 million establishments and provide products that are essential to understanding the modern economy. The GDP, the National Income and Product Accounts, and practically all major federal government economic statistical series are directly or indirectly dependent on the Economic Census. Moreover, the census furnishes benchmarks and sampling lists for the Census Bureau’s current surveys and provides critical updates to the Census Bureau’s official listing of businesses, the Business Register.

Key Challenges to Date

As we began planning for the 2017 Economic Census, the Census Bureau acknowledged the dynamic nature of the U.S. economy and recognized that the programs used to measure it must keep pace. To accomplish this, the Census Bureau identified four elements of an efficient and relevant Economic Census: moving to 100% Internet response, reducing the burden for businesses, automating operations to increase productivity, and improving data products to reflect the dynamic U.S. economy.
Key Progress to Date
In order to minimize respondent burden, the Census Bureau will offer expanded electronic reporting for businesses and all respondents will be asked to report electronically. Administrative records will be used to obtain information for the remaining establishments, which include smaller businesses. Research also will be conducted on using big data and other data sources in lieu of having businesses complete a survey. Additionally, Census will continue to make other infrastructure improvements that result in more efficient data collection and reduced costs. The efficiencies realized so far have resulted in containment of the projected growth of the 2017 Economic Census budget, compared to prior cycles.

Relevant Internal Stakeholders
- The Economic Programs Directorate, led by Ron Jarmin (Associate Director as of Oct. 2, 2016) and Nick Orsini (Assistant Director), provide oversight and management of the 2017 Economic Census.
- Other Census Bureau directorates, particularly the Research and Methodology directorate.

Relevant External Stakeholders
Economic Census data are used by many vested stakeholders for a multitude of purposes, including establishing benchmarks for economic indicators; helping federal, state, and local agencies gauge the effectiveness of their programs; assisting local communities; and marketing business and planning investments. Key stakeholders include:
- Bureau of Labor Statistics (BLS) – use the data to benchmark economic indicators like producer prices or labor productivity
- Small Business Administration, Chambers of Commerce, business owners – use the data to inform business decisions
- National Association for Business Economics and the National Association of Manufacturers, and other professional associations for industry, business, and economists – utilize the data for decision-making about the economy

Relevant Inter-Agency Groups
- A Census-BEA Working Group was chartered in 2016 to collaborate across agencies to support decision-making that promotes economic growth. Moreover, working groups between Census, BEA, and BLS collaborate on initiatives to improve economic statistics.
- Various long-standing working groups and collaborations between Census and the statistical agencies in Canada and Mexico exist, especially as it relates to the North American Industry Classification System and the newly developed North American Product Classification System, which will be implemented in the 2017 Economic Census.

2017 Census of Governments
Covering over 90,000 state and local government units and sub-agencies, the Census of Governments is the most comprehensive, comparable, and precise measure of government economic activity. Conducted every five years, it identifies the scope and nature of the nation’s public sector and provides authoritative benchmark figures of public finance, pensions, and
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employment. It classifies the complex and diverse state and local government organizations, powers, and activities, and measures federal, state, and local fiscal relationships.

Key Challenges to Date
Similar to the Economic Census, the Census Bureau is focusing on four elements to conduct an efficient 2017 Census of Governments: moving towards 100% electronic collection to reduce costs and increase efficiency; reducing respondent burden for state and local governments through customized data collection; automating operations to increase productivity; and improving data products to reflect the every-changing public sector activity of the U.S. economy.

Key Progress to Date
The use of administrative records and central collection methods among the states is the most cost effective way to collect the data. In the 2017 Census of Governments, the Census Bureau is taking strides to improve its methods and techniques so that costs are minimized, field data collection is lessened, and reporting burden is reduced. Additionally, the 2017 Census of Governments will expand the use of state level electronic data collection.

Relevant Internal Stakeholders
- The Economic Programs Directorate, led by Ron Jarmin (Associate Director as of Oct. 2, 2016) and Nick Orsini (Assistant Director), provide oversight and management of the 2017 Census of Governments.

Relevant External Stakeholders
- Federal Reserve Board – use the data to measure the nation’s economic and financial performance
- State and local governments – use the data to develop programs and budgets, assess financial conditions, and perform comparative analyses
- Rockefeller Institute of Government and other public policy groups – use the data to research and measure the changing characteristics of the government sector

Relevant Inter-Agency Groups
- Ongoing work between Census and BEA to improve government statistics.

UPCOMING DEADLINES/TIMING

2017 Economic Census

In FY16, content for the 2017 Economic Census was finalized. In FY17, we will work with the Office of Management and Budget to secure approval for the collection. We will also begin respondent outreach in earnest as we prepare for the Oct. 2017 start of electronic data collection. Products will be released starting with the Advance Report in Dec. 2018; economy-wide business statistics for the U.S. and all states will follow in May 2019; and more granular statistics will be released on a flow basis through 2020.

2017 Census of Governments

Collection for the 2017 Census of Governments organization component began in FY16. The Government Units Survey launched in Feb. 2016 and the information collected, along with legal
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research to identify new units, is used to update the Governments Master Address File. This forms the basis of the address frame for the remaining Census of Governments components. The Employment component will be mailed Mar. 2017 and the Finance component will begin mailing in Oct. 2017. The first products will be released in 2018 and will continue through 2020.

Last updated: Sept. 27, 2016
U.S. Census Bureau

BRIEFING MEMORANDUM

FROM: Christa D Jones
   Senior Advisor
   301-763-7310

SUBJECT: Commission on Evidence-based Policymaking

EXECUTIVE SUMMARY

The Census Bureau is providing the funding (approximately $3 million) and administrative support for the Commission on Evidence-based Policymaking (www.cep.gov). The Bureau of Economic Analysis (BEA) is also supporting the Commission by detailing a member of its staff to be the Deputy Director. The Economic and Statistics Administration (ESA) is a long-time supporter of the Census Bureau’s data infrastructure initiative and was pleased to see the Commission established. The Commission’s enabling legislation was sponsored by House Speaker Paul Ryan (WI 1) and Sen. Patty Murray (WA) (H.R. 1831) and signed by President Obama on March 30, 2016 (P.L. 114-140). By law, the Commission’s term is eighteen months. The Commission is authorized to consider how data, research and evaluation are currently accessed and used to build evidence, and how to strengthen the government’s evidence-building efforts. The Commission’s final report and recommendations for the President and the Congress, which are due September 2017, may include recommendations for substantial legislative changes relating to data access and privacy.

BACKGROUND

Key Challenges to Date

In addition to supporting the Commission, the Census Bureau also has funding to enhance its infrastructure to increase access to statistical and program data for government agencies to conduct program evaluation and for researchers. The Commission’s work is anticipated to incorporate an intensive review of the Census Bureau’s efforts. The key challenge to strengthening the Census Bureau’s data infrastructure and expanding the agency mission to include program evaluation are obtaining high value datasets, including data from the states and other federal agencies. State data requires extensive negotiations with each state, and some Federal data requires new statutory authorities, specifically the National Directory of New Hires (NDNH). Finally, to support expanded access for the evaluation of Federal programs and for researchers, the Census Bureau must deploy sound information technology (IT) and access solutions, while ensuring privacy and confidentiality protections based in law and responsive to the specific risks associated with the potential breach of personally identifiable information (PII).

Key Progress to Date

Evidence-Building: During the past decade an increasing focus on evidence-based policymaking has emerged and in the last three budget cycles, President Obama’s budget included initiatives to strengthen the Federal government’s ability to build evidence and measure performance. The Census Bureau has unique authority to access State and Federal administrative data, and commercial data, and link these to survey data for statistical purposes. The President’s FY16
budget included an initiative of $10 million for the Census Bureau to strengthen its data infrastructure. The Census has built an infrastructure that includes a wide range of Federal data resources, such as statistical data and administrative data, including data from the Internal Revenue Service and the Social Security Administration, as well as the states. The Census Bureau’s use of these data and researcher access are limited to work related to its activities. The Census Bureau implements a series of policies and safeguards throughout the data lifecycle to protect privacy and confidentiality.

The Census Bureau is currently acquiring new high value datasets, including key human service program records, such as the Supplemental Nutritional Assistance Program (SNAP) and Women, Infants and Children (WIC) Program records; producing research-ready data files with documentation and linkage keys; and provisioning linked research data files in the Federal Statistical Research Data Center (FSRDC) system. The President’s FY16 Budget also included key policy guidance about the nature of the evidence-based policymaking and its relationship to statistical purposes and activities. According to the President’s Budget, “statistical purposes include a wide-range of analytical uses.” This is an important policy recognition that can help shape future evidence-building activities on behalf of Federal agencies.

Relevant Internal Stakeholders

1. Nancy Potok, Deputy Director and Chief Operating Officer: responsible for overall direction, planning, and implementation of agency programs

2. Ron Jarmin, Associate Director Economic Programs: primary executive responsible for divisions and personnel associated with acquiring and provisioning economic statistical data and key administrative datasets, including Federal Tax Information, as well as the initiative to expand the Census Bureau’s data infrastructure

3. Amy O’Hara, Chief, Center for Administrative Records Research and Application: division chief directly responsible for efforts to expand data infrastructure and expanding access to data to assist Federal program agencies and research community in evaluating human services programs

4. The Census Bureau works in strong collaboration with ESA and BEA

Relevant External Stakeholders

1. Katharine G. Abraham and Ron Haskins, Chair and Co-Chair, and the Commissioners: ultimately, the Commission’s recommendations may shape the direction of the Census Bureau’s mission and its ability to facilitate program evaluation on behalf of Federal agencies. The Commission includes members such as Bruce Meyer, PhD; Robert Groves, PhD, former Director of the Census Bureau; and Paul Ohm, JD; as well as other leaders from academia and the non-profit and private sectors.

2. House Ways and Means Committee: the Commission’s enabling legislation was introduced when Speaker Ryan was serving as Chair of the House Ways and Means Committee; staff remain highly engaged and interested in efforts to promote evidence-building and expanded access to researchers. Expanded access to key Federal agency data requiring legislative changes, specifically NDNH, fall under the jurisdiction of this Committee.
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3. Senate Finance and Health, Education, Labor & Pensions Committees: staff of these Committees are engaged with the Commission and access to key Federal agency data requiring legislative changes, fall under the jurisdiction of these Committees.


Relevant Inter-Agency Groups

1. FSRDC Governance Board: responsible for the shared governance of the FSRDC system, which is a key mechanism for providing researcher access to Federal statistical and program data. Includes representatives of the Federal statistical system and other program agencies.

NEXT STEPS/UPCOMING DEADLINES/TIMING

TBD: 2017 Commission Meeting Dates (not available)
September 7, 2017: Commission Report
September 30, 2017: Commission Authorization Ends

Last updated: Sept. 27, 2016