

LIBRARY OF CONGRESS

FISCAL 2021 BUDGET JUSTIFICATION

SUBMITTED FOR USE OF THE COMMITTEES ON APPROPRIATIONS



LIBRARY

LIBRARY OF CONGRESS



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LIBRARY OF CONGRESS OVERVIEW

FISCAL 2021

The Library of Congress is submitting its fiscal 2021 appropriations request in alignment with the strategic goals set forth in the fiscal 2019-2023 Strategic Plan: Expand access, enhance services, optimize resources, and measure impact. A recently released implementation roadmap serves as a guide to monitor and evaluate progress — and ultimately achieve — the four strategic goals.

With significant congressional support, the Library has moved forward in the past several years to modernize and optimize its operations in ways that fulfill the strategic goals and direction. The Congressional Research Service's (CRS's) next-generation Integrated Research and Information System (IRIS), for example, is well underway. A U.S. Copyright Office (USCO) Recordation system, replacing the existing paper-based process, will be pilot tested in spring 2020 as part of copyright IT modernization efforts. IT centralization is now complete under the Office of the Chief Information Officer (OCIO). The Library is on schedule to complete the Data Center Transformation project in fiscal 2020, transitioning data center operations from the aging primary data center in the Madison Building to a hybrid-hosting model. The new hosting model will ensure that the Library has a secure, flexible, efficient and stable foundation for its technology needs for the next generation.

Modernization advancements extend beyond IT systems. Replacement of the second of four quadrants of Law Library shelving, installed in 1981 and now nearly unusable, is complete, with replacement for the third quadrant (Quad B) requested in fiscal 2021. Storage modules at Ft. Meade are providing a 21st century, environmentally optimized, lower cost way to preserve more physical collections. The Library's world-class preservation experts have examined their preservation activities and we are recommending rebalancing our preservation strategies. Master planning for the Visitor Experience, now underway, will incorporate state-of-the-art audiovisual and interactive elements to capture the interest of contemporary audiences. The Center on Exhibits and Interpretation and the Center on Learning, Literacy and Engagement, created last year, are bringing innovation to the way the Library connects to users, physically and digitally. In another example, even the name change for the NLS, now known as the National Library Service for the Blind and Print Disabled, replaces outdated language and reflects modernization in the ways NLS serves its users.

Organizational changes that support modernization and optimization are now in place. In fiscal 2020, the Library Collections and Services Group was established as a PPA (Program, Project, or Activity) bringing into better alignment the "library" components – Library Services, the Law Library, and the NLS, along with the John W. Kluge Center and the Intern and Fellowship Program. Each unit remains distinct, but the grouping leverages expertise and processes across the organizations, creating economies of scale and strengthening collaboration and a coordinated vision.

The 2021 Congressional Budget Justification continues a sequence of strategically planned modernization efforts of all types across the enterprise. Specific advances and initiatives in this budget request are:

Science and Technology Research Capacity (\$1.933 million/12 FTE)

- Increase the depth and breadth of CRS's capacity to provide research and policy analysis on current and emerging legislative issues related to science and technology, including cybersecurity, natural resources, renewable fuels, climate change, and federal uses and oversight of science and technology, among others. Recommended in a National Academy of Public Administration study, conducted as directed in conference report HR 115-929, the added expertise will allow CRS to meet the growing need of Congress for timely, complex, and multidisciplinary analysis of policy issues related to these rapidly changing technologies, the role of the federal government, and the effects of federal policies across all sectors.

Rebalancing Preservation Strategies (\$0.000 million)

- Realign \$5.5 million in preservation program funding that currently support mass methods and assign those funds to other approaches to address the 21st century challenges presented by the Library's diverse and growing holdings, including the exponential growth in digital collections. Mass deacidification methods, developed in the late 1980s, will have reached the significant milestone of having treated 90 percent of our top-priority materials by the end of fiscal 2020. Today, however, mass deacidification methods cost 2.8 times more than environmentally optimized storage, which has comparable preservation outcomes for a much wider range of materials. New methods are now available to address an old problem – the varied types of damage and deterioration that occur over the lifecycle of the Library's

expansive, multi-format collections. The request dedicates \$2.5 million to preservation needs in the physical collections that mass deacidification cannot address, including conservation of the Library's most significant artifacts and reformatting of fragile and irreplaceable items. A further \$3 million in realigned funding will support the content management and information technology infrastructure necessary to preserve the digital collections.

Law Library Replacement Shelving (\$4.370 million available over four years)

- Replace and upgrade, over four years, compact shelving in Quad B, the third of four quadrants housing the Law Library's collections in the Madison Building subbasement. Installed in 1981, the existing shelving is well past its 25-year lifespan. Although the moveable shelving was retrofitted in 2001/2002 with a hand-crank system, the shelving has become misaligned and unstable, and some rows are now too narrow for staff to enter. There are no replacement parts. New, state-of-the-art shelving for Quad B will address personnel safety issues, allow access to the materials on the misaligned ranges, and free up storage space by replacing units that are now unusable. The shelving houses the world's largest and most comprehensive collection of international, foreign, national, and comparative legal resources occupying the equivalent of 1.5 football fields.

Automated Records Management (\$1.861 million/2 FTE)

\$1.193 million non-recurs in fiscal 2024.

- Acquire, implement and maintain an electronic records management system (ERMS) to manage the archiving of all Library of Congress permanent records digitally. As mandated under the updated Federal Records Act and the 2018 Government Reform Plan, after 2022, The National Archives and Records Administration (NARA) will no longer accept paper records from federal agencies. The Library has thousands of linear feet of hard copy records and terabytes of digital records stored throughout the agency, containing an array of temporary, permanent, and vital records. The ERMS will centralize and automate records creation, storage, and disposition for key offices in the Library, including the Office of the Librarian and the Office of the General Counsel. An ERMS will also allow the Library to meet GSA standards for electronic records management solutions and Universal Electronic Records Management Requirements from NARA.

eAcquisition and Contract Management (\$1.379 million)

\$295,000 non-recurs in fiscal 2022.

- Streamline and modernize the Library's contracting processes and workflow by replacing the current paper-based system with a central electronic repository. Hard copy contract folders are currently stored and only accessible in the Contracts and Grants Directorate. An eAcquisition solution will make easily searchable records accessible by all parties, not only by contracting officers but also by legal counsel, and contracting officer's representatives (CORs), financial management staff and project managers in the service units. eAcquisition will also allow service unit staff to develop acquisition packages electronically rather than manually. An eAcquisition application will leverage the core technologies of digitization, document management, and data visualization to reduce manual labor, streamline business processes, and employ data-driven analysis for more efficient and effective acquisition planning and execution.

Copyright Fee Realignment (shift in spending authority)

- Request to shift USCO Copyright Basic budget authority from offsetting collections to increased net discretionary appropriations totaling \$4.214 million due to a projected user fee collections shortfall in fiscal 2021. The shortfall, which is projected to occur beyond fiscal 2021, is the result of the passage of the Music Modernization Act of 2018 (MMA), which drastically reduced the volume of filings of Notices of Intention (NOI) to make and distribute phonorecords under 17 U.S.C. § 115. In fiscal 2019, USCO experienced an annual collections shortfall of \$4.214 million, which reduced the Copyright Basic obligational authority by that amount. USCO is closely monitoring the pace of collections to further its understanding of the full impact of MMA implementation and any price structure changes.

Copyright Royalty Judges Staffing (\$0.865 million/3 FTE)

- Increase staffing with an economist and two paralegals to assist with increased workload generated by the Music Modernization Act of 2018 (MMA) which assigned additional responsibilities to the Copyright Royalty Judges (CRJ) program. Additionally CRJ has experienced increases in the numbers of cases requiring adjudication, as well as the complexity of those cases. Additions to CRJ staff, previously restricted, are now possible through a legislative proviso in the fiscal 2020 enacted appropriations bill that removed the statutory FTE cap on CRJ support staff from U.S.C. Title 17.

Music Modernization Act (MMA) Staffing (\$0.711 million/3 FTE)

- Provide staffing to implement the requirements of the MMA to engage in public education and other outreach activities to inform interested members of the public and songwriters about the process by which a copyright owner may claim ownership of musical works before the “mechanical licensing collective” is created under the MMA. A supervisory public affairs specialist, and attorney-advisor, and a paralegal will conduct educational programs, provide materials at conferences and music events, develop written materials and content for the Copyright Office web site, and create online tutorials and webinars.

Paid Internship Program (\$0.899 million/1 FTE)

- Increase the number of paid vs. unpaid internship opportunities to provide access to a broader and more inclusive talent pool reflecting wider socioeconomic status. The request aligns with Congress’ intent to increase paid internship programs on Capitol Hill as well as a national trend to reduce or eliminate unpaid internships. Library internship programs provide valuable experiential learning and career development opportunities for students, recent graduates and scholars. Currently, unpaid internships average 200, almost double the number of paid internships the Library is able to offer. The request includes permanent funding for 38 interns under the Library’s signature, visible Junior Fellows Program, which has been primarily supported in the past by non-appropriated funds, and is now highly dependent on the sustainment of those greatly diminished funds. Since the inception of the program, Junior Fellows have identified hundreds of historical, literary, artistic, cinematic and musical gems from the Library’s collections.

Cybersecurity Enhancements (\$3.925 million)

\$2.519 million non-recurs in fiscal 2022.

- Implement cybersecurity enhancements to protect congressional and other digital high-value assets, including sensitive information from CRS, the Law Library, and the USCO. The cyber threat to the Library and legislative branch data has escalated steadily over the last decade, with increasingly complex attacks regularly identified and prevented. The request will help the Library stay ahead of the growing sophistication of the most advanced and persistent threats by maintaining and maturing a comprehensive suite of cybersecurity tools and training. Cybersecurity has been designated a top priority by Library leadership and congressional oversight. The Library has been working with the Legislative Branch Cyber Security Working Group, which includes staff from the House of Representatives and Senate, to establish and implement additional cybersecurity best practices and shared threat intelligence and mitigation.

Personnel Security Case Management System re-request (\$1.106 million)

\$763,000 non-recurs in fiscal 2022 and \$75,000 in fiscal 2024.

- Automate and streamline the existing manual process used by the Library to perform personnel security functions. A new commercial-off-the-shelf system will support the entire lifecycle of the Library’s personal security management functions including capturing data related to all aspects of pre-appointments, suitability determinations, security clearance processing, briefings, foreign travel, foreign contacts and other relevant data points of interest. The Personnel Security Division annually initiates over 600 full background investigations and reviews nearly 1,300 criminal/credit checks.

Customer Relationship Management Solution re-request (\$1.25 million)

\$400,000 non-recurs in fiscal 2022 and \$600,000 in fiscal 2023.

- Implement an enterprise-wide Customer Relationship Management (CRM) solution, an approach to ensuring the most efficient management of the critical relationships between the Library and current and future users and stakeholders. Current manual methods, primarily spreadsheets, are often outdated and suffer from a lack of quality control. The CRM service will enable Library staff to efficiently manage contact and engagement information and improve relationships with users and stakeholders. An enterprise CRM will connect Library user information end-to-end with minimal IT involvement and set a path for sharing information and services, better service to their customers and greater user satisfaction.

Workstation Centralization Support request (\$0.058 million)

- Provide workstations, including laptops, for the fiscal 2021 FTE requested as part of the centralized consistent approach to workstation procurement under OCIO. Robust, centralized procurement will maintain an average age of four or five years for each workstation and provide upgrades with the latest technologies to increase productivity. Centralization also improves workstation management and accountability.

Library User Data Strategy re-request (\$1.134 million/2 FTE)

\$523,000 will non-recur in fiscal 2022 and \$261,000 in fiscal 2023.

- Establish a robust data and analytics capability, with processes, methodologies, and subject matter expertise needed to consistently and strategically identify, capture, analyze, and make decisions on data from its users' needs and quality of experiences, in alignment with the Library's strategic plan. A user data strategy will be developed to guide its approach to data and analytics programs moving forward, and select data and analytics pilot projects will be executed based on the strategy. A permanent Data & Analytics team will be created to support all Library units in design and execution of user data strategy projects.

In closing, the fiscal 2021 budget request reflects a set of priorities that necessarily guide the Library's service into the future. In a time of extraordinary change, in technology and in society, the Library has a responsibility to preserve and use its resources for the greatest benefit now and for those who will come after us. Our request to rebalance the Library's preservation program reflects the need to be good stewards of both the Library's collections and the taxpayers' dollars. All of these requests further the modernization efforts of recent years as well as expand access, in person and digitally, to the remarkable assets assembled by this country, with the consistent support of the Congress, since 1800.

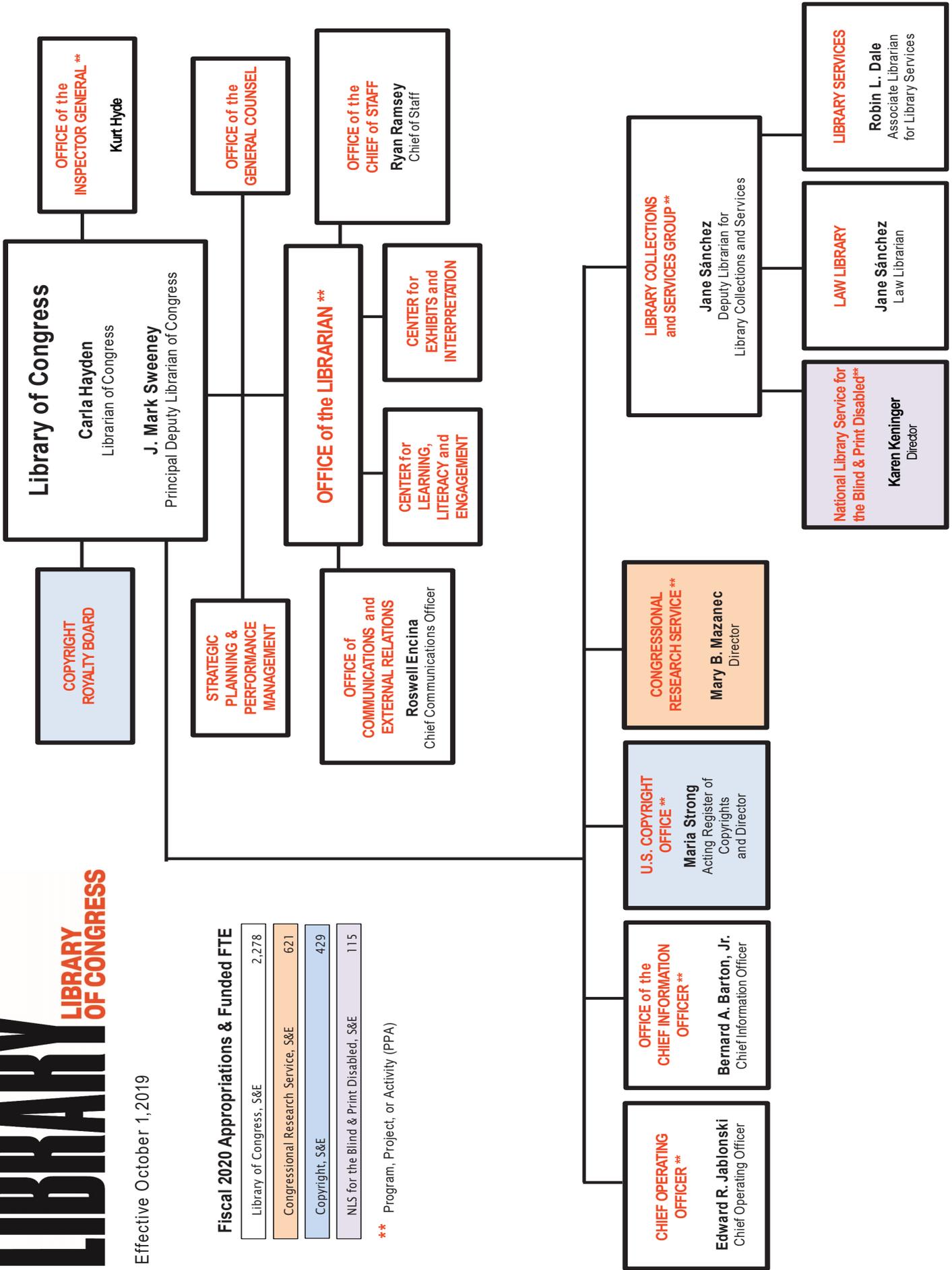
LIBRARY OF CONGRESS

Effective October 1, 2019

Fiscal 2020 Appropriations & Funded FTE

| | |
|---|-------|
| Library of Congress, S&E | 2,278 |
| Congressional Research Service, S&E | 621 |
| Copyright, S&E | 429 |
| NLS for the Blind & Print Disabled, S&E | 115 |

** Program, Project, or Activity (PPA)





SUMMARY TABLES

LIBRARY OF CONGRESS

Library of Congress Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2019 | | | | Fiscal 2020 Enacted Budget | | Fiscal 2021 Request Total | | Fiscal 2020/2021 Net Change | | Percent Change |
|--|----------------|-------------------|--------------------|-------------------|----------------------------|-------------------|---------------------------|-------------------|-----------------------------|------------------|----------------|
| | Operating Plan | | Actual Obligations | | Funded FTE | \$ | Funded FTE | \$ | Funded FTE | \$ | |
| | Funded FTE | \$ | FTE Usage | \$ | | | | | | | |
| Library of Congress, S&E | | | | | | | | | | | |
| Office of the Librarian | 203 | \$ 42,914 | 189 | \$ 38,709 | 197 | \$ 50,292 | 199 | \$ 53,605 | 2 | \$ 3,313 | 6.6% |
| Office of the Chief Operating Officer | 285 | 78,021 | 250 | 82,618 | 293 | 82,274 | 293 | 88,229 | 0 | 5,955 | 7.2% |
| Library Collections and Services Group | 0 | 0 | 0 | 0 | 1,413 | 241,294 | 1,414 | 259,643 | 1 | 18,349 | 7.6% |
| Office of the Chief Information Officer | 289 | 117,528 | 282 | 113,120 | 361 | 126,314 | 363 | 138,902 | 2 | 12,588 | 10.0% |
| Library Services | 1,314 | 220,900 | 1,227 | 217,256 | 0 | 0 | 0 | 0 | 0 | 0 | 0.0% |
| Law Library | 88 | 17,343 | 86 | 17,145 | 0 | 0 | 0 | 0 | 0 | 0 | 0.0% |
| Office of the Inspector General | 14 | 3,346 | 12 | 3,362 | 14 | 3,991 | 14 | 4,203 | 0 | 212 | 5.3% |
| Total Budget, LC, S&E | 2,193 | \$ 480,052 | 2,047 | \$ 472,210 | 2,278 | \$ 504,164 | 2,283 | \$ 544,582 | 5 | \$ 40,418 | 8.0% |
| Cataloging Distribution Services | | (6,000) | | | | (6,000) | | (6,000) | | 0 | 0.0% |
| Total Appropriation, LC, S&E | 2,193 | \$ 474,052 | 2,047 | \$ 472,210 | 2,278 | \$ 498,164 | 2,283 | \$ 538,582 | 5 | \$ 40,418 | 8.1% |
| Copyright Office, S&E | | | | | | | | | | | |
| COP Basic | 400 | \$ 85,823 | 395 | \$ 71,907 | 400 | \$ 83,990 | 403 | \$ 85,792 | 3 | \$ 1,802 | 2.1% |
| COP Licensing | 23 | 5,755 | 20 | 4,009 | 23 | 5,952 | 23 | 6,232 | 0 | 280 | 4.7% |
| COP Royalty Judges | 6 | 1,829 | 5 | 1,711 | 6 | 1,898 | 9 | 2,867 | 3 | 969 | 51.1% |
| Total, COP, S&E | 429 | \$ 93,407 | 420 | \$ 77,627 | 429 | \$ 91,840 | 435 | \$ 94,891 | 6 | \$ 3,051 | 3.3% |
| COP Basic Off. Coll. | | (39,218) | | (27,036) | | (39,218) | | (35,004) | | 4,214 | -10.7% |
| COP Basic Unobligated Bal. | | (4,328) | | (2,686) | | (4,003) | | (3,000) | | 1,003 | -25.1% |
| COP Licensing Off. Coll. | | (5,755) | | (4,009) | | (5,952) | | (6,232) | | (280) | 4.7% |
| COP Royalty Judges Off. Coll. | | (517) | | (473) | | (530) | | (546) | | (16) | 3.0% |
| Total Appropriation, COP, S&E | 429 | \$ 43,589 | 420 | \$ 43,422 | 429 | \$ 42,137 | 435 | \$ 50,109 | 6 | \$ 7,972 | 18.9% |
| Congressional Research Service, S&E | | | | | | | | | | | |
| CRS, S&E | 621 | \$ 125,688 | 604 | \$ 125,574 | 621 | \$ 120,495 | 633 | \$ 129,516 | 12 | \$ 9,021 | 7.5% |
| Books for the Blind and Print Disabled, S&E | | | | | | | | | | | |
| BBPD, S&E | 113 | \$ 52,783 | 103 | \$ 52,432 | 115 | \$ 58,563 | 115 | \$ 60,639 | 0 | \$ 2,076 | 3.5% |
| Total Resource Summary, LC | | | | | | | | | | | |
| Total Budget | 3,356 | \$ 751,930 | 3,174 | \$ 727,843 | 3,443 | \$ 775,062 | 3,466 | \$ 829,628 | 23 | \$ 54,566 | 7.0% |
| Total Offsetting Collections | 0 | (55,818) | 0 | (36,485) | 0 | (55,703) | 0 | (50,782) | 0 | 4,921 | -8.8% |
| Total Appropriations, LC | 3,356 | \$ 696,112 | 3,174 | \$ 691,358 | 3,443 | \$ 719,359 | 3,466 | \$ 778,846 | 23 | \$ 59,487 | 8.3% |

**Library of Congress
Resource Summary
Analysis of Change
(Dollars in Thousands)**

| Appropriation/PPA | Fiscal 2020 Enacted Budget | Mandatory Pay Increases | Price Level | Sub-total | Non- Recur | Current Services Request | Program Increases | Total Net Change | Fiscal 2021 Total Request |
|--|----------------------------------|-------------------------------|----------------|-----------------|------------------|--------------------------------|----------------------|------------------------|------------------------------------|
| | | | | | | | | | |
| Library of Congress, S&E | | | | | | | | | |
| Office of the Librarian | \$50,292 | \$1,944 | \$235 | \$2,179 | \$0 | \$52,471 | \$1,134 | \$3,313 | \$53,605 |
| Office of the Chief Operating Officer | 82,274 | 2,412 | 1,707 | 4,120 | (650) | 85,744 | 2,485 | 5,955 | 88,229 |
| Library Collections and Services Group | 241,294 | 11,334 | 1,747 | 13,080 | 0 | 254,374 | 5,269 | 18,349 | 259,643 |
| Office of Chief Information Officer | 126,314 | 3,952 | 1,542 | 5,494 | 0 | 131,808 | 7,094 | 12,588 | 138,902 |
| Office of Inspector General | 3,991 | 188 | 24 | 212 | 0 | 4,203 | 0 | 212 | 4,203 |
| Total Budget, LC, S&E | \$504,164 | \$19,831 | \$5,255 | \$25,086 | (\$650) | \$528,600 | \$15,982 | \$40,418 | \$544,582 |
| CDS | (6,000) | 0 | 0 | 0 | 0 | (6,000) | 0 | 0 | (6,000) |
| Total Approp, LC, S&E | \$498,164 | \$19,831 | \$5,255 | \$25,086 | (\$650) | \$522,600 | \$15,982 | \$40,418 | \$538,582 |
| Copyright Office, S&E | | | | | | | | | |
| COP Basic | \$83,990 | \$2,451 | \$742 | \$3,194 | (\$2,103) | \$85,081 | \$711 | \$1,802 | \$85,792 |
| COP Licensing | 5,952 | 209 | 72 | 280 | 0 | 6,232 | 0 | 280 | 6,232 |
| COP Royalty Judges | 1,898 | 85 | 19 | 104 | 0 | 2,002 | 865 | 969 | 2,867 |
| Total, Budget, CO, S&E | \$91,840 | \$2,745 | \$833 | \$3,578 | (\$2,103) | \$93,315 | \$1,576 | \$3,051 | \$94,891 |
| Basic Offsetting Collections | (39,218) | 0 | (1) | (1) | 0 | (39,219) | 0 | 4,214 | (35,004) |
| Basic Prior Year Unobligated Balance | (4,003) | 0 | 0 | 0 | 0 | (4,003) | 0 | 1,003 | (3,000) |
| Licensing Offsetting Collections | (5,952) | (209) | (72) | (280) | 0 | (6,232) | 0 | (280) | (6,232) |
| CRJ Offsetting Collections | (530) | 0 | (16) | (16) | 0 | (546) | 0 | (16) | (546) |
| Total, Approp, CO, S&E | \$42,137 | \$2,536 | \$745 | \$3,281 | (\$2,103) | \$43,315 | \$1,576 | \$7,972 | \$50,109 |
| Congressional Research Service, S&E | | | | | | | | | |
| CRS, S&E | \$120,495 | \$6,617 | \$471 | \$7,088 | \$0 | \$127,583 | \$1,933 | \$9,021 | \$129,516 |
| Books for the Blind and Print Disabled, S&E | | | | | | | | | |
| BBPD, S&E | \$58,563 | \$968 | \$1,108 | \$2,076 | \$0 | \$60,639 | \$0 | \$2,076 | \$60,639 |
| Total, Library of Congress | | | | | | | | | |
| Total Budget | \$775,062 | \$30,161 | \$7,666 | \$37,828 | (\$2,753) | \$810,137 | \$19,491 | \$54,566 | \$829,628 |
| Total Offsetting Collections | (55,703) | (209) | (88) | (297) | 0 | (56,000) | 0 | 4,921 | (50,782) |
| Total Appropriations | \$719,359 | \$29,952 | \$7,578 | \$37,531 | (\$2,753) | \$754,137 | \$19,491 | \$59,487 | \$778,846 |

**Library of Congress
Summary by Object Class**

(Dollars in Thousands)

| Object Class | Fiscal 2019 | | Fiscal 2020 Enacted Budget | Fiscal 2021 Request Total | Fiscal 2020/2021 Net Change | Percent Change |
|---|-------------------|-----------------------|----------------------------------|---------------------------------|-----------------------------------|-------------------|
| | Operating Plan | Actual Obligations | | | | |
| 00.0 Lapse Reserve | \$500 | \$0 | \$500 | \$500 | \$0 | 0.0% |
| Total, Lapse Reserve | \$500 | \$0 | \$500 | \$500 | \$0 | 0.0% |
| 11.1 Full-time permanent | \$335,685 | \$325,470 | \$355,747 | \$372,951 | \$17,204 | 4.8% |
| 11.3 Other than full-time permanent | 6,948 | 5,875 | 6,948 | 7,224 | 276 | 4.0% |
| 11.5 Other personnel compensation | 6,419 | 5,867 | 6,419 | 6,663 | 245 | 3.8% |
| 11.8 Special personal services payment | 455 | 166 | 455 | 472 | 17 | 3.8% |
| 12.1 Civilian personnel benefits | 115,547 | 106,175 | 116,296 | 132,936 | 16,641 | 14.3% |
| 13.0 Benefits for former personnel | 162 | 300 | 162 | 165 | 2 | 1.5% |
| Total, Pay | \$465,216 | \$443,851 | \$486,026 | \$520,412 | \$34,386 | 7.1% |
| 21.0 Travel & transportation of persons | \$ 2,009 | \$ 1,560 | \$ 2,009 | \$ 2,073 | \$64 | 3.2% |
| 22.0 Transportation of things | 459 | 279 | 459 | 472 | 13 | 2.8% |
| 23.1 Rental payments to GSA | 4,722 | 4,609 | 4,722 | 5,052 | 330 | 7.0% |
| 23.2 Other Services | 3,419 | 2,654 | 3,419 | 3,491 | 72 | 2.1% |
| 23.3 Communication, utilities & misc charges | 16,829 | 15,550 | 18,926 | 19,730 | 804 | 4.2% |
| 24.0 Printing & reproduction | 3,376 | 3,533 | 3,376 | 3,673 | 297 | 8.8% |
| 25.1 Advisory & associate services | 69,003 | 70,085 | 63,575 | 71,894 | 8,319 | 13.1% |
| 25.2 Other services | 38,638 | 32,526 | 53,539 | 55,289 | 1,750 | 3.3% |
| 25.3 Other purch of goods & services from gov acc | 35,168 | 40,365 | 25,508 | 26,495 | 987 | 3.9% |
| 25.4 Operation & maintenance of facilities | 8,516 | 8,744 | 8,516 | 8,729 | 213 | 2.5% |
| 25.5 Research and Development Contracts | 515 | 15 | 515 | 528 | 13 | 2.5% |
| 25.6 Medical Care | 135 | 173 | 135 | 138 | 3 | 2.5% |
| 25.7 Operation & maintenance of equipment | 18,001 | 18,935 | 18,005 | 18,781 | 776 | 4.3% |
| 25.8 Subsistence and Support of Persons | 58 | 18 | 58 | 60 | 1 | 2.5% |
| 26.0 Supplies & materials | 8,311 | 7,933 | 8,311 | 8,959 | 648 | 7.8% |
| 31.0 Equipment | 69,263 | 69,707 | 69,416 | 75,099 | 5,684 | 8.2% |
| 41.0 Grants, subsidies & contributions | 7,570 | 6,132 | 7,825 | 8,020 | 196 | 2.5% |
| 42.0 Insurance claims & indemnities | 0 | 163 | 0 | 0 | 0 | 0.0% |
| 44.0 Refunds | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 94.0 Financial Transfers | 222 | 1,012 | 222 | 233 | 11 | 5.0% |
| Total, Non-Pay | \$ 286,214 | \$ 283,992 | \$ 288,536 | \$ 308,716 | \$ 20,180 | 7.0% |
| Total, Library of Congress | \$ 751,930 | \$ 727,843 | \$ 775,062 | \$ 829,628 | \$ 54,566 | 7.0% |

Library of Congress Analysis of Change

(Dollars in Thousands)

| | Fiscal 2021 Agency Request | |
|---|-------------------------------|------------------|
| | Funded | |
| | FTE | Amount |
| Fiscal 2020 Enacted Budget | 3,443 | \$775,062 |
| Non-recurring Costs: | | |
| Public Records & Recordation | | (1,100) |
| Warehouse Move Preparation | | (1,003) |
| Financial Services Optimization & Modernization | | (650) |
| Total, Non-recurring Costs | 0 | (2,753) |
| Mandatory Pay and Related Costs: | | |
| Locality-based comparability pay raise January 2021 @ 3.00% | | 4,167 |
| Annualization of January 2020 pay raise @ 3.52% | | 10,655 |
| Within-grade increases | | 2,110 |
| One extra day, 262 vs. 261 | | 1,852 |
| Foreign Service Nationals (FSN) pay adjustment | | 293 |
| Fiscal 2019 - 2020 FERS pay increase | | 6,847 |
| Fiscal 2020 - 2021 FERS pay increase | | 4,237 |
| Total, Mandatory Pay and Related Costs | 0 | 30,161 |
| Price Level Changes | | 7,666 |
| Program Increases: | | |
| Library Data Strategy | 2 | 1,134 |
| Personnel Security Case Management System | | 1,106 |
| Enterprise Relationship Management Solution | | 1,250 |
| Paid Internship Program | 1 | 899 |
| Automated Records Management System | 2 | 1,861 |
| Cyber Security Enhancements | | 3,925 |
| Workstation Procurement | | 58 |
| eAcquisition Application and Contract Management | | 1,379 |
| Compact Shelving Replacement - Quad B | | 4,370 |
| Music Modernization Act Staffing | 3 | 711 |
| Copyright Royalty Judges Staffing | 3 | 865 |
| Science and Technology Research Capacity | 12 | 1,933 |
| Total, Program Increases | 23 | 19,491 |
| Net Increase/Decrease | 23 | 54,566 |
| Total Budget | 3,466 | \$829,628 |
| Total Offsetting Collections | 0 | (50,782) |
| Total Appropriation | 3,466 | \$778,846 |

**Library of Congress
Staffing Summary - On-Board/FTEs**

| Direct Funded by Appropriation/PPA | On-Board | FTEs | | | | |
|--|---|------------------------------------|---------------------------|--------------------------------------|-------------------------------------|-----------|
| | Fiscal 2019 Year-end Actual Staff | Fiscal 2019 Actual FTE Usage | Fiscal 2020 Funded FTE | Fiscal 2021 Funded FTE Request | Fiscal 2021 Total FTE Request | Change |
| Library of Congress, S&E | | | | | | |
| Office of the Librarian | 203 | 189 | 197 | 2 | 199 | 2 |
| Office of the Chief Operating Officer | 285 | 250 | 293 | 0 | 293 | 0 |
| Library Collections and Services Group | 0 | 0 | 1,413 | 1 | 1,414 | 1 |
| Office of Chief Information Officer | 289 | 282 | 361 | 2 | 363 | 2 |
| Library Services | 1,314 | 1,227 | 0 | 0 | 0 | 0 |
| Law Library | 88 | 86 | 0 | 0 | 0 | 0 |
| Office of the Inspector General | 14 | 12 | 14 | 0 | 14 | 0 |
| Total, Library of Congress, S&E | 2,193 | 2,047 | 2,278 | 5 | 2,283 | 5 |
| Copyright Office, S&E | | | | | | |
| COP Basic | 400 | 395 | 400 | 3 | 403 | 3 |
| COP Licensing | 23 | 20 | 23 | 0 | 23 | 0 |
| COP CRJ | 6 | 5 | 6 | 3 | 9 | 3 |
| Total, Copyright Office, S&E | 429 | 420 | 429 | 6 | 435 | 6 |
| Congressional Research Service, S&E | | | | | | |
| CRS, S&E | 621 | 604 | 621 | 12 | 633 | 12 |
| Books for the Blind and Print Disabled, S&E | | | | | | |
| BBPD, S&E | 113 | 103 | 115 | 0 | 115 | 0 |
| Total, Library of Congress | | | | | | |
| Total, Library of Congress | 3,356 | 3,174 | 3,443 | 23 | 3,466 | 23 |

Library of Congress
Fiscal 2021 Supplemental Data on Mandatory Pay Increases
(Dollars in Thousands)

| Category | LC, S&E | CO, S&E | CRS, S&E | BBPH, S&E | Total |
|---|-----------------|----------------|----------------|--------------|-----------------|
| 1. Jan. 2021 Locality-based Comparability Pay Raise | \$ 4,205 | \$ 1,226 | \$ 2,300 | \$ 323 | \$ 8,053 |
| 2. Annualization of Jan. 2020 Raise | 5,264 | 479 | 899 | 126 | 6,769 |
| 3. Within-grade increases | 1,403 | 238 | 411 | 57 | 2,110 |
| 4. One Extra Day | 1,768 | 150 | 407 | 106 | 2,432 |
| 5. Foreign Service Nationals (FSN) Pay Adjustment | 293 | 0 | 0 | 0 | 293 |
| 6. FERS Pay Adjustment | 6,897 | 651 | 2,600 | 356 | 10,504 |
| Total Mandatory Pay Increases | \$19,831 | \$2,745 | \$6,617 | \$968 | \$30,161 |

Explanation of Calculations

1. January 2021 pay raise calculated at 2.25% of pay base. (Pay Rate of 3.0% X 9 months or 75%).
2. Annualization of January 2020 pay raise calculated at .088% of pay base. (Actual rate of 3.52% X 3 months or 25%).
3. Within-grade (WIG) increases calculated against current on-board staff eligible for WIGs during fiscal 2020.
4. One extra day. Fiscal 2020 has 261 days and fiscal 2021 has 262 days.
5. Pay adjustment for overseas foreign service nationals. Computation based on individual country inflation rates, provided by IMF DataMapper Dataset World Economic Outlook. Country rates used for fiscal 2021 are as follows: Brazil - 3.8%; Egypt – 7.2%; Kenya - 5%; India - 4.1%; Pakistan – 8.3%; and Indonesia - 3.1%.
6. FERS Contribution increase of 2.3% for 2020, and a 1.3% for 2021.

Library of Congress
Fiscal 2021 Supplemental Data on Price Level Increases
(Dollars in Thousands)

| Category | LC, S&E | CO, S&E | CRS, S&E | BBPH, S&E | Total |
|--|----------------|--------------|--------------|----------------|----------------|
| 1. General inflationary increase | \$4,477 | \$833 | \$471 | \$1,108 | \$6,888 |
| 2. Field Office inflationary increase | 238 | 0 | 0 | 0 | 238 |
| 3. Acquisitions of library materials inflation | 541 | 0 | 0 | 0 | 541 |
| Total Price Level Increases | \$5,255 | \$833 | \$471 | \$1,108 | \$7,666 |

Explanation of Calculations

1. General inflationary increase calculated using CBO rate of 2.5% of non-pay base for fiscal 2020 (except as noted below).
2. Inflationary non-pay increase for overseas field offices Computation based on individual country inflation rates, provided by IMF DataMapper Dataset World Economic Outlook. Country rates used for fiscal 2020 are as follows: Brazil – 3.8%; Egypt – 7.2%; Kenya - 5%; India - 4.1%; Pakistan – 8.3%; and Indonesia - 3.1%.
3. Inflationary rate for acquisition of library materials determined by annual study and/or actual historical rates. Rates used for fiscal 2019 are as follows: Books for the Law Library - 2.71%; Books for the General Collections (GENPAC) - 2.87%.

Library of Congress

Total Funds Available - All Sources

(Dollars in Thousands)

| | Fiscal 2019 Actual | Fiscal 2020 Budget | Fiscal 2021 Request |
|--|-----------------------|-----------------------|------------------------|
| Total Appropriations | | | |
| Library of Congress | \$691,358 | \$719,359 | \$778,846 |
| AOC - Library Buildings and Grounds | 68,525 | 55,746 | 111,193 |
| Subtotal, Appropriations | \$759,883 | \$775,105 | \$890,039 |
| Receipts (Actual Collected and Estimated) | | | |
| Sales of catalog cards and publications | \$ 2,281 | \$ 6,000 | \$ 6,000 |
| Collections to Global Legal Information Network | 0 | 0 | 0 |
| Copyright fees | 27,036 | 39,218 | 35,004 |
| Copyright basic prior year unobligated balances | 2,686 | 4,003 | 3,000 |
| Licensing and CRJ fees | 4,482 | 6,482 | 6,778 |
| Subtotal, Receipts | \$ 36,485 | \$ 55,703 | \$ 50,782 |
| Non-Appropriated Funds | | | |
| Gift and Trust Funds ¹ | \$ 21,240 | \$ 19,399 | \$ 22,283 |
| Revolving Fund Revenue (Actual & Estimated) | 71,956 | 228,075 | 246,652 |
| Reimbursable Activities (Actual & Estimated) | 3,237 | 3,900 | 5,900 |
| Subtotal, Non-Appropriated Funds | \$ 96,433 | \$ 251,374 | \$ 274,835 |
| Total Funds Available | | | |
| Total | \$892,801 | \$1,082,182 | \$1,215,656 |

Library of Congress

Statement of Receipts

(Dollars in Thousands)

| | Fiscal 2019 Actual | Fiscal 2020 Estimate | Fiscal 2021 Estimate |
|--|-----------------------|-------------------------|-------------------------|
| Statement of Receipts, Treasury Department General Fund Account | | | |
| Other miscellaneous receipts | \$4,340 | \$2,500 | \$2,500 |
| Total Receipts into General Fund Account | \$4,340 | \$2,500 | \$2,500 |
| Statement of Receipts, Payments to Copyright Owners | | | |
| Receipts from fees, Digital audio recording devices and media (DART) | \$ 13 | \$ 13 | \$ 13 |
| Receipts from interest on investments in public debt securities (DART) | - | - | - |
| Total Receipts into Special Fund Account | \$ 13 | \$ 13 | \$ 13 |

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

Library of Congress, Salaries & Expenses Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2019 | | | | Fiscal 2020 Enacted Budget | | Fiscal 2021 | | Fiscal 2020/2021 Net Change | | Percent Change |
|---|----------------|-------------------|--------------------|-------------------|----------------------------|-------------------|---------------|-------------------|-----------------------------|-----------------|----------------|
| | Operating Plan | | Actual Obligations | | | | Request Total | | | | |
| | Funded FTE | \$ | FTE Usage | \$ | Funded FTE | \$ | Funded FTE | \$ | Funded FTE | \$ | |
| Office of the Librarian | 203 | \$ 42,914 | 189 | \$ 38,709 | 197 | \$ 50,292 | 199 | \$ 53,605 | 2 | \$3,313 | 6.6% |
| Office of the Chief Operating Officer | 285 | 78,021 | 250 | 82,618 | 293 | 82,274 | 293 | 88,229 | 0 | 5,955 | 7.2% |
| Library Collections and Services Group | 0 | 0 | 0 | 0 | 1,413 | 241,294 | 1,414 | 259,643 | 1 | 18,349 | 0.0% |
| Office of the Chief Information Officer | 289 | 117,528 | 282 | 113,120 | 361 | 126,314 | 363 | 138,902 | 2 | 12,588 | 10.0% |
| Library Services | 1,314 | 220,900 | 1,227 | 217,256 | 0 | 0 | 0 | 0 | 0 | 0 | 0.0% |
| Law Library | 88 | 17,343 | 86 | 17,145 | 0 | 0 | 0 | 0 | 0 | 0 | 0.0% |
| Office of the Inspector General | 14 | 3,346 | 12 | 3,362 | 14 | 3,991 | 14 | 4,203 | 0 | 212 | 5.3% |
| Total Budget, LC, S&E | 2,193 | \$ 480,052 | 2,047 | \$ 472,210 | 2,278 | \$ 504,164 | 2,283 | \$ 544,582 | 5 | \$40,418 | 8.0% |
| Cataloging Distribution Services | | (6,000) | | | | (6,000) | | (6,000) | 0 | 0 | 0.0% |
| Total Appropriation, LC, S&E | 2,193 | \$ 474,052 | 2,047 | \$ 472,210 | 2,278 | \$ 498,164 | 2,283 | \$ 538,582 | 5 | \$40,418 | 8.1% |

**Library of Congress, Salaries & Expenses
Summary By Object Class**

(Dollars in Thousands)

| Object Class | Fiscal 2019 | | Fiscal 2020 Enacted Budget | Fiscal 2021 | Fiscal 2020/2021 Net Change | Percent Change |
|---|-------------------|-----------------------|----------------------------------|-------------------|-----------------------------------|-------------------|
| | Operating Plan | Actual Obligations | | Request Total | | |
| 00.0 Lapse Reserve | \$500 | \$0 | \$500 | \$500 | \$0 | 0.0% |
| Total, Lapse Reserve | \$500 | \$0 | \$500 | \$500 | \$0 | 0.0% |
| 11.1 Full-time permanent | \$218,802 | \$206,317 | \$233,149 | \$243,447 | \$10,299 | 4.4% |
| 11.3 Other than full-time permanent | 4,864 | 4,060 | 4,864 | 5,057 | 193 | 4.0% |
| 11.5 Other personnel compensation | 3,387 | 3,871 | 3,387 | 3,515 | 127 | 3.8% |
| 11.8 Special personal services payment | 370 | 166 | 370 | 385 | 15 | 4.0% |
| 12.1 Civilian personnel benefits | 71,455 | 68,281 | 72,101 | 82,667 | 10,566 | 14.7% |
| 13.0 Benefits for former personnel | 100 | 237 | 100 | 100 | 0 | 0.4% |
| Total, Pay | \$298,978 | \$282,932 | \$313,970 | \$335,170 | \$21,200 | 6.8% |
| 21.0 Travel & transportation of persons | \$ 1,380 | \$ 1,023 | \$ 1,380 | \$ 1,420 | \$40 | 2.9% |
| 22.0 Transportation of things | 383 | 253 | 383 | 394 | 11 | 2.9% |
| 23.1 Rental payments to GSA | 1,771 | 1,771 | 1,771 | 2,028 | 256 | 14.5% |
| 23.2 Other Services | 2,429 | 2,348 | 2,429 | 2,499 | 70 | 2.9% |
| 23.3 Communication, utilities & misc charges | 15,289 | 14,408 | 17,289 | 18,047 | 758 | 4.4% |
| 24.0 Printing & reproduction | 2,001 | 2,121 | 2,001 | 2,051 | 50 | 2.5% |
| 25.1 Advisory & associate services | 48,228 | 50,475 | 42,800 | 50,653 | 7,853 | 18.3% |
| 25.2 Other services | 23,565 | 21,731 | 34,457 | 37,626 | 3,169 | 9.2% |
| 25.3 Other purch of goods & services from gov acc | 13,316 | 20,388 | 14,275 | 15,040 | 765 | 5.4% |
| 25.4 Operation & maintenance of facilities | 8,508 | 8,723 | 8,508 | 8,721 | 213 | 2.5% |
| 25.5 Research and Development Contracts | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 25.6 Medical Care | 135 | 173 | 135 | 138 | 3 | 2.5% |
| 25.7 Operation & maintenance of equipment | 14,668 | 15,860 | 14,668 | 15,057 | 389 | 2.6% |
| 25.8 Subsistence and Support of Persons | 8 | 0 | 8 | 8 | 0 | 2.5% |
| 26.0 Supplies & materials | 2,869 | 2,604 | 2,869 | 3,365 | 496 | 17.3% |
| 31.0 Equipment | 38,233 | 40,126 | 38,674 | 43,611 | 4,937 | 12.8% |
| 41.0 Grants, subsidies & contributions | 7,570 | 6,132 | 7,825 | 8,020 | 196 | 2.5% |
| 42.0 Insurance claims & indemnities | 0 | 128 | 0 | 0 | 0 | 0.0% |
| 44.0 Refunds | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 94.0 Financial Transfers | 222 | 1,012 | 222 | 233 | 11 | 5.0% |
| Total, Non-Pay | \$ 180,574 | \$ 189,278 | \$ 189,694 | \$ 208,912 | \$ 19,218 | 10.1% |
| Total, Library of Congress, S&E | \$ 480,052 | \$ 472,210 | \$ 504,164 | \$ 544,582 | \$ 40,418 | 8.0% |

Library of Congress, Salaries & Expenses Analysis of Change

(Dollars in Thousands)

| | Fiscal 2021 Agency Request | |
|---|-------------------------------|------------------|
| | Funded | |
| | FTE | Amount |
| Fiscal 2020 Enacted Budget | 2,278 | \$504,164 |
| Non-recurring Costs: | | |
| Financial Services Optimization & Modernization | _____ | (650) |
| Total, Non-recurring Costs | 0 | (650) |
| Mandatory Pay and Related Costs: | | |
| Locality-based comparability pay raise January 2021 @ 3.00% | | 4,205 |
| Annualization of January 2020 pay raise @ 3.52% | | 5,264 |
| Within-grade increases | | 1,403 |
| One extra day, 262 vs. 261 | | 1,768 |
| Fiscal 2019 - 2020 FERS pay increase | | 4,416 |
| Fiscal 2020 - 2021 FERS pay increase | | 2,481 |
| Foreign Service Nationals (FSN) pay adjustment | | 293 |
| Total, Mandatory Pay and Related Costs | 0 | 19,831 |
| Price Level Changes | | 5,255 |
| Program Increases: | | |
| Paid Internship Program | 1 | 899 |
| Library Data Strategy | 2 | 1,134 |
| Automated Records Management System | 2 | 1,861 |
| Personnel Security Case Management System | | 1,106 |
| Cyber Security Enhancements | | 3,925 |
| Enterprise Relationship Management Solution | | 1,250 |
| eAcquisition Application and Contract Management | | 1,379 |
| Compact Shelving Replacemenet - Quad B | | 4,370 |
| Workstation Procurement | | 58 |
| Total, Program Increases | 5 | 15,982 |
| Net Increase/Decrease | 5 | 40,418 |
| Total Budget | 2,283 | \$544,582 |
| Total Offsetting Collections | 0 | (6,000) |
| Total Appropriation | 2,283 | \$538,582 |



Office of the Librarian

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

Office of the Librarian Summary By Object Class

(Dollars in Thousands)

| Object Class | Fiscal 2019 | | Fiscal 2020 Enacted Budget | Fiscal 2021 | Fiscal 2020/2021 Net Change | Percent Change |
|---|-------------------|-----------------------|----------------------------------|------------------|-----------------------------------|-------------------|
| | Operating Plan | Actual Obligations | | Request Total | | |
| 00.0 Lapse Reserve | \$500 | \$0 | \$500 | \$500 | \$0 | 0.0% |
| Total, Lapse Reserve | \$500 | \$0 | \$500 | \$500 | \$0 | 0.0% |
| 11.1 Full-time permanent | \$23,431 | \$21,606 | \$21,971 | \$23,066 | \$1,095 | 5.0% |
| 11.3 Other than full-time permanent | 544 | 550 | 544 | 564 | 20 | 3.8% |
| 11.5 Other personnel compensation | 259 | 281 | 246 | 255 | 9 | 3.7% |
| 11.8 Special personal services payment | 300 | 166 | 300 | 312 | 12 | 4.0% |
| 12.1 Civilian personnel benefits | 8,037 | 7,214 | 7,559 | 8,713 | 1,154 | 15.3% |
| 13.0 Benefits for former personnel | 0 | 0 | 0 | 0 | 0 | 0.0% |
| Total, Pay | \$32,570 | \$29,817 | \$30,620 | \$32,910 | \$2,290 | 7.5% |
| 21.0 Travel & transportation of persons | \$ 343 | \$ 152 | \$ 324 | \$ 332 | \$8 | 2.5% |
| 22.0 Transportation of things | 12 | 2 | 12 | 12 | 0 | 2.5% |
| 23.1 Rental payments to GSA | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 23.2 Other Services | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 23.3 Communication, utilities & misc charges | 220 | 183 | 209 | 214 | 5 | 2.5% |
| 24.0 Printing & reproduction | 0 | 286 | 283 | 290 | 7 | 2.5% |
| 25.1 Advisory & associate services | 297 | 862 | 299 | 307 | 8 | 2.6% |
| 25.2 Other services | 704 | 1,235 | 10,649 | 11,459 | 810 | 7.6% |
| 25.3 Other purch of goods & services from gov acc | 1,116 | 197 | 175 | 179 | 4 | 2.6% |
| 25.4 Operation & maintenance of facilities | 175 | 0 | 0 | 0 | 0 | 0.0% |
| 25.5 Research and Development Contracts | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 25.6 Medical Care | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 25.7 Operation & maintenance of equipment | 172 | 162 | 172 | 177 | 4 | 2.5% |
| 25.8 Subsistence and Support of Persons | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 26.0 Supplies & materials | 145 | 156 | 139 | 143 | 3 | 2.5% |
| 31.0 Equipment | 189 | 625 | 184 | 189 | 5 | 2.5% |
| 41.0 Grants, subsidies & contributions | 6,471 | 5,033 | 6,726 | 6,894 | 168 | 2.5% |
| 42.0 Insurance claims & indemnities | 0 | 0 | 0 | 0 | 0 | 0.0% |
| Total, Non-Pay | \$ 9,844 | \$ 8,892 | \$ 19,172 | \$ 20,195 | \$ 1,023 | 5.3% |
| Total, Office of the Librarian | \$ 42,914 | \$ 38,709 | \$ 50,292 | \$ 53,605 | \$ 3,313 | 6.6% |

Office of the Librarian Analysis of Change

(Dollars in Thousands)

| | Fiscal 2021 Agency Request | |
|---|-------------------------------|-----------------|
| | Funded | |
| | FTE | Amount |
| Fiscal 2020 Enacted Budget | 197 | \$50,292 |
| Non-recurring Costs: | 0 | 0 |
| Mandatory Pay and Related Costs: | | |
| Locality-based comparability pay raise January 2021 @ 3.00% | | 398 |
| Annualization of January 2020 pay raise @ 3.52% | | 542 |
| Within-grade increases | | 139 |
| One extra day, 262 vs. 261 | | 89 |
| Fiscal 2019 - 2020 FERS pay increase | | 495 |
| Fiscal 2020 - 2021 FERS pay increase | | 281 |
| Total, Mandatory Pay and Related Costs | 0 | 1,944 |
| Price Level Changes | | 235 |
| Program Increases: | | |
| Library Data Strategy | 2 | 1,134 |
| Total, Program Increases | 2 | 1,134 |
| Net Increase/Decrease | 2 | 3,313 |
| Total Budget | 199 | \$53,605 |
| Total Offsetting Collections | 0 | 0 |
| Total Appropriation | 199 | \$53,605 |

Fiscal 2021 Program Changes: \$ 1.134 million

Library Data Strategy:

\$1.134 million/ 2 FTE

To fulfill the commitments of its strategic plan, the Library must become adept at measurement and evaluation of user-centered operations, and is requesting \$1.134 million in fiscal 2021 to establish the development of a data and analytics capability within the Library. This effort includes developing a user data strategy to guide its approach to data and analytics programs moving forward, executing select user data and analytics pilot projects from the strategy, and standing up a permanent, centralized data analytics group to support all agency units in design and execution of user data strategy projects. The funding request includes \$350,000 for two FTE to staff a new Data & Analytics team, and temporary funding of \$784,000 for contracting support to develop the data strategy and execute select pilots. Temporary contracting support will non-recur in fiscal years 2022 and 2023, \$523,000 and \$261,000 respectively.

Initial staffing and associated responsibilities are as follows.

1. Supervisory Data Analyst (one – GS 14)

Responsible for initiating the group, overseeing the contract for the data strategy, hiring an additional team member, and working with organizational units to create and lead an agency-wide community of practice.

2. Data Analyst (one – GS 13)

Responsible for designing, developing, and using data collection instruments; gathering data from external sources; integrating and analyzing data; and reporting trends, conclusions, and potential impacts.

This team will be a part of the Library's Strategic Planning and Performance Management (SPPM) office, the Director of which reports directly to the Librarian of Congress.

In the *2019-2023 Library of Congress Strategic Plan: Enriching the Library Experience*, the Library has committed to both a user-centered direction forward and to applying a data-driven approach to prioritizing investments to implement this strategy.

In addition, as encouraged by Congressional Members, staff and in the March 2017 Office of the Inspector General's (OIG) Semiannual Report to Congress, the Library has specifically set a strategic goal of measuring impact in its strategic plan. This is defined as "Using data to measure our impact on the world around us and share a powerful story." However, as also noted by the OIG, the Library does not have the processes, methodologies, or subject matter expertise needed to consistently and strategically identify, capture,

analyze, and make decisions on data from its users' needs and quality of experiences. Gaining a robust capability in this area is essential to planning and executing a user-centered approach. Additionally, while discrete groups within the Library collect important data about the Library's collections and key workflows, these activities and the data captured often do not contribute to workflow management nor are they fully integrated into decision making. Data assimilated only at these levels is focused on the *outputs* of workflows rather than on *outcomes* or *impact*, thus curtailing the Library's ability to quantify and analyze the return made on its varied investments and, therefore, optimizing where resources should be placed next.

The Value of Data & Analytics to the Library and its Users

Beyond capturing and tracking data, a data analytics capability supports the discovery and communication of meaningful patterns in data, and the ability to develop actionable insights that are applicable to management functions (e.g. collections development and management), improving services and meeting user requirements (e.g. recommendation services, collections discovery), and, ultimately, measuring an organization's impact (demonstrating value, improving outcomes).

In accordance with the strategic plan, throughout the Library's operations, the Library is especially interested in a robust analytics capability to ensure:

- A greater understanding and execution of Congressional Members and staff needs and preferences;
- The development of a deeper, more intimate understanding of users and non-users, and to better understand what data points are relevant and meaningful to inform actions that will improve in-person and remote experiences and services; as well as communicate in an interest based way, leading to stronger connections and more positive user responses;
- A robust priority setting capability for new offerings or services and to provide input for development of new or optimization of existing platforms; and identify and project trends, patterns, and shifts in behavior and determine how to respond;
- The development of more effective Library services and systems to identify how researchers get their information and engage with services and systems, and how they perceive their satisfaction and dissatisfaction with the services and systems;

- Determine what improvements to make for exhibition layouts and better use of space, and then measure the result of the actions taken to determine the return on investment by analyzing how visitors and users interact with and move through Library exhibits; understand the optimal integration of online and in-person experiences, for example through the interplay of pre-visit digital analytics, facility traffic monitoring, program participation, and satisfaction surveys; and report on the success and impact of programs, exhibits, and events to expand and engage the Library's funder base; and
- Better predict and prepare for visitor and user levels. For example, currently, the Capitol Visitor Center uses analytics to predict visitor numbers, allowing them to better prepare for visitor levels (e.g. ensure appropriate staffing levels).

Approach

Given this is a new area of expertise for the Library, and in keeping with peer organizations practices and the OIG's July 2018 report on the Library's strategic planning and performance management approach, external subject matter expertise is necessary to develop the Library's path forward and launch this capability.

As such, the planned approach requires engaging expertise to perform a central, agency-wide study of current user data and analytics practices; develop a data and analytics strategy that builds efficiencies across the Library service units' user-centered data needs while building awareness and understanding of data and analytics concepts and approaches throughout the Library; and design and pilot select projects from the plan to rapidly increase internal capability maturity.

Development of the Library's data strategy and executing pilot projects, is expected to take approximately 15 months, and includes activities over two phases of work. Phase I includes:

- Identifying the current state of user-oriented data, analytics, and metrics across the Library ; inventory existing data, analytics, and metrics captured and used across the Library, including source, owners, description, reporting, use, and supporting platforms and systems;
- Defining the desired state of user data and metric objectives collaboratively with service units, determining priorities based on the Library's strategic plan and service unit directional plan priorities and timelines, and validating these priorities; and
- Developing the Library's User Data, Analytics, and

Metrics Strategy, including determining the effort needed to modify existing and build new data and metric approaches, outlining performance measurement impact on employees and data collection recommendations, and creating the future state metrics; recommending data approaches and strategies important to the immediate, mid-term and long-term execution of the Library's Strategic Plan; determining the effort needed to modify or build metrics for these priorities in a data plan, to include recommendations for collecting, assessing, and responding to data, such as personnel, IT, and other needs, and recommending specific recommendations that the Library can take action on immediately.

Phase II of the work includes developing an execution plan based upon the key priorities defined in the User Data Strategy; and implementing Data Pilots identified in Phase I intended to rapidly increase internal capability maturity.

While an assessment of the Library's current state as well as the opportunities and implications moving forward require the expertise of individuals familiar with the details, progress, and opportunities that come from this science, the Library cannot continue to rely on outside expertise. Libraries, museums, archives, and other peer sectors with strong strategic data and analytic programs have determined that this capability must be a core competency. As such, in parallel to engaging external expertise to develop a plan and design and execute pilot projects, the Library will build internal capacity by standing up a new group within the Office of the Librarian to manage the external work and develop this core competency.

The outcome of this investment is a strong, sound, value-added user data and analytics approach and capability for the Library. The data and analytics study and strategy development will result in a detailed understanding of the current state of the Library's many and varied data approaches and strategies for user-connected activities; a plan for improving its data and analytics approach for its immediate, mid, and long-term success; and experience with pilot projects. Non-value added data efforts will be curtailed, and resources will be focused on ensuring Library leadership has the user data and information from analytics needed to lead the Library to fulfill and clearly communicate the user-centered commitments of its strategic plan.

This initiative will improve the Library's user information data gathering and translation of that data to insightful decision making. The Library will look to expand the data effort in the future by enhancing data governance standards. These improved standards will encourage an environment of collaboration while supporting evidence-based decision making at the Library.

Office of the Librarian

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

FISCAL 2021 BUDGET REQUEST

The Library is requesting a total of **\$53.605 million** for the Librarian's Office in fiscal 2021. This is an increase of \$3.313 million, or 6.6 percent, over fiscal 2020. This increase represents \$2.179 million for mandatory pay related and price level increases, and a program change of \$1.134 million and two FTEs for Library Data Strategy.

Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2019 | | | | Fiscal 2020 Enacted Budget | | Fiscal 2021 | | Fiscal 2020/2021 Net Change | | Percent Change |
|--------------------|----------------|-----------------|--------------------|-----------------|----------------------------|-----------------|---------------|-----------------|-----------------------------|----------------|----------------|
| | Operating Plan | | Actual Obligations | | | | Request Total | | | | |
| | Funded FTE | \$ | FTE Usage | \$ | Funded FTE | \$ | Funded FTE | \$ | Funded FTE | \$ | |
| LIBN_LB | 134 | \$25,389 | 133 | \$23,129 | 123 | \$22,370 | 125 | \$24,876 | 2 | \$2,507 | 11.2% |
| LIBN_CEI | 32 | 4,563 | 34 | 4,682 | 35 | \$14,826 | 35 | \$15,097 | 0 | 271 | 1.8% |
| LIBN_CLLE | 37 | 12,962 | 22 | 10,898 | 39 | 13,096 | 39 | 13,632 | 0 | 536 | 4.1% |
| Total, LIBN | 203 | \$42,914 | 189 | \$38,709 | 197 | \$50,292 | 199 | \$53,605 | 2 | \$3,313 | 6.6% |

FUNDING OVERVIEW

In fiscal 2020, the Office of the Librarian has a budget of \$50.292 million/197 FTE (Pay - \$30.620 M/ Non-Pay - \$19.172 M/ Reserve - \$0.500 million) which supports overall Library management. Of this funding, \$10 million of no-year funding was appropriated in fiscal 2020 to support the Visitor Experience public/private partnership initiative, providing a total of \$30 million over three years. The Visitor Experience funding will non-recur in fiscal 2023. The funding goal of \$60 million for this initiative – \$40 million appropriated and \$20 million from private donations.

The Office of the Librarian is organized into three directorates: Office of the Librarian (LIBN), Center for Exhibits and Interpretation (CEI), and the Center for Learning, Literacy and Engagement (CLLE).

- LIBN - \$22.370 million/ 123 FTE
- CEI - \$14.826 million/ 35 FTE
- CLLE - \$13.096 million/ 39 FTE

Funded Programmatic Increases

Visitor Experience Master Plan (VEMP)

Fiscal 2018

- Visitor Experience initiative of \$10 million was approved – the first \$2 million was designated to develop the Visitor Experience Master Plan (VEMP). The remaining \$8 million would be released for the project after the VEMP was congressionally approved.

Fiscal 2019

- The completed VEMP was submitted to the Congressional oversight committees on June 28, 2019 and approved by the Congressional oversight committee

Members on September 19, 2019.

- With approval, the Library gained access and is beginning to execute the remaining \$8 million dollars. The contracts are for the 1) Treasures Gallery exhibit design and Audio-Visual (AV)/Interactives design and production; 2) Orientation Gallery/Welcome Area exhibit design and AV/Interactives design and production; 3) Youth Center Experience Design Plan.

Fiscal 2020

- Will execute the initial contracts mentioned above.
- Prepare for awarding Signage/Wayfinding contract in late fiscal 2020 or early fiscal 2021.
- Fund the AOC design/construction work for the Treasures Gallery, AOC design work for the Orientation Gallery/Oculus/Welcome Area, and Youth Center design.

Enriching the Visitor's Experience Fiscal 2020 Request

- In the fiscal 2020 Congressional Budget Justification (CBJ) the request for \$10 million was approved, giving a total of \$20 million appropriated to date. This request is for \$10 million no-year funding to remain in the base and non-recur in 2023.

Fiscal 2021

Assuming the \$10 million of no-year funding recurs in fiscal 2021:

- The Treasures Gallery final design package is completed and contract will be prepared for exhibit fabrication and installation.
- Will continue design work on the Orientation Gallery/Welcome Area content and AV/Interactives development.

- Youth Center exhibit design & AV/Interactives design and production contract will be executed.
- AOC construction contracts for Orientation Gallery/Welcome Area.
- Wayfinding/Signage vendor will be on-board, developing the new signage package.

For additional information, please see Appendix O: Visitor Experience Initiative.

PROGRAM OVERVIEW

The Office of the Librarian provides leadership to the Library, overseeing the implementation and management of the Library's mission to support the Congress in fulfilling its constitutional duties and to further the progress of knowledge and creativity for the benefit of the American people. The Librarian of Congress and the Principal Deputy Librarian provide executive management to all Library units, which include all Library of Congress Salary and Expenses service units, the Congressional Research Service (CRS), the National Library Service for the Blind and Print Disabled, and the U.S. Copyright Office (USCO).

Fiscal 2019 Accomplishments

Office of the Librarian (LIBN)

In fiscal 2019, with a budget of \$25.389 million, LIBN, accomplished the following:

Core Services

- Congressional Relations Office (CRO) initiated nearly 26,400 communications and sent more than 115,000 targeted outreach emails to Congressional offices; recorded more than 2,200 visits by Members to nearly 200 Library and Congressional events; provided more than 200 special tours; and facilitated the scheduling of more than 45,000 constituent tours of the Thomas Jefferson Building.
- Development Office hired Director of Development/Campaign Director and met institutional fundraising goals.
- Office of Equal Employment Opportunity (EEO) and Diversity Programs coordinated diversity programming, trainings, and briefings to promote a workplace environment of fairness and inclusion, lead the EEO Diversity and Inclusion Working Group, served as a non-adversarial forum to address workplace issues and ensured compliance with applicable EEO laws and regulations through the processing of EEO complaints, and made Library programs and events accessible to employees and members of the public.
- Office of Communications provided public relations and media support to more than 100 Library initiatives; earned media efforts resulting in more than 63,000

online and broadcast news stories, and more than 77 million impressions via the Library's Instagram, Facebook, and Twitter accounts, sharing valuable information about the Library's work and collections with the public.

- Strategic Planning and Performance Management (SPPM) facilitated development of service unit Directional Plans, developed the Library's Implementation Roadmap, improved the Library's approach to setting and tracking meaningful goals and targets resulting in 96 percent of established performance targets were met or exceeded in fiscal 2019, and improved the Library's newly launched integrated Risk and Internal Control framework.
- Provided oversight of Library Collections and Services Group (LCSG).

Center for Exhibits and Interpretation (CEI)

In fiscal 2019, with a budget of \$4.563 million, CEI accomplished the following:

Core Services

- Opened a major exhibition on the women's suffrage movement, *Shall Not Be Denied*, on June 4, 2019.
- Installed new artifact rotations in the ongoing exhibitions of the *Exploring the Early Americas*, Buell Map, Gershwin, Bob Hope and Graphic Arts galleries and oversaw the programming, development, design, and installation of eight agile case displays in the Thomas Jefferson Building.
- Developed and fabricated the *Rosa Parks: In Her Own Words* exhibition which opened on December 5, 2019.
- Promoted the Library's major exhibition on women's suffrage, *Shall Not Be Denied*, with the publication of an official companion volume and released two affordable and accessible books highlighting Library collections: *Game Faces: Early Baseball Cards from the Library of Congress* and *North Mississippi Homeplace: Photographs and Folklife*.
- Supported the entire Library with all printed materials and electronic designs, including new visual identity.

Center for Learning, Literacy and Engagement (CLLE)

In fiscal 2019, with a budget of \$12.962 million, CLLE accomplished the following:

Core Services

- Launched the new "National Book Festival Presents" series to build on the success of the National Book Festival. Conceptualized, created, and executed more than 250 book-related programs featuring bestselling, prizewinning, and distinguished authors in every genre.
- Led the selection and onboarding of new U.S. Poet Laureate Joy Harjo.

- Developed a new programs pilot lab to explore new programming models for the Library.
- Through the Teaching with Primary Sources Program (TPS), distributed \$6.5 million in grants to support professional development programs and the creation of classroom materials featuring the Library’s online collections.
- Coordinated 702 events – including 168 at the request of Members of Congress, 468 sponsored by the Library and 66 for external organizations – representing a 26 percent increase in programming from fiscal 2018.
- Organized and executed the 2019 Gershwin Prize for Popular Song; honoring Gloria and Emilio Estefan; hosted the American Library Association members at the Library of Congress; and organized and executed the 2019 Library of Congress National Book Festival, which welcomed over 200,000 people in a single day.
- Assisted in welcoming more than 1.6 million annual visitors to the Thomas Jefferson Building.

Fiscal 2020 Priority Activities

Office of the Librarian (LIBN)

In fiscal 2020, with a budget of \$22.370 million, LIBN priorities includes the following.

Core Services

- CRO will continue to explore new ways to open the Library’s extensive holdings to Members of Congress and their constituents; coordinate the use of Library space for Members to host events related to Congressional business, and coordinate Library interactions with congressional oversight committees.
- Development Office will raise funds to complete VEMP projects and define campaign priorities and goals.
- Office of EEO and Diversity Programs will coordinate diversity programming, trainings, and briefings to promote a workplace environment of fairness and inclusion:
 - Lead the EEO Diversity and Inclusion Working Group;
 - Serve as a non-adversarial forum to address workplace issues;
 - Ensure compliance with applicable EEO laws and regulations; and
 - Make Library programs and events accessible to employees and members of the public.
- Office of Communications will continue to develop engaging public affairs content for a variety of platforms and audiences to support Library programs and

initiatives, including:

- Publications and digital content, with a special emphasis on enhancing the experience of the Library’s extraordinary resources.
- SPPM will guide and assist service units as they extend their unit-level Directional Plans; update the Library’s Implementation Roadmap to show accomplishments for fiscal 2019 and report on the progress of service units.
 - Improve the Library’s risk management and internal control framework.
- LCSG was realigned from the Office of the Librarian, and established at its own Program, Project, and Activity (PPA) in fiscal 2020.

Center for Exhibits and Interpretation

In fiscal 2020, with a budget of \$14.826 million, CEI priorities include the following.

Core Services

- Exhibits Office will proceed with design development, AV development, and fabrication and installation of the Mayflower Compact–inspired exhibition, Join In: The American Pursuit of Civil Society, opening in November 2020 and proceed with planning processes for the Not an Ostrich photography exhibition.
- Publishing Office will launch the Library of Congress Crime Classics series; release another affordable, accessible book highlighting the collections – Cherry Blossoms: Sakura Collections from the Library of Congress – and promote the Library’s major exhibition on Rosa Parks with publication of an official companion volume.
- Design Office ensures consistency of new visual identity throughout the Library.

Center for Learning, Literacy and Engagement (CLLE)

In fiscal 2020, with a budget of \$13.096 million, CLLE priorities include the following

Core Services

- Implement National Book Festival Presents and Thursday Late Night Programming, two new models for Library programs to expand audiences and deepen connections with the collections.
- Build an audience research and evaluation program and implement a model for capturing user information to measure lifelong learning with the Library and create an audience development strategy that will increase participation in Library initiatives.
- Research, experiment, and prototype with the Library community to develop effective approaches for inter-generational co-learning.

- Revitalize the network of state Centers for the Book, developing and articulating a clear rationale for the centers and the nature of their relationship to the Library of Congress, including:

- Quantitative and qualitative metrics to measure the centers and program impacts; and
- Launch well-defined series of readings/book talks to targeted audiences.

- Utilize TPS resources to lead the Library’s efforts to engage, inspire, and inform learners through primary source-based programs, publications, innovative on-site experiences, and creative online initiatives.
- Continue to efficiently manage and execute events that support the mission of the Library.
- Build on the success of privately funded programs such as the Gershwin Prize for Popular Song and National Book Festival by leveraging these recognized brands to extend the Library’s reach through yearlong programming.
- Continue to welcome, engage and inspire visitors and guests. Expand existing volunteer program to diversify and maximize onsite visitor support.

Fiscal 2021 Priority Activities

Office of the Librarian (LIBN)

In fiscal 2021, with a budget of \$24.876 million requested, LIBN priorities include the following.

Core Services

- CRO will introduce a new class of freshman Members to the Library in fiscal 2021; plan and coordinate New Member Orientation events at the Library; and update its informational materials for delivery to Members’ offices.
- Development Office supports defined institutional priorities for fundraising and execute regional campaign strategy to increase visibility and philanthropy across the country for the Library.
- Office of EEO and Diversity Programs continues to coordinate diversity programming, trainings, and briefings to promote a workplace environment of fairness and inclusion.
- Office of Communications will continue to develop engaging public affairs content for a variety of platforms and audiences to support Library programs and initiatives.
- SPPM will continue to improve frameworks and services supporting service units’ planning and performance management activities and expand the Library’s integrated Risk Management and Internal Control framework.

Center for Exhibits and Interpretation (CEI)

In fiscal 2021, with a budget of \$15.097 million requested, CEI priorities include the following.

Core Services

- Not an Ostrich photography exhibit will open to the public.
- Publishing Office will plan to release companion volumes to the new Treasures gallery in late 2022 and release a companion volume to the Library’s Join In exhibition opening November 2020.
- Publishing Office will also identify co-publishers and release dates for a new biography of Richard Morris Hunt, a comprehensive illustrated study of American skyscrapers, and a comprehensive history of the Library.
- CEI will continue to improve all aspects of Library’s print, exhibit, and electronic messaging and seek further print offerings, techniques, and specialties to offer as in-house services.

Center for Learning, Literacy and Engagement

In fiscal 2021, with a budget of \$13.632 million requested, CLLE priorities include the following.

Core Services

- CLLE will continue to grow an audience research and evaluation program and utilize a model for capturing information about users so that we can measure lifelong learning with the Library. Data gathered will inform future planning.
- Continue to research, experiment, and prototype with the Library community to develop effective approaches for intergenerational co-learning.
- Continue to develop the network of state Centers for the Book, focusing on leveraging strong partnerships with the centers to activate Library of Congress ambassadors nationwide.
- Continue to lead the Library’s efforts to engage, inspire, and inform learners through primary source-based programs, publications, innovative on-site experiences, and creative online initiatives.
- Continue to manage and execute events that support the mission of the Library.
- Continue to capitalize on the success of the Gershwin Prize for Popular Song and National Book Festival by creating a yearlong programmatic schedule in conjunction with signature programs.
- Develop an updated programming and visitor engagement approach to support VEMP and other space enhancements.

Office of the Chief Operating Officer

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

Office of the Chief Operating Officer Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2019 | | | | Fiscal 2020 Enacted Budget | | Fiscal 2021 | | Fiscal 2020/2021 Net Change | | Percent Change |
|------------------------|----------------|-----------------|--------------------|-----------------|----------------------------|------------------|---------------|------------------|-----------------------------|----------------|----------------|
| | Operating Plan | | Actual Obligations | | | | Request Total | | | | |
| | Funded FTE | \$ | FTE Usage | \$ | Funded FTE | \$ | Funded FTE | \$ | Funded FTE | \$ | |
| OCOO_COO | 144 | 34,204 | 119 | 32,368 | 144 | 34,856 | 144 | 38,974 | 0 | 4,118 | 11.8% |
| OCOO_FSD | 50 | 13,350 | 48 | 13,681 | 60 | 16,328 | 60 | 16,456 | 0 | 128 | 0.8% |
| OCOO_ISS | 91 | 30,467 | 83 | 36,569 | 89 | 31,090 | 89 | 32,799 | 0 | 1,709 | 5.5% |
| Total, OCOO_COO | 285 | \$78,021 | 250 | \$82,618 | 293 | \$ 82,274 | 293 | \$ 88,229 | 0 | \$5,955 | 7.2% |

Office of the Chief Operating Officer
Summary By Object Class
(Dollars in Thousands)

| Object Class | Fiscal 2019 | | Fiscal 2020 Enacted Budget | Fiscal 2021 | Fiscal 2020/2021 Net Change | Percent Change |
|---|-------------------|-----------------------|----------------------------------|------------------|-----------------------------------|-------------------|
| | Operating Plan | Actual Obligations | | Request Total | | |
| 00.0 Lapse Reserve | \$0 | \$0 | \$0 | \$0 | \$0 | 0.0% |
| Total, Lapse Reserve | \$0 | \$0 | \$0 | \$0 | \$0 | 0.0% |
| 11.1 Full-time permanent | \$27,571 | \$25,526 | \$28,632 | \$29,733 | \$1,101 | 3.8% |
| 11.3 Other than full-time permanent | 285 | 221 | 285 | 296 | 11 | 4.0% |
| 11.5 Other personnel compensation | 296 | 297 | 296 | 308 | 12 | 3.9% |
| 11.8 Special personal services payment | 38 | 0 | 38 | 39 | 2 | 4.0% |
| 12.1 Civilian personnel benefits | 9,325 | 8,557 | 9,667 | 10,954 | 1,287 | 13.3% |
| 13.0 Benefits for former personnel | 100 | 37 | 100 | 100 | 0 | 0.4% |
| Total, Pay | \$37,614 | \$34,638 | \$39,018 | \$41,430 | \$2,413 | 6.2% |
| 21.0 Travel & transportation of persons | \$ 49 | \$ 40 | \$ 49 | \$ 50 | \$1 | 2.0% |
| 22.0 Transportation of things | 2 | 1 | 2 | 2 | 0 | 2.2% |
| 23.1 Rental payments to GSA | 1,771 | 1,771 | 1,771 | 2,028 | 256 | 14.5% |
| 23.2 Other Services | 200 | 182 | 200 | 205 | 5 | 2.5% |
| 23.3 Communication, utilities & misc charges | 1,236 | 1,279 | 1,236 | 1,336 | 100 | 8.1% |
| 24.0 Printing & reproduction | 153 | 136 | 153 | 157 | 4 | 2.5% |
| 25.1 Advisory & associate services | 8,595 | 9,761 | 8,592 | 10,008 | 1,416 | 16.5% |
| 25.2 Other services | 10,464 | 9,811 | 12,822 | 13,454 | 632 | 4.9% |
| 25.3 Other purch of goods & services from gov acc | 3,538 | 10,220 | 4,147 | 4,514 | 367 | 8.8% |
| 25.4 Operation & maintenance of facilities | 8,503 | 8,716 | 8,503 | 8,716 | 213 | 2.5% |
| 25.5 Research and Development Contracts | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 25.6 Medical Care | 135 | 173 | 135 | 138 | 3 | 2.5% |
| 25.7 Operation & maintenance of equipment | 2,658 | 2,846 | 2,658 | 2,744 | 86 | 3.2% |
| 25.8 Subsistence and Support of Persons | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 26.0 Supplies & materials | 409 | 400 | 409 | 840 | 431 | 105.5% |
| 31.0 Equipment | 2,695 | 2,645 | 2,580 | 2,608 | 28 | 1.1% |
| 41.0 Grants, subsidies & contributions | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 42.0 Insurance claims & indemnities | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 44.0 Refunds | 0 | 0 | 0 | 0 | 0 | 0.0% |
| Total, Non-Pay | \$40,407 | \$47,980 | \$ 43,256 | \$ 46,799 | \$ 3,542 | 8.2% |
| Total, Office of the Chief Operating Officer | \$78,021 | \$82,618 | \$ 82,274 | \$ 88,229 | \$ 5,955 | 7.2% |

Chief Operating Officer Analysis of Change

(Dollars in Thousands)

| | Fiscal 2021 Agency Request | |
|---|-------------------------------|-----------------|
| | Funded FTE | Amount |
| Fiscal 2020 Enacted Budget | 293 | \$82,274 |
| Financial Services Optimization & Modernization | | (650) |
| Non-recurring Costs: | 0 | - 650 |
| Mandatory Pay and Related Costs: | | |
| Locality-based comparability pay raise January 2021 @ 3.00% | | 839 |
| Annualization of January 2020 pay raise @ 3.52% | | 328 |
| Within-grade increases | | 173 |
| One extra day, 262 vs. 261 | | 148 |
| Fiscal 2019 - 2020 FERS pay increase | | 574 |
| Fiscal 2020 - 2021 FERS pay increase | | 349 |
| Total, Mandatory Pay and Related Costs | 0 | 2,412 |
| Price Level Changes | | 1,707 |
| Program Increases: | | |
| eAcquisition Application and Contract Management | | 1,379 |
| Personnel Security Case Management System | | 1,106 |
| Total, Program Increases | 0 | 2,485 |
| Net Increase/Decrease | 0 | \$ 5,955 |
| Total Budget | 293 | \$88,229 |
| Total Offsetting Collections | 0 | (6,000) |
| Total Appropriation | 293 | \$82,229 |

Fiscal 2021 Program Changes: \$ 2.485 million

Personnel Security Case Management System:

\$1.106 million

The Library requests \$1.106 million to implement a Commercially available Off-the-Shelf (COTS) software solution to automate the existing manual process used by the Library to perform personnel security functions. Funding of \$763,000 for the one-time procurement of the COTS system will non-recur in fiscal 2022, and \$75,000 for the digitization and ingest of current paper records will be non-recurred in fiscal 2024, leaving ongoing support of \$268,000 for operational and maintenance.

The primary mission of the Personnel Security Division's (PSD) is to protect the Library's personnel, property, and facilities through management of all activities involved in the Library's Personnel Security, Suitability/Fitness, and Credentialing (SSC) eligibility program. These activities include designating position sensitivity and risk level; conducting investigation/adjudication history checks; collecting and reviewing security applications; initiating background investigations; and adjudicating completed investigations to determine SSC eligibility. PSD also issues and manages security clearances for access to classified national security information, coordinates appeals of security clearance denials and revocations, and provides oversight of security clearance holder responsibilities that include Reporting Requirements and the Continuous Evaluation Program.

PSD annually initiates over 750 full background investigations and reviews almost 1,400 criminal/credit checks. This workload will increase with the continued re-designation of federal positions, Pre-Vetting processing for all position types, and Trusted Workforce 2.0 implementation.

PSD is limited in its performance potential due to manual, paper-based processes that have been used since the program began in the 1940s. Because of this, the Library is unable to leverage current and future government-wide initiatives such as e-Delivery and web-based adjudication that would add process efficiencies, digital file security, workforce flexibility, and improved assessment of program effectiveness.

To resolve this issue, a COTS software solution to automate PSD's existing manual process is requested. This system will support the entire lifecycle of the Library's personnel security management functions, including capturing data related to all aspects of pre-appointments, suitability determinations, security clearance processing, briefings, foreign travel, foreign contacts and other relevant data points of interest. The system will also be used to collect metrics to provide Library leadership with updates regarding the program's current standing and will have the capability to interface with existing internal Library systems such as EmpowHR and ServiceNow, as well as external systems being developed by personnel security stakeholder agencies such as the National Background Investigation Services (NBIS).

eAcquisition and Contract Management:

\$1.379 million

The Library requests \$1.379 million to implement an eAcquisition application to add digital structure and workflow to the contract process and increase visibility for Library stakeholders and management by procuring licenses to extend functionality to program, budget, and legal staff. The current application configuration enables use within the Contracts and Grants Directorate. In fiscal year 2022, \$295,000 will non-recur, leaving ongoing funding of \$1.084 million for licenses and maintenance.

The expansion will modernize acquisition planning and execution processes, supplement and replace manual controls and data sources, and expose and mitigate risks throughout the acquisition life cycle. The eAcquisition application transitions paper processes and files into a digital environment to allow staff to focus on substantive work and increase the discoverability of critical contract information. The eAcquisition application will improve transparency and enable the Library to identify bottlenecks to reduce delays. In replacing the archaic paper system, a versatile, electronic, accessible repository that saves time, frustration, and physical labor across

the contracting staff, project managers, service unit contracting officer's representatives and the Office of General Council will be created. This application will create an efficient, transparent, easily searchable record accessible by all parties rather than a single paper folder for each contract. The application will enable the Library to manage and mitigate risks, reduce the time to award contracts, and improve retention of the Library's acquisition workforce. This system will provide an accessible, electronic repository and record for the contracting work, research and planning that is done outside of the Library's authoritative Legislative Branch Financial Management System (LBFMS).

In fiscal 2019 the Library implemented an initial digital capability for contract staff. The eAcquisition application provides functionality beyond digital document management to support the full acquisition lifecycle for program and contract staff. If funded, program managers will use the application to bridge the gap between budget formulation and contract execution, re-using the information from the initial planning and budgeting phase to build statements of work, detailed

cost estimates, and capture market analysis for comprehensive acquisition results. The advance acquisition planning functionality drives consistent and repeatable project planning, budgeting, execution and tracking with visibility into all contract processes. The application will shorten the acquisition lifecycle by improving the process and flow of contract information through tailored workflows, and eliminating duplicative forms and redundant documentation.

The eAcquisition application will enable end-to-end process management and integration with a single point of data entry to eliminate duplicative work and enable Library management to better track productivity, workload, and real-time status for schedules, targets, and forecasts. The eAcquisition application is a unified system of record that ensures all contract information is searchable, accessible, and auditable. By enabling project managers to develop acquisition packages (planning, research and lifecycle record) electronically rather than manually, unifying budget data and other sources, in collaboration with contract staff, the eAcquisition solution will increase insight into planned, budgeted work. As requisition documents and contracts are executed in LBFMS, there will be a limited “one way” interface from LBFMS into the application that will provide the execution information of

commitments, obligations and expenditures. The application complements the financial system, storing signed contracts and voluminous supporting documents that are currently maintained in paper files. Tailored workflows and approvals ensure appropriate controls are in place for official federal records. The application includes pre-defined and custom reports to leverage the data available in LBFMS.

Other efficiencies provided to contracting officer representatives, contracting officers, general council and program staff is a central electronic library easily accessible that will streamline review and approval cycles, eliminating push carts of paper files; provide a contracting template and forms library with samples for reference; enable a Digital signature capability; provide a collaborative workflow environment among relevant parties; enable the monitoring of trends and findings for improved quality control; and provide a comprehensive electronic historical record.

The eAcquisition application will leverage the core technologies of digitization, document management, and data visualization to reduce manual labor, streamline business processes, and employ data-driven analysis for more efficient and effective acquisition planning and execution.

Chief Operating Officer

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

Chief Operating Officer Summary By Object Class (Dollars in Thousands)

| Object Class | Fiscal 2019 | | Fiscal 2020 Enacted Budget | Fiscal 2021 | Fiscal 2020/2021 Net Change | Percent Change |
|---|-------------------|-----------------------|----------------------------------|------------------|-----------------------------------|-------------------|
| | Operating Plan | Actual Obligations | | Request Total | | |
| 00.0 Lapse Reserve | \$0 | \$0 | \$0 | \$0 | \$0 | 0.0% |
| Total, Lapse Reserve | \$0 | \$0 | \$0 | \$0 | \$0 | 0.0% |
| 11.1 Full-time permanent | \$13,395 | \$12,345 | \$13,482 | \$13,978 | \$496 | 3.7% |
| 11.3 Other than full-time permanent | 107 | 35 | 107 | 111 | 4 | 4.0% |
| 11.5 Other personnel compensation | 122 | 148 | 122 | 127 | 5 | 3.7% |
| 11.8 Special personal services payment | 7 | 0 | 7 | 7 | 0 | 4.0% |
| 12.1 Civilian personnel benefits | 4,621 | 4,241 | 4,623 | 5,213 | 590 | 12.8% |
| 13.0 Benefits for former personnel | 0 | 0 | 0 | 0 | 0 | 0.0% |
| Total, Pay | \$18,252 | \$16,769 | \$18,341 | \$19,436 | \$1,096 | 6.0% |
| 21.0 Travel & transportation of persons | \$ 20 | \$ 11 | \$ 20 | \$ 20 | \$0 | 1.3% |
| 22.0 Transportation of things | 1 | 0 | 1 | 1 | 0 | 2.0% |
| 23.1 Rental payments to GSA | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 23.2 Other Services | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 23.3 Communication, utilities & misc charges | 788 | 825 | 788 | 877 | 89 | 11.2% |
| 24.0 Printing & reproduction | 84 | 76 | 84 | 86 | 2 | 2.4% |
| 25.1 Advisory & associate services | 3,855 | 3,938 | 3,853 | 5,800 | 1,947 | 50.5% |
| 25.2 Other services | 5,651 | 5,540 | 6,281 | 6,750 | 469 | 7.5% |
| 25.3 Other purch of goods & services from gov acc | 1,840 | 2,107 | 1,840 | 1,880 | 39 | 2.1% |
| 25.4 Operation & maintenance of facilities | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 25.5 Research and Development Contracts | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 25.6 Medical Care | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 25.7 Operation & maintenance of equipment | 1,710 | 1,811 | 1,710 | 1,752 | 43 | 2.5% |
| 25.8 Subsistence and Support of Persons | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 26.0 Supplies & materials | 285 | 292 | 285 | 713 | 428 | 150.0% |
| 31.0 Equipment | 1,719 | 1,001 | 1,654 | 1,659 | 5 | 0.3% |
| 41.0 Grants, subsidies & contributions | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 42.0 Insurance claims & indemnities | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 44.0 Refunds | 0 | 0 | 0 | 0 | 0 | 0.0% |
| Total, Non-Pay | \$15,953 | \$15,600 | \$ 16,515 | \$ 19,538 | \$ 3,022 | 18.3% |
| Total, Chief Operating Officer | \$34,205 | \$32,369 | \$ 34,856 | \$ 38,974 | \$ 4,118 | 11.8% |

Chief Operating Officer Analysis of Change

(Dollars in Thousands)

| | Fiscal 2021 Agency Request | |
|---|-------------------------------|-----------------|
| | Funded | |
| | FTE | Amount |
| Fiscal 2020 Enacted Budget | 144 | \$34,856 |
| Non-recurring Costs: | 0 | 0 |
| Mandatory Pay and Related Costs: | | |
| Locality-based comparability pay raise January 2021 @ 3.00% | | 379 |
| Annualization of January 2020 pay raise @ 3.52% | | 148 |
| Within-grade increases | | 78 |
| One extra day, 262 vs. 261 | | 67 |
| Fiscal 2019 - 2020 FERS pay increase | | 266 |
| Fiscal 2020 - 2021 FERS pay increase | | 157 |
| Total, Mandatory Pay and Related Costs | 0 | 1,096 |
| Price Level Changes | | 537 |
| Program Increases: | | |
| eAcquisition and Contract Management | | 1,379 |
| Personnel Security Case Management System | | 1,106 |
| Total, Program Increases | 0 | 2,485 |
| Net Increase/Decrease | 0 | \$ 4,118 |
| Total Budget | 144 | \$38,974 |
| Total Offsetting Collections | 0 | (6,000) |
| Total Appropriation | 144 | \$32,974 |

Chief Operating Officer

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

FISCAL 2021 BUDGET REQUEST

The Library is requesting a total of **\$38.974 million** for the Chief Operating Officer in fiscal 2021. This is an increase of \$4.118 million, or 11.8 percent, over fiscal 2020. This increase represents \$1.633 million for mandatory pay related and price level increases, and programmatic increases of \$2.485 million, [\$1.379 million] for eAcquisition and Contract Management and [\$1.106 million] for the Personnel Security Case Management System.

Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2019 | | | | Fiscal 2020 Enacted Budget | | Fiscal 2021 | | Fiscal 2020/2021 Net Change | | Percent Change |
|--------------------------|----------------|-----------------|--------------------|-----------------|----------------------------|------------------|---------------|------------------|-----------------------------|----------------|----------------|
| | Operating Plan | | Actual Obligations | | | | Request Total | | | | |
| | Funded FTE | \$ | FTE Usage | \$ | Funded FTE | \$ | Funded FTE | \$ | Funded FTE | \$ | |
| OCCO_COO | 130 | \$28,204 | 109 | \$30,088 | 130 | \$ 28,856 | 130 | \$ 32,974 | 0 | \$4,118 | 14.3% |
| Cataloging Dist Services | 14 | 6,000 | 10 | 2,281 | 14 | 6,000 | 14 | 6,000 | 0 | (0) | 0.0% |
| Total, OCCO_COO | 144 | \$34,204 | 119 | \$32,369 | 144 | \$ 34,856 | 144 | \$ 38,974 | 0 | \$4,118 | 11.8% |

FUNDING OVERVIEW

In fiscal 2020, the Office Chief Operating Officer (COO) has a budget of \$34.856 million/144 FTE (Pay - \$18.341 M/ Non-Pay - \$16.515 M) supporting overall infrastructure management. Included in this appropriation, \$6 million is derived from offsetting collections authority and is credited to this appropriation for support of the Cataloging Distribution Services program.

PROGRAM OVERVIEW

The Chief Operating Officer organization provides comprehensive services, manages institutional programs, and oversees regulatory compliance in the areas of financial administration; human capital; contracting; facilities, safety and health services; asset management; and personnel security and emergency preparedness.

The Human Capital Directorate (HCD): Leads efforts to attract and retain a diverse, talented, and results-driven workforce; develop and evaluate policies, procedures, and systems designed to support the Library's mission and priorities through collaborative leadership; stewards employee training and development; and administers the Library's compensation programs. HCD provides Library leadership and staff with expert consultation and guidance on the full range of human capital tactics, strategies, and methods to ensure a high-performing organization.

The Contracts and Grants Directorate (CGD): Plans and executes contracts, grants, and other transactions on behalf of the Library in compliance with federal laws and regulations. The Contracts Division fulfills Library requirements through timely negotiation and award of cost effective contracts for goods and services. The Grants Division enables

collaboration between Library service units and academic communities to advance knowledge, creativity, education, and research through negotiation and award of grants and other transactions.

Security and Emergency Preparedness Directorate (SEPD): Provides policy direction, review, and coordination of all security and emergency preparedness activities of the Library. Administers the Library's program for the protection of staff, visitors, collections, and equipment; manages the Library's information security program for classified materials; administers electronic and physical security services; and manages the Library's contract guard program. SEPD administers the Library's personnel security and suitability programs; initiates and adjudicates background investigations to determine the suitability of employees and contractors; and determines the security clearance eligibility of individuals requiring access to classified national security information.

Library Enterprises (LE): Serves users through the sale of products and services. LE is supported by offsetting collections, revolving, and trust funds and is comprised of three business-oriented divisions: Business Enterprises (BE), Federal Research Division (FRD), and the Federal Library and Information Network (FEDLINK). BE operates the Library Gift Shop, distributes cataloging products, and makes reproductions of Library collection materials available. FRD leverages Library collections to provide research and reports for federal agencies. FEDLINK acquires commercial online information services, publications and library-supported services for federal libraries and other federal offices.

COO provides oversight of both the **Financial Services Directorate** and the **Integrated Support Services**. These directorate overviews are reported separately.

Fiscal 2019 Accomplishments

In fiscal 2019, with a budget of \$34.205 million, COO accomplished the following.

Human Capital Directorate (HCD)

Core Services

- Processed 45 percent more vacancy announcement requests with 20 percent fewer resources and kept HCD's average process time at 24 days.
- Automated the position description classification process and as a result saw a decrease in the average processing time by over 20 percent.
- Automated the supervisory performance management process in the Office of Personnel Management's (OPM) USA Performance system and eliminated 1,120 paper performance documents.
- Automated the transit subsidy request process and automated the separation clearance request process. This resulted in the elimination of approximately 14,000 paper documents.
- Expanded leadership and supervisory training programs designed to build proficiency with the core leadership competencies that drive employee engagement, innovation, and productivity.
- Partner with service units to analyze data from the 2020 Federal Employees Viewpoint Survey (FEVS) and engage with employees about action plans to address concerns.

Contracts and Grants Directorate (CGD)

The Contracts and Grants Directorate awarded \$225 million in contracts and \$10 million in grants, awards, and fellowships.

Core Services

- Deployed a rigorous training program to increase knowledge and skills and fill competency gaps within the Library's acquisition community.
- Improved planning and execution to balance obligations across the fiscal year and award competitive contracts timely.
- Significant contracts awarded include:
 - Software development for the enterprise Copyright system
 - Continued development of Congress.gov and LOC.gov
 - Integration of FEDLINK into Momentum
 - Technology Business Management (TBM)
 - Legislative Branch Financial Management System (LBFMS)

Special Initiatives

- Negotiated and awarded contracts for acquisition data visualization, contract file digitization, and an electronic document and records management system (eDRMS).
- Implemented a process to identify and manage risks in the acquisition process, including RQ quality, milestone tracking, workload, and de-obligations. This reduced the volume of year-end obligations, allowing more time for proposal preparation, evaluation, and negotiation.
- Worked with OCIO and Library service units to streamline and improve Agile IT development contracts.

Security and Emergency Preparedness Directorate (SEPD)

Core Services

- Focused on implementing and maintaining physical security controls and safeguards protecting the Library's high-value collections processing, storage and exhibition areas.
- Completed five separate special security assessments of high-value collection areas and implementation of security controls protecting short and long-term collection exhibitions.
- Evaluated methodologies to establish a formal tracking and monitoring tool for security assessment and Site Assistance Visit outcomes.
- Developed a framework to improve the monitoring and tracking of staff emergency preparedness training, class scheduling and attendance, and training outcomes.

Fiscal 2020 Priority Activities

In fiscal 2020, with a budget of \$34.856 million, COO accomplished the following.

Human Capital Directorate (HCD)

Core Services

- Collaborate with OCIO and service unit representatives to streamline business processes and optimize core technologies to facilitate data-driven analysis and more efficient and effective operations.
- Improve data-driven decision making across service units through better access to human capital data analytics through the implemented data visualization tool.
- Promote current and accurate human capital regulations and directives through a regular HCD/General Counsel review cycle.

- Optimize the newly acquired learning management system (LMS) to support continuous learning, enhanced skills, and mission readiness.
- Continue to partner with service units to analyze data from the 2020 FEVS and engage with employees about action plans to address concerns.

Contracts and Grants Directorate (CGD)

The Contracts and Grants Directorate will continue to negotiate and award the Library's contracts, grants and other transactions timely, balancing obligations across the fiscal year and engage in upfront planning to offset challenges presented by the fiscal year's continuing resolutions.

Core Services

- Improve coordination with service units through acquisition planning teams and integrate spend and IT investment plans aligned to acquisition forecasts.
- Expand streamlined ordering procedures and publish guidance to improve contract management for agile IT development.
- Update, deploy, and track acquisition training to fill competency gaps within the Library's acquisition community.
- Significant planned contracts include:
 - CRS IRIS Software and continued development
 - Copyright Modernization contracts
 - Visitor Experience – Treasures and Orientation Gallery exhibit design
 - Teaching with Primary Sources Grants
 - NLS Modernization contracts – eReader, BARD, Braille, and Audio Book production
 - OCIO hardware and software licensing and support including Agile Development, IT Security Services, Data Center Migration Services and support services, and Cloud services
 - Custodial services for the James Madison, John Adams, and Thomas Jefferson memorial buildings.

Special Initiatives

- Improve accessibility of CGD's documents by digitizing all documents.
- Transition to an electronic Document and Records Management System (eDRMS)
- Leverage data visualization tool to make information on Library contracts and agreements more accessible.

- Expand workload and workflow management across the Library, automate business processes, and assess robotics applications to increase productivity.

Security and Emergency Preparedness Directorate (SEPD)

Core Services

- Enhance safeguards for the Library's collections; protect facilities and staff; and strengthen the emergency preparedness program.
- The personnel security and employment suitability program will continue to expand the security vetting process.
- Initiate the Continuous Evaluation program for Library employees who occupy national security positions in fulfillment of recently established national standards.
- Protective Services staff will engage and collaborate with Library Visitor Experience program managers involved in design and construction, ensuring cost-effective security controls and measures are incorporated.

Fiscal 2021 Priority Activities

In fiscal 2020, with a budget of \$38.974 million requested, COO priorities include the following.

Human Capital Directorate (HCD)

Core Services

- Continue to collaborate with OCIO and service unit representatives to streamline business processes and optimize core technologies, to facilitate data-driven analysis and more efficient and effective operations.
- Benchmark other agencies' and organizations' talent acquisition tools and collaborate with service units and the Library's labor organizations to improve the hiring process.
- Continue to improve data-driven decision making across service units through better access to human capital data analytics through the implemented data visualization tool.
- Continue to promote current and accurate human capital regulations and directives through a regular HCD/ General Counsel review cycle.
- Continue to partner with service units to analyze data from the 2020 FEVS and engage with employees about action plans to address concerns.

Contracts and Grants Directorate (CGD)

The Contracts and Grants Directorate will continue to timely negotiate and award the Library's contracts, grants and other transactions, balancing obligations across the fiscal year.

Core Services

- Improve management and early identification of resources available for contract obligation through revised acquisition planning and risk mitigation.
- Increase efficiency and effectiveness of the procurement process through improved communication and coordination with service units.
- Significant planned contracts include:
 - Consolidated Cloud Hosting
 - IT Network and Security
 - Copyright Modernization contracts
 - NLS Modernization and advertising campaign

Special Initiatives

- Continue to leverage core technologies to create a better user experience, streamline business processes, and employ data-driven analysis.
- Improve management and transparency of CGD work adapting documents and processes in a digital

workflow management system and increasing productivity through automated business processes.

- Promote continuous improvement and innovation through a user-centered, digitally-enabled contract environment.

Security and Emergency Preparedness Directorate (SEPD)

Core Services

- Focus on initiating a comprehensive assessment to modernize processes and technologies to improve security and emergency preparedness programs to meet new and emerging threats and concerns.
- Continue to collaborate with Visitor Experience stakeholders on the build-out of new spaces associated with the visitor experience.
- Collaborate with Visitor Experience staff, Library Facilities staff, AOC and USCP to establish emergency preparedness protocols to meet a substantial increase in annual visitors.
- Continue to automate and streamline personnel security processes while implementing enhanced national agency program standards.

Financial Services Directorate

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

Financial Services Directorate Summary By Object Class (Dollars in Thousands)

| Object Class | Fiscal 2019 | | Fiscal 2020 Enacted Budget | Fiscal 2021 | Fiscal 2020/2021 Net Change | Percent Change |
|---|-------------------|-----------------------|----------------------------------|------------------|-----------------------------------|-------------------|
| | Operating Plan | Actual Obligations | | Request Total | | |
| 00.0 Lapse Reserve | \$0 | \$0 | \$0 | \$0 | \$0 | 0.0% |
| Total, Lapse Reserve | \$0 | \$0 | \$0 | \$0 | \$0 | 0.0% |
| 11.1 Full-time permanent | \$5,927 | \$5,423 | \$6,837 | \$7,110 | \$273 | 4.0% |
| 11.3 Other than full-time permanent | 81 | 111 | 81 | 84 | 3 | 4.0% |
| 11.5 Other personnel compensation | 85 | 79 | 85 | 88 | 3 | 4.0% |
| 11.8 Special personal services payment | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 12.1 Civilian personnel benefits | 1,968 | 1,733 | 2,307 | 2,613 | 306 | 13.3% |
| 13.0 Benefits for former personnel | 100 | 37 | 100 | 100 | 0 | 0.0% |
| Total, Pay | \$8,160 | \$7,384 | \$9,411 | \$9,996 | \$585 | 6.2% |
| 21.0 Travel & transportation of persons | \$ 4 | \$ 3 | \$ 4 | \$ 4 | \$0 | 2.5% |
| 22.0 Transportation of things | 0 | 0 | 0 | 0 | 0 | 2.7% |
| 23.1 Rental payments to GSA | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 23.2 Other Services | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 23.3 Communication, utilities & misc charges | 27 | 16 | 27 | 28 | 1 | 2.5% |
| 24.0 Printing & reproduction | 8 | 2 | 8 | 8 | 0 | 2.5% |
| 25.1 Advisory & associate services | 3,931 | 4,911 | 3,931 | 3,379 | (552) | -14.0% |
| 25.2 Other services | 403 | 14 | 2,131 | 2,184 | 53 | 2.5% |
| 25.3 Other purch of goods & services from gov acc | 3 | 2 | 3 | 3 | 0 | 2.5% |
| 25.4 Operation & maintenance of facilities | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 25.5 Research and Development Contracts | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 25.6 Medical Care | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 25.7 Operation & maintenance of equipment | 790 | 640 | 790 | 829 | 39 | 5.0% |
| 25.8 Subsistence and Support of Persons | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 26.0 Supplies & materials | 10 | 10 | 10 | 11 | 0 | 2.5% |
| 31.0 Equipment | 13 | 697 | 13 | 13 | 0 | 2.5% |
| 41.0 Grants, subsidies & contributions | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 42.0 Insurance claims & indemnities | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 44.0 Refunds | 0 | 0 | 0 | 0 | 0 | 0.0% |
| Total, Non-Pay | \$5,190 | \$6,297 | \$ 6,917 | \$ 6,460 | \$ (457) | -6.6% |
| Total, Financial Services Directorate | \$13,350 | \$13,681 | \$ 16,328 | \$ 16,456 | \$ 128 | 0.8% |

Financial Services Directorate Analysis of Change

(Dollars in Thousands)

| | Fiscal 2021 Agency Request | |
|---|-------------------------------|-----------------|
| | Funded FTE | Amount |
| Fiscal 2020 Enacted Budget | 60 | \$16,328 |
| Financial Services Optimization & Modernization | | (650) |
| Non-recurring Costs: | 0 | (650) |
| Mandatory Pay and Related Costs: | | |
| Locality-based comparability pay raise January 2021 @ 3.00% | | 208 |
| Annualization of January 2020 pay raise @ 3.52% | | 82 |
| Within-grade increases | | 43 |
| One extra day, 262 vs. 261 | | 37 |
| Fiscal 2019 - 2020 FERS pay increase | | 129 |
| Fiscal 2020 - 2021 FERS pay increase | | 87 |
| Total, Mandatory Pay and Related Costs | 0 | 586 |
| Price Level Changes | | 192 |
| Program Increases: | | |
| Total, Program Increases | 0 | 0 |
| Net Increase/Decrease | 0 | \$ 128 |
| Total Budget | 60 | \$16,456 |
| Total Offsetting Collections | 0 | 0 |
| Total Appropriation | 60 | \$16,456 |

Financial Services Directorate

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

FISCAL 2021 BUDGET REQUEST

The Library is requesting a total of **\$16.456 million** for the Financial Services Directorate in fiscal 2021, an increase of \$0.128 million, or 0.8 percent, over fiscal 2020. This increase represents \$0.778 million for mandatory pay related and price level increases, and a non-recur of (\$0.650) million.

Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2019 | | | | Fiscal 2020 Enacted Budget | | Fiscal 2021 | | Fiscal 2020/2021 Net Change | | Percent Change |
|-------------------|----------------|----------|--------------------|----------|----------------------------|-----------|---------------|-----------|-----------------------------|-------|----------------|
| | Operating Plan | | Actual Obligations | | | | Request Total | | | | |
| | Funded FTE | \$ | FTE Usage | \$ | Funded FTE | \$ | Funded FTE | \$ | Funded FTE | \$ | |
| OCOO_FSD | 50 | \$13,350 | 48 | \$13,681 | 60 | \$ 16,328 | 60 | \$ 16,456 | 0 | \$128 | 0.8% |

FUNDING OVERVIEW

In fiscal 2020 the Financial Services Directorate (FSD) has a budget of \$16.328 million/60 FTE (Pay - \$9.411 M/ Non-Pay - \$6.917 M) which supports the management and oversight of Library's financial data. Of this funding \$3.877 million/9 FTE appropriated in fiscal 2019 and 2020 to support staffing and modernization needs of the office. After future non-recurs totaling \$1.800 million, are removed from the funding (as stated below), FSD will have ongoing funding of \$2.077 million for continued support of financial management.

Funded Programmatic Increases

System Improvements and standardization of the Legislative Branch Financial Management System (LBFMS)

Fiscal 2019

- \$750,000 for business process standardization (non-recurred in 2023), maintaining a permanent increase of \$383,000 for increased hosting costs.
- A Deputy Financial Systems Officer is onboard.
- Business process standardization (reengineering) implemented across the eight legislative branch agencies in the LBFMS.
- Provided hosting services with the increased funding to cover the increase in hosting costs driven by growth in the number of users.

Fiscal 2020

- Complete business and technical requirements to standardize the budget execution process.

Fiscal 2021

- Complete business and technical requirements to standardize processes for acquisitions, vendors, and purchase cards.

Financial Services Optimization and Modernization

Fiscal 2020

- Funding provided for:
 - \$350,000 - Digital Accountability and Transparency (DATA) Act of 2014 gap analysis, non-recurring in fiscal 2021;
 - \$300,000 - consultant studies;
 - \$373,000 - locate and support the Financial Reporting System (FRS) in the cloud and allow real-time reporting;
 - \$300,000 - FRS and other financial management-related training, with \$300,000 non-recurring in fiscal 2021;
 - \$400,000 - implementation of business process standardization (reengineering) studies into the LBFMS, non-recurring in fiscal 2024; and
 - \$1.021 million for 9 positions needed to fill important gaps in expertise needed now and into the future.
- Funding requested for a space renovation (\$568,500) was not provided.
- Develop contract requirements for the DATA Act gap analysis, consultant studies, business process reengineering implementation, services to locate FRS in the cloud, and training for FRS and other financial management training, for award by the Library.
- Fill the 9 requested new positions.

Fiscal 2021

- Develop contract requirements for consultant studies, business process reengineering implementation, services to manage FRS in the cloud, and FRS and

other financial management training, for award by the Library.

- Implement training for the 9 new positions.

processing for faster and more reliable traveler reimbursement.

- Integrated FEDLINK financial data into the LBFMS, improving financial management of revolving funds.

PROGRAM OVERVIEW

The Financial Services Directorate provides policy direction, review, and coordination of all budgetary and financial activities of the Library. Responsibilities include formulation, presentation, and execution of the Library's budget; establishment of all budgetary and accounting standards; establishment and monitoring of financial systems controlling the expenditure and reporting of funds; management of the Library's travel program, and the purchase and travel card programs; disbursement, collection, and investment of funds; accounts payable; and financial reporting. The Chief Financial Officer serves as the principal advisor to the Librarian of Congress and Executive Committee on all financial activities of the Library. FSD's primary focus is to provide effective and responsible leadership, operational oversight and stewardship of financial management resources and services.

FSD functions are organized into the Accounting Operations Division, Budget Division, Disbursing Division, Financial Reports Division, and Financial Systems Division.

Fiscal 2019 Accomplishments

In fiscal 2019, with a budget of \$13.350 million, FSD accomplished the following.

Core Services

- Formulation, presentation, and execution presentation of the Library's budget.
- Accounting, travel, disbursing, financial systems, and financial reporting services for the Library's appropriated, gift, trust, revolving, and reimbursable funds.
- Liaison for the Library of Congress with the House and Senate Committees on Appropriations, Office of Management and Budget, Department of the Treasury, and Government Accountability Office in areas relating to financial functions.
- Host of the Legislative Branch Financial Management System (LBFMS) for the Library of Congress and seven legislative branch agencies on a shared services basis.

Special Initiatives

- Awarded a new 10-year LBFMS Hosting and Support Services contract, available for use by LBFMS shared-services partner agencies.
- Implemented e-Travel, providing paperless official travel authorization and vouchering, travel management services, and financial system

Fiscal 2020 Priority Activities

In fiscal 2020, with a budget of \$16.328 million, FSD's priorities include the following.

Core Services

- Continue to perform its core functions of budget oversight, Library financial management and liaison with the House and Senate Committees on Appropriations and other federal agencies.
- Focus on system operations and hosting of the LBFMS.
- Begin configuration of an upgrade to the latest version of LBFMS for implementation in fiscal 2021.

Special Initiatives

- Complete an implementation roadmap and cost analysis for the Enterprise Planning and Management (EPM) initiative, a Library-wide effort to consolidate and integrate currently disparate financial and strategic planning workflows, performance management and reporting processes, IT investment planning, and supporting automation tools across multiple service units.
- Complete business and technical requirements to standardize the budget execution process (includes appropriated, gift and trust, reimbursable and revolving funds, and travel).
- Identify and evaluate existing FRS reports and assess operational value.
- Review the FRS data warehouse configuration and make future state recommendations to improve extracts from LBFMS, reporting performance and timeliness, and availability of data for analytics.
- Implement additional LBFMS capabilities.
- Develop and pilot requirements for the use of U.S. Treasury's G-Invoicing to manage the processing and approval of agreements, orders, and invoices.

Fiscal 2021 Priority Activities

In fiscal 2021, with a budget of \$16.456 million requested, FSD's priorities include the following.

Core Functions

- Continue to perform its core functions of budget oversight, Library financial management, and liaison with the House and Senate Committees on Appropriations and other federal agencies.

- Focus on operating the financial system and hosting the LBFMS.
- Test and implement an upgrade to the latest version of LBFMS.

Special Initiatives

- Migrate the LBFMS to a new, resilient and scalable hosting environment concurrent with the financial system upgrade go-live.
- Continue business process standardization,

developing business and technical requirements for the acquisition, vendor, and purchase card processes.

- Develop contract requirements for consultant studies, business process reengineering implementation, services to manage FRS in the cloud, and FRS and other financial management training, for award by the Library.
- Implement Treasury's G-Invoicing, piloted in fiscal 2020.

Integrated Support Services

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

Integrated Support Services Summary By Object Class (Dollars in Thousands)

| Object Class | Fiscal 2019 | | Fiscal 2020 Enacted Budget | Fiscal 2021 | Fiscal 2020/2021 Net Change | Percent Change |
|---|-------------------|-----------------------|----------------------------------|------------------|-----------------------------------|-------------------|
| | Operating Plan | Actual Obligations | | Request Total | | |
| 00.0 Lapse Reserve | \$0 | \$0 | \$0 | \$0 | \$0 | 0.0% |
| Total, Lapse Reserve | \$0 | \$0 | \$0 | \$0 | \$0 | |
| 11.1 Full-time permanent | \$8,250 | \$7,758 | \$8,314 | \$8,646 | \$332 | 4.0% |
| 11.3 Other than full-time permanent | 97 | 74 | 97 | 100 | 4 | 4.0% |
| 11.5 Other personnel compensation | 89 | 70 | 89 | 93 | 4 | 4.0% |
| 11.8 Special personal services payment | 30 | 0 | 30 | 32 | 1 | 4.0% |
| 12.1 Civilian personnel benefits | 2,736 | 2,584 | 2,736 | 3,127 | 391 | 14.3% |
| 13.0 Benefits for former personnel | 0 | 0 | 0 | 0 | 0 | 0.0% |
| Total, Pay | \$11,203 | \$10,486 | \$11,266 | \$11,998 | \$731 | 6.5% |
| 21.0 Travel & transportation of persons | \$ 26 | \$ 25 | \$ 26 | \$ 26 | \$1 | 2.5% |
| 22.0 Transportation of things | 1 | 0 | 1 | 1 | 0 | 2.6% |
| 23.1 Rental payments to GSA | 1,771 | 1,771 | 1,771 | 2,028 | 256 | 14.5% |
| 23.2 Other Services | 200 | 182 | 200 | 205 | 5 | 2.5% |
| 23.3 Communication, utilities & misc charges | 421 | 439 | 421 | 431 | 11 | 2.5% |
| 24.0 Printing & reproduction | 61 | 57 | 61 | 63 | 2 | 2.5% |
| 25.1 Advisory & associate services | 809 | 912 | 809 | 829 | 20 | 2.5% |
| 25.2 Other services | 4,410 | 4,256 | 4,410 | 4,520 | 110 | 2.5% |
| 25.3 Other purch of goods & services from gov acc | 1,695 | 8,111 | 2,304 | 2,631 | 327 | 14.2% |
| 25.4 Operation & maintenance of facilities | 8,503 | 8,716 | 8,503 | 8,716 | 213 | 2.5% |
| 25.5 Research and Development Contracts | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 25.6 Medical Care | 135 | 173 | 135 | 138 | 3 | 2.5% |
| 25.7 Operation & maintenance of equipment | 158 | 395 | 158 | 162 | 4 | 2.5% |
| 25.8 Subsistence and Support of Persons | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 26.0 Supplies & materials | 113 | 98 | 113 | 116 | 3 | 2.5% |
| 31.0 Equipment | 963 | 947 | 913 | 936 | 23 | 2.5% |
| 41.0 Grants, subsidies & contributions | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 42.0 Insurance claims & indemnities | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 44.0 Refunds | 0 | 0 | 0 | 0 | 0 | 0.0% |
| Total, Non-Pay | \$ 19,264 | \$26,083 | \$ 19,824 | \$ 20,801 | \$ 977 | 4.9% |
| Total, Integrated Support Services | \$30,467 | \$36,569 | \$ 31,090 | \$ 32,799 | \$ 1,708 | 5.5% |

Integrated Support Services Analysis of Change

(Dollars in Thousands)

| | Fiscal 2021 Agency Request | |
|---|-------------------------------|-----------------|
| | Funded | |
| | FTE | Amount |
| Fiscal 2020 Enacted Budget | 89 | \$31,090 |
| Non-recurring Costs: | 0 | 0 |
| Mandatory Pay and Related Costs: | | |
| Locality-based comparability pay raise January 2021 @ 3.00% | | 252 |
| Annualization of January 2020 pay raise @ 3.52% | | 98 |
| Within-grade increases | | 52 |
| One extra day, 262 vs. 261 | | 44 |
| Fiscal 2019 - 2020 FERS pay increase | | 179 |
| Fiscal 2020 - 2021 FERS pay increase | | 106 |
| Total, Mandatory Pay and Related Costs | 0 | 731 |
| Price Level Changes | | 977 |
| Program Increases: | 0 | 0 |
| Net Increase/Decrease | 0 | 1,709 |
| Total Budget | 89 | \$32,799 |
| Total Offsetting Collections | 0 | 0 |
| Total Appropriation | 89 | \$32,799 |

Integrated Support Services

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

FISCAL 2021 BUDGET REQUEST

The Library is requesting a total of **\$32.799 million** for Integrated Support Services in fiscal 2021, an increase of \$1.709 million, or 5.5 percent, over fiscal 2020. This increase supports mandatory pay related and price level increases.

Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2019 | | | | Fiscal 2020 Enacted Budget | | Fiscal 2021 | | Fiscal 2020/2021 Net Change | | Percent Change |
|-------------------|----------------|----------|--------------------|----------|----------------------------|-----------|---------------|-----------|-----------------------------|---------|----------------|
| | Operating Plan | | Actual Obligations | | | | Request Total | | | | |
| | Funded FTE | \$ | FTE Usage | \$ | Funded FTE | \$ | Funded FTE | \$ | Funded FTE | \$ | |
| OCOO_ISS | 91 | \$30,467 | 83 | \$36,569 | 89 | \$ 31,090 | 89 | \$ 32,799 | 0 | \$1,709 | 5.5% |

FUNDING OVERVIEW

In fiscal 2020, Integrated Support Services (ISS) has a budget of \$31.090 million/89 FTE (Pay - \$11.266 M/ Non-Pay - \$19.824 M) which supports overall facility operations and maintenance.

PROGRAM OVERVIEW

Integrated Support Services is responsible for the day-to-day long-term management and oversight of facility operations, space utilization planning, occupational health, logistics, construction planning and management, asset management, and safety services. In partnership with the Architect of the Capitol (AOC), ISS ensures that Library buildings and grounds are maintained for staff, visitors, and the collections.

Fiscal 2019 Accomplishments

ISS successfully supported all service units by continuing to provide day-to-day and long-term management of facility operations, space utilization planning, occupational health, logistics, construction planning and management, asset management, and safety services.

Core Services

- Completed phase 1 of 4 and started phase 2 of compact shelving projects for Geography & Map Division and completed year one of phase 1 of 2 for Prints & Photographs Division. These are large multi-year replacement programs.
- Completed the third year of Quad C shelving replacement and installation of compact shelving. Quad C is one of four sub-basement quadrants in the James Madison Memorial Building (JMMB) for the Law Library.
- Supported the AOC to complete construction of the Law Library secure storage vault, the last of the four

secure storage vaults to be built in the JMMB.

- Completed refurbishment of the Congressional Research Services Domestic Social Policy Division.

Special Initiatives

- Completed the move to Ft. Meade Storage Module 5.
- Started construction of Ft. Meade Storage Module 6 and conducted risk assessment review, and completed initial designs of Ft. Meade Storage Module 7.
- Completed logistics operation relocation of 25,000 square feet of collections and deposits from Landover Center Annex (LCA) to Cabin Branch, Maryland.
- Completed design and began construction for the United States Copyright Office (USCO) storage facility at 1519 Cabin Branch, Maryland.
- Supported the Library's Visitor Experience planning and initiated related program and staff relocations.

Fiscal 2020 Priority Activities

ISS will continue to support all service units by providing day-to-day and long-term management of facility operations, space utilization planning, occupational health, logistics, construction planning and management, asset management, and safety services.

Core Services

- Complete Phase 1 of the Prints & Photographs Division compact shelving projects and initiate phase 2.
- Complete Phase 2 of the Geography & Map Division compact shelving project.
- Complete Law Library Quad C compact shelving installation.
- In conjunction with the operational consolidation project, complete redesign of the Office of the Chief

Information Officer (OCIO) operations locations.

- Support the AOC's completion of construction documents for the final phase of the John Adams Building Rain Leader project.
- Complete USCO design and subsequent reconfiguration.
- Continue supporting the AOC's efforts in planning and installing energy-efficient products throughout the Library buildings.

Special Initiatives

- Support the AOC's construction of Ft. Meade Storage Module 6.
- Ensure final transition by USCO storage facility at Cabin Branch from LCA.
- Prepare for the final close out of LCA.
- Support the final decision on National Library Service for the Blind and Print Disabled (NLS) relocation.
- Complete the Library's Visitor Experience-related program and staff relocations in preparation for Visitor Experience construction.
- Initiate the Jefferson North East emergency egress stair construction.

Fiscal 2021 Priority Activities

ISS efforts will continue to provide day-to-day and long-term management of facility operations, space utilization planning, occupational health, logistics, construction planning and management, asset management, and safety services. The additional focus on resolving storage capacity challenges throughout the Library buildings will continue as planned.

See Appendix J for further details on the Library's plans to update and modernize facilities.

Core Services

- Begin the design effort for the replacement of the Law Library Quad B shelving.
- Begin implementation of redesigning office and software development spaces for the OCIO.

Special Initiatives

- Finalize and complete the close out of LCA 1st quarter of fiscal 2022.
- Support planning and execution of NLS on relocation.
- Begin design for Ft. Meade Storage Module 8 in preparation of future funding.

Office of the Chief Information Officer

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

Office of the Chief Information Officer Summary By Object Class (Dollars in Thousands)

| Object Class | Fiscal 2019 | | Fiscal 2020 Enacted Budget | Fiscal 2021 | Fiscal 2020/2021 Net Change | Percent Change |
|---|-------------------|-----------------------|----------------------------------|-------------------|-----------------------------------|-------------------|
| | Operating Plan | Actual Obligations | | Request Total | | |
| 00.0 Lapse Reserve | \$ 0 | \$ 0 | \$ 0 | \$ 0 | \$0 | 0.0% |
| Total, Lapse Reserve | \$ 0 | \$ 0 | \$ 0 | \$ 0 | 0 | 0.0% |
| 11.1 Full-time permanent | \$38,518 | \$36,854 | \$49,738 | \$51,990 | \$2,252 | 4.5% |
| 11.3 Other than full-time permanent | 301 | 202 | 301 | 313 | 12 | 4.0% |
| 11.5 Other personnel compensation | 307 | 341 | 307 | 320 | 12 | 4.0% |
| 11.8 Special personal services payment | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 12.1 Civilian personnel benefits | 12,430 | 11,831 | 12,606 | 14,646 | 2,040 | 16.2% |
| 13.0 Benefits for former personnel | 0 | 0 | 0 | 0 | 0 | 0.0% |
| Total, Pay | \$51,556 | \$49,228 | \$62,952 | \$67,268 | \$4,316 | 6.9% |
| 21.0 Travel & transportation of persons | \$ 50 | \$ 46 | \$ 50 | \$ 51 | \$1 | 2.5% |
| 22.0 Transportation of things | 0 | 0 | 0 | 0 | 0 | 2.5% |
| 23.1 Rental payments to GSA | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 23.2 Other Services | 1,840 | 1,840 | 1,840 | 1,886 | 46 | 2.5% |
| 23.3 Communication, utilities & misc charges | 12,991 | 12,196 | 14,991 | 15,615 | 625 | 4.2% |
| 24.0 Printing & reproduction | 77 | 122 | 77 | 79 | 2 | 2.5% |
| 25.1 Advisory & associate services | 32,298 | 30,719 | 26,873 | 32,962 | 6,090 | 22.7% |
| 25.2 Other services | 142 | 55 | 142 | 1,149 | 1,008 | 710.7% |
| 25.3 Other purch of goods & services from gov acc | 1,200 | 1,261 | 1,550 | 1,589 | 39 | 2.5% |
| 25.4 Operation & maintenance of facilities | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 25.5 Research and Development Contracts | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 25.7 Operation & maintenance of equipment | 8,742 | 10,149 | 8,742 | 8,960 | 219 | 2.5% |
| 25.8 Subsistence and Support of Persons | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 26.0 Supplies & materials | 62 | 28 | 62 | 64 | 2 | 2.5% |
| 31.0 Equipment | 8,570 | 7,348 | 9,035 | 9,277 | 242 | 2.7% |
| 41.0 Grants, subsidies & contributions | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 42.0 Insurance claims & indemnities | 0 | 128 | 0 | 0 | 0 | 0.0% |
| Total, Non-Pay | \$ 65,972 | \$ 63,892 | \$ 63,362 | \$ 71,634 | \$ 8,272 | 13.1% |
| Total, Office of the Chief Information Officer | \$ 117,528 | \$ 113,120 | \$126,314 | \$ 138,902 | \$ 12,588 | 10.0% |

Office of the Chief Information Officer
Analysis of Change
(Dollars in Thousands)

| | Fiscal 2021 | |
|---|-----------------------|------------------|
| | Agency Request | |
| | Funded | |
| | FTE | Amount |
| Fiscal 2020 Enacted Budget | 361 | \$126,314 |
| Non-recurring Costs: | | |
| Mandatory Pay and Related Costs: | | |
| Locality-based comparability pay raise January 2021 @ 3.00% | | 1,410 |
| Annualization of January 2020 pay raise @ 3.52% | | 551 |
| Within-grade increases | | 291 |
| Fiscal 2019 - 2020 FERS pay increase | | 828 |
| Fiscal 2020 - 2021 FERS pay increase | | 624 |
| One extra day, 262 vs. 261 | | 249 |
| Total, Mandatory Pay and Related Costs | 0 | 3,952 |
| Price Level Changes | | 1,542 |
| Program Increases: | | |
| Enterprise Customer Relationship Solution | | 1,250 |
| Automated Records Management System | 2 | 1,861 |
| Cyber Security Enhancements | | 3,925 |
| Workstation Procurement | | 58 |
| Total, Program Increases | 2 | 7,094 |
| Net Increase/Decrease | 2 | \$ 12,588 |
| Total Budget | 363 | \$138,902 |
| Total Offsetting Collections | 0 | 0 |
| Total Appropriation | 363 | \$138,902 |

Fiscal 2021 Program Changes: \$7.094 million

Workstation Centralization Support: \$0.058 million

The Library is requesting funding of \$58,000 to obtain workstations (including laptops) for the new FTEs requested in fiscal 2021 as part of a centralized, consistent approach to workstation procurement under the Office of the Chief Information Officer (OCIO). In addition to providing initial workstations for the new FTEs, this funding will also provide the foundation for ongoing support for future technical refresh of all the Library’s workstations.

A robust workstation replacement program will maintain an average workstation age of four or five years. Furthermore,

this program will in addition support effective deployment of upgrades, allow a consistent procurement schedule, help the Library workforce stay abreast of changing end-user technologies, reduce total inventory, and decrease the range of equipment that must be supported – all improving workstation management and accountability.

The funding requested for the workstation procurement program is associated with the following programmatic increase requests:

| Service Unit | Programmatic Increase | Number of Staff | Associated Cost |
|--|--|-----------------|-----------------|
| Office of the Librarian | Library Data Strategy | 2 | \$ 5,100 |
| Off. Of Chief Information Officer | Automated Records Management System | 2 | 5,100 |
| Library Collections and Services Group | Paid Internship Program | 1 | 2,500 |
| U.S. Copyright Office | Music Modernization Act Staffing | 3 | 7,600 |
| U.S. Copyright Office | Copyright Royalty Judges Staffing | 3 | 7,600 |
| Congressional Research Service | Science and Technology Research Capacity | 12 | 30,100 |
| Total | | 23 | \$58,000 |

Customer Relationship Management Solution: \$1.250 million

The Library requests \$1.250 million to implement an enterprise wide Customer Relationship Management (CRM) solution to ensure the most efficient management of critical relationships with current and future Library users and stakeholders. As the project is implemented \$400,000 will non-recur in fiscal 2022, and an additional \$600,000 will non-recur in fiscal 2023, keeping \$250,000 for ongoing operating and maintenance expenses.

One key outcome of modernization is better management of those critical user and stakeholder relationships. The Library’s IT Program Modernization Plan published March 2018 notes that service units require modernization of the business systems that support their unique missions. This includes modernization efforts to reduce the time required to deliver Congressional Research Service’s products in formats most useful to Congress; modernization of the systems supporting the copyright community, governmental entities, and the public at large; and implementation of the Library’s vision that all Americans be connected to the Library of Congress by engaging with more users with a variety of needs, maximizing and expediting access to collections, and ensuring enduring access to content.

The CRM tool provides a simple interface for the collection of data that helps businesses recognize and communicate with customers in a scalable way – in other words, it is a technology tool that would enable the Library to manage its user relations in a standardized, cohesive manner.

The Library currently tracks information and interactions with internal and external users, stakeholders, and partners using a variety of methods – most commonly manual lists, but also a few customized software applications that are limited either in scope or capability. This current set of tools does not allow Library staff to collaborate across units or divisions, or interact in a consistent and coordinated manner with shared users. Moreover, the user information maintained in the manual methods (generally spreadsheets) is often outdated, and suffers from a lack of quality and version control. Additionally, the manual lists do not allow for advanced features, such as integration with calendaring and reminders, and require multiple entry into other Library systems, which can lead to data errors. Lastly, there is often no easy way to access this information from mobile systems, leading to Library personnel unable to access stakeholder information away from their desks.

An enterprise CRM service will enable Library staff to efficiently manage contact and engagement information and improve relationships with Library users and stakeholders. An enterprise CRM will connect Library user information end-to-end with minimal IT involvement and set a path for sharing of information and services, better service to their users, and greater user satisfaction. Moreover, CRM

systems allow very granular access control and auditing on customer information. Implementing such a system would greatly improve the Library's ability to provide services to its stakeholders and extend its reach to additional stakeholders while improving efficiency and ensuring sensitive information is not inappropriately or inadvertently shared.

Automated Records Management:

\$1.861 million/ 2FTE

The Library requests \$1.861 million in fiscal 2021 for the procurement, implementation, maintenance and continuous support of an Electronic Records Management System (ERMS), with \$1.193 million to non-recur in fiscal 2024. Recurring funding of \$668,000 will support annual software maintenance (\$304,000) and two GS-14 staff (\$364,000) as detailed below.

1. **Records Management Program Manager (one - GS-14)**

The Records Management Program Manager will lead records management work which includes planning, controlling, directing, organizing, training, promoting, and other activities involved with records creation, records maintenance and use, and records disposition in order to achieve adequate and proper documentation of the policies and transactions of the Federal Government and effective and economical management of agency operations. In addition, the Records Management Program Manager will lead the implementation and sustainment of the ERMS, consistent with the Library's IT Governance process, IT security policy, and the Library Record Schedule (LRS).

The Records Management Program Manager will ensure that sound records management information governance and accountability measures are in place to ensure compliance with Federal laws and regulations.

2. **Records Management Systems Administrator (one - GS-14)**

The Records Management Systems Administrator will administer the newly implemented ERMS to include developing and conducting quality control reviews, compliance audits, risk assessments and surveys to measure the effectiveness of the electronic system. Additionally, the Records Management System Administrator will analyze the records management business processes and provide recommendations to improve workflow and create efficiencies by making use of the electronic records management system.

Every day, Library of Congress staff exchange thousands of emails and create hundreds of digital project documents,

spreadsheets, presentations, reports and other records. Every year, the Library transacts millions of dollars in procurements and acquisitions and manages thousands of contracts and other legal documents. These records – including both paper and digital material – are critical to the operations of the Library and are instrumental in preserving the institutional knowledge that allows Library leaders to make informed strategic decisions. The Library has thousands of linear feet of hard copy records and terabytes of digital records stored throughout the agency, containing an array of temporary, permanent, and vital records.

The Library has implemented a strong records management program and made strides towards transitioning records archiving to digital formats. Over the last decade the Library has received progressively higher scores in the National Archives and Records Administration (NARA) annual Records Management Self-Assessment, and with the implementation of a new email management policy in 2016, the Library has been scored highly by NARA for managing email effectively.

However, the updated Federal Records Act and the 2018 Government Reform Plan mandate that NARA will no longer accept paper records from federal agencies after 2022. Federal agencies are expected to automate and manage the archiving of all permanent records digitally. The Library of Congress Office of the Inspector General has noted this requirement and recommended that the Library expedite the acquisition and implementation of an Electronic Records Management System.

Records management progress to date has required intensive staff time and commitment from the Library. The new directive from NARA places a more immediate burden on the Library's Record Management Program to become fully compliant, even as the Library continues the creation of new records material daily.

Electronic Records Management System

The ERMS will:

- Centralize and automate records creation, storage, and disposition for high priority offices in the Library including the Office of the Librarian and the Office of the General Counsel; and
- Meet GSA standards for electronic records manage-

ment solutions, and the Universal Electronic Records Management Requirements from NARA, which outline system requirements for records capture, maintenance and use, disposal, transfer, metadata, and reporting.

The anticipated phased outcomes are as follows.

- Phase 1 – Pilot partial system implementation. By the end of fiscal 2021, the Library will have a fully functioning system running with an initial pilot group, meeting the Library’s Records Management requirements and consistent with NARA.

- Phase 2 – Continue pilot and expand system implementation. By the end of fiscal 2022, the Library will evaluate the initial pilot, make system adjustments and increase the pilot population, all consistent with Library and NARA regulations and guidelines.
- Phase 3 – Full system implementation. By the end of fiscal 2023, perform full system implementation, acquire and build out additional system resources to accommodate full implementation.
- Phase 4 – By the start of fiscal 2024, maintain the ERMS, consistent with Library and NARA’s guidelines and regulations.

Cybersecurity Enhancements:

\$3.925 million

The Library requests \$3.925 million in fiscal 2021, with \$2.519 million non-recurring in fiscal 2022 and \$1.406 million in recurring funding, to implement and maintain cybersecurity enhancements.

As confidential consultant to the Congress, administrator of the national copyright system, and steward of the nation’s cultural history, the Library of Congress takes its responsibility to ensure the IT security of the highly valued digital content entrusted to the Library as a national priority. Whether through the actions of a nation state actor, malicious user, or an unintentional exposure, the loss of sensitive data is a key concern that would significantly affect the Library’s mission to the Congress and the nation.

The cybersecurity threat to the Library and legislative branch data has escalated steadily over the last decade, with increasingly complex attacks regularly identified and prevented. To stay ahead of the growing sophistication of the most advanced and persistent threats, the Library must be able to maintain and consistently mature a comprehensive suite of cybersecurity tools and training.

The Library has been working closely with the Legislative Branch Cybersecurity Working Group, which includes all Legislative branch agencies including staff from the House of Representatives and Senate, to establish and implement additional cybersecurity best practices and shared threat intelligence and mitigation. Given the large amount of legislative and other high-value asset data entrusted to the Library, the Library’s Office of the Chief Information Officer (OCIO) has taken a leading role in those efforts, which include working to identify and implement new and advanced IT security approaches for protecting legislative high value assets.

Identifying and Securing “High Value Asset” Data

In fiscal 2019, the Library conducted an agency-wide cybersecurity analysis and identified a number of products and services that are required for the efficient protection of confidential congressional data and other digital high value

assets (HVA).

The Library \$3.925 million to implement and maintain the following cybersecurity enhancements to protect congressional and other HVA:

- **Inventory & Determination of Proper Security Controls for Congressional Data**
Requested Funding: \$32,500 in fiscal 2021 and non-recurring in fiscal 2022
Building on the initial work for the introduction of Zero Trust security controls in the Library network, OCIO will conduct a comprehensive inventory to identify all instances of confidential Congressional and Library HVA data and determine the proper level of IT security in compliance with National Institute of Standards and Technology (NIST).
- **Enhanced Role-Based Security Awareness Training**
Requested Funding: \$45,000 in fiscal 2021 and recurring annually
To help prevent the loss of HVA data through user error or social engineering attacks, the Library will expand its information security training for individuals with access to HVA data to include tailored annual role-based training specific for those staff who have access to HVA data. Specific role-based training modules, included within the overarching SANS Institute Information Security training, will be leveraged for staff at high-risk of being targeted for phishing and other social engineering attack techniques.
- **Enhanced Logging of High Value Asset Data**
Requested Funding: \$660,500 in fiscal 2021 and \$410,000 non-recurring in fiscal 2022
OCIO will implement a user event behavior analyt-

ics (UEBA) tool to log all access to HVA data with enough detail to allow timely identification of unauthorized access. The Library's current logging tool provides the information required for general access accountability but does not provide the level of forensic detail necessary for the protection of HVA data. Recurring funding is necessary to support annual licensing and updates for the UEBA tool and the Library's audit logging tool.

- **Enhanced Alerting on High Value Asset Datasets**

Requested Funding: \$259,800 in fiscal 2021 and recurring

Leveraging the enhanced logging of HVA data, the Library's Security Operations Center will be tasked with reviewing and determining proper alerts for unauthorized or inappropriate activity associated with the data in real-time. To help expedite this initiative and manage regular threat and hardware changes, the Library will add a full-time cybersecurity contract resource to coordinate updated log content, alerts and dashboards.

- **Audit of LOC High Value Asset Security Controls**

Requested Funding: \$32,400 in fiscal 2021 and non-recurring in fiscal 2022

OCIO will contract for a third-party independent audit of Library HVA data security controls to ensure effective implantation and identify any continuing data security weaknesses. The assessment will leverage Federal Information Processing Standards (FIPS) guidance and Department of Homeland Security recommendations to measure success of critical and urgent initiatives.

- **Implementation of Role-Based/Need-to-Know Access**

Requested Funding: \$147,500 in fiscal 2021 and \$135,500 non-recurring in fiscal 2022

With the centralization of Library IT hardware and ongoing transition to virtual system technologies, long standing physical data separation has been reduced. The Library requires a plan to audit current user access to HVA data and to determine how to best implement role-based and need-to-know access. Once completed, the Library will implement a file assurance solution to allow for ongoing tracking of modifications to identified HVA data. Recurring funding is necessary to support the operation and maintenance of the file assurance tool.

- **Enhanced Cloud Data Security**

Requested Funding: \$290,000 in fiscal 2021 and \$12,000

non-recurring in fiscal 2022

OCIO will implement Cloud Access Security Broker (CASB) and End-Point Discovery and Response (EDR) tools in the Library's enterprise Cloud environment to monitor and protect HVA data that is hosted in the Cloud and identify any attempts to use the cloud to bypass Library IT security controls. A CASB allows inspection of data that is placed on Cloud servers, allowing for the identification and removal of any restricted data when it is uploaded. EDR in the Cloud allows for endpoint monitoring and investigation of Cloud-based endpoints. Recurring funding is necessary to support annual licensing and updates for the tools.

- **Implementation of Data Loss and Insider Threat Prevention Alerting**

Requested Funding: \$1.165 million in fiscal 2021 and \$760,000 non-recurring in fiscal 2022

To help detect and prevent data breaches and data ex-filtration transmissions, OCIO will implement an enterprise Data Loss Prevention (DLP) solution. The solution will monitor for and alert the Library about unauthorized attempts to copy or send sensitive data, intentionally or unintentionally, outside of the Library network. Recurring funding is necessary to support annual licensing and updates for the DLP tools.

- **Archival Encryption**

Requested Funding: \$84,000 in fiscal 2021 and non-recurring in fiscal 2022

OCIO will encrypt Library data at rest and in archive to provide an added layer of IT security for HVA data and help prevent data loss.

- **Enhanced Network Asset Control**

Requested Funding: \$830,000 in fiscal 2021 and \$675,000 non-recurring in fiscal 2022

OCIO will implement an enterprise endpoint validation solution to allow more efficient and effective network controls that will guarantee that only approved hardware can access the Library network. This security control helps ensure that malicious actors cannot leverage non-approved hardware to infiltrate the Library network. Recurring funding is necessary to support annual licensing and updates.

- **Evaluation of CRS IT System Data Security Options**

Requested Funding: \$123,300 thousand in fiscal 2021 and non-recurring in fiscal 2022

OCIO will collaborate with the Congressional Re-

search Service (CRS) to identify options for the addition of robust role-based security controls for the primary IT system CRS uses to store and internally share confidential congressional data. If the evaluation determines that software development or a new solution is needed, additional funding will be required to implement.

- **Evaluation of Physical Security Protections**

Requested Funding: \$255,000 in fiscal 2021 and non-recurring in fiscal 2022

Ensuring that only authorized personnel have access to IT hardware and network controls is an essential element of IT security. However, the Library's buildings are designed intentionally to maximize access for the public and Library staff. To ensure a proper balance, the Library will conduct a comprehensive

evaluation of its physical security and devise a plan to strengthen access controls for sensitive areas.

Critical & Time-Sensitive Needs

Ensuring that strong and effective IT security controls can be implemented and maintained is a key element of IT modernization and the development of a robust, scalable IT infrastructure for the Library. It has been identified as a top priority by Library leadership and congressional oversight. The Library is requesting funding for these cybersecurity enhancements because they have been identified as necessary elements for the security of confidential Congressional and other HVA data that Congress and the nation has entrusted to the Library. These efforts are critical and cannot be conducted in a timely way within base IT funding for the Library without significantly impacting other priority IT modernization and optimization efforts.

Office of the Chief Information Officer

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

FISCAL 2021 BUDGET REQUEST

The Library is requesting a total of **\$138.902 million** for the Office of Chief Information Officer in fiscal 2021, an increase of \$12.588 million, or 10.0 percent, over fiscal 2020. This increase represents \$5.494 million for mandatory pay related and price level increases, and program increases of \$7.094 million and 2 FTEs – [\$1.250 million] for Enterprise Relationship Management Solution, [\$1.861 million and 2 FTE] for Automated Records Management Program, [\$3.925 million] for Cybersecurity Enhancements, and [\$0.058 million] for workstation procurement.

Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2019 | | | | Fiscal 2020 Enacted Budget | | Fiscal 2021 | | Fiscal 2020/2021 Net Change | | Percent Change |
|-------------------|----------------|------------|--------------------|------------|----------------------------|------------|---------------|------------|-----------------------------|----------|----------------|
| | Operating Plan | | Actual Obligations | | | | Request Total | | | | |
| | Funded FTE | \$ | FTE Usage | \$ | Funded FTE | \$ | Funded FTE | \$ | Funded FTE | \$ | |
| OCIO | 289 | \$ 117,528 | 282 | \$ 113,120 | 361 | \$ 126,314 | 363 | \$ 138,902 | 2 | \$12,588 | 10.0% |

FUNDING OVERVIEW

In fiscal 2020, the Office of the Chief Information Officer (OCIO) has a budget of \$126.314 million/ 361 FTE (Pay: \$62.952 M / Non-Pay: \$63.362 M) to provide the IT leadership, services and capabilities necessary to support the Library’s mission and strategic vision for Congress and the American public.

The OCIO budget is divided across the Immediate Office of the Chief Information Officer (CIO) and seven Directorates: Digital Strategy (DSD), IT Governance (ITG), IT Financial Management (ITFM), IT Quality & Performance Management (ITQPM), IT Design & Development (ITD&D), IT Partner Engagement (ITPE), and IT Service Operations (ITSO).

Funded Programmatic Increases:

OCIO Hosting Facilities Challenge

The Library of Congress is transitioning data center operations from the aging Primary Computing Facility (PCF/DC1) data center in the James Madison Memorial Building to a hybrid-hosting model, which leverages dedicated space at a state-of-the-art Tier III data center outside of the Washington, DC metropolitan area, along with other Library-managed data centers and Cloud services. This new hosting model will ensure that the Library has a secure, flexible, efficient and stable foundation for its technology needs for the next generation. See Appendix B for more detailed information.

Fiscal 2017

- Awarded a multi-year data center transformation support contract for application rationalization and migration planning; and

- Designed the architecture for a new hybrid-hosting network model to provide the Library with a scalable, secure, modern IT infrastructure for the future.

Fiscal 2018

- Developed a comprehensive application inventory with functional and technical data points;
- Established an on-premises data hosting agreement in a Tier III data center;
- Initiated shared services to support network, compute, storage, routing, IT security including monitoring, scanning, and backups;
- Began data center infrastructure build-out, including network, compute, storage, and IT security architecture;
- Established centralized enterprise cloud data management processes and procedures;
- Introduced modern Application Centric Infrastructure (ACI) fabric to provide more flexibility in data connections and allow increased data center automation; and
- Established enhanced infrastructure monitoring & IT security tools/architecture.

Fiscal 2019

- Completed data center and Cloud infrastructure build-out;
- Completed migration of core IT security and operations applications;
- Completed IT security configuration testing and review, and established Authority-to-Operate (ATO) for new data center and enterprise Cloud hosting environments;

- Initiated a coordinated application migration planning and implementation process for 112 applications;
- Began remediation of legacy applications to allow migration to new hosting environments; and
- Began updating legacy hardware operating systems and databases to support migration.

Fiscal 2020

- Complete high-speed high-bandwidth fiber-optic ‘ring’ to provide data connection across hybrid hosting environment;
- Complete remediation of legacy applications to allow migration to new hosting environments;
- Complete update of legacy hardware operating systems and databases to support migration; and
- Complete migration of production applications from DC1 to new hosting environments;

Fiscal 2021 and Beyond

- Operate and maintain Library data center facilities (DC1, DC2, DC3, and DC4) and cloud/DC5, and shared services efficiently and securely, while supporting a normal technical refresh cycle for infrastructure and application components; and
- Decommission superfluous IT hardware in DC1 and reduce the data center footprint on Capitol Hill to the minimum necessary to support network connectivity, IT security and other IT infrastructure needs.

OCIO Information Technology IT Security Enhancements

Beginning in fiscal 2017, the Library moved to centralize and significantly enhance the agency’s Information Technology (IT) security protection capabilities.

Fiscal 2017

- Established a centralized IT security office;
- Appointed a single Authorizing Official (AO) – the Deputy CIO – to ensure a holistic view of IT security vulnerabilities and coordinate mitigation efforts;
- Added five full-time federal Information System Security Officers (ISSO) to expand IT security capacity;
- Provides 15 security consultants to support ISSO system monitoring roles; and
- Began planning for enhanced IT security policies and procedures, including multi-factor authentication.

Fiscal 2018

- Implemented multi-factor authentication across all Library workstations and networked computers;
- Issued Personal Identity Verification (PIV) tokens to all users and established processes and procedures

for their use;

- Implemented a continuous monitoring strategy for Library IT systems, providing real-time IT security monitoring and faster threat identification and mitigation; and
- Implemented robust review and mitigation of identified IT security weaknesses. Closed over 575 POAMs (Plan of Action and Milestones).

Fiscal 2019

- Maintained robust review and mitigation of IT security weaknesses; closed over 1,000 POAMs;
- Achieved 100 percent ATO for Library IT systems, up from a norm of 35 percent;
- Began to secure authentication for applications by implementing SSO; and
- Continued robust IT security monitoring and mitigation efforts.

Fiscal 2020 and beyond

- Will maintain a robust IT security footprint, meeting or exceeding NIST IT security guidelines and ensuring the continuous monitoring of all Library IT systems for external and internal threats; and
- Begin planning and implementation of a Zero Trust Framework for high value asset data.

Enterprise Investment in IT Modernization

To ensure the long-term viability of the Library’s overall information technology operations, the agency requested increased resources for the modernization and ongoing maintenance of the agency’s LAN (local area network), WAN (wide area network), and other infrastructure components necessary to enable staff interconnectivity and access to Cloud-shared services.

Fiscal 2018

- Acquired necessary software and telecommunications and automation equipment;
- Funded eleven full-time IT positions to provide ongoing IT modernization and operations support;
- Initiated site survey of Library WiFi and cellular connectivity; and
- Conducted network modernization analysis and planning;

Fiscal 2019

- Completed site survey of Library WiFi and cellular connectivity and developed plan to improve coverage for Library facilities;
- Deployed improved telecommunications equipment and desk phones including VOIP;

- Deployed additional WiFi access points to improve coverage in high-demand areas;
- Enhanced ISP bandwidth for Library data centers and facilities, including DC2, DC4, Landover, Taylor Street, and Little Scholars Child Care Center;
- Improved call center capabilities; and
- Deployed dedicated wireless network for Library mobile devices.

Fiscal 2020 and beyond

- Expand capacity and functionality of staff wireless network for Library facilities to enhance collaboration and communication across Library service units;
- Continue upgrading connectivity among Library buildings, and connectivity beyond Library campus via Internet and Internet II;
- Enhance cellular wireless coverage across Library facilities; and
- Increase productivity and enable mobile workforce with improved virtual private network (VPN) and desktop virtualization.

Workstation Refresh

In fiscal 2019, the Library created a centralized workstation refresh program that updates Library computers in a regular rotation. By centralizing this function, the Library ensures that employees have the up-to-date technologies necessary to maintain productivity and that IT systems remain secure and operable.

Fiscal 2019

- Established centralized workstation refresh program;
- Replaced over 28 percent of Library workstations – 1,576 machines out of a total of 5,500 – focusing on oldest first; and
- Updated employee workstations to Windows 10 operating system.

Fiscal 2020 and beyond

- Maintain annual refresh rate of at least 25 percent of Library workstations;
- Transition to single-machine-per-employee model to reduce overhead and optimize operations and maintenance;
- Enhance the staff mobile computing capability by providing appropriate laptops, 2-in-1s, tablets, and other mobile computing solutions; and
- Continuously evaluate vendor offerings to ensure Library end-user hardware stays current with industry standards of computing.

Data Center Transformation & Modernization Phase II

The Library maintains an extensive information technology (IT) network that supports the agency employees, Congress, federal agencies, the American public, and the global research and education communities. In fiscal 2020, this funding was added to the Library's base IT appropriation to provide necessary support for the operations, maintenance, and security of the enhanced IT network, and ensure robust high availability for the growing collection and use of digital information, and resilient protection from increasingly complex and persistent cybersecurity threats.

Fiscal 2020 and beyond

- Sustain the Library's hybrid hosting environment, including supporting expanded internet capability and bandwidths, network fiber ring lease, and scalable Cloud-based hosting services;
- Establish and maintain a Virtual Network Operations Center to provide 24/7/365 monitoring of network operations that will proactively identify operational and security issues so they can be promptly addressed;
- Expand and maintain a robust ZeroTrust Security model for high value asset data;
- Operate and sustain of the improved staff wireless infrastructure to facilitate improved collaboration among Library service units; and
- Operate and sustain of enhanced metropolitan area network (MAN) and wide area network (WAN) capabilities to maintain expanded facility operations and site contingency operations and recovery.

Congress.gov Enhancements

Congress.gov is the official website for federal legislative data. Beginning in fiscal 2020, funding was appropriated to support congressionally requested enhancements and continuous development of the site. The increase in base funding is directly tied to supporting efforts to more quickly address critical near term issues, such as the required full retirement of the legacy LIS data exchange back-end, and provide continuous development and maintenance to enhance functionality, reliability, and availability of the system.

Fiscal 2020 through fiscal 2022

- Retire Legacy Data Interchange System (previously LIS) by working with legislative data partners to convert data standards towards United States Legislative Markup (USLM) schema;
- Enhance availability, reliability and accessibility with additional IT hardware and network upgrades to support distributed system operation;
- Develop enhanced Congress.gov functionality requested by congressional users, including capacity for

personalization and better integration of data sources such as the Congressional Record Index;

- Develop a mobile app to provide increased accessibility and usability for mobile users; and
- Onboard limited-term legislative data management staff for the Congressional Research Service to support congressional requests for legislative data support.

Fiscal 2023 and beyond

- Maintain continuous development to meet congressional needs with agile delivery of new and enhanced functionality, including increased facility for customization and personalization;
- Maintain operations and maintenance necessary to ensure high availability and reliability of Congress.gov; and
- Continue to improve shared data infrastructure across Legislative branch agencies.

PROGRAM OVERVIEW

The Office of the Chief Information Officer (OCIO) is the agency's centralized hub of technology professionals working to transform the Library of Congress into a data-driven and digitally enabled institution. Under the direction of the Chief Information Officer, OCIO builds, develops and sustains the information technology (IT) necessary for the Library to meet its mission to Congress and the American people, and provides the strategic leadership, governance, and management for technical innovation across the enterprise. It also delivers IT security, network and technology infrastructure operations and end-user services for all Library employees.

Fiscal 2019 Accomplishments

With the culmination of IT centralization in October 2018, OCIO focused in fiscal 2019 on maturing IT Governance, improving processes and procedures, and transitioning from stabilization and optimization efforts towards a multi-year Library-wide IT modernization program.

In fiscal 2019, with the budget of \$117.528 million, CIO accomplished the following.

Immediate Office of the CIO

- Provided the leadership and vision for the stabilization, optimization, and modernization of Library's information technology.
- Continued to mature the centralization of all IT activities across the Library.
- Significantly improved IT security for the Library with the implementation of multifactor authentication across Library users, and the review and IT se-

curity testing of 100 percent of Library systems and applications, bringing the Library fully in-line with NIST guidelines.

- Published both an IT Business Continuity and Disaster Recovery (BCDR) policy and a directive, establishing the roles and responsibilities for IT BCDR efforts within the Library. The directive provides specific guidance on how to prepare IT systems for the event of a disruption or disaster.
- Successfully closed 58 IT recommendations from GAO and OIG. OCIO has implemented 263 out of 340 GAO and OIG recommendations since 2015, and is working diligently to address the remaining recommendations.

Digital Strategy Directorate (DSD)

- Building on the release of the Library's first comprehensive digital strategy in October 2018, DSD expanded efforts to communicate the new digital strategy and model innovative uses of technology through LC Labs activities and collaborations.
- LC Labs continued its work to help the Library enable computational use of collections content and metadata. LC Labs focused on encouraging use of the API access to LOC.gov materials, 25 million downloadable bibliographic records, the text of 13 million digitized newspaper pages, and contributing to the analysis necessary to further collection readiness.
- Launched *By the People*, a crowdsourcing program that invites the public to transcribe and tag images of handwritten text in the Library's collections. By the end of the year, *By the People* had inspired more than 12,000 digital volunteers who transcribed over 50,000 pages of manuscripts, letters and other historical material.

IT Governance Directorate (ITG)

- Revamped the Library's IT Governance structure to ensure technology is strategically aligned to meet Library mission and goals. Established new or expanded cross-Library boards including the Technology Strategy Board, the Product Governance Board, the IT Finance Working Group, and the Technology Architecture Board.
- Implemented the OCIO fiscal 2019 - 2023 Directional Plan in May 2019.
- Matured the IT planning process, shifting from annual to multi-year strategic planning. Prioritized more than 90 IT activities that can be addressed as resources become available.

IT Financial Management Directorate (ITFM)

- Refocused IT investment governance as a multi-year

planning and execution endeavor rather than an annual fiscal budgetary management activity.

- Synced IT budgetary and acquisitions data calls with Library-wide timelines.
- Increased transparency of the agency IT spend by providing new views of spend data (run and change the business and the OMB portfolio structure).
- Automated IT acquisitions workflow process in ServiceNow.

IT Quality & Performance Management Directorate (ITQPM)

- Improved service performance reporting.
- Reformatted and enhanced the Library's Service Catalog to expand usability and provide Library staff with a comprehensive list of available services.
- The Library's Records Management Program received a rating of 92 percent (low risk =90-100 percent). In addition, the Library received a low risk rating for managing agency email with 15 points out of 16 total and a Maturity Model Score of 3.75 out of 4.

IT Design & Development Directorate (ITD&D)

- Supported continuous development and increased accessibility and usability for Library web sites:
 - Collaborated with CRS, the Law Library, and congressional staff and stakeholders to complete 16 major releases of Congress.gov, including releases to support a Congressional mandate and a new Congress.
 - Worked with divisions across the Library to enhance the Library's flagship web property, LOC.gov, with new content and features.
 - Provided new functionality and content templates for CRS.gov and the public portal crsreports.congress.gov.
- Provided agile development and user experience design for Library IT modernization efforts:
 - Led the ongoing development efforts for Copyright IT modernization and the creation of the Enterprise Copyright System (ECS).
 - Supported ongoing integration of the new CRS Integrated Research and Information System (IRIS).
 - Worked with CRS' American Law Division to design, develop, and release a new web site devoted to the Constitution Annotated ("CONAN").
 - Collaborated with the U.S. Copyright Office and Library Services to develop and release Stacks, a web-based application that provides

secure onsite access to rights-restricted materials for Library staff and reading room users.

- Developed a new mobile app for Library collections content.

IT Partner Engagement Directorate (ITPE)

- Managed OCIO engagement with Library service unit leadership and other stakeholders across the Library, including coordination of IT acquisition, development, and maintenance activities.
- Matured the Library's IT Project Management Life Cycle (PMLC) processes and procedures and provided project management oversight for all major IT projects, including Copyright IT modernization, CRS IRIS, and the modernization of IT systems for the National Library Services for the Blind and Print Disabled (NLS).
- Managed end user services, maintaining 24/7 service desk support for Library staff, and routine operations and maintenance for workstations and other technical devices.
- Conducted comprehensive annual inventory of workstations and other IT hardware. Initiated annual workstation refresh cycle, with the replacement of 28.65 percent of the Library's workstations, exceeding the initial goal of 25 percent.

IT Service Operations Directorate (ITSO)

- Maintained the Library's IT infrastructure, including hardware, network, storage, and databases necessary to support the routine operations of the Library. Supported operations and maintenance for 183 IT systems and applications, over 365 physical and 2,750 virtual servers, and more than 85 petabytes of data across four data centers and the Cloud.
- Completed the physical build-out and established the data architecture for the Library's new hybrid hosting environment, including the new Tier III Redstone-Turner data center (DC4) and enterprise Cloud environment. Conducted application migration planning for all Library IT systems and applications. Began initial transfer of applications to the Library's new state-of-the-art data center and enterprise Cloud environment.
- Supported IT modernization efforts and implementation of new IT systems and applications with necessary infrastructure and network adjustments.
 - Established new network environments for the CRS IRIS system.
 - As part of NLS modernization transitioned the Braille and Audio Reading Download (BARD) digital download system to the

Cloud to begin testing how to support growing numbers of NLS patrons.

Fiscal 2020 Priority Activities

In fiscal 2020, OCIO will continue the optimization of Library technology while expanding IT modernization efforts across the enterprise. It will also continue to mature oversight and governance of IT activities for the agency and support increased digital innovation.

In fiscal 2020, with the budget of \$126.314 million, CIO priorities include the following.

Immediate Office of the CIO

- Continue to provide the leadership and vision for technology at the Library and mature the centralization of all IT activities.
- Continue to improve IT security, including the expansion of single sign-on capabilities for Library applications and systems, and additional activities to implement a zero-trust framework for Library IT systems and data. Continue transition Library IT systems to continuous monitoring.
- Enhance transparency and communication of IT activities, processes and procedures.
- Maintain an agency IT Disaster Recovery Plan, IT contingency plans, and coordinate disaster recovery exercises.

Digital Strategy Directorate (DSD)

- Continue to support adoption of Library's digital strategy and model innovative uses of technology through LC Labs activities and collaborations.
 - Formalize the Lab's Agile piloting and experimentation model to better facilitate service unit-driven experimentation.
 - Expand Innovators in Residence program to show new and exciting uses for Library collections and expertise.
- Transition the successful By the People crowdsourcing program to Library Services, moving innovative effort out of pilot phase and into permanent status.

IT Governance Directorate (ITG)

- Continue to mature the IT Governance structure and the composition and activities of cross-agency bodies that impact strategic and tactical IT resource decision making.
- Improve the usability of enterprise architecture data for decision makers and improve data visualization to inform dependencies.

IT Financial Management Directorate (ITFM)

- Continue implementation of Technology Business

Model (TBM) for the Library, including the initial deployment of an automated TBM tool to support reporting on IT cost and value.

- Identify IT assets that are critical in providing service capability and take steps to maximize their reliability and availability throughout their lifecycle, from procurement to disposal.

IT Quality & Performance Management Directorate (ITQPM)

- Continue to mature IT service tracking and reporting, including piloting the integration of service monitoring tools to create on-demand service status dashboard.
- Continue to improve the functions and usability of the Library's IT service catalog.

IT Design & Development Directorate (ITD&D)

- Maintain continuous development efforts to increase functionality, accessibility and usability for Library websites, including Congress.gov, LOC.gov, and CRS.gov.
- Retire legacy Legislative Information System (LIS).
- Provide agile development and user experience design for Library IT modernization efforts:
 - Continue development efforts for Copyright IT modernization and the creation of the Enterprise Copyright System (ECS).
 - Support ongoing integration of the new CRS Integrated Research and Information System (IRIS).
 - Support initial planning for modernization of Library Services platforms.

IT Partner Engagement Directorate (ITPE)

- Continue to manage OCIO engagement with Library service unit leadership and other stakeholders across the Library, including coordination of IT acquisition, development, and maintenance activities.
- Continue to mature the Library's PMLC processes and procedures and provide project management oversight for all major IT projects, including Copyright IT modernization, CRS IRIS, and the modernization of IT systems for NLS.
 - Implement reporting mechanisms to monitor planned versus actual costs and review project deliverables for compliance with the full project management lifecycle.
 - Improve project cost estimation and tracking by including estimates and actual costs for infrastructure and non-OCIO project team members; and collect actual non-personnel project costs using contract data.

- Continue support for end user services, maintaining 24/7 service desk support for Library staff, and routine operations and maintenance for workstations and other technical devices.
- Conduct comprehensive annual inventory of workstations and other IT hardware and refresh 25 percent of Library workstations.

IT Service Operations Directorate (ITSO)

- Maintain core IT infrastructure, including hardware, network, storage, and databases, necessary to support the routine operations of the Library.
- Initiate Library-wide mobile upgrade.
- Continue support for IT modernization efforts and the implementation of new IT systems and applications with necessary infrastructure and network adjustments.
- Implement Software Defined Networking and Storage to support DevOps and Agile deployments.
- Continue Data Center Transformation effort, including the implementation of a high-speed data connection between all Library data centers, and the migration of production IT systems out of the outdated Madison Data Center (DC1).
- Modernize legacy Library Data Centers to standardize enterprise infrastructure.

Fiscal 2021 Priority Activities

In fiscal 2021, OCIO will continue modernization activities for Library business units, while maintaining and improving the core IT infrastructure to support day-to-day Library service to users and staff. It will also continue efforts to expand digital innovation and participation and maintain strong IT governance and management.

In fiscal 2021, with the budget request of \$138.902 million, CIO priorities include the following.

Immediate Office of the CIO

- Continue to provide the leadership and vision for technology at the Library and mature the centralization of IT activities.
- Continue to improve IT security and maintain continuous monitoring of Library IT systems.
- Continue to enhance transparency and communication of IT activities, processes and procedures.
- Maintain an agency IT Disaster Recovery Plan, IT contingency plans, and coordinate disaster recovery exercises.

Digital Strategy Directorate (DSD)

- Continue to support adoption of Library's digital strategy and model innovative uses of technolo-

gy through LC Labs activities and collaborations. Continue to build capacity to support service units, explore pathways for collaborating with internal and external partners, and standardize operating procedures.

- Initiate research necessary to drive informed long-term strategic decision-making around emerging technologies and digital processing for Library stakeholders.
- Pilot application of machine learning in the Library's institutional context.

IT Governance Directorate (ITG)

- Continue to mature the IT Governance structure and the composition and activities of cross-agency bodies that impact strategic and tactical IT resource decision making.
- Continue to improve Library IT planning processes to provide consistent information to support IT governance bodies. Strengthen linkage between IT project planning and execution and the governance processes. Advance OCIO's risk analysis, monitoring, and mitigation processes.
- Enhance Data Architecture Program to share Library business and system data models Library-wide according to defined standards.

IT Financial Management Directorate (ITFM)

- Improve IT financial data fidelity and accuracy of TBM source data and operationalize TBM tool for full agency use.
- Review critical IT asset base periodically to identify ways to optimize costs and maintain alignment with business needs. Link the Acquisition Plan and the Project Portfolio to facilitate improved project cost estimates and acquisition planning.
- Mature control of IT procurement and contracts, including an expanded pool of qualified CORs and development of a strategic sourcing plan to guide the development and use of IT contract vehicles to more effectively meet the business needs of the evolving and modernizing Library.

IT Quality & Performance Management Directorate (ITQPM)

- Continue to mature IT service tracking and reporting and expand use of quality improvement process (QIP) to enhance IT service delivery.
- Continue to improve the functions and usability of the Library's IT service catalog.
- Pending resource allocation, procure and implement an Electronic Records Management System (ERMS) and expand the Library's records management program in accordance with NARA's directive.

IT Design & Development Directorate (ITD&D)

- Maintain continuous development efforts to increase functionality, accessibility and usability for Library websites, including Congress.gov, LOC.gov, and CRS.gov.
- Provide agile development and user experience design for Library IT modernization efforts, including Copyright IT modernization, CRS IRIS, NLS BARD, and Library Services platforms. Modernize platform services, standards, and processes to ensure that Library systems are built using common architectures and best practices in User-Centered Design and Development Operations (DevOps).
- Retire legacy systems as new technologies become available to ensure future usability.

IT Partner Engagement Directorate (ITPE)

- Continue to manage OCIO engagement with Library service unit leadership and other stakeholders across the Library, including coordination of IT acquisition, development, and maintenance activities.
- Continue to implement the Library's PMLC processes and procedures and provided project management oversight for all major IT projects, including Copyright IT modernization, CRS IRIS, and the modern-

ization of IT systems for NLS.

- Continue support for end user services, maintaining 24/7 service desk support for Library staff, and routine operations and maintenance for workstations and other technical devices.
- Conduct comprehensive annual inventory of workstations and other IT hardware and refresh 25 percent of Library workstations.

IT Service Operations Directorate (ITSO)

- Maintain core IT infrastructure, including hardware, network, storage, and databases, necessary to support the routine operations of the Library. Continue efforts to enhance Library mobile and Wi-Fi networks.
- Continue support for IT modernization efforts and the implementation of new IT systems and applications with necessary infrastructure and network adjustments.
- Assess Library storage plan and establish new storage environment to modernize and enhance support of the Library's digital strategy.
- Complete Data Center Transformation effort, transitioning production IT systems to new hybrid hosting environment.



Library Collections and Services Group

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

Library Collections and Services Group Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2019 | | | | Fiscal 2020 Enacted Budget | | Fiscal 2021 | | Fiscal 2020/2021 Net Change | | Percent Change |
|--------------------|----------------|------------------|--------------------|------------------|----------------------------|------------------|---------------|------------------|-----------------------------|-----------------|----------------|
| | Operating Plan | | Actual Obligations | | | | Request Total | | | | |
| | Funded FTE | \$ | FTE Usage | \$ | Funded FTE | \$ | Funded FTE | \$ | Funded FTE | \$ | |
| LCSG | - | \$- | - | \$- | 11 | \$3,011 | 12 | \$4,015 | 1 | \$1,005 | 33.4% |
| Library Services | 1,314 | 220,900 | 1,227 | 217,256 | 1,314 | 220,954 | 1,314 | 233,024 | 0 | 12,070 | 5.5% |
| Law Library | 88 | 17,343 | 86 | 17,145 | 88 | 17,328 | 88 | 22,603 | 0 | 5,275 | 30.4% |
| Total, LCSG | 1,402 | \$238,243 | 1,313 | \$234,401 | 1,413 | \$241,294 | 1,414 | \$259,643 | 1 | \$18,349 | 7.6% |

**Library Collections and Services Group
Summary By Object Class**

(Dollars in Thousands)

| Object Class | Fiscal 2019 | | Fiscal 2020 Enacted Budget | Fiscal 2021 | Fiscal 2020/2021 Net Change | Percent Change |
|--|-------------------|-----------------------|----------------------------------|------------------|-----------------------------------|-------------------|
| | Operating Plan | Actual Obligations | | Request Total | | |
| 00.0 Lapse Reserve | \$0 | \$0 | \$0 | \$0 | \$0 | 0.0% |
| Total, Lapse Reserve | \$0 | \$0 | \$0 | \$0 | \$0 | 0.0% |
| 11.1 Full-time permanent | - | - | \$130,461 | \$136,217 | \$5,757 | 4.4% |
| 11.3 Other than full-time permanent | - | - | 3,682 | 3,829 | 147 | 4.0% |
| 11.5 Other personnel compensation | - | - | 2,408 | 2,502 | 94 | 3.9% |
| 11.8 Special personal services payment | - | - | 32 | 33 | 1 | 4.0% |
| 12.1 Civilian personnel benefits | - | - | 41,724 | 47,718 | 5,994 | 14.4% |
| 13.0 Benefits for former personnel | - | - | 0 | 0 | 0 | 0.0% |
| Total, Pay | - | - | \$178,306 | \$190,300 | \$11,992 | 6.7% |
| 21.0 Travel & transportation of persons | - | - | \$949 | \$978 | \$30 | 3.1% |
| 22.0 Transportation of things | - | - | 369 | 380 | 11 | 2.9% |
| 23.1 Rental payments to GSA | - | - | 0 | 0 | 0 | 0.0% |
| 23.2 Other Services | - | - | 389 | 408 | 19 | 4.9% |
| 23.3 Communication, utilities & misc charges | - | - | 850 | 878 | 28 | 3.3% |
| 24.0 Printing & reproduction | - | - | 1,478 | 1,516 | 37 | 2.5% |
| 25.1 Advisory & associate services | - | - | 6,223 | 6,542 | 319 | 5.1% |
| 25.2 Other services | - | - | 10,807 | 11,526 | 718 | 6.6% |
| 25.3 Other purch of goods & services from gov acc | - | - | 8,403 | 8,758 | 355 | 4.2% |
| 25.4 Operation & maintenance of facilities | - | - | 5 | 5 | 0 | 5.0% |
| 25.5 Research and Development Contracts | - | - | 0 | 0 | 0 | 0.0% |
| 25.6 Medical Care | - | - | 0 | 0 | 0 | 4.0% |
| 25.7 Operation & maintenance of equipment | - | - | 3,080 | 3,159 | 79 | 2.6% |
| 25.8 Subsistence and Support of Persons | - | - | 8 | 8 | 0 | 2.5% |
| 26.0 Supplies & materials | - | - | 2,248 | 2,308 | 60 | 2.7% |
| 31.0 Equipment | - | - | 26,855 | 31,517 | 4,661 | 17.4% |
| 41.0 Grants, subsidies & contributions | - | - | 1,099 | 1,126 | 27 | 2.5% |
| 42.0 Insurance claims & indemnities | - | - | 0 | 0 | 0 | 0.0% |
| 44.0 Refunds | - | - | 222 | 233 | 11 | 5.0% |
| Total, Non-Pay | - | - | \$62,986 | \$69,343 | \$6,357 | 10.1% |
| Total, Library Collections and Services Group | - | - | \$241,294 | \$259,643 | \$18,349 | 7.6% |

Library Collections and Services Group

Analysis of Change

(Dollars in Thousands)

| | Fiscal 2021 | |
|---|----------------|------------------|
| | Agency Request | |
| | Funded | |
| | FTE | Amount |
| Fiscal 2020 Enacted Budget | 1,413 | \$241,294 |
| Non-recurring Costs: | 0 | 0 |
| Mandatory Pay and Related Costs: | | |
| Locality-based comparability pay raise January 2021 @ 3.00% | | 1,493 |
| Annualization of January 2020 pay raise @ 3.52% | | 3,816 |
| Within-grade increases | | 787 |
| One extra day, 262 vs. 261 | | 691 |
| Fiscal 2019 - 2020 FERS pay increase | | 2,684 |
| Fiscal 2020 - 2021 FERS pay increase | | 1,570 |
| Foreign Service Nationals (FSN) Pay Adjustment | | 293 |
| Total, Mandatory Pay and Related Costs | 0 | 11,334 |
| Price Level Changes | | 1,747 |
| Program Increases: | | |
| Compact Shelving Replacement - Quad B | | 4,370 |
| Paid Internship Program | 1 | 899 |
| Total, Program Increases | 1 | 5,269 |
| Net Increase/Decrease | 1 | \$ 18,349 |
| Total Budget | 1,414 | \$259,643 |
| Total Offsetting Collections | 0 | 0 |
| Total Appropriation | 1,414 | \$259,643 |

Fiscal 2021 Program Changes: \$5.269 million

Paid Internship Program: \$0.899 million/1 FTE

The Library requests \$899,000 to support the Internship and Fellowship Programs (IFP). In order to expand access to a broader and more inclusive talent pool, the funding request includes \$95,000 for one FTE to increase support for the Library's internship and fellowship opportunities, \$276,000 to support 38 Junior Fellows, \$290,000 to support 38 internships, and \$238,000 in contractual funding.

FTE will support the IFP program as follows:

1. Administrative Specialist (one - GS-9)

The incumbent will use a variety of automated systems to perform tasks ranging from personnel actions to budget and contracting transactions. Performs and monitors administrative management requirements, including applying administrative policies and maintaining various systems. Assists in reviewing and responding to budget calls, basic administrative expenses, and disseminating guidelines for administrative matters.

The additional funding capacity of priority programs is requested to increase the percentage of the Library's paid internships to provide greater access, thereby creating candidate pools of broader socioeconomic status. These programs provide experiential learning opportunities for students, recent graduates and scholars. Currently, the Library's unpaid internships are nearly double the paid internships averaging over 200 unpaid per year versus about 120 paid per year. If approved, these funds would allow the agency to structure a greater number of paid internship opportunities over the number of unpaid.

In recent appropriations bills, the Congress has supported paid internship programs for both chambers. The requested funding would expand the opportunity for candidates whom would not otherwise be able to participate in public service due to their socioeconomic status.

The IFP provides program development and management, promotion, consulting and policy development centrally for the Library. In that role, IFP helps to provide talent pipelines that bring new skills to the Library and leverages the knowledge of early career individuals in addition to providing interns world class learning experiences. The Library has recently been recognized nationally for its work in this area by the Hispanic Association of Colleges and Universities.

Building on initiatives to date, adding financial compensation capacity for interns will help bring the Library into alignment with Congress' intent to increase opportunities for paid internships to attract a broader socioeconomic talent pool on Capitol Hill and more closely align with the national trend to reduce or eliminate unpaid internships. Structuring the IFP program in this way will ensure a proactive approach

in attracting a broader set of millennial talent who may decide to join the Library's workforce as Library temporary or permanent employees, contractors, and/or at minimum, become lifelong users, connectors and advocates for the agency. These experiences can also benefit other Libraries, research and academic institutions.

This funding will allow IFP to address the next critical strategic steps in the implementation of its directional plan and provide FTE capacity to efficiently implement new procedures and workflows to administer expanded programs and initiatives. Part of this expansion will include an additional FTE who will administer a new \$238,000 multi-year procurement contract to provide services for the recruitment, selection, administration, and management of a broad socioeconomic talent pool of students and emerging professionals.

IFP manages the Library's signature Junior Fellows Program, which is highly visible and attracts student and recent graduate talent. This program is primarily funded with non-appropriated funding and the longevity of the program is highly dependent on the sustainment of those funds. By adding 38 paid Junior Fellow internships, IFP will provide a stable funding component that supports the goal of ensuring this signature program is permanently supported. The Junior Fellows Program enables participants to experience the integrated analog and digital collections and services of the world's largest, all-inclusive library. Working under the direction of Library curators and specialists in various divisions, fellows explore digital initiatives and increase access to the institution's unparalleled resources. Since its inception, Junior Fellows have identified hundreds of historical, literary, artistic, cinematic and musical gems representing the Library's rich cultural, creative and intellectual assets.

This request will also allow IFP to provide funding to Library service units to bring on temporary FTEs to serve as interns, and decrease the percentage of unpaid internships at the agency. The additional 38 paid internships will meet the high demand for interns to work side-by-side with staff across the Library over the summer on a wide variety of projects critical to the agency's mission. In addition to compensation, the internships will provide invaluable career development opportunities in a number of occupations, including Acquisitions and Collection Development, Business Continuity and Disaster Recovery, Cataloguing and Metadata Management, Communications and Marketing, Digital Collections Management, Financial Management, Information Technology Investment Planning, Preservation Reformatting, Procurement and Contracts Management, Reference and Instruction, and Space Utilization and Design.

Rebalancing Preservation Strategies:

\$0.000 million

The Library of Congress requests Congressional approval to realign \$5.5 million, of the total Preservation budget - \$31.859 million in fiscal 2020, that currently supports the mass deacidification process in the preservation program and assign those funds to other preservation approaches to rebalance the overall preservation strategy. If approved, this request dedicates \$2.5 million to preservation needs in the physical collections that mass deacidification cannot address. A further \$3 million will enhance capacity and capabilities for digital collections preservation and the core information technology infrastructure required by those activities. Funding realignment is a cost-effective means for the Library to better support the many and diverse types of collections that are not candidates for deacidification, but are high priorities for use under the Library’s Strategic Plan. Further, as the nature of the collections and preservation requirements and methods available have evolved, it is an appropriate time

for rebalancing preservation investment.

Deacidification has been an effective treatment for a subset of acidic paper materials; however, environmentally optimized storage systems can meet or exceed those benefits at lower per unit cost. A comprehensive preservation program must mitigate a vast array of other risks: damage and deterioration; theft or vandalism; environmental risks; natural disaster or infrastructure problems; obsolete media; and now, the scale and complexities of digital preservation.

At the end of fiscal 2020, we propose to retire the mass deacidification program (\$5.5M), having treated approximately 90 percent of top priority materials and 70 percent of all potential treatment candidates. This request will rebalance the Library’s portfolio of preservation strategies to meet the changing needs of the collections, as described in the following table:

Table 1. Reprogramming Detail

| Activities | Types of collections | Amount | Details |
|---|--|--------------------|--|
| Conservation | Special collections (physical) | \$1,017,250 | Pay=\$669,750: 5 FTE. Non-pay = \$347,500: Technical consulting, equipment, and consumable supplies; |
| Collections Security and Management (Inventory Control) | Special and General Collections (physical) | \$400,000 | All Non-pay: Business process improvements and expanded inventory control, through service contracts and workflow automation. |
| Reformatting | General collections (physical and digital) | \$1,082,750 | Pay=\$437,550: 4 FTE. Non-pay = \$645,200: reformatting contract services and reformatting equipment |
| Digital Content Management | Digital | \$2,000,000 | Pay=\$1,538,000: 13 FTE. Non-pay = \$482,000. Business Analysis |
| Infrastructure | Digital | \$1,000,000 | All Non-pay: Digital collections management systems and services. |
| Total | | \$5,500,000 | |

Background

The Library has invested in research and development efforts for both deacidification and preservation environments over the past 40 years. As those strategies have developed over time, the Library evaluated them in technical terms and in terms of cost effectiveness. During fiscal 2019, following guidance from the Inspector General, the Library commissioned an external cost study comparing these approaches. The results were galvanizing, and informed this re-balancing request for two reasons. First, the mass deacidification program has reached a significant milestone. By the end of the current contract, approximately 90 percent of top priority collections will have been treated and the global publishing industry has significantly reduced acidic paper usage. Second, the external cost study concluded that

the fully inclusive lifetime cost per unit for deacidification is now approximately 2.8 times higher than the cost for environmentally optimized storage, for comparable preservation outcomes.

Revisiting Mass Deacidification

Deacidification played a significant role in mitigating risks to general collections, especially materials printed from the mid-20th century into the early 21st century. The Library conducted significant research projects in mass deacidification during the 1980s and, in 2001, initiated its current deacidification program as a 30-year initiative. Congress’ Appropriations acts have directed that spending for deacidification should be maintained at \$5.5 million per year. With 90 percent of top priority materials treated and

more than 70 percent of all potential treatment candidates completed by the completion of the current contract, the Library's deacidification program is at a point of substantial completion. Deacidification made a significant contribution to preservation of the national collection but it is no longer an economical way to preserve collections at scale.

Independent of fiscal concerns, deacidification is not an applicable strategy for all collection types. Brittle or severely damaged items cannot be deacidified, nor is the treatment suitable for the majority of the Library's most distinctive special collections in the Gold and Platinum categories. In addition, the number of treatment candidates continues to decline. The global publishing industry has largely shifted to using acid-free papers, and in 2013, the Library revised its projected needs within the 30-year program downward from 8.5 to 7.5 million items. The declining number of candidates within the growing collections means additional overhead to locate suitable items as time goes on. Overall, the Library is experiencing diminishing returns from the deacidification program in its current form as available deacidification candidates decrease and the cost per unit increases.

Environmentally Optimized Storage

During the latter part of the 20th century, there were technical and cost barriers to construction and operation of environmentally optimized facilities at suitable scale for the Library's needs. In the 21st century, facilities design and technology have developed considerably and there is a robust body of research and field results in environmentally optimized preservation measures. Purpose-built facilities, like the Library's operations at Ft. Meade, significantly slow the rate of paper decay. The cool, dry environment of Ft. Meade performs roughly four to five times better than conventional library stacks, at less than half the per unit cost of deacidification.

The environmentally optimized facility at Ft. Meade provides a highly cost effective approach that addresses storage requirements while also slowing physical deterioration, supplanting the need for an ongoing large-scale deacidification program. The Forrester study concluded that the fully inclusive lifetime cost per unit for deacidification is approximately 2.8 times higher than the cost for environmentally optimized storage. That yields a cost savings of approximately \$80 million by addressing the remaining deacidification candidates through environmentally optimized storage.

Rebalancing the Library's Portfolio of Preservation Strategies

Preservation activities are central to the Library's mission to provide a "universal and enduring" collection. To fulfill its mission, the agency obtains information in the multitude

of formats, media, and languages that have been used throughout the world and across time, and the Library must be capable of delivering these materials to its users in their original form or reformatted to meet contemporary needs. Additionally, in the 21st century, the Library has identified digital services as a crucial investment area and developed its first Digital Strategy. A diversified portfolio of preservation strategies is necessary to address the varied types of damage and deterioration that occur over the lifecycle of the Library's expansive, multi-format collections.

Expanding Lifecycle Care of Physical Collections

To accommodate these trends, the realigned funds proposed for physical collections will build capacity in three areas: conservation of the Library's most significant artifacts, digital reformatting of fragile and irreplaceable items, and modernization of the library's collection management supply chain. Taken together, these investments will improve safety and security of the collection, and enhance the scope and reliability of user services.

Optimized storage systems are the bedrock of physical collections care: regardless of the condition or inherent properties of Library collection materials, they have to be stored. Preservation facilities use a design that slows the rate of chemical decay, limits light exposure, and protects against fire, security threats, and natural disasters. The full benefits of optimal storage are only realized if the Library has effective means to deliver resources when and where users need them, and to deliver them in the optimal format for their needs. These collections management systems are a crucial preservation function that provides chain of custody throughout the process of fulfilling user requests. Hand in hand, reformatting investments provide the flexibility for physical or digital delivery depending on user needs and preferences. Re-balancing the preservation strategy will accelerate work to modernize the agency's collection services workflows and supply chains through process improvement and investment in automated materials handling systems, and advance the Library's overall efforts to bring the collection into full inventory control.

Enhancing Capabilities through the Digital Preservation Lifecycle

Digital collection items require a high level of active maintenance throughout their lifecycle. In fiscal 2017 funding for the Digital Content Management Section was approved to provide the core expertise required for the agency's success in rapidly expanding digital preservation requirements.

The library is receiving more and more born digital content every year. Even as the Library selectively acquires from available potential digital content it continues to see dramatic

growth in the born digital collections, including with the web archiving program, receipt of electronic serials received through mandatory deposit, and eBooks received through the Cataloging-in-Publication program. At the same time, digitization is the essential method for preservation reformatting of analog collection material. Archival and manuscript collections from the late 20th and early 21st centuries contain millions of files on obsolete digital storage media, and reformatting projects transferred over 10 million to the agency's preservation systems in fiscal 2019, increasing their discoverability and availability for users.

As a result of these digital acquisition and digitization trends, it has become apparent that the Library must overhaul and improve its digital content management and preservation systems, and continue to expand staffing to support digital collection management activities, services, and workflows. Realigning funds to digital preservation will enable a generational advance in the agency's digital capabilities, providing increased expertise and infrastructure necessary for digital collections to serve a central role in the Library's future.

Compact Shelving Replacement - Quad B:

\$4.370 million

The Library is requesting four-year spending authority of \$4.370 million for the Law Library (LAW) of Congress's second phase of a three phase initiative to replace shelving in all of Law's collection storage areas. The first phase was funded in fiscal 2017 (\$4.039 million). This second phase replaces the shelving in in quadrant B (Quad B) in LAW's collection storage area in the sub-basement of the James Madison Memorial Building (JMMB). Due to the size of the entire Law collection, the Library is phasing the replacement of shelving on a quad-by-quad basis. Four-year funding authority is requested for Quad B based on the Library's experience with the Quad C replacement project and the flexibility that was required to accommodate scheduling complexities among various Library construction projects with the Architect of the Capitol (AOC); the availability of space to accommodate the transfer in/out of collections materials; and potential construction delays that may occur during the Quad B buildout. This funding request will non-recur in fiscal 2022. New funding will be requested for phase 3, the final quadrant, in a future budget request.

Since the construction of the JMMB in 1980, the majority of the Law Library's collection is housed in four quadrants ("Quads"). The entire collection occupies 75,524 square feet, or the equivalent of 1.5 football fields. Quad B alone consists of the U.S. Federal law collection on 240 movable carriages (3,615 total shelving carriages or uprights). The Federal law collection includes primary legal resources; U.S. codes, Federal law reporters and treatises in the "KF" classification. Each day, approximately 55 items are retrieved and 650 items shelved in the sub-basement collection. Items from the Federal law collection support Congressional patrons, the U.S. Supreme Court, U.S. federal agencies, Library of Congress staff, inter-library loan requests, and the Law Library's public reading room. All parts of the collection must be available to provide access to the world's largest and most comprehensive collection of international, foreign, national, and comparative legal resources.

In 1981 automated compact shelving was originally installed in the JMMB sub-basement by a company that is no longer in business. The life-span of the compact shelving at that time was estimated at 25 years. Through the years, the Law Library has taken a number of steps to extend the safety and usefulness of the installed shelving. However now, at 38 years, the equipment is obsolete and the Law Library has experienced a number of problems. There are no additional steps to take to extend the safety and usefulness of the obsolete equipment.

To alleviate the most frequent problems, all moveable ranges in the Law Library stacks were retrofitted in 2001 and 2002 with a manual, hand crank system. However, this change created a number of new, unanticipated problems. Manual hand cranks were installed at the ends of shelving carriages. Because carriages are long and carriage rails were not deep enough, the carriages have become less stable and do not move evenly. This has resulted in many misaligned shelving carriages that led to uneven aisles between carriages (some aisles are wider and some are narrow). In narrower aisles, staff cannot enter between the carriages to retrieve or re-shelve books. In addition, normal wear and tear have led to missing/broken brakes, misaligned rails, all contributing to additional worker safety concerns.

Several important concerns will be addressed by replacing the existing shelving system:

- Personnel safety issues: Most importantly, employee safety is the biggest concern. The Law Library employs multiple hearing-impaired staff who cannot hear audible signals when shelves are moved. Also, stack services personnel are required to enter aisles between shelves with a book cart, since book carts can protect them if shelves are closing. Book carts do not fit in aisles that are too narrow. Even when requested items are needed from a narrow aisle, staff will enter anyway without a cart (against the safety requirement).
- Collection access issues: In some cases, some aisles are so narrow, collection items are not retrievable. This initiative will alleviate "overflow" areas, enabling the re-shelving of materials in call number order to provide

better accessibility of the materials and more efficient use of staff time.

- Collection storage issues: Because shelving units are beyond repair, and replacement parts unavailable, the Law Library has lost collection storage space. This, at a time, when Law Library stacks are at capacity. This initiative will not only provide unimpeded access to Law collections, enabling better service to patrons for Quad B materials but also will greatly improve the use of space.

- There are no additional steps that can be taken to extend the safety and usefulness of the obsolete equipment.

In addition to the delivery and installation of manufactured shelving built to specification requirements, there are some Quad B room preparations that will be funded by and coordinated with the AOC. The Library has confirmed sufficient swing space is available to temporarily house collection material while Quad B shelving is replaced. Temporarily stored books will continue to be readily accessible, without any delay in service.

LCSG - Basic

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

Library Collections and Services Group Basic Summary By Object Class (Dollars in Thousands)

| Object Class | Fiscal 2019 | | Fiscal 2020 Enacted Budget | Fiscal 2021 | Fiscal 2020/2021 Net Change | Percent Change |
|--|-------------------|-----------------------|----------------------------------|----------------|-----------------------------------|-------------------|
| | Operating Plan | Actual Obligations | | Request Total | | |
| 00.0 Lapse Reserve | \$0 | \$0 | \$0 | \$0 | \$0 | 0.0% |
| Total, Lapse Reserve | \$0 | \$0 | \$0 | \$0 | \$0 | 0.0% |
| 11.1 Full-time permanent | - | - | \$1,926 | \$2,503 | \$577 | 29.9% |
| 11.3 Other than full-time permanent | - | - | 0 | 0 | 0 | 0.0% |
| 11.5 Other personnel compensation | - | - | 13 | 13 | 0 | 3.6% |
| 11.8 Special personal services payment | - | - | 0 | 0 | 0 | 0.0% |
| 12.1 Civilian personnel benefits | - | - | 606 | 782 | 177 | 29.2% |
| 13.0 Benefits for former personnel | - | - | 0 | 0 | 0 | 0.0% |
| Total, Pay | - | - | \$2,545 | \$3,298 | \$754 | 29.6% |
| 21.0 Travel & transportation of persons | - | - | \$19 | \$19 | \$0 | 0.8% |
| 22.0 Transportation of things | - | - | 0 | 0 | 0 | 2.4% |
| 23.1 Rental payments to GSA | - | - | 0 | 0 | 0 | 0.0% |
| 23.2 Other Services | - | - | 0 | 0 | 0 | 0.0% |
| 23.3 Communication, utilities & misc charges | - | - | 11 | 11 | 0 | 0.4% |
| 24.0 Printing & reproduction | - | - | 13 | 13 | 0 | 0.8% |
| 25.1 Advisory & associate services | - | - | 405 | 654 | 248 | 61.2% |
| 25.2 Other services | - | - | 6 | 8 | 2 | 33.2% |
| 25.3 Other purch of goods & services from gov acc | - | - | 0 | 0 | 0 | 3.0% |
| 25.4 Operation & maintenance of facilities | - | - | 0 | 0 | 0 | 0.0% |
| 25.5 Research and Development Contracts | - | - | 0 | 0 | 0 | 0.0% |
| 25.6 Medical Care | - | - | 0 | 0 | 0 | 0.0% |
| 25.7 Operation & maintenance of equipment | - | - | 0 | 0 | 0 | 0.0% |
| 25.8 Subsistence and Support of Persons | - | - | 0 | 0 | 0 | 0.0% |
| 26.0 Supplies & materials | - | - | 6 | 6 | 0 | 1.5% |
| 31.0 Equipment | - | - | 5 | 5 | 0 | 2.2% |
| 41.0 Grants, subsidies & contributions | - | - | 0 | 0 | 0 | 0.0% |
| 42.0 Insurance claims & indemnities | - | - | 0 | 0 | 0 | 0.0% |
| 44.0 Refunds | - | - | 0 | 0 | 0 | 0.0% |
| Total, Non-Pay | - | - | \$466 | \$717 | \$251 | 53.8% |
| Total, Library Collections and Services Group | - | - | \$3,011 | \$4,015 | \$1,005 | 33.4% |

Library Collections and Services Group Basic Analysis of Change

(Dollars in Thousands)

| | Fiscal 2021 Agency Request | |
|---|-------------------------------|-----------------|
| | Funded | |
| | FTE | Amount |
| Fiscal 2020 Enacted Budget | 11 | \$3,011 |
| Non-recurring Costs: | 0 | 0 |
| Mandatory Pay and Related Costs: | | |
| Locality-based comparability pay raise January 2021 @ 3.00% | | 35 |
| Annualization of January 2020 pay raise @ 3.52% | | 14 |
| Within-grade increases | | 7 |
| One extra day, 262 vs. 261 | | 0 |
| Fiscal 2019 - 2020 FERS pay increase | | 24 |
| Fiscal 2020 - 2021 FERS pay increase | | 14 |
| Foreign Service Nationals (FSN) Pay Adjustment | | 0 |
| Total, Mandatory Pay and Related Costs | 0 | 95 |
| Price Level Changes | | 11 |
| Program Increases: | | |
| Paid Internship Program | 1 | 899 |
| Total, Program Increases | 1 | 899 |
| Net Increase/Decrease | 1 | \$ 1,005 |
| Total Budget | 12 | \$4,015 |
| Total Offsetting Collections | 0 | 0 |
| Total Appropriation | 12 | \$4,015 |

LCSG - Basic

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

FISCAL 2021 BUDGET REQUEST

The Library is requesting a total of **\$4.015 million** for the Library Collections and Services Group in fiscal 2021, an increase of \$1.005 million, or 33.4 percent, over fiscal 2020. This increase supports \$0.106 million in mandatory pay related and price level increases, and a programmatic increase of \$0.899 million/ 1 FTE for the Paid Internship Program.

Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2019 | | | | Fiscal 2020 Enacted Budget | | Fiscal 2021 | | Fiscal 2020/2021 Net Change | | Percent Change |
|--------------------------|----------------|------|--------------------|------|----------------------------|----------------|---------------|----------------|-----------------------------|----------------|----------------|
| | Operating Plan | | Actual Obligations | | | | Request Total | | | | |
| | Funded FTE | \$ | FTE Usage | \$ | Funded FTE | \$ | Funded FTE | \$ | Funded FTE | \$ | |
| LCSG | - | \$ - | - | \$ - | 11 | \$3,011 | 12 | \$4,015 | 1 | \$1,005 | 33.4% |
| Total, LCSG Basic | - | \$ - | - | \$ - | 11 | \$3,011 | 12 | \$4,015 | 1 | \$1,005 | 33.4% |

FUNDING OVERVIEW

In fiscal 2020, the Library Collections and Services Group (LCSG) was established via a realignment that implements oversight of Library Services, Law Library, National Library Service for the Blind and Print Disabled (NLS), and part of the Office of the Librarian. This reorganization created a base budget of \$3.011 million/11 FTE (Pay - \$2.545 M/ Non-Pay - \$0.466 M).

PROGRAM OVERVIEW

The Office of the Deputy Librarian for Library Collections and Services Group provides oversight for activities of three service units: Library Services, the Law Library; and the National Library Service for the Blind and Print Disabled (NLS). The LCSG's oversight also extends to the John W. Kluge Center, Internship and Fellowship Programs (IFP), and the Office of the Director of LCSG Operations (LCSO).

Under the direction of the Deputy Librarian for Library Collections and Services, the group identifies and implements a coordinated vision, leverages systems and expertise, creates economies of scale and improves administrative functions across the group.

The Deputy Librarian manages LCSG programs by providing cross-service units guidelines to establish goals, and performance standards and by working with service unit heads and directors to develop and execute LCSG policies.

LCSG leadership and staff collaborate with the entire Library to execute its programs and represent the group in interactions with the Library's other service units as well as in the Executive, Operations, and other Library-wide committees. In addition, the LCSG with a broader oversight view will play a significant role in the coordination and integration of initiatives that impact collections and services across multiple service units. Outside of the Library, the Deputy Librarian is a principal representative to both national

and international library, information and related industry groups.

The Office of the Director of LCSG Operations provides accurate, efficient and effective administrative and technical support to: meet service unit program objectives; fulfill budgetary, logistical and personnel obligations; and achieve LCSG strategic goals. The office provides operational support necessary to carry out core responsibilities and meet goals and objectives.

Internship and Fellowship Program (IFP) advances experiential learning and professional development by promoting awareness of the Library's range of internship, residency, fellowship, and volunteer opportunities.

John W. Kluge Center brings together top scholars from around the world to the Library of Congress and makes their knowledge, creativity, and wisdom accessible to the U.S. Congress and the American people. This is a substantial research program that is funded by non-appropriated funds.

LCSG provides oversight to LS, NLS, and LAW. Individual sections are reported separately.

Fiscal 2019 Accomplishments

In fiscal 2019, LCSG did not formally exist as a separate Program, Project, and Activity (PPA) within the Library. The following accomplishments were completed in fiscal 2019 under the guidance of LCSG in preparation for full implementation in fiscal 2020.

Deputy Librarian for Library Collections and Services Group

Core Services

- Fiscal 2019 was the inaugural year for the Library Collections and Services Group (LCSG), placing Library Services (LS), Law Library (LAW), the National Library Service for the Blind and Print Disabled (NLS), the John W. Kluge Center (Kluge), and the Library's Interns and Fellowship Programs (IFP) under

one administrative umbrella. On May 7, 2019, the Librarian approved the centralization of the LCSG administrative and operational functions into a new structured titled “LCSG Operations”. Initial efficiencies were achieved by adding all service units into one resource management and planning tool and creating standardized financial reports across LCSG for budget formulation and execution, staff hiring, travel, information technology and contracts in support of LCSG program offices and the Library’s infrastructure units. Administrative oversight of time and attendance, leave administration, transit subsidy, performance management and space projects brought together the staff expertise from the different service units providing outstanding customer service.

Internship and Fellowship Programs (IFP)

- Successfully completed the first phase of a project to create an online web site portal to centralize the Library’s experiential learning opportunities.
- Launched the Archives, History, and Heritage Advanced internship, supported by Madison Council members Craig and Diane Welburn. This paid internship enables Howard University students to work alongside Library staff members in making the Library’s African American history collections more widely accessible.
- The Hispanic Association of Colleges and Universities (HACU) awarded the Library of Congress with its 2019 Outstanding Public Sector Partner Award.

Special Initiatives

- In March 2019, LCSG launched an electronic bi-weekly newsletter titled “Off the Shelf,” synthesizing news from all LCSG units. On May 7, 2019, the Librarian approved a proposal to centralize LCSG administrative and operational functions into a new structure titled “LCSG Operations”.

Fiscal 2020 Priority Activities

In fiscal 2020, with the budget of \$3.011 million LCSG’s priorities include the following.

Deputy Librarian for Library Collections and Services Group

Core Services

- Complete the reorganization to consolidate Financial Management and Employee Resource Management and Planning staff from Library Services and Law Library, under one administrative umbrella into the Office of the Director of Operations, LCSG.
- LCSG Operations - Explore the consistent application of administrative policies and practices across

LCSG: establish and maintain a current inventory of all LCSG workspace to provide up-to-date, accurate information about current seating to inform staffing and facility projects; create standard operating procedures for onboarding/hires; analyze and standardize financial management business processes across LCSG and diversify and expand funding; analyze and standardize contract and COR management across LCSG; and continue to implement centralized financial reporting, creating significant efficiencies and effectiveness of operations.

Intern and Fellowship Program

- Upgrade of the Internship and Fellowship Program Portal on the Library of Congress, enterprise-wide, public-facing website to automate the application process and capture user data centrally for analysis and reporting; lead a new contract to support expanded access to a more diverse talent pool for internships; expand and improve professional development opportunities that target critical skills for interns, fellows, and residents for career readiness and engagement with the Library.

Special Initiatives

- Through a joint campaign to crowdsource the transcription of Spanish Legal Materials from LS and the Law Library, LCSG is expanding the *By the People* transcription program to foreign languages such as Spanish, Latin, and other Spanish dialects.

Fiscal 2021 Priority Activities

In fiscal 2021, with the budget of \$4.015 million requested, the LCSG’s priorities include the following.

Deputy Librarian for Library Collections and Services Group (LCSG)

Core Services

- Continue to build consistent application of administrative policies and practices across LCSG.
- Complete the analysis and standardization of financial management business processes, contract and COR management and implement self-service reports using a data visualization tool. Development of an overarching directional plan for LCSG, combining similar goals, but retain goals that are unique to each service unit to achieve additional efficiencies.

Intern and Fellowship Program

- Sustain and continue to improve upon signature summer internship program unique to the Library of Congress and increase the number of paid internships at the agency to be aligned with a national trend to reduce or eliminate unpaid internships.

LCSG - Library Services

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

Library Services Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2019 | | | | Fiscal 2020 Enacted Budget | | Fiscal 2021 | | Fiscal 2020/2021 Net Change | | Percent Change |
|--|----------------|-------------------|--------------------|-------------------|----------------------------|-------------------|---------------|-------------------|-----------------------------|------------------|----------------|
| | Operating Plan | | Actual Obligations | | | | Request Total | | | | |
| | Funded FTE | \$ | FTE Usage | \$ | Funded FTE | \$ | Funded FTE | \$ | Funded FTE | \$ | |
| Associate Librarian for Library Services (ALLS) | | | | | | | | | | | |
| ALLS | 208 | \$ 39,308 | 193 | \$ 35,458 | 208 | \$ 37,542 | 208 | \$ 39,534 | 0 | \$ 1,993 | 5.3% |
| Total, ALLS | 208 | \$ 39,308 | 193 | \$ 35,458 | 208 | \$ 37,542 | 208 | \$ 39,534 | 0 | \$ 1,993 | 5.3% |
| Acquisitions and Bibliographic Access (ABA) | | | | | | | | | | | |
| ABA | 430 | \$ 74,046 | 400 | \$ 71,424 | 430 | \$ 74,378 | 430 | \$ 78,670 | 0 | \$ 4,292 | 5.8% |
| Purch. Of Library Mater. | | 16,179 | | 18,903 | | 16,179 | | 16,643 | 0 | 464 | 2.9% |
| Total, ABA | 430 | \$ 90,225 | 400 | \$ 90,327 | 430 | \$ 90,557 | 430 | \$ 95,314 | 0 | \$ 4,756 | 5.3% |
| Special, General and International Collections | | | | | | | | | | | |
| Special, General and International Collections | 441 | \$ 53,324 | 418 | \$ 52,030 | 441 | \$ 53,652 | 441 | \$ 57,082 | 0 | \$ 3,430 | 6.2% |
| American Folklife Center | 25 | 3,739 | 25 | 3,391 | 25 | 3,757 | 25 | 3,978 | 0 | 221 | 5.9% |
| Veterans History Project | 19 | 2,518 | 19 | 2,218 | 19 | 3,587 | 19 | 3,720 | 0 | 133 | 3.7% |
| Total, Spec, Gen and Int. | 485 | \$ 59,581 | 462 | \$ 57,639 | 485 | \$ 60,996 | 485 | \$ 64,780 | 0 | \$ 3,783 | 6.2% |
| Preservation (PRES) | | | | | | | | | | | |
| Preservation | 191 | \$ 26,286 | 172 | \$ 28,494 | 191 | \$ 26,359 | 191 | \$ 33,396 | 0 | \$ 7,037 | 26.7% |
| Mass Deacid Prgm | | 5,500 | | 5,336 | | 5,500 | | 0 | 0 | (5,500) | -100.0% |
| Total, Preservation | 191 | \$ 31,786 | 172 | \$ 33,830 | 191 | \$ 31,859 | 191 | \$ 33,396 | 0 | \$ 1,537 | 4.8% |
| Total, Library Services | | | | | | | | | | | |
| Total, Library Services | 1,314 | \$ 220,900 | 1,227 | \$ 217,256 | 1,314 | \$ 220,954 | 1,314 | \$ 233,024 | 0 | \$ 12,070 | 5.5% |

Library Services
Summary By Object Class

(Dollars in Thousands)

| Object Class | Fiscal 2019 | | Fiscal 2020 Enacted Budget | Fiscal 2021 | Fiscal 2020/2021 Net Change | Percent Change |
|---|-------------------|-----------------------|----------------------------------|-------------------|-----------------------------------|-------------------|
| | Operating Plan | Actual Obligations | | Request Total | | |
| 00.0 Lapse Reserve | \$0 | \$0 | \$0 | \$0 | \$0 | 0.0% |
| Total, Lapse Reserve | \$0 | \$0 | \$0 | \$0 | \$0 | 0.0% |
| 11.1 Full-time permanent | \$119,060 | \$113,196 | \$119,946 | \$124,784 | \$4,837 | 4.0% |
| 11.3 Other than full-time permanent | 3,506 | 2,875 | 3,506 | 3,646 | 140 | 4.0% |
| 11.5 Other personnel compensation | 2,313 | 2,804 | 2,313 | 2,403 | 90 | 3.9% |
| 11.8 Special personal services payment | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 12.1 Civilian personnel benefits | 38,310 | 37,613 | 38,310 | 43,724 | 5,414 | 14.1% |
| 13.0 Benefits for former personnel | 0 | 107 | 0 | 0 | 0 | 0.0% |
| Total, Pay | \$163,190 | \$156,595 | \$164,075 | \$174,557 | \$10,481 | 6.4% |
| 21.0 Travel & transportation of persons | \$ 905 | \$ 774 | \$ 905 | \$ 934 | \$29 | 3.2% |
| 22.0 Transportation of things | 368 | 248 | 368 | 378 | 11 | 2.9% |
| 23.1 Rental payments to GSA | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 23.2 Other Services | 389 | 326 | 389 | 408 | 19 | 4.9% |
| 23.3 Communication, utilities & misc charges | 829 | 736 | 829 | 857 | 28 | 3.4% |
| 24.0 Printing & reproduction | 1,417 | 1,520 | 1,417 | 1,453 | 36 | 2.5% |
| 25.1 Advisory & associate services | 5,705 | 7,800 | 5,705 | 5,773 | 68 | 1.2% |
| 25.2 Other services | 9,475 | 7,865 | 8,469 | 8,677 | 208 | 2.5% |
| 25.3 Other purch of goods & services from gov acc | 8,386 | 8,651 | 8,386 | 8,741 | 355 | 4.2% |
| 25.4 Operation & maintenance of facilities | 5 | 8 | 5 | 5 | 0 | 5.0% |
| 25.5 Research and Development Contracts | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 25.6 Medical Care | 0 | 0 | 0 | 0 | 0 | 4.0% |
| 25.7 Operation & maintenance of equipment | 3,080 | 2,642 | 3,080 | 3,159 | 79 | 2.6% |
| 25.8 Subsistence and Support of Persons | 8 | 0 | 8 | 8 | 0 | 2.5% |
| 26.0 Supplies & materials | 2,221 | 1,996 | 2,221 | 2,281 | 59 | 2.7% |
| 31.0 Equipment | 23,601 | 25,984 | 23,775 | 24,433 | 658 | 2.8% |
| 41.0 Grants, subsidies & contributions | 1,099 | 1,099 | 1,099 | 1,126 | 27 | 2.5% |
| 42.0 Insurance claims & indemnities | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 94.0 Financial Transfers | 222 | 1,012 | 222 | 233 | 11 | 5.0% |
| Total, Non-Pay | \$ 57,710 | \$ 60,661 | \$ 56,879 | \$ 58,467 | \$ 1,589 | 2.8% |
| Total, Library Services | \$ 220,900 | \$ 217,256 | \$ 220,954 | \$ 233,024 | \$ 12,070 | 5.5% |

Library Services Analysis of Change

(Dollars in Thousands)

| | Fiscal 2021 Agency Request | |
|---|-------------------------------|------------------|
| | Funded | |
| | FTE | Amount |
| Fiscal 2020 Enacted Budget | 1,314 | \$220,954 |
| Non-recurring Costs: | 0 | 0 |
| Mandatory Pay and Related Costs: | | |
| Locality-based comparability pay raise January 2021 @ 3.00% | | 1,377 |
| Annualization of January 2020 pay raise @ 3.52% | | 3,521 |
| Within-grade increases | | 726 |
| One extra day, 262 vs. 261 | | 645 |
| Fiscal 2019 - 2020 FERS pay increase | | 2,473 |
| Fiscal 2020 - 2021 FERS pay increase | | 1,446 |
| Foreign Service Nationals (FSN) Pay Adjustment | | 293 |
| Total, Mandatory Pay and Related Costs | 0 | 10,481 |
| Price Level Changes | | 1,589 |
| Program Increases: | | |
| Total, Program Increases | | |
| Net Increase/Decrease | 0 | \$ 12,070 |
| Total Budget | 1,314 | \$233,024 |
| Total Offsetting Collections | 0 | 0 |
| Total Appropriation | 1,314 | \$233,024 |

LCSG - Library Services

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

FISCAL 2021 BUDGET REQUEST

The Library is requesting a total of **\$233.024 million** for Library Services in fiscal 2021, an increase of \$12.070 million, or 5.5 percent, over fiscal 2020. This increase supports mandatory pay related and price level increases.

Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2019 | | | | Fiscal 2020 Enacted Budget | | Fiscal 2021 | | Fiscal 2020/2021 Net Change | | Percent Change |
|-------------------|----------------|-----------|--------------------|-----------|----------------------------|-----------|---------------|-----------|-----------------------------|----------|----------------|
| | Operating Plan | | Actual Obligations | | | | Request Total | | | | |
| | Funded FTE | \$ | FTE Usage | \$ | Funded FTE | \$ | Funded FTE | \$ | Funded FTE | \$ | |
| Library Services | 1,314 | \$220,900 | 1,227 | \$217,256 | 1,314 | \$220,954 | 1,314 | \$233,024 | 0 | \$12,070 | 5.5% |

FUNDING OVERVIEW

In fiscal 2020, Library Services' (LS) has a budget of \$220.954 million/ 1,314 FTE (Pay - \$164.075 M/ Non-Pay - \$56.879 M) to build, steward, describe and share the Library's collections in ways that directly support our users and allow reuse of that information by partners and organizations worldwide. Of this funding \$4.019 million/40 FTE was appropriated in fiscal 2019 for ongoing support the Special Collection Arrearage Reduction initiative.

LS budget is broken into six organizations: the Office of the Associate Librarian for Library Services (ALLS), the Acquisitions and Bibliographic Access Directorate (ABA), the General and International Collections Directorate (GICD) and the Special Collections Directorate (SCD), and the Preservation Directorate (PRES).

- ALLS – \$37.542 million / 208 FTE
- ABA – \$90.557 million / 430 FTE
- GICD and SCD – \$60.996 million / 485 FTE
 - GICD and SCD budget and corresponding FTE will be established as separates directorates in the fiscal 2020 operating plan.
- PRES – \$31.859 million / 191 FTE

Starting in fiscal 2020, a reorganization changes ALLS by eliminating its Office of the Chief Operating Officer (OCCO) – transferring budget and human resources staff to the Library Collections and Services Group (LCSG) and transferring the Digital Collections Management and Services Division, the ILS Program Office, and the Business Analysis Team to the new Digital Services Directorate (DSD). DSD's budget will be established in the fiscal 2020 operating plan.

Funded Programmatic Increases

Special Collection Arrearage Reduction

Fiscal 2019

- All 40 staff have been hired and started work;
- 3.7 million items processed; and
- Net backlog reduction of 2.5 million, from 27.3 million to 24.5 million.

Fiscal 2020 and Fiscal 2021

- Support 40 FTE and ongoing training;
- Performance goal of three million items processed, net reduction of one million per year; and
- LS will continue to use the permanent funding, with its staff and contract resources, to process collection items and reduce the overall arrearage.

PROGRAM OVERVIEW

The Office of the Associate Librarian for Library Services plans, coordinates, and leads the activities of the four Library Services directorates. Additionally, ALLS is the organizational location of the Collection Development Office (CDO); and the National Audio-Visual Conservation Center (NAVCC), which includes the Motion Picture, Broadcasting & Recorded Sound Division (MBRS). CDO performs a variety of policy, administrative, coordination and analytical tasks to ensure that the Library's collecting policies are in place and the resulting analog and digital collections acquired or selected reflect the appropriate breadth and depth of knowledge available in all media, languages, and regions of the world. NAVCC, located in Culpeper, Virginia, preserves and provides access to a comprehensive collection of the world's audio-visual heritage of moving images, and recorded sound. MBRS also supports reading rooms on Capitol Hill that provide access and infor-

mation services to the moving image and recorded sound collections.

A fiscal 2020 reorganization of the LS Office of the Chief Operations Officer (OCOO) resulted in the Digital Services Directorate (DSD), which contains the ILS Program Office (ILSPO), the Digital Collections Management and Services Division (DCMS), and the Business Analysis Team (BAT). DCMS provides leadership, infrastructure support, and coordination for the acquisition, management, and preservation of digital collections content. ILSPO manages multiple enterprise-wide systems in support of the Library's collections and metadata throughout their lifecycles, and develops and implements technology solutions while ensuring integration with the Library's IT environment.

The Acquisitions and Bibliographic Access Directorate acquires and makes accessible digital and physical materials for the Library's collections. ABA provides leadership, policy, standards, and training nationally and internationally and contributes to mitigation of risks to the Library's collections through inventory and physical security controls. ABA administers the Books for the General Collections (GENPAC) funding that supports the acquisition publications of legislative and research value and serves as the purchasing agent for the separate fund for the purchase of law collections (Books Law) materials. Direct services to publishers and libraries include distributing surplus books to nonprofit institutions nationwide, leading Program for Cooperative Cataloging (PCC), acquiring library materials from developing countries for United States libraries on a cost recovery basis, and managing the Cataloging-in-Publication (CIP) and Dewey Decimal Classification programs. ABA administers the Library's six overseas offices that acquire, catalog, and preserve collections from over 75 countries with developing economies. During the past year, ABA has provided professional training and courseware to staff on-site and remotely, including training to apply the new cataloging data exchange standard BIBFRAME.

In fiscal 2019, the former Collections and Services Directorate was split into two directorates: General and International Collections Directorate, which includes seven divisions (African and Middle Eastern; Asian; European; Hispanic; Researcher and Reference Services; Science, Technology & Business; and Serial & Government Publications) and Special Collections Directorate, which includes seven divisions (Geography & Map; Manuscript; Music; Prints & Photographs Division; Rare Book & Special Collections; and American Folklife Center (AFC), including the Veterans History Project (VHP)). These directorates have direct responsibility for more than 160 million of the over 168 million items in the Library of Congress collections. International in scope, these collections represent a uniquely rich array of human experience, knowledge, creativity, and achievement, touching on almost every realm of endeavor from government and science to the arts and history. Archivists, catalogers, and collection managers in SCD and GICD are the primary stew-

ards for the collection. These professionals organize, house, and describe the special-format materials, and continue to play a critical role in collection security and inventory control. Sharing the collections by providing timely reference services and research guidance is another major responsibility; the knowledgeable librarians in SCD and GICD meet congressional, federal government, and public information needs by connecting people to collections through 17 research centers on Capitol Hill and through online reference service, interlibrary loan, online research guides, and social media channels. The directorates also actively encourage new scholarship and inspire creative and innovative work by organizing public programs that connect users to the Library's collections and by hosting numerous interns and fellows each year who work with Library staff and collections.

The Preservation Directorate is responsible for the stewardship of the Library's collections, ensuring their availability in the present and into the future. PRES accomplishes this through direct treatment of collection items, reformatting materials when their original formats become unusable or obsolete, and through a coordinated program of collections management activities. PRES staff operate collections storage facilities including the Library's preservation repository at Ft. Meade and interim storage facilities at Cabin Branch, and collaborate with custodial divisions to manage the storage and security of collections in the Jefferson, Adams, and Madison Memorial buildings. Staff perform item level corrective treatment of rare or at-risk special collection materials; treat general and reference collections materials; prepare newly acquired collections for use; support microform, paper facsimile, and digital reformatting programs; and administer the Mass Deacidification Program. All program activities are executed in the context of large scale preservation strategies to mitigate deterioration and extend the lives of collection items, including environmental monitoring and control of collection storage spaces; inventory control and storage management; and a continuous 365 day program for collections emergency response and recovery. PRES scientists support these efforts through testing and quality assurance programs; conducting research and forensic analysis; and developing standards and specifications.

Library Services' three service unit-specific goals regarding the Library's universal collection of knowledge and creativity are:

- Advance user access to knowledge and creativity – acquiring, describing, and preserving the Library's collections in order to make more collections more available to more users. We work internally on our collections and externally with other libraries and cultural institutions to develop standards, data, and processes to make the nation's collections available on-site and off-site, to current and future users.
- Advance the practice of librarianship and the delivery of library service to users – enhancing services to diverse audiences and increasing engagement with

researchers, librarians, and archivists in new ways. We offer assistance to researchers, work with others to increase user engagement with Library collections, and collaborate to make our expertise and services available to connectors throughout the library and cultural heritage communities.

- Improve services for users, applying data collection and analysis – refining and expanding data collection and analysis efforts to help us better understand the impact of our services and strategically strengthen our capabilities. Will continue to support modernization of our systems and services, and align our organization and staff resources with the Library’s new and ongoing priorities.

Fiscal 2019 Accomplishments

Associate Librarian for Library Services (ALLS)

In fiscal 2019, with the budget of \$39.308 million, ALLS accomplished goals, including the following.

Core Services

- CDO continued leading the implementation of the Library’s multi-year Digital Collecting Plan. Reflecting the growing importance of acquiring digital content, CDO also established and filled a new Digital Collections Development Coordinator position.
- NAVCC completed a multi-year project to build out the Library’s first ever multi-track audio preservation room and workflows; recordings by pioneering multi-track innovator Les Paul were the first multi-track collection preserved by the Library.
- NAVCC signed a groundbreaking agreement with Paramount Pictures that allows online streaming and public screenings for more than 100 silent feature films produced by Paramount – the first time any major Hollywood studio has allowed such broad access.
- OCOO’s Web Archiving Team, with assistance from the Library’s Office of the Chief Information Officer (OCIO), processed a significant backlog of web archives not previously described or searchable on loc.gov, releasing 4,240 new web archives across 43 collections.
- OCOO completed and prepared for public launch the Digital Collections Management Compendium, which provides essential Library-wide guidance for the full lifecycle management of digital content in the Library’s collections.
- BAT issued a report on the role of librarianship in supporting the Library’s strategic plan and digital strategy. The report resulted in the Chief Information Officer’s recognition of the inextricable link

between the advanced use of technology and the information profession.

Special Initiatives

- ALLS finalized and implemented the LS Fiscal Years 2019 – 2023 Directional Plan, including sharing and discussing the plan with staff at all levels through on-line materials and over a dozen Chief and Town Hall meetings
- Working with the Library’s Office of the Chief Information Officer, NAVCC and BAT led Library Services’ efforts to modernize its audiovisual collections management system. Staff documented the current state of all audio-visual collection workflows, performed market research through an RFI, and finalized all requirements and the statement of work for the follow-on RFP. Once implemented, the new Audio-Visual Collections Management System (AVCMS) will be a single source for audio-visual collection metadata across Library collections.
- OCOO’s Digital Content Management section served as product owner for the development and launch of stacks.loc.gov, a new platform for on-site access to rights-restricted content. Currently 15,528 books and 40,998 newspaper issues are available through the system, including digital materials received by the Copyright Office.

Acquisitions and Bibliographic Access (ABA)

In fiscal 2019, with the budget of \$90.225 million, ABA accomplished the following.

Core Services

- Following Library Collection Policy Statements, acquired approximately 2.2 million items including: 1.4 million manuscripts; 289,000 books; and 188,000 sound recordings.
- Cataloged 237,441 items, enabling access to the associated content.
- Distributed 84,189 books through the Surplus Books Program (SBP), which distributes books not needed for the Library’s collections to other American libraries, government agencies, and charities.

Special Initiatives

- Continued progress in developing BIBFRAME (Bibliographic Framework) to replace the Machine Readable Cataloging (MARC) standard for capturing online bibliographic data. Progress included: solidifying BIBFRAME version 2.0 model, expanding BIBFRAME Pilot 2 from 45 staff to over 100, supporting fifteen PCC libraries funded by a Mellon Grant to test linked data using the BIBFRAME model, and

supplying the LC-created BIBFRAME editor to these institutions for their testing.

- Completed installation of the new Overseas Field Office Replacement System (OFORS), installed in all six offices that supports collection development, acquisition, description and billing for the Library and for its Cooperative Acquisitions Program participants.

General and International Collections and Special Collections (GICD and SCD)

In fiscal 2019, with the budget of \$59.581 million, GICD and SCD accomplished the following:

Core Services

- Continued to build the national collections to chronicle the American experience and inspire creativity. New acquisitions included collections from: soprano Jessye Norman; the AIDS Memorial Quilt/NAMES Project; Harlem photographer Shawn Walker; American artist Edward Gorey; polar explorers Finn and Edith Ronne; Africa Imagined, Africa Explored: a Selection of Maps from the Hugh Solomon Collection; Adam Matthew Digital collections of historical primary source materials on a wide array of topics and cultures; Peder Horrebøw's *Basis astronomiae* [the basis of astronomy] (Copenhagen, 1735); and a collection of documents on first great silver mine in Mexico.
- With expanded opportunities for the House Administration Committee's Wounded Warrior Fellowship Program, Gold Star Families, and Native American veterans to contribute interviews, VHP added 3,773 new collections.
- Digitization efforts of materials from SCD and GICD directorates have made a number of collections available online, including: the Gandhara Scroll; the Yongle Encyclopedia commissioned by Zhu Di; a digital collection of Chinese Rare Books; The Abdul-Hamid II Collection of Books and Serials; The Eltaher Palestinian Pamphlet Collection; the Omar Ibn Said Collection; Persian Language Rare Materials Manuscripts; the James A. Garfield papers; Olmsted Associates records; Blue Ridge Parkway Folklife Project Collection; and Women's Suffrage Sheet Music.
- Created large number of online resources to help researchers discover and use collections. New finding aids helped users locate archival material in collections from U.S. Secretary of State Madeleine Albright, NBS News correspondent Irving R. Levine, athlete Jim Bouton, the Look Magazine Picture Research File, jazz pianist and composer Billy Strayhorn, folk musicians John and Ginny Dildine, and

several others. Story Maps, such as "D-Day Journeys: Personal Geographies of D-Day Veterans" and "Educated and Enslaved: The Journey of Omar Ibn Said," allowed users to explore online content in engaging visual and spatial presentations.

- Supported over 1,000 public programs and events that included exhibits, gallery talks, concerts, lectures, film screenings, displays, workshops, book talks, and briefings and tours for dignitaries. Notable efforts included the exhibit *Shall Not Be Denied: Women Fight for the Vote*, displays at Congressional Dialogue Dinner Series, the Earth and Space Science Lectures series in partnership with NASA, the Gershwin Prize for Popular Song, Summer Concerts on the Lawn, and AFC's Homegrown Concerts.
- Fulfilled over 74,000 loans to Congress, government agencies, researchers, and interlibrary loan clients, and more than 62,000 to support agency work and research.

Special Initiatives

- Collaborated with units across LS and OCIO to implement a component of the Library's Digital Strategy, developed and executed the Library's new "By the People" crowdsourcing initiative, which gave the public opportunity to help transcribe materials online from Mary Church Terrell, Abraham Lincoln, Clara Barton, Branch Rickey, soldiers in the Civil War, and Alan Lomax.

Preservation (PRES)

In fiscal 2019, with the budget of \$31.786 million, PRES accomplished the following:

Core Services

- Carried out more than 9.4 million standard preservation actions kept the Library collections accessible through binding, conservation, mass deacidification, and reformatting. Activities included: over 32,000 conservation treatments; over 1 million items assessed for risks and treatment needs; enabling digitization by examining over 250,000 items and completing over 20,000 treatments to ready them for digitization; reformatting 7.6 million pages; and recovering over one million files from over 8,000 obsolete digital storage media.
- Transferred 33,850 inventory-controlled collection containers to Ft. Meade Storage Module 5.
- Concluded the Additional Service Copies (ASC) program, which reduced overall storage costs and overcrowding in the stacks by transferring over 400,000 duplicate, low-demand volumes to the Surplus Books program or to non-profit literacy organizations.

- Supported cultural heritage preservation work across the interagency through the FEMA Heritage Emergency National Task Force (HENTF) and the Cultural Heritage Coordinating Committee (CHCC), including recovery efforts from Hurricane Maria.
- Initiated new contracts for reformatting legal gazettes and foreign newspapers and initiated digital transition plan ahead of planned fiscal 2020 timeline, with goal to switch from all microfilm production in favor of digital reformatting before fiscal 2023.

Special Initiatives

- In collaboration with other Library units, the Architect of the Capitol began construction of Ft. Meade Storage Module 6, focusing on site preparation work.
- Installed the new Gutenberg bible display case, the only one of its kind in the world, designed by the Library as a self-contained environmental system that places this national treasure on display while simultaneously keeping it in preservation storage.

Fiscal 2020 Priority Activities

Associate Librarian for Library Services (ALLS)

In fiscal 2020, with the budget of \$37.541 million, ALLS priorities include the following.

Core Services

- To better inform collections acquisition decisions, CDO plans to continue to expand the collections usage reporting system, using business intelligence software.
- CDO will serve as business owner of the Acquisition Request Tool, an online method to optimize processes for the recommendation of materials to be acquired. Plans are to develop and test the tool over the course of the year.
- NAVCC will improve its operational capabilities in fulfillment of its preservation and access missions by planning and implementing workflows for processing Digital Cinema Packages (DCPs) of theatrical motion pictures for preservation, as well as commissioning a new file transcoder to support the Library's audiovisual preservation master file formats at the highest resolution.
- NAVCC plans to improve on-site and off-site access to its collections by completing upgrades to the Audio Lab critical listening rooms and the high-throughput audio preservation suites, as well as launching the new version of the National Jukebox, with new recordings and playlists added on a quarterly basis.

Special Initiatives

- LS will continue its response to the Inspector General's 2019 report on Collection Services Workflow by providing counts of digitized materials, broadening its examination of its arrears, and creating a collections services flow map and implementation mechanism for continuous monitoring of the delivery of materials to end users and identify critical paths in acquiring and making items available.
- NAVCC will work with BAT, AFC, VHP, and the Library's OCIO on the second year of procuring the Library's next-generation Audio-Visual Collections Management System, with the vendor award expected during second quarter fiscal 2020, followed by data migration and workflow planning. LS will lead data migration for the AVCMS implementation.
- CDO will lead a project to evaluate the possibility of sharing access to a selection of the Library's purchased and leased electronic resources with Legislative Branch offices through collaborative licensing.

Acquisitions and Bibliographic Access (ABA)

In fiscal 2020, with the budget of \$90.557 million, ABA priorities include the following.

Core Services

- Plans to acquire 1,125,000 collection items by purchase, exchange, gift, copyright deposit, transfer from other agencies, and cataloging in publication.
- Provide cataloging access to 270,000 collection items.
- Expand the State Government Web Archiving Pilot to formal implementation to cover twenty states, to ensure that the Library continues to acquire important state government documents that are increasingly being issued only as online content.

Special Initiatives

- Improve BIBFRAME tools to enhance the BIBFRAME Pilot 2 and solidify BIBFRAME as the long-term replacement for the MARC format for cataloging data. Work will include providing support to the over 20 institutions testing BIBFRAME as their implementation of linked open data.

Digital Services Directorate (DSD)

Core Services

- In support of the development of a new digitization plan, DSD will analyze digital scanning equipment inventory and requirements, conduct an analysis of scanning activity across various units, and identify space and renovation needs to support digitization. It plans to also review LS digital storage planning

and data collection methods in order to develop new guidance affirming responsibilities for storage planning processes, and complete a report summarizing findings and recommendations for digital storage.

Special Initiatives

- Work in coordination with OCIO for issuance of a Request for Proposal for the Next Generation (Next Gen) Library Services Platform Project, a necessary project to replace the Library's legacy integrated library system.
- Finalize the move of the "By the People" crowdsourcing initiative into DCMS, and through a joint campaign of Spanish Legal Materials from LS and the Law Library, expand the program by offering campaigns in foreign languages and accepting materials from other Library units.
- Add additional digital content types into production in Stacks systems for on-site access to rights restricted content and develop an agency plan for system improvements.

General and International Collections and Special Collections (GICD and SCD)

In fiscal 2020, with the budget of \$60.996 million, GICD and SCD priorities include the following.

Core Services

- Expand user engagement with the collections by providing hundreds of public programs including orientations, lectures, screenings, concerts, tours, and other events.
- Continue the digitization of our prized collections and making them available to all through the Library's website. GICD collections slated for expansion or inclusion include Armenian Rarities, Persian Language Rare Materials, and Korean Rare Books.
- Create 300 online research aids utilizing available tools such as EADs, research guides, Story Maps, and blogposts.
- Work with stakeholders to begin an effort to improve the delivery time and delivery rate of Inter-Library Loan material.
- Continue to expand Chronicling America, a national newspaper digitization program created through partnership between the Library and NEH, to include more than 16 million newspaper pages.

Special Initiatives

- LS Divisions, working with the Librarian's Office will support all components of the Visitor's Experience, including ongoing collaboration to share Library col-

lections at events, and reconfiguration of select staff spaces to accommodate the Visitor's Experience Master Plan (VEMP).

Preservation (PRES)

In fiscal 2020, with the budget of \$31.859 million, PRES priorities include the following.

Core Services

- Complete at least nine million standard preservation actions and transfer over 500,000 items to the off-site facilities, while also developing improved outcome and impact reporting metrics.
- Prepare for a rapid and orderly transfer of collections from the Landover Center and Cabin Branch to Ft. Meade Storage Module 6, planned for completion in fiscal 2021.
- Pending congressional approval of the "Rebalancing" request, conclude the mass deacidification program, with approximately 90 percent of priority materials treated by the end of the final option year of the current contract. Final payments on this fiscal 2020 task order will occur in June 2021.
- Develop interagency agreements and other vehicles to delineate PRES activities under the National Disaster Recovery Framework and the Preserve and Protect International Cultural Heritage Act.

Special Initiatives

- Work with other Library units to revise the "Strategic Plan for Safeguarding the Collections," to ensure that collections care and security measures reflect current requirements.
- Complete a requirements matrix and initiate market research for an improved inventory management system capable of interaction with the future Library Services Platform. This system will support Library and user workflows, including offsite storage and retrieval of materials for users.

Fiscal 2021 Priority Activities

Associate Librarian for Library Services (ALLS)

In fiscal 2021, with the budget of \$39.534 million, ALLS priorities include the following.

Core Services

- CDO plans to continue its focus on efforts that have a meaningful broad impact on the Library. Foremost will be its leadership in the continuing phased implementation of the Library's Digital Collecting Plan; other projects will include the review and updating of Collections Policy Statements and the further roll-out of the collections usage reporting system.

- NAVCC will increase the Film Lab’s volume of digital preservation at 2K and 4K resolutions, and implement new end-to-end workflows for digital film restoration.
- NAVCC will move new image content to the National Screening Room and new sound recordings to the National Jukebox on a quarterly basis, and continue working with the Office of the General Counsel to expand the scope of the Jukebox beyond the acoustical era.

Special Initiatives

- NAVCC will document and prepare new acquisition, documentation, preservation and access workflows and data entry screens, migrate legacy data, and, after testing, launch the AVCMS system to support NAVCC, AFC and VHP workflows. While continuing work with OCIO on the second year of procuring the Library’s next-generation audio-visual collections and workflow management system, NAVCC will also focus on refining current operational capabilities in fulfillment of its preservation and access missions.
- Continue work in response to the Inspector General’s 2019 report on Collection Services Workflow by completing substantive work defining digital rearrange, and adding to the collections services flow map and implementation mechanism for continuous monitoring.

Acquisitions and Bibliographic Access (ABA)

In fiscal 2021, with the budget of \$95.314 million, ABA priorities include the following.

Core Services

- Continue to acquire collection items by purchase, exchange, gift, copyright deposit, transfer from other agencies, and cataloging in publication.
- Continue to provide new cataloging access to collection items.
- Expanding work done in the “Routine Digital Content Acquisitions via Gift and Purchase” project, work with others to continue developing workflows for acquisition of digital content in various formats, using different acquisitions methods.

Special Initiatives

- Continue to test and share the BIBFRAME to MARC conversion program internally and with the larger library community, including all six overseas offices in creating BIBFRAME data, and giving greater focus to cataloging in native rather than transliterated or Romanized scripts. This allows the Li-

brary to continue MARC record distribution for the benefit of other libraries across the United States.

Digital Services Directorate (DSD)

Core Services

- Continue the digitization of our prized collections and making them available to all through the Library’s web site.
- Collaborate with OCIO to expand support for ingest, management, preservation, and access to digital content in a variety of formats and to identify application development and infrastructure priorities aligned with anticipated digital content streams.

Special Initiatives

- Streamline digitization activities and workflows through bringing the Library’s Digital Scan Center into DCMS.

General and International Collections and Special Collections (GICD and SCD)

In fiscal 2021, with the budget of \$64.780 million, GICD and SCD priorities include the following.

Core Services

- Expand user engagement with the collections by providing hundreds of public programs including orientations, lectures, screenings, concerts, tours, and other events.
- Increase access to collections by digitizing analog content and creating online research guides, such as finding aids, blog posts, Story Maps, or research guides, to help users find, analyze, and use collection materials.
- Continue to offer timely, high-quality, customer-focused reference and research services, adopting new technologies to increase efficiencies for reaching users.

Special Initiatives

- Continue to migrate existing research guides and bibliographies to the new platform, making them more accessible to researchers and the general public.

Preservation (PRES)

In fiscal 2021, with the budget of \$33.396 million, PRES priorities include the following.

Core Services

- Continue preservation activities and reporting of standard preservation action statistics. It plans to initiate reporting with new preservation metrics to demonstrate the impact of major conservation and collections care efforts.

Special Initiatives

- Fill Ft. Meade Storage Module 5 to capacity and prepare for a complete exit from Landover Center Annex via a transfer of materials to Ft. Meade Storage Module 6 in late fiscal 2021 and early fiscal 2022.
- Implement a reorganization and realignment propos-

al to better meet the needs of our collections while integrating functions that are shared across Divisions and unifying capabilities in primary operational areas.

- Continue working with OCIO and the Library Services modernization effort to develop or deploy new inventory management systems.



LCSG - Law Library

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

Law Library Summary By Object Class (Dollars in Thousands)

| Object Class | Fiscal 2019 | | Fiscal 2020 Enacted Budget | Fiscal 2021 | Fiscal 2020/2021 Net Change | Percent Change |
|---|-------------------|-----------------------|----------------------------------|------------------|-----------------------------------|-------------------|
| | Operating Plan | Actual Obligations | | Request Total | | |
| 00.0 Lapse Reserve | \$0 | \$0 | \$0 | \$0 | \$0 | 0.0% |
| Total, Lapse Reserve | \$0 | \$0 | \$0 | \$0 | \$0 | 0.0% |
| 11.1 Full-time permanent | \$8,520 | \$7,691 | \$8,588 | \$8,931 | \$343 | 4.0% |
| 11.3 Other than full-time permanent | 175 | 208 | 175 | 182 | 7 | 4.0% |
| 11.5 Other personnel compensation | 83 | 52 | 83 | 86 | 3 | 4.0% |
| 11.8 Special personal services payment | 32 | 0 | 32 | 33 | 1 | 4.0% |
| 12.1 Civilian personnel benefits | 2,809 | 2,514 | 2,809 | 3,213 | 404 | 14.4% |
| 13.0 Benefits for former personnel | 0 | 0 | 0 | 0 | 0 | 0.0% |
| Total, Pay | \$11,619 | \$10,466 | \$11,687 | \$12,445 | \$758 | 6.5% |
| 21.0 Travel & transportation of persons | \$ 25 | \$ 10 | \$ 25 | \$ 26 | \$1 | 2.5% |
| 22.0 Transportation of things | 2 | 2 | 2 | 2 | 0 | 2.5% |
| 23.1 Rental payments to GSA | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 23.2 Other Services | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 23.3 Communication, utilities & misc charges | 10 | 10 | 10 | 10 | 0 | 2.5% |
| 24.0 Printing & reproduction | 48 | 49 | 48 | 49 | 1 | 2.5% |
| 25.1 Advisory & associate services | 113 | 317 | 113 | 115 | 3 | 2.5% |
| 25.2 Other services | 2,332 | 2,744 | 2,332 | 2,840 | 508 | 21.8% |
| 25.3 Other purch of goods & services from gov acc | 16 | 57 | 16 | 17 | 0 | 2.5% |
| 25.4 Operation & maintenance of facilities | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 25.5 Research and Development Contracts | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 25.6 Medical Care | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 25.7 Operation & maintenance of equipment | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 25.8 Subsistence and Support of Persons | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 26.0 Supplies & materials | 20 | 21 | 20 | 20 | 0 | 2.5% |
| 31.0 Equipment | 3,158 | 3,470 | 3,076 | 7,079 | 4,003 | 130.1% |
| 41.0 Grants, subsidies & contributions | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 42.0 Insurance claims & indemnities | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 94.0 Financial Transfers | 0 | 0 | 0 | 0 | 0 | 0.0% |
| Total, Non-Pay | \$ 5,724 | \$ 6,679 | \$ 5,641 | \$ 10,158 | \$ 4,517 | 80.1% |
| Total, Law Library | \$ 17,343 | \$ 17,145 | \$ 17,328 | \$ 22,603 | \$ 5,275 | 30.4% |

Law Library
Analysis of Change
(Dollars in Thousands)

| | Fiscal 2021 | |
|---|-----------------------|-----------------|
| | Agency Request | |
| | Funded | |
| | FTE | Amount |
| Fiscal 2020 Enacted Budget | 88 | \$17,328 |
| Non-recurring Costs: | 0 | 0 |
| Mandatory Pay and Related Costs: | | |
| Locality-based comparability pay raise January 2021 @ 3.00% | | 260 |
| Annualization of January 2020 pay raise @ 3.52% | | 102 |
| Within-grade increases | | 54 |
| One extra day, 262 vs. 261 | | 46 |
| Fiscal 2019 - 2020 FERS pay increase | | 186 |
| Fiscal 2020 - 2021 FERS pay increase | | 110 |
| Total, Mandatory Pay and Related Costs | 0 | 758 |
| Price Level Changes | | 147 |
| Program Increases: | | |
| Compact Shelving Replacement - Quad B | | 4,370 |
| Total, Program Increases | 0 | 4,370 |
| Net Increase/Decrease | 0 | \$ 5,275 |
| Total Budget | 88 | \$22,603 |
| Total Offsetting Collections | 0 | 0 |
| Total Appropriation | 88 | \$22,603 |

LCSG - Law Library

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

FISCAL 2021 BUDGET REQUEST

The Library is requesting a total of **\$22.603 million** for the Law Library program in fiscal 2021, an increase of \$5.275 million, or 30.4 percent over fiscal 2020. This increase supports \$0.905 million in mandatory pay related and price level increases, and a programmatic increase of \$4.370 million for Compact Shelving Replacement – Quad B.

Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2019 | | | | Fiscal 2020 Enacted Budget | | Fiscal 2021 | | Fiscal 2020/2021 Net Change | | Percent Change |
|---------------------|----------------|------------------|--------------------|------------------|----------------------------|------------------|---------------|------------------|-----------------------------|----------------|----------------|
| | Operating Plan | | Actual Obligations | | | | Request Total | | | | |
| | Funded FTE | \$ | FTE Usage | \$ | Funded FTE | \$ | Funded FTE | \$ | Funded FTE | \$ | |
| Law Library | 88 | \$ 14,519 | 86 | \$ 13,916 | 88 | \$ 14,504 | 88 | \$ 19,702 | 0 | \$5,199 | 35.8% |
| Purch of Lib Mater. | | 2,825 | | 3,229 | | 2,825 | | 2,901 | | 77 | 2.7% |
| Total, LAW | 88 | \$ 17,343 | 86 | \$ 17,145 | 88 | \$ 17,328 | 88 | \$ 22,603 | 0 | \$5,275 | 30.4% |

FUNDING OVERVIEW

In fiscal 2020, Law Library (LAW) has a budget of \$17.328 million/88 FTE (Pay - \$11.687 M/ Non-Pay - \$5.641 M) which supports LAW's efforts to provide comprehensive law research. Of this funding \$1.756 million/10 FTE was appropriated in fiscal 2019 to support the staffing capacity and contractual needs for LAW's digitization efforts and foreign specialist capacity. These initiatives included short-term funding of \$496,000 for contractual support that will non-recur in fiscal 2023 (\$96,000) and 2031 (\$400,000), leaving ongoing funding of \$1.260 million for staff.

Funded Programmatic Increases

LAW Collection Access: Digitization Effort

Fiscal 2019

- On-boarded three staff.
- 1,069 volumes of the U.S. Serial Set were prepared for the pilot and sent for digitization meeting the goal of the Law Library.
- Expanded the digitization of law collections to include digitizing 1,729 documents of the Spanish Legal Documents (first four sections: Briefs; Cannon Law; Notarial Instruments; and Opinions & Judgments).

Fiscal 2020

- Digitize 3,500 volumes of the U.S. Serial Set
- Complete the digitization of the Spanish Legal Documents (15th – 19th Centuries) by digitizing 746 documents of the final two sections: Laws & Statutes and Miscellaneous, and loading this collection on the

Library's web site.

- Increase discoverability of Law Library-generated research reports by preparing 2,000 reports (born digital or digitized) for ingestion in the Library's Content Transfer System (CTS) and loading on the Library's web site.

Fiscal 2021

- Digitize 3,000 volumes of the U.S. Serial Set (6,500 volumes total).
- Prepare an additional 2,000 Law Library-generated research reports for ingestion in the CTS and loading on the Library's web site (4,000 reports total).

In the out years, the Law Library will continue to digitize the *U.S. Serial Set* to completion, and digitize the *Supreme Court Records and Briefs*.

LAW Strengthening Capacity: Staff Expertise in Foreign Law and Collection Stewardship

Fiscal 2019

- On-boarded seven staff.
- Three additional research and editorial staff deepened the Law Library's ability to timely and effectively respond to Congressional and other user inquiries regarding the laws of most often asked jurisdictions, including in particular inquiries on the law of the Nordic, Arab, Balkan, and Turkic-speaking countries. This resulted in the increased number of Congressional inquiries responded by Law Library's research staff (438 in fiscal 2019 vs. 333 in fiscal 2018).

- The expansion of research and editorial staff allowed

the Law Library to maintain stable number of publications produced and increase the number of web page views from the public.

- A new Legal Research Fellow allowed the Law Library to cover previously identified gaps in jurisdictional coverage and collection development and expedite the implementation of the project aimed at archiving historic research reports.
- Due to their ability to provide extended and multi-national jurisdictional coverage, additional research staff improved collection of law materials from Nordic and Turkic speaking countries recommending new paper and electronic acquisitions.
- Three additional collection services staff increased capacity in Law Library to care for items on-site rather than sending them away for preservation, provided primary support for activities related to the rare law book collection, including inventory, and assisted with collection acquisition and maintenance of the foreign law reference collection as well as provided help with cataloging.
- Enhanced capacity for collection processing and maintenance tasks:
 - Sorted, arranged and shelved incoming materials. The rate of additional Law materials added to the collection increased by 36 percent over the previous fiscal year.
 - Shifted, processed, and updated collection items. Increased the rate of eliminating duplicate items in the Law collection by 55 percent over the previous fiscal year.
 - Retrieved legal materials for Congress, the Supreme Court, and public patrons.

Fiscal 2020 and beyond.

- The additional research and editorial staff will continue to provide effective service responding to the global legal information needs of Congress and other priority users, including in particular inquiries on the law of the Nordic, Arab, Balkan, and Turkic-speaking countries.
- The Law Library will continue to maintain its effective services responding to the global legal information needs of Congress and other priority patrons, ensuring its ability to maintain unparalleled collection of global legal materials and secure jurisdictional coverage for all world jurisdictions.
- Another major project underway is the move of collection items from the subbasement stacks to the new state-of-the-art secure storage facility (SSF) that opened in July 2019. Additional collections services

staff is an integral part of this move and possesses the specialized training and experience in handling rare book materials.

- The additional collections services staff will continue to play an essential role in the compact shelving replacement project. Continue integrating resource titles for currency, usage, and adherence to selection decisions of recommending officers. Continue defining and implementing new workflows to ensure a seamless integration of print and digital materials and high-quality patron service.

LAW Compact Shelving Replacement | three year funding expired in fiscal 2019

Fiscal 2017

- Collection Storage IDIQ Task Order for Design Only Shelving Layout for Quadrant C (Quad C) in the sub-basement of the James Madison Memorial Building (JMMB) issued.
- Plan created for Quad C collection moves. Four moves necessary for the three phases of construction.
- Quad C Shelving Replacement is the first phase of a three phase process to replace shelving in the remaining three quads. Funding for the second phase (Quad B) is requested in this budget. The final quad will be requested in a future budget.

Fiscal 2018

- Began Phase 1 of Quad C shelving replacement.
 - Collections moved to swing space.
 - Dust barrier erected.
 - Old shelving disassembled and removed.
 - AOC completed work on fire suppression system.
 - Installation of new shelving began.

Fiscal 2019

- Completion of Quad C Phase 1 shelving, safety inspection, and occupancy granted to Law Library.
- Began Quad C Phase 2 of shelving replacement
 - Collections moved from construction zone.
 - Dust barrier erected.
 - Old shelving disassembled and removed.
 - AOC completed work on fire suppression system.

Fiscal 2020

- Delivery and installation of Phase 2 shelving.

- Safety inspection and occupancy granted to Law Library.
- Begin Quad C Phase 3
 - Quad C Phase 3 collection moves commence.
 - Dust barrier erected.
 - Disassemble and remove existing shelving.
 - AOC completes work on fire suppression system.
 - Delivery and begin delivery of new shelving.

Fiscal 2021

- Quad C Phase 3 installation of shelving continues.
- Safety inspection and occupancy granted to Law Library.
- Return of collection items from swing space.

PROGRAM OVERVIEW

Drawing on its unparalleled collection of domestic, foreign, and international legal material, the Law Library of Congress (Law Library) provides Congress with timely, comprehensive research on questions concerning foreign, comparative, international, and U.S. law. Its staff of experienced foreign and American-trained lawyers and law librarians also serve the federal judiciary and executive branch agencies, as well as the practicing bar, state and local governments, American businesses, scholars, journalists, and anyone with legal research and reference needs.

- Develop user-centered content – providing timely, expert legal analysis, research, testimony, training on federal and legal legislative history research, briefings and orientations in response to requests by Members of Congress and committee staff, justices of the Supreme Court, other federal and state judges, and attorneys at federal agencies.
- Increase discoverability and availability – amassing the world’s largest collection of legal material, representing more than 240 foreign and international jurisdictions. The collection consists of authoritative legal sources in original languages, with nearly three million volumes and three million pieces of microfiche. The Law Library acquires, maintains, organizes, preserves, and provides access to this collection in print, micro-format, and digital formats.
- Elevate digital experiences – developing electronic information products that provide access to historical and contemporary legal, legislative, administrative, and judicial documents. The Law Library is a collaborative partner, developing and maintaining the currency of content in Congress.gov, the authoritative

legislative information system for Congress and the public. The Law Library also creates research and collection guides that focus on legal research techniques, issues, and events.

Fiscal 2019 Accomplishments

In fiscal 2019, with the budget of \$17.343 million, the Law Library accomplished the following.

Core Services

- Prepared 438 legal research reports for Congress. Foreign law specialists provided Members of Congress with reports related to many pressing U.S. legislative issues.
- Prepared 863 research or reference reports for executive and judicial branch agencies, the U.S. bar, and members of the public around the world.
- Monitored quality of research products prepared for Congress and other federal users, ensuring that 100 percent of all products met Library of Congress standards and policies. Feedback was regularly requested from Congressional and federal users, and received surveys demonstrated a stable satisfaction rate at 98 percent.
- Answered 15,116 inquiries in the Law Library Reading Room, on the phone, or electronically, and answered 3,687 inquiries through Ask a Librarian, the Library’s virtual reference service.
- Conducted 173 seminars and orientations on legal and legislative research for nearly 5,260 participants.
- Improved discoverability of Law Library materials by inventorying and classifying 31,665 volumes into the K class of the Library of Congress classification system. Many of these titles were not previously represented in the online catalog (OPAC).
- Expanded reach of social media, increasing Law Library Twitter followers to 70,000. The Law Library’s Facebook page followers reached 39,000, and the Twitter account @Congress.gov grew to 53,900 followers.
- Congress.gov, the authoritative legislative information system for Congress and the public recorded 90,282,147 page views. The Global Legal Monitor, a continually updated online publication covering legal news and developments worldwide, received 430,001 page views. The Guide to Law Online, an annotated portal of internet sources of interest to legal researchers, had 3,711,955 page views.
- Published 171 posts in the Law Library’s blog, In Custodia Legis, and recorded 596,309 page views. In Custodia Legis routinely receives some of the highest

number of page views each month among all Library blogs.

Special Initiatives

- Refined publishing permissions policies for all categories of Congressional reports and began implementing those policies in its interactions with Congressional offices and the United States Association of Former Members of Congress to obtain publishing permission.
- The Architect of the Capitol completed construction of a secure storage facility to house more than 50 percent of Law Library's rare legal materials in a temperature- and humidity-controlled environment.
- Began work toward the development of a proof of concept pilot project to develop an integrated workflow and content management system to produce Law Library research products. Automation of these work processes will enable the Law Library to provide better and more targeted services to Congress, federal executive-branch agencies, federal courts, and the public.
- Pilot and release a redesigned version of the Law.gov web site, which will contribute to an increase in page views/visits to Law.gov.
- Continue to expand social media reach through Facebook, Twitter, and the Law Library's web site.
- Digitize and archive Law materials to ensure U.S. and foreign legal collections and Law Library research reports are increasingly accessible in a digital environment.
- Increase users' ability to access the Law Library's digital and print resources and its reference and research expertise
- Developing new and novel reference and training materials to improve access to the collection, and promote the Law Library as first choice for congressional, federal government, and public users for research and reference assistance.
- Working to ensure new and expanded audiences are aware of, and become users of, Law Library collections, services, expertise, and events. The Law Library will continue to host a variety of presentations and commemorative events, marking Human Rights Day, Constitution Day, and Law Day.

Fiscal 2020 Priority Activities

In fiscal 2020, with the budget of \$17.328 million, the Law Library's priorities include the following.

Core Services

- Maintain highest quality of timely and complex research and reference services provided to Congress, Supreme Court, executive branch agencies, courts, practicing bar, state and local governments, American businesses, scholars, journalists, and anyone with legal research needs.
- Continue improving access to the law collection by bringing 24,000 law collection volumes up to modern classification standards (K Class).
- Complete a comprehensive inventory of the Law Library rare book collection.
- The Law Library's curriculum of online and in-person classes for Congressional staff, executive-branch staff, federal librarians, and academic and other public researchers will continue to focus on Law Library collections and services, Congress.gov, Law.gov, and other federal legislative and legal information systems, and on how to perform legal research using U.S. and foreign law resources.
- Continue to replace compact shelving in Quad C in the sub-basement of the JMMB to provide a safer workplace and faster retrieval for the world's largest authoritative law collection.

Special Initiatives

- Initiate a pilot Comparative Law Institute aimed at introducing the Law Library's collection of foreign law materials and comparative law expertise to emerging faculty members of Washington DC area law schools.
- Piloting digital preservation of foreign official gazettes to make them more accessible and easier to search.
- Increase discoverability of Law Library-generated research reports by preparing 2,000 reports (born-digital or digitized) for ingestion into the Library's Content Transfer System.
- Expand the digitization of law collections to better meet the demand for online access to collections by continuing the digitization initiative, and digitizing 3,500 volumes of the U.S. Serial Set.
- Through the generosity of private donors, during fiscal 2020, the Law Library of Congress and the Library of Congress Interpretive Programs Office will develop a major public exhibition titled, Join In: the American Pursuit of Civil Society, scheduled for November 2020 and coincides with the 400th anniversary of the Mayflower Compact.

Fiscal 2021 Priority Activities

In fiscal 2021, with the budget of \$22.603 million requested, the Law Library's priorities include the following:

Core Services

- Continue providing support to the time-sensitive and complex needs of the Congress, Supreme Court, executive branch agencies, courts, practicing bar, state and local governments, American businesses, scholars, journalists, and anyone with legal research needs.
- Continue improving access to the law collection by bringing 24,000 law collection volumes up to modern classification standards (K Class).
- Expand the Law Library's curriculum of online and in-person classes for Congressional staff, executive-branch staff, federal librarians, and academic and other public researchers will continue focusing on Law Library collections and services, Congress.gov, Law.gov, and other federal legislative and legal information systems, and on how to perform legal research using U.S. and foreign law resources.
- Replace compact shelving to provide a safer work-

place and faster retrieval for the world's largest authoritative law collection.

- Continue to expand social media reach through Facebook, Twitter, and the Law Library's web site.
- Digitize and archive Law materials to ensure U.S. and foreign legal collections and Law Library research reports are increasingly accessible in a digital environment.

Special Initiatives

- If the fiscal 2020 request is approved, will replace and upgrade shelving in Quad B in the sub-basement of the JMMB. The life-span of the compact shelving was estimated at 25 years however now, at 38 years, the equipment is obsolete.
- Host a public exhibition to commemorate the 400th anniversary of the Mayflower Compact in November 2020. The purpose of the exhibition is twofold: to highlight Library of Congress collections, and to educate public visitors about the impact of the Mayflower Compact on the tradition of self-governance in America.



Office of the Inspector General

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

Office of the Inspector General Summary By Object Class (Dollars in Thousands)

| Object Class | Fiscal 2019 | | Fiscal 2020 Enacted Budget | Fiscal 2021 | Fiscal 2020/2021 Net Change | Percent Change |
|---|-------------------|-----------------------|----------------------------------|-----------------|-----------------------------------|-------------------|
| | Operating Plan | Actual Obligations | | Request Total | | |
| 00.0 Lapse Reserve | \$ 0 | \$ 0 | \$ 0 | \$ 0 | \$0 | 0.0% |
| Total, Lapse Reserve | \$ 0 | \$ 0 | \$ 0 | \$ 0 | 0 | 0.0% |
| 11.1 Full-time permanent | \$1,702 | \$1,444 | \$2,347 | \$2,440 | \$94 | 4.0% |
| 11.3 Other than full-time permanent | 53 | 4 | 53 | 56 | 2 | 4.0% |
| 11.5 Other personnel compensation | 129 | 96 | 129 | 130 | 1 | 0.6% |
| 11.8 Special personal services payment | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 12.1 Civilian personnel benefits | 544 | 552 | 544 | 636 | 92 | 16.9% |
| 13.0 Benefits for former personnel | 0 | 93 | 0 | 0 | 0 | 0.0% |
| Total, Pay | \$2,428 | \$2,189 | \$3,073 | \$3,261 | \$188 | 6.1% |
| 21.0 Travel & transportation of persons | \$ 7 | \$ 2 | \$ 7 | \$ 7 | \$0 | 2.5% |
| 22.0 Transportation of things | 0 | 0 | 0 | 0 | 0 | 4.0% |
| 23.1 Rental payments to GSA | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 23.2 Other Services | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 23.3 Communication, utilities & misc charges | 3 | 3 | 3 | 4 | 0 | 2.5% |
| 24.0 Printing & reproduction | 9 | 8 | 9 | 10 | 0 | 2.5% |
| 25.1 Advisory & associate services | 813 | 1,017 | 813 | 834 | 21 | 2.5% |
| 25.2 Other services | 37 | 22 | 37 | 38 | 1 | 2.5% |
| 25.3 Other purch of goods & services from gov acc | 0 | 3 | 0 | 0 | 0 | 2.7% |
| 25.4 Operation & maintenance of facilities | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 25.5 Research and Development Contracts | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 25.7 Operation & maintenance of equipment | 16 | 61 | 16 | 17 | 1 | 5.0% |
| 25.8 Subsistence and Support of Persons | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 26.0 Supplies & materials | 11 | 3 | 11 | 11 | 0 | 2.5% |
| 31.0 Equipment | 20 | 54 | 20 | 21 | 1 | 2.5% |
| Total, Non-Pay | \$ 918 | \$ 1,173 | \$ 918 | \$ 942 | \$ 24 | 2.6% |
| Total, Office of the Inspector General | \$ 3,346 | \$ 3,362 | \$ 3,991 | \$ 4,203 | \$ 212 | 5.3% |

Office of the Inspector General

Analysis of Change

(Dollars in Thousands)

| | Fiscal 2021 Agency Request | |
|---|-------------------------------|----------------|
| | Funded | |
| | FTE | Amount |
| Fiscal 2020 Enacted Budget | 14 | \$3,991 |
| Non-recurring Costs: | 0 | 0 |
| Mandatory Pay and Related Costs: | | |
| Locality-based comparability pay raise January 2021 @ 3.00% | | 66 |
| Annualization of January 2020 pay raise @ 3.52% | | 26 |
| Within-grade increases | | 14 |
| One extra day, 262 vs. 261 | | 12 |
| Fiscal 2019 - 2020 FERS pay increase | | 40 |
| Fiscal 2020 - 2021 FERS pay increase | | 31 |
| Total, Mandatory Pay and Related Costs | 0 | 188 |
| Price Level Changes | | 24 |
| Program Increases: | 0 | 0 |
| Net Increase/Decrease | 0 | \$ 212 |
| Total Budget | 14 | \$4,203 |
| Total Offsetting Collections | 0 | 0 |
| Total Appropriation | 14 | \$4,203 |

Office of the Inspector General

LIBRARY OF CONGRESS, SALARIES AND EXPENSES

FISCAL 2021 BUDGET REQUEST

The Library is requesting a total of **\$4.203 million** for the Office of the Inspector General in fiscal 2021, an increase of \$0.212 million, or 5.3 percent, over fiscal 2020. This increase supports mandatory pay related and price level increases.

Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2019 | | | | Fiscal 2020 Enacted Budget | | Fiscal 2021 | | Fiscal 2020/2021 Net Change | | Percent Change |
|-------------------|----------------|----------|-----------------------|----------|-------------------------------|----------|---------------|----------|-----------------------------------|-------|-------------------|
| | Operating Plan | | Actual Obligations | | | | Request Total | | | | |
| | Funded FTE | \$ | FTE Usage | \$ | Funded FTE | \$ | Funded FTE | \$ | Funded FTE | \$ | |
| OIG | 14 | \$ 3,346 | 12 | \$ 3,362 | 14 | \$ 3,991 | 14 | \$ 4,203 | 0 | \$212 | 5.3% |

FUNDING OVERVIEW

In fiscal 2020, the Office of the Inspector General (OIG) has a budget of \$3.991 million / 14 FTE (Pay - \$3.073 M/ Non-Pay - \$0.918 M) which provides funding to continuing a higher level of audit and oversight of the Library of Congress' (Library) Information Technology (IT) modernization due to significant growth in these efforts.

Funded Programmatic Increases

OIG Expanded Information Technology Audit Capabilities

Fiscal 2019

- One FTE IT Auditor hired and on-boarded;
- Awarded \$100,000 to focus on IT audits of organization-wide strategic efforts; and
- Purchased and installed new audit workpaper software.

Fiscal 2020 Consolidated Appropriations Act Directed Increase

Fiscal 2020

- Solicit and award contracts with IT specialists;
- Hire Assistant Inspector General for Audit (AIGA) in the 3rd or 4th quarter; and
- Expand audit and oversight efforts with increased funding to \$3.991 million.

Fiscal 2021

- Continue to use the increase in fiscal 2020 funding for audit and oversight of the Library's ambitious IT modernization efforts.

PROGRAM OVERVIEW

OIG functions within the Library as an independent, objective office with authority to: conduct and supervise audits, evaluations, and investigations relating to the Library; provide leadership and coordination in recommending policies to promote economy, efficiency, and effectiveness; and inform the Librarian of Congress and the Congress fully about problems and deficiencies related to the administration and operations of the Library. The Inspector General plans, manages, and directs the operations of the OIG with the assistance of a full-time legal counsel and a part-time administrative assistant. OIG divides its work organizationally into two units: the Audits and the Investigations Divisions:

- The Audits Division conducts in-depth reviews that address the efficiency, effectiveness, and economy of the Library's programs, activities, and functions; provides information to responsible parties to improve public accountability; facilitates oversight and decision-making; and initiates corrective action as needed. Each fiscal year OIG assesses two to three of the Library's seven top management challenges (TMC): IT modernization; collections storage workflow; U.S. Copyright Office's (USCO) Modernization Program; financial management and reporting; strategic planning and performance management; digital strategic planning and execution; and contracting. The Audits Division also contracts with an independent public accounting firm that examines whether financial statements fairly present financial positions, results of operations, and budgetary resources.
- The Investigations Division performs administrative, civil, and criminal investigations concerning fraud, conflict of interest, and other misconduct involving Library employees, contractors, and grantees. It also operates a confidential hotline, for both Library staff and the public, to report fraud, waste, and abuse.

Fiscal 2019 Accomplishments

In fiscal 2019, with the budget of \$3.346 million, OIG continued to emphasize the Library's TMC and accomplishments in other areas. OIG accomplished the following.

Audits Division

- Concentrated efforts on three TMCs: Collections Storage, the U.S. Copyright Office's (USCO) Modernization Program, and financial management and reporting.
- Issued the last in a series of audits on the Library's purchase card program, another targeted review of improper payments; and evaluated hotline complaints received concerning the Library's Federal Library and Information Network.
- Conducted audits of the Library's Gift Shop financial management and accounting and the Overseas Office in Rio de Janeiro, Brazil.
- Performed focused IT audits of the modernization efforts in USCO and the Library's IT security information and event management.
- Completed a risk-based audit plan for the three-year period fiscal years 2020-2022.
- Performed the annual audit of the USCO's Licensing Division's fund balance as well as its mandated oversight of the Library's financial statements audit.

Investigations Division

- Conducted investigations and determined employees' misuse of government computers to visit inappropriate Internet sites.
- Investigated employee misconduct and time and attendance irregularities, resulting in a recovery of \$17,480.
- Issued and referred one case to management in which allegations of misconduct and conflict of interest related to a Library procurement by a senior government employee.
- Recovered \$25,525 from investigations of theft of Library property.

Fiscal 2020 Priority Activities

In fiscal 2020, with the enacted budget of \$3.991 million, OIGs' priorities include the following.

Audits Division

- Hire the AIGA SES position.
- Continue to focus on the Library's TMCs by performing three to four assessments on identified areas.
- Perform increased reviews of Library-wide investments in IT modernization, including updating outdated infrastructure, supporting migration to a Tier III data center, and improving the security of the networks.
- Perform the annual audit of the USCO's Licensing Division's fund balance as well as its mandated oversight of the Library's financial statements.

Investigations Division

- Focus on combating contracting and computer crimes at the Library.
- Address waste, fraud, and abuse in all areas of Library operations.
- Emphasize and employ its hotline program to pursue employee misconduct, mismanagement, and unethical activities.

Fiscal 2021 Priority Activities

In fiscal 2021, with the requested budget of \$4.203 million, OIGs' priorities include the following.

Audits Division

- Increase OIGs audit and evaluation oversight of the Library's IT operations and strategic direction to ensure IT investments do not incur waste, fraud, and abuse.
- Continue to focus on the Library's TMCs by performing three to four assessments on identified areas.
- Perform the annual audit of the USCO's Licensing Division's fund balance as well as its mandated oversight of the Library's financial statements.

Investigations Division

- Conduct investigations of the misuse of government computers at the Library.
- Focus on employee misconduct and time and attendance irregularities.

COPYRIGHT OFFICE, SALARIES AND EXPENSES

Copyright, Salaries & Expenses Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2019 | | | | Fiscal 2020 Enacted Budget | | Fiscal 2021 Request Total | | Fiscal 2020/2021 Net Change | | Percent Change |
|--|----------------|------------------|-------------|------------------|----------------------------|------------------|---------------------------|------------------|-----------------------------|----------------|----------------|
| | Operating Plan | | Obligations | | Funded FTE | \$ | Funded FTE | \$ | Funded FTE | \$ | |
| | Funded FTE | \$ | FTE Usage | \$ | | | | | | | |
| COP Basic | 400 | \$ 85,823 | 395 | \$ 71,907 | 400 | \$ 83,990 | 403 | \$ 85,792 | 3 | \$1,802 | 2.1% |
| COP Licensing | 23 | 5,755 | 20 | 4,009 | 23 | 5,952 | 23 | 6,232 | 0 | 280 | 4.7% |
| COP Royalty Judges | 6 | 1,829 | 5 | 1,711 | 6 | 1,898 | 9 | 2,867 | 3 | 969 | 51.1% |
| Total, COP, S&E | 429 | \$ 93,407 | 420 | \$ 77,627 | 429 | \$ 91,840 | 435 | \$ 94,891 | 6 | \$3,051 | 3.3% |
| COP Basic Off. Coll. | | (39,218) | | (27,036) | | (39,218) | | (35,004) | | 4,214 | -10.7% |
| COP Basic Unobligated Bal. | | (4,328) | | (2,686) | | (4,003) | | (3,000) | | 1,003 | -25.1% |
| COP Licensing Off. Coll. | | (5,755) | | (4,009) | | (5,952) | | (6,232) | | (280) | 4.7% |
| COP Royalty Judges Off. Coll. | | (517) | | (473) | | (530) | | (546) | | (16) | 3.0% |
| Total Appropriation, COP, S&E | 429 | \$ 43,589 | 420 | \$ 43,422 | 429 | \$ 42,137 | 435 | \$ 50,109 | 6 | \$7,972 | 18.9% |

**Copyright Office, Salaries & Expenses
Summary By Object Class**

(Dollars in Thousands)

| Object Class | Fiscal 2019 | | Fiscal 2020 Enacted Budget | Fiscal 2021 | Fiscal 2020/2021 Net Change | Percent Change |
|---|-------------------|-----------------------|----------------------------------|------------------|-----------------------------------|-------------------|
| | Operating Plan | Actual Obligations | | Request Total | | |
| 00.0 Lapse Reserve | \$0 | \$0 | \$0 | \$0 | \$0 | 0.0% |
| Total, Lapse Reserve | \$0 | \$0 | \$0 | \$0 | \$0 | 0.0% |
| 11.1 Full-time permanent | \$33,195 | \$37,736 | \$34,575 | \$36,589 | \$2,014 | 5.8% |
| 11.3 Other than full-time permanent | 392 | 250 | 392 | 408 | 15 | 3.9% |
| 11.5 Other personnel compensation | 2,089 | 1,239 | 2,089 | 2,169 | 80 | 3.8% |
| 12.1 Civilian personnel benefits | 17,783 | 12,419 | 17,783 | 19,363 | 1,581 | 8.9% |
| 13.0 Benefits for former personnel | 22 | 30 | 22 | 23 | 1 | 3.5% |
| Total, Pay | \$53,482 | \$51,676 | \$54,862 | \$58,553 | \$3,691 | 6.7% |
| 21.0 Travel & transportation of persons | \$ 181 | \$ 111 | \$ 181 | \$ 193 | \$12 | 6.5% |
| 22.0 Transportation of things | 16 | 0 | 16 | 16 | 0 | 2.5% |
| 23.1 Rental payments to GSA | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 23.2 Other Services | 990 | 306 | 990 | 992 | 2 | 0.2% |
| 23.3 Communication, utilities & misc charges | 690 | 395 | 690 | 712 | 23 | 3.3% |
| 24.0 Printing & reproduction | 411 | 497 | 411 | 634 | 223 | 54.2% |
| 25.1 Advisory & associate services | 7,603 | 4,093 | 7,603 | 7,740 | 137 | 1.8% |
| 25.2 Other services | 8,624 | 4,539 | 8,706 | 7,004 | (1,702) | -19.5% |
| 25.3 Other purch of goods & services from gov acc | 13,165 | 11,274 | 10,746 | 10,956 | 210 | 1.9% |
| 25.4 Operation & maintenance of facilities | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 25.5 Research and Development Contracts | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 25.6 Medical Care | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 25.7 Operation & maintenance of equipment | 1,405 | 873 | 1,409 | 1,718 | 309 | 21.9% |
| 25.8 Subsistence and Support of Persons | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 26.0 Supplies & materials | 311 | 230 | 311 | 334 | 23 | 7.3% |
| 31.0 Equipment | 6,530 | 3,597 | 5,915 | 6,040 | 125 | 2.1% |
| 41.0 Grants, subsidies & contributions | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 42.0 Insurance claims & indemnities | 0 | 35 | 0 | 0 | 0 | 0.0% |
| 44.0 Refunds | 0 | 0 | 0 | 0 | 0 | 0.0% |
| Total, Non-Pay | \$ 39,925 | \$ 25,951 | \$ 36,978 | \$ 36,338 | \$ (640) | -1.7% |
| Total, Copyright Office, S&E | \$ 93,407 | \$ 77,627 | \$ 91,840 | \$ 94,891 | \$ 3,051 | 3.3% |

Copyright Office, Salaries and Expenses Analysis of Change

(Dollars in Thousands)

| | Fiscal 2021 Agency Request | |
|---|-------------------------------|-----------------|
| | Funded | |
| | FTE | Amount |
| Fiscal 2020 Enacted Budget | 429 | \$91,840 |
| Non-recurring Costs: | | |
| Public Records & Recordation | | (1,100) |
| Warehouse Move Preparation | | (1,003) |
| Total, Non-recurring Costs | 0 | (2,103) |
| Mandatory Pay and Related Costs: | | |
| Locality-based comparability pay raise January 2021 @ 3.00% | | 1,226 |
| Annualization of January 2020 pay raise @ 3.52% | | 479 |
| Within-grade increases | | 238 |
| Fiscal 2019 - 2020 FERS pay increase | | 396 |
| Fiscal 2020 - 2021 FERS pay increase | | 255 |
| One extra day, 262 vs. 261 | | 150 |
| Total, Mandatory Pay and Related Costs | 0 | 2,745 |
| Price Level Changes | | 833 |
| Program Increases: | | |
| Music Modernization Act Staffing | 3 | 711 |
| CRJ Staffing | 3 | 865 |
| Total, Program Increases | 6 | 1,576 |
| Net Increase/Decrease | 6 | \$ 3,051 |
| Total Budget | 435 | \$94,891 |
| Total Offsetting Collections & PY Unobligated Balances | 0 | (44,782) |
| Total Appropriation | 435 | \$50,109 |

Fiscal 2021 Program Changes: \$1.576 million

Copyright Fee Realignment - Shift in Spending Authority

The United States Copyright Office (USCO) requests a shift of Copyright Basic budget authority from offsetting collections to increased net discretionary appropriations totaling \$4.214 million due to a projected user fee collections shortfall in fiscal 2021. The passage of the Music Modernization Act of 2018 (MMA) drastically reduced the volume of filings of Notices of Intention (NOI) to make and distribute phonorecords under 17 U.S.C. § 115. In fiscal 2019, this resulted in an annual fee collections shortfall of \$4.214 million for USCO, which reduced the Copyright Basic obligational authority by that amount. USCO anticipates that this reduced level of revenue will continue in fiscal 2020, fiscal 2021, and the foreseeable future. Therefore, the USCO is requesting increased net discretionary appropriations in fiscal 2021 and beyond to accommodate for the projected shortfall in offsetting collections.

Fiscal 2018 actual NOI collections were \$4.577 million. USCO overall fiscal 2019 revenue collections of \$35.004 million were \$4.214 million below the level estimated in the budget (\$39.218 million), and 10 percent below the fiscal 2018 actual level. USCO attributes the fiscal 2019 revenue shortfall primarily to the passage of the MMA and associated cessation of most NOI filings. In the three year period from fiscal 2016 through fiscal 2018, USCO fee collections averaged \$37.519 million, ranging from a high of \$38.966 million in

fiscal 2018 to a low of \$36.546 million in fiscal 2016. In the fiscal 2019 and 2020 budget requests, USCO assumed the level of offsetting fee collections would be in line with what it experienced before passage of the MMA, an estimated \$39.218 million. At the time the fiscal 2019 and 2020 budgets were transmitted to Congress, any potential impacts of the MMA on offsetting collections was unknown. However, once the actual fiscal 2019 collections began to trend lower, USCO better understood the impact of lower NOI filings on Copyright Basic's obligation authority. These reductions put significant pressure on USCO operations and modernization efforts and the USCO does not anticipate achieving the fiscal 2018 level of collections in fiscal 2020 and in the next several years as MMA implementation continues. In 2017 USCO commenced a schedule and analysis of copyright fees that takes place routinely every three to five years. This analysis was submitted to Congress in October 2019 with the intention of implementing a new fee schedule in the second quarter of 2020 pending congressional approval. While the study findings are not associated with anticipated impacts of the MMA, the study did indicate that fee collections may be somewhat elastic to price which could put further pressure on collections revenue. USCO is closely monitoring the pace of collections to further the understanding of the full potential impacts of MMA implementation and any price structure changes.

Music Modernization Act Staffing:

\$0.711 million/3 FTE

The U.S. Copyright Office (USCO) is requesting a \$711,000 increase in appropriated funds to support three FTEs for the mandated implementation and execution requirements of the Music Modernization Act of 2018 (MMA).

The requested staffing to support USCO MMA implementation is as follows:

1. Supervisory Public Affairs Specialist (one – GS 15)

The Supervisory Public Affairs Specialist will ensure that the USCO outreach and education efforts are planned, executed, and delivered in a manner to meet the USCO strategic and business goals.

2. Attorney-Advisor (one – GS 15)

The Attorney-Advisor will serve as an expert on copyright law to advise USCO leadership on activities pertaining to matters of interest to USCO, copyright stakeholders, and Congress, including Congressionally-required reports and regulatory matters.

3. Paralegal (one – GS 11)

The paralegal will assist with legal research and other

tasks in support of USCO attorneys.

The MMA requires the Register of Copyrights to “engage in public outreach and educational activities” regarding the amendments made to section 115 of Title 17. Orrin G. Hatch–Bob Goodlatte Music Modernization Act, Public Law 115-264, § 102(e), 132 Stat. 3676, 3722 (2018).

Specifically, the Register must engage in public education and other outreach activities to inform interested members of the public and songwriters about the process by which a copyright owner may claim ownership of musical works before the “mechanical licensing collective” created under the MMA. The mechanical licensing collective will administer a blanket licensing system for digital music providers to make and distribute digital phonorecord deliveries (e.g., permanent downloads, interactive streams). Outreach and educational activities required under the MMA include the creation of written materials and online tutorials, training, and travel to meet with members of the general public. Two years after the designation of the new mechanical licensing collective, the MMA also requires the Register to submit to the Committee on the Judiciary of the Senate

and the Committee on the Judiciary of the House of Representatives a “report that recommends best practices that the collective may implement” regarding unclaimed royalties. Id. § 102(f)(1), 132 Stat. at 3722.

To fulfill its duties under the MMA, USCO will: conduct educational presentations and provide materials at relevant conferences and music events; develop and deploy explanatory videos regarding how the MMA will affect different audience segments; develop written materials to distribute at various events focusing on different areas of the complex law; continuously update content on the Copyright Office web site; and develop online tutorials and conduct online seminars (webinars) to have the greatest reach among interested parties. These education efforts are critical so that songwriters learn about the mechanical licensing collective,

how it operates, and how they may claim ownership of their musical works. This comprehensive effort will target all audiences necessary, with customized materials for different areas of concern, and will provide online training (tutorials and webinars) whenever appropriate to reach a greater audience and to reduce the necessity of travel.

Tangible benefits include increased public awareness of the efficiency and monetary benefits that have been made available to copyright owners and others under the MMA, and a timely and comprehensive report to Committee on the Judiciary of the Senate and the Committee on the Judiciary of the House of Representatives as required.

Lack of funding will greatly impact the Copyright Office’s ability to adequately engage in important public outreach and educational activities to meet the intent of the MMA.

Copyright Royalty Judges Staffing:

\$0.865 million/ 3 FTE

The Library is requesting three FTE and \$865,000 to support the Copyright Royalty Judges (CRJ) increased workload generated by the Music Modernization Act of 2018 (MMA) and increasing trends of case complexity and the numbers of cases requiring adjudication. A legislative proviso in the fiscal 2020 enacted appropriations removed the statutory FTE cap on CRJ support staff from U.S.C. Title 17, enabling the potential to increase staff support. While the passage of the MMA assigned additional responsibilities to the CRJ program, the staffing for the program remains as it was in 2004: Three judges supported by three administrative staff.

information database to assure musical works royalties reach the songwriters and publishers to whom they are due, as well as the collection and distribution of musical works royalties under a blanket license. In the MMA, Congress assigns to the CRJ the duty to ascertain the reasonableness of the MLC’s operating budget and the allocation of contributions to that budget by the various licensees or licensee representative groups. The MLC funding proceeding is an additional proceeding of a brand-new type for the CRJ. As with all of its other proceedings, the CRJ is mandated to follow a strict timeline to completion.

The requested three additional staff include:

1. Economist (one – GS 14)

The Economist will be an expert in economics pertaining to the cable, satellite, and music copyright industries and will advise the Judges on all aspects of their work.

Moreover, in the last few years fewer of the licensing proceedings have been resolved through negotiated settlements, resulting in more adjudication cases of royalty rate disputes. In addition, since the late 1990’s additional parties have begun participating in royalty rate disputes, resulting in litigation in most royalty distribution proceedings. Changes in the marketplace have also complicated both rate-setting and royalty distribution proceedings.

2. Paralegal (one – GS 11 and one – GS 9)

The paralegals will assist the Judges with legal research and other tasks in support of the Copyright Royalty Board.

The Copyright Royalty Judges are also tasked with setting royalty rates for the licensing of music. The Copyright Act creates compulsory licenses for the use of musical works (notes and lyrics) and sound recordings (recorded performances of music or other audio content).

USCO is proposing that this initiative be funded through an increase in annual appropriations (\$393.4 thousand) for salaries and benefits and an increase in offsetting collections (\$471.6 thousand from royalties and participation fees) for the associated non-pay expenses, which include printing in the Federal Register and necessary enhancements to the electronic Copyright Royalty Board (eCRB) system, in addition to the standard per-FTE non-pay costs.

The MMA was signed into law on October 11, 2018. The legislation is aimed at, among other things, streamlining the payment and distribution of musical works license royalties. The MMA created a non-profit Music Licensing Collective (MLC) whose operating expenses will be paid by licensees through an “administrative assessment” set by the CRJ.

In 1995, Congress extended a sound recording copyright owner’s copyright to include the exclusive right to perform their works by means of digital transmissions, and created a compulsory license for subscription transmissions. As digital music transmissions moved beyond the original cable and satellite radio services to transmissions over the Internet, Congress expanded the compulsory license in 1998 to keep pace with the marketplace. The music delivery paradigm has moved rapidly from physical sales of sound recordings to downloads to streaming of sound recordings – from an ownership model to an access model. These changes have

The MLC is tasked initially with development of a music

introduced more complexity into determining a methodology that appropriately values the licenses and compensates copyright owners.

On the distribution side, the cable and satellite television landscape is evolving. The compulsory licenses apply only to programming on broadcast television signals that are simultaneously retransmitted to a distant market. Changes in the cable and satellite retransmission landscape, such as the

proliferation of new means of delivering audiovisual content and the transformation of superstations to cable networks, require the Judges to consider anew, with each distribution proceeding, the continued viability of the valuation methodologies the parties present. In summary increased duties from the MMA, increased licensing case adjudications, increased case complexity and a rapidly changing marketplace all contribute to the need for additional support staff for the CRJ.

Copyright Basic

COPYRIGHT OFFICE, SALARIES AND EXPENSES

Copyright Basic Summary By Object Class (Dollars in Thousands)

| Object Class | Fiscal 2019 | | Fiscal 2020 Enacted Budget | Fiscal 2021 | Fiscal 2020/2021 Net Change | Percent Change |
|---|-------------------|-----------------------|-------------------------------|-----------------|-----------------------------------|-------------------|
| | Operating Plan | Actual Obligations | | Request Total | | |
| 00.0 Lapse Reserve | \$0 | \$0 | \$0 | \$0 | \$0 | 0.0% |
| Total, Lapse Reserve | \$0 | \$0 | \$0 | \$0 | \$0 | 0.0% |
| 11.1 Full-time permanent | \$30,060 | \$34,938 | \$31,260 | \$32,844 | \$1,584 | 5.1% |
| 11.3 Other than full-time permanent | 392 | 250 | 392 | 408 | 15 | 3.9% |
| 11.5 Other personnel compensation | 2,053 | 1,176 | 2,053 | 2,131 | 78 | 3.8% |
| 12.1 Civilian personnel benefits | 16,788 | 11,538 | 16,788 | 18,113 | 1,325 | 7.9% |
| 13.0 Benefits for former personnel | 22 | 9 | 22 | 23 | 1 | 3.5% |
| Total, Pay | \$49,315 | \$47,911 | \$50,515 | \$53,519 | \$3,004 | 5.9% |
| 21.0 Travel & transportation of persons | \$171 | \$106 | \$171 | \$179 | \$8 | 4.6% |
| 22.0 Transportation of things | 15 | 0 | 15 | 15 | 0 | 2.5% |
| 23.1 Rental payments to GSA | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 23.2 Other Services | 990 | 306 | 990 | 992 | 2 | 0.2% |
| 23.3 Communication, utilities & misc charges | 683 | 391 | 683 | 699 | 16 | 2.4% |
| 24.0 Printing & reproduction | 322 | 316 | 322 | 343 | 21 | 6.4% |
| 25.1 Advisory & associate services | 7,603 | 4,093 | 7,603 | 7,740 | 137 | 1.8% |
| 25.2 Other services | 7,935 | 3,651 | 7,935 | 6,207 | (1,728) | -21.8% |
| 25.3 Other purch of goods & services from gov acc | 11,534 | 10,581 | 9,116 | 9,284 | 168 | 1.8% |
| 25.4 Operation & maintenance of facilities | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 25.5 Research and Development Contracts | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 25.6 Medical Care | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 25.7 Operation & maintenance of equipment | 1,187 | 703 | 1,187 | 1,237 | 51 | 4.3% |
| 25.8 Subsistence and Support of Persons | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 26.0 Supplies & materials | 268 | 223 | 268 | 288 | 20 | 7.3% |
| 31.0 Equipment | 5,800 | 3,590 | 5,185 | 5,289 | 104 | 2.0% |
| 41.0 Grants, subsidies & contributions | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 42.0 Insurance claims & indemnities | 0 | 35 | 0 | 0 | 0 | 0.0% |
| 44.0 Refunds | 0 | 0 | 0 | 0 | 0 | 0.0% |
| Total, Non-Pay | \$36,508 | \$23,996 | \$33,475 | \$32,273 | (\$1,202) | -3.6% |
| Total, Copyright Basic | \$85,823 | \$71,907 | \$83,990 | \$85,792 | \$1,802 | 2.1% |

Copyright Basic Analysis of Change

(Dollars in Thousands)

| | Fiscal 2021 Agency Request | |
|---|-------------------------------|-----------------|
| | Funded | |
| | FTE | Amount |
| Fiscal 2020 Enacted Budget | 400 | \$83,990 |
| Non-recurring Costs: | | |
| Public Records & Recordation | | (1,100) |
| Warehouse Move Preparation | | (1,003) |
| Total, Non-recurring Costs | 0 | (2,103) |
| Mandatory Pay and Related Costs: | | |
| Locality-based comparability pay raise January 2021 @ 3.00% | | 1,128 |
| Annualization of January 2020 pay raise @ 3.52% | | 441 |
| Fiscal 2019 - 2020 FERS pay increase | | 330 |
| Fiscal 2020 - 2021 FERS pay increase | | 219 |
| One extra day, 262 vs. 261 | | 117 |
| FERS pay increase | | 215 |
| Total, Mandatory Pay and Related Costs | 0 | 2,451 |
| Price Level Changes | | 742 |
| Program Increases: | | |
| Music Modernization Act Staffing | 3 | 711 |
| Total, Program Increases | 3 | 711 |
| Net Increase/Decrease | 3 | 1,802 |
| Total Budget | 403 | \$85,792 |
| Total Offsetting Collections & PY Unobligated Balances | 0 | (38,004) |
| Total Appropriation | 403 | \$47,788 |

Copyright Basic

COPYRIGHT OFFICE, SALARIES AND EXPENSES

FISCAL 2021 BUDGET REQUEST

The Library is requesting a total of **\$85.792 million** for Copyright Basic in fiscal 2021, an increase of \$1.802 million, or 2.1 percent, change from fiscal 2020, offset by \$35.004 million in offsetting collection authority and \$3 million in authority to use prior year unobligated balances, for a net appropriation of \$47.788 million. This increase represents \$3.193 million for mandatory pay related and price level increases, non-recurring costs of (\$1.100) million for Public Records and Recordation and (\$1.003) million for Warehouse Move Preparation, and a programmatic increase of \$711,000 and 3 FTE for Music Modernization Act Staffing. Additionally, this includes a request to shift \$4.214 million of spending authority from offsetting collections to appropriated funding.

Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2019 | | | | Fiscal 2020 Enacted Budget | | Fiscal 2021 | | Fiscal 2020/2021 Net Change | | Percent Change |
|-------------------|----------------|------------------|--------------------|------------------|----------------------------|------------------|---------------|------------------|-----------------------------|----------------|----------------|
| | Operating Plan | | Actual Obligations | | | | Request Total | | | | |
| | Funded FTE | \$ | FTE Usage | \$ | Funded FTE | \$ | Funded FTE | \$ | Funded FTE | \$ | |
| COP_Basic | 400 | \$ 85,823 | 395 | \$ 71,907 | 400 | \$ 83,990 | 403 | \$ 85,792 | 3 | \$1,802 | 2.1% |
| Offsetting Coll. | | (39,218) | | (27,036) | | (39,218) | | (35,004) | | 4,214 | -10.7% |
| PY Unobl. Bal. | | (4,328) | | (2,686) | | (4,003) | | (3,000) | | 1,003 | -25.1% |
| COP_Basic | 400 | \$ 42,277 | 395 | \$ 42,184 | 400 | \$ 40,769 | 403 | \$ 47,788 | 3 | \$7,019 | 17.2% |

FUNDING OVERVIEW

In fiscal 2020, the U.S. Copyright Office (USCO), Copyright Basic has budget authority of \$83.990 million/400 FTE (Pay - \$50.515 million/ Non-Pay - \$33.475 million) to support its mission to promote creativity and free expression by administering the nation's copyright laws and by providing impartial expert advice on copyright law and policy, for the benefit of all. Offsetting collection authority of \$43.221 million will be credited to this appropriation, providing a net appropriation of \$40.769 million. Of this funding, \$11.709 million will non-recur; [\$6.709 million] in fiscal 2024 from the Copyright Modernization initiative resulting in an ongoing base of \$5.412 million, and [\$5.000 million] in fiscal 2026 from the Searchable Historic Records initiative.

Funded Programmatic Increases:

Fiscal 2019 - \$21.608 million/23 FTE was newly appropriated in fiscal 2019 to support various initiatives. These initiatives included the following.

- Copyright Modernization – approved in the 2019 budget request, \$12.121 million comprised of temporary funding of \$6.709 million for planning and development that will non-recur in fiscal 2024, leaving an ongoing base increase of \$5.412 million for operations and maintenance and personnel.

- Established the Copyright Modernization Office and the Copyright Governance Board to coordinate and oversee all modernization activities.
- Launched work to develop the Enterprise Copyright System (ECS) in collaboration with the Library's Office of the Chief Information Officer (OCIO) under the shared-services framework established by the 2017 Modified U.S. Copyright Office Provisional IT Modernization Plan.
- Working with a contractor, conducted robust, multi-city/multi-method stakeholder outreach and research initiative focused on capturing and integrating feedback from actual Copyright Office users to inform the design of a user-centric interface for the ECS.
- Established a dedicated public webpage for modernization efforts located at copyright.gov/copyright-modernization.
- Launched broad organizational change management activities to facilitate communication and staff engagement in modernization activities.

- Searchable Historic Records – temporary funding

of \$5.0 million for digitization and other activities to make records accessible online that will non-recur in fiscal 2026.

- Completed a comprehensive electronic data inventory and data dictionary from all Copyright Office data sources, stores, and products, and developed a data management plan for data identification, storage and preservation.
- Went live with a Virtual Card Catalog (VCC) proof-of-concept, providing online access to the entire card catalog of 35 million cards, as reflected in 41.5 million imaged records. In fiscal 2019, the VCC had 11,610 unique visitors with over 88,000 page views.
- Launched Office-wide business process re-engineering and engaged experts from the Smithsonian Institute to re-envision Office workflows for optimal efficiencies.
- Engaged the Office of Personnel Management (OPM) to assess the Office's organizational structure and its alignment with strategic planning.
- Registration Staffing - permanent funding of \$2.621 million for salaries, benefits, and other personnel-related costs.
 - With the addition of 30 new examination staff funded between the fiscal 2018 and fiscal 2019 program increases, changes in training programs, and input from Smithsonian experts, the Copyright Office has eliminated the backlog of pending registration claims, reduced registration processing times by more than 40 percent, and completely resolved all older claims pending since fiscal 2017.
- Public Records and Recordation - temporary funding of \$1.1 million for contractual services to reduce the backlog that will non-recur in fiscal 2021.
 - Engaged the Smithsonian Institute to evaluate the existing manual recordation processes and make recommendations for reducing the recordation backlog ahead of recordation modernization.
 - Secured contract paralegal support to assist public records staff in accelerating the review and input of recordation submissions.
- Warehouse Move Preparation - temporary funding of \$1.328 million, \$325,000 of which non-recurred in fiscal 2020 and the remainder of \$1.003 million

will continue in fiscal 2020 to perform inventory work, transfer records to the new warehouse, and to implement a new inventory management system. These funds will non-recur in 2021.

- In preparation for the move to its new Cabin Branch storage facility, the Office used its fiscal 2019 programmatic increase for contract support, completing the inventory of all deposit copies storage boxes located at the Landover facility, and completing the permanently withdrawal and inventory of 6,000 boxes from the National Archives and Records Administration facility.

There were no requested programmatic increases for fiscal 2020.

PROGRAM OVERVIEW

The USCO is responsible for administering the nation's copyright laws, which include important functions such as:

- Examining and registering copyright claims in creative works of authorship such as books, music, movies, sound recordings, software, and photographs;
- Recording assignments, security interests, and other documents pertaining to copyright status and ownership;
- Creating, maintaining, and publishing authoritative records of copyright data.
- Administering the legal deposit of certain published works into collections of the Library of Congress.

Together the Office's registration and recordation systems constitute the world's largest compilation of copyrighted works and copyright ownership information, encompassing an unparalleled record of American cultural heritage. In addition, Congress has charged the Copyright Office to provide important law and policy services, including:

- Advising Congress on domestic and international copyright issues;
- Providing assistance and copyright information on domestic and international copyright matters to other federal agencies and the courts;
- Participating in U.S. delegations in meetings with foreign governments and in intergovernmental meetings; and
- Conducting studies and programs regarding copyright, including educational programs conducted cooperatively with international intergovernmental organizations and foreign intellectual property offices.

Approximately half of the Copyright Office's annual budget comes from fees collected from copyright registration and related public services. The Office sets fees in accordance with its fee authority under Title 17, taking into account both the voluntary nature of its published services and the objectives of the overall copyright system. The remainder of the budget comes from an annual appropriation; appropriated dollars ensure the availability of the public database of copyright information that is important to new and established businesses and facilitates ongoing transactions in the global marketplace.

Fiscal 2019 Accomplishments

In fiscal 2019, with the budget of \$85.823 million, USCO accomplished the following.

- In fiscal 2019, the Copyright Office registered 547,837 copyright claims; transferred to or facilitated online access of 727,427 works to the Library, recorded an estimated 11,221 documents affecting tens of thousands of titles, and responded to approximately 187,000 in-person, telephone, and email requests for information.
- The Office completed a comprehensive study of its fee structure, and sought public comment on proposed changes. The resulting Proposed Schedule and Analysis of Copyright Fees was delivered to Congress on October 16, 2019. The Office will move forward with a rule putting the new fees into effect in spring 2020, unless Congress passes a law to the contrary.
- In October 2018, Congress enacted the Orrin G. Hatch-Bob Goodlatte Music Modernization Act (MMA), and the Office immediately began work to undertake a number of regulatory initiatives required by statute. The Office has completed all regulatory actions needed to implement Title II of the MMA which, among other things, extends remedies for copyright infringement to owners of sound recordings fixed before February 15, 1972. The Office also began promulgating regulations regarding implementation of Title I, including designating the mechanical licensing coordinator and digital licensee coordinator in July 2019, updating existing regulations, and issuing a notification of inquiry for additional regulatory activities. The Office has established a dedicated webpage to MMA developments and educational information.
- The Office worked with the Department of Justice to provide legal analysis and recommendations in five copyright cases before the U.S. Supreme Court, two cases before the federal courts of appeals, and several cases before district courts.

- The Office has issued a number of proposed rulemakings and a dozen final rules, addressing a wide range of matters from, for example, how to improve registration practices in the digital age to proposing new group registration options and adjusting existing options for certain categories of works.
- The Office completed the seventh triennial rulemaking under section 1201 of the Copyright Act, providing for the establishment of exemptions to the prohibition on circumvention on technical protection measures. For this cycle, the Office adopted a new streamlined process for the renewal of exemptions that was well-received among participants.
- The Office completed its study assessing the current state of U.S. laws involving moral rights for authors, and on April 23, 2019, issued its report, *Authors, Attribution, and Integrity: Examining Moral Rights in the United States*.
- The Office supported legislative efforts that resulted in the October 2018 adoption of the Marrakesh Treaty Implementation Act (MTIA) which amended the existing copyright law exception for the blind or other people with disabilities and added a new section to the law to address cross-border issues. This law paved the way for the United States to join that treaty, effective May 8, 2019; the Office has provided an online FAQ on this development.
- The Office provided support to executive branch agencies involved in trade negotiations involving copyright law and enforcements measures within an intellectual property chapter (such as the U.S.-Mexico-Canada Trade Agreement), reviewing copyright reforms in dozens of countries, and participating in global copyright policy discussions before the World Intellectual Property Organization (WIPO).
- The Register of Copyrights testified at two oversight hearings in mid-2019 and two hearings involving copyright modernization in late 2019.

Fiscal 2020 Priority Activities

In fiscal 2020 with a budget of \$83.990 million, USCO's priorities will include the following activities.

- The Copyright Office, working with OCIO, is preparing for the limited public release of a pilot version of ECS's automated recordation module in the second quarter of fiscal 2020. The pilot will be rolled-out in phases and will include external (public) facing features and internal (staff) features. User feedback from the limited pilot will inform subsequent development.
- The Office is engaging expert consultants to assist

in the development of an integrated management schedule for the combined Copyright Office and OCIO modernization activities. The schedule, which will consolidate all milestones and dependencies, is scheduled for delivery in the third quarter of fiscal 2020.

- The Office is preparing for final transition to its new, consolidated storage facility in the third quarter of fiscal 2020. The move will consolidate all copyright deposits and other stored materials in one location, increase the accuracy of deposit inventories, and reduce turnaround times for locating and delivering materials.
- The Office will continue its domestic law and policy support for both the House and the Senate. The Subcommittee on Intellectual Property of the Senate Judiciary Committee is scheduling a year of copyright review of the Digital Millennium Copyright Act (DMCA) in 2020.
- The Office will continue activities to implement the MMA, including promulgating regulations regarding the operation of the new blanket license under section 115 and the mechanical licensing collective. The Office will also conduct a congressionally-requested policy study on best practices to reduce the incidence of unclaimed, accrued royalties and continue its digital and physical education and outreach activities, particularly for songwriters affected by the new law.
- The Office will continue to update its regulatory processes where appropriate, including regarding registration and recordation practices, the television statutory licenses, and other Office practices.
- The Office also will continue its support to the federal courts on litigation matters and to executive branch agencies on international copyright and trade matters.
- Outreach and public education activities will continue, ranging from public Copyright Matters events to

webinars to events in universities, schools, libraries, and conferences. Work to release a new Circular 92 that reflects new legislation that passed at the end of 2019 will be reflected in both the hard copy publication and online versions.

Fiscal 2021 Priority Activities

In fiscal 2021, with the budget of \$85.792 million requested, USCO's priorities include the following.

- The Copyright Office, working with OCIO, is preparing for the following ECS releases in fiscal 2021:
 - OCIO estimates a production-ready prototype will be available at the end of calendar year 2020 for the automated registration application for a digital, non-fiction, literary work. The release will invite limited public testing to obtain feedback for a development effort that will continue through September 2024.
 - OCIO also estimates that a public release of a proof-of-concept of the Copyright Office Public Record System will be available in late calendar year 2020. The system is intended to provide a highly searchable, scalable, web-based catalog that integrates registrations, recorded document records and acquisitions records.
- The Office will continue implementation efforts associated with the Orrin G. Hatch-Bob Goodlatte MMA, including regulatory activities, education and outreach activities, and delivering an MMA-related policy report to Congress regarding best practices that the mechanical licensing collective may implement by July 2021.
- Finally, the Office will continue its work to administer the Copyright Act, provide support to Congress, the courts and executive agencies, as well as continue its work on modernization initiatives.

Copyright Licensing Division

COPYRIGHT OFFICE, SALARIES AND EXPENSES

Copyright Licensing Summary By Object Class (Dollars in Thousands)

| Object Class | Fiscal 2019 | | Fiscal 2020 Enacted Budget | Fiscal 2021 | Fiscal 2020/2021 Net Change | Percent Change |
|---|-------------------|-----------------------|----------------------------------|----------------|-----------------------------------|-------------------|
| | Operating Plan | Actual Obligations | | Request Total | | |
| 00.0 Lapse Reserve | \$0 | \$0 | \$0 | \$0 | \$0 | 0.0% |
| Total, Lapse Reserve | \$0 | \$0 | \$0 | \$0 | \$0 | 0.0% |
| 11.1 Full-time permanent | \$2,224 | \$1,932 | \$2,352 | \$2,454 | \$102 | 4.3% |
| 11.3 Other than full-time permanent | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 11.5 Other personnel compensation | 29 | 58 | 29 | 31 | 1 | 4.3% |
| 12.1 Civilian personnel benefits | 707 | 616 | 707 | 813 | 105 | 14.9% |
| 13.0 Benefits for former personnel | 0 | 22 | 0 | 0 | 0 | 0.0% |
| Total, Pay | \$2,961 | \$2,627 | \$3,089 | \$3,297 | \$208 | 6.7% |
| 21.0 Travel & transportation of persons | \$8 | \$2 | \$8 | \$8 | \$0 | 2.5% |
| 22.0 Transportation of things | 1 | 0 | 1 | 1 | 0 | 2.6% |
| 23.1 Rental payments to GSA | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 23.2 Other Services | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 23.3 Communication, utilities & misc charges | 5 | 2 | 5 | 5 | 0 | 2.5% |
| 24.0 Printing & reproduction | 14 | 8 | 14 | 14 | 0 | 2.5% |
| 25.1 Advisory & associate services | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 25.2 Other services | 421 | 738 | 490 | 502 | 12 | 2.5% |
| 25.3 Other purch of goods & services from gov acc | 1,570 | 618 | 1,570 | 1,609 | 39 | 2.5% |
| 25.4 Operation & maintenance of facilities | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 25.5 Research and Development Contracts | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 25.6 Medical Care | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 25.7 Operation & maintenance of equipment | 16 | 2 | 16 | 16 | 0 | 2.5% |
| 25.8 Subsistence and Support of Persons | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 26.0 Supplies & materials | 35 | 5 | 35 | 36 | 1 | 2.5% |
| 31.0 Equipment | 725 | 7 | 725 | 743 | 18 | 2.5% |
| 41.0 Grants, subsidies & contributions | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 42.0 Insurance claims & indemnities | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 44.0 Refunds | 0 | 0 | 0 | 0 | 0 | 0.0% |
| Total, Non-Pay | \$2,794 | \$1,382 | \$2,863 | \$2,935 | \$72 | 2.5% |
| Total, Copyright Licensing | \$5,755 | \$4,009 | \$5,952 | \$6,232 | \$280 | 4.7% |

Copyright Licensing Analysis of Change

(Dollars in Thousands)

| | Fiscal 2021 Agency Request | |
|---|-------------------------------|---------|
| | Funded | |
| | FTE | Amount |
| Fiscal 2020 Enacted Budget | 23 | \$5,952 |
| Non-recurring Costs: | 0 | 0 |
| Mandatory Pay and Related Costs: | | |
| Locality-based comparability pay raise January 2021 @ 3.00% | | 69 |
| Annualization of January 2020 pay raise @ 3.52% | | 27 |
| Within-grade increases | | 13 |
| One extra day, 262 vs. 261 | | 23 |
| Fiscal 2019 - 2020 FERS pay increase | | 47 |
| Fiscal 2020 - 2021 FERS pay increase | | 29 |
| Total, Mandatory Pay and Related Costs | 0 | 209 |
| Price Level Changes | | 72 |
| Program Increases: | 0 | 0 |
| Net Increase/Decrease | 0 | \$ 280 |
| Total Budget | 23 | \$6,232 |
| Total Offsetting Collections | 0 | (6,232) |
| Total Appropriation | 23 | \$0 |

Copyright Licensing Division

COPYRIGHT OFFICE, SALARIES AND EXPENSES

FISCAL 2021 BUDGET REQUEST

The Library is requesting a total of **\$6.232 million** in offsetting collection authority for the Copyright Licensing division in fiscal 2021, an increase of \$280,000, or 4.7 percent, over fiscal 2020. This increase supports mandatory pay related and price level increases.

Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2019 | | | | Fiscal 2020 Enacted Budget | | Fiscal 2021 | | Fiscal 2020/2021 Net Change | | Percent Change |
|-------------------|----------------|----------|--------------------|----------|----------------------------|----------|---------------|----------|-----------------------------|-------|----------------|
| | Operating Plan | | Actual Obligations | | | | Request Total | | | | |
| | Funded FTE | \$ | FTE Usage | \$ | Funded FTE | \$ | Funded FTE | \$ | Funded FTE | \$ | |
| COP_Licensing | 23 | \$ 5,755 | 20 | \$ 4,009 | 23 | \$ 5,952 | 23 | \$ 6,232 | 0 | \$280 | 4.7% |
| Offsetting Coll. | | (5,755) | | (4,009) | | (5,952) | | (6,232) | | (280) | 4.7% |
| COP_Licensing | 23 | \$ - | 20 | \$ - | 23 | \$ - | 23 | \$ - | 0 | \$0 | 0.0% |

FUNDING OVERVIEW

The U.S. Copyright Office (USCO), through its licensing program, assists in the administration of certain statutory license provisions of the Copyright Act (Title 17 U.S.C.). The program collects royalty fee payments and maintains public records filed by cable operators for retransmitting television and radio broadcasts (section 111), satellite carriers for retransmitting television broadcasts (section 119), and importers or manufacturers that distribute digital audio recording technology (DART) products (section 1003). The program funds its operating costs from the filing fees and a portion of the royalty fees it collects from license users. The remaining royalty fees are fiduciary funds and the program invests and manages them on behalf of copyright owners until the Copyright Royalty Board determines how they should be disbursed. In fiscal 2020, the licensing program had a base budget of \$5.952 million/23 FTE (Pay - \$3.089 million/ Non-Pay - \$2.863 million). Licensing operations are supported fully by offsetting collection authority. There were no requested programmatic increases in fiscal 2019 or 2020.

PROGRAM OVERVIEW

The licensing program is responsible for collecting and investing royalty fees for later distribution to copyright owners, determining amounts available for distribution by the Copyright Royalty Board, examining statements filed by license users to determine that they meet statutory and USCO regulatory requirements, providing information to various constituencies as part of its public affairs activities, maintaining public records, and performing reference searches for the public and members of Congress.

Fiscal 2019 Accomplishments

In fiscal 2019, with a budget of \$5.755 million, the licensing program accomplished the following.

Core Services

- Collected over \$242 million in royalty payments and licensing filing fees from cable systems, satellite carriers, and importers and manufacturers of DART.
- Managed and invested copyright royalty fees exceeding \$1.4 billion (as of September 30, 2019) as a fiduciary for the copyright owners.
- Made distributions involving seven funds and totaling over \$130 million to copyright owners during the year.
- Achieved an unmodified (clean) opinion on its fiduciary financial statements for fiscal 2018 from an independent auditor.
- Examined thousands of statutory license users' Statements of Account (SOA).

Special Initiatives

- Entered into an agreement with a contractor to accelerate the digitization of licensing program records for easier public access.
- Reviewed nearly 400,000 digitized statements of account for completeness and accuracy. This segment of the digitization project will continue through fiscal year 2020.
- Executed a project to upgrade the aging examining and processing database.
- Entered into an agreement with a contractor to explore possibilities for improving its royalty investment and accounting processes.

Fiscal 2020 Priority Activities

In fiscal 2020, with a budget of \$5.952 million, the Licensing Division's priorities include the following.

Core Services

- Continue to work with the Library of Congress's Financial Services Directorate (FSD) and its Office of the Inspector General (OIG) to facilitate annual audits and achieve unmodified (clean) opinions on the fiduciary financial statements, thereby demonstrating good stewardship of funds managed on behalf of copyright owners.

Special Initiatives

- Use the contractor recommendations for royalty investment and accounting improvements to refine the modernization plans as part of the overall USCO modernization plan.
- Continue to work to transition to mandatory Pay.gov for all SOA filing and royalty fee payments.
- Continue the digitization of SOAs.

Fiscal 2021 Priority Activities

In fiscal 2021, with the budget of \$6.232 million requested, the licensing program will continue to evaluate all licensing applications and business processes and will implement and refine royalty management improvements.

Copyright Royalty Judges

COPYRIGHT OFFICE, SALARIES AND EXPENSES

Copyright Royalty Judges Summary By Object Class

(Dollars in Thousands)

| Object Class | Fiscal 2019 | | Fiscal 2020 Enacted Budget | Fiscal 2021 | Fiscal 2020/2021 Net Change | Percent Change |
|---|-------------------|-----------------------|----------------------------------|----------------|-----------------------------------|-------------------|
| | Operating Plan | Actual Obligations | | Request Total | | |
| 00.0 Lapse Reserve | \$0 | \$0 | \$0 | \$0 | \$0 | 0.0% |
| Total, Lapse Reserve | \$0 | \$0 | \$0 | \$0 | \$0 | 0.0% |
| 11.1 Full-time permanent | \$911 | \$866 | \$963 | \$1,291 | \$328 | 34.1% |
| 11.3 Other than full-time permanent | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 11.5 Other personnel compensation | 7 | 6 | 7 | 8 | 0 | 4.3% |
| 12.1 Civilian personnel benefits | 288 | 266 | 288 | 438 | 150 | 52.1% |
| 13.0 Benefits for former personnel | 0 | 0 | 0 | 0 | 0 | 0.0% |
| Total, Pay | \$1,206 | \$1,138 | \$1,258 | \$1,737 | \$478 | 38.0% |
| 21.0 Travel & transportation of persons | \$2 | \$3 | \$2 | \$6 | \$4 | 181.6% |
| 22.0 Transportation of things | 0 | 0 | 0 | 0 | 0 | 2.5% |
| 23.1 Rental payments to GSA | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 23.2 Other Services | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 23.3 Communication, utilities & misc charges | 2 | 2 | 2 | 8 | 6 | 253.8% |
| 24.0 Printing & reproduction | 75 | 174 | 75 | 277 | 202 | 269.0% |
| 25.1 Advisory & associate services | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 25.2 Other services | 268 | 150 | 281 | 295 | 14 | 4.9% |
| 25.3 Other purch of goods & services from gov acc | 61 | 76 | 61 | 63 | 2 | 3.1% |
| 25.4 Operation & maintenance of facilities | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 25.5 Research and Development Contracts | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 25.6 Medical Care | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 25.7 Operation & maintenance of equipment | 202 | 168 | 206 | 464 | 258 | 125.4% |
| 25.8 Subsistence and Support of Persons | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 26.0 Supplies & materials | 8 | 2 | 8 | 10 | 2 | 29.1% |
| 31.0 Equipment | 5 | 0 | 5 | 8 | 3 | 61.3% |
| 41.0 Grants, subsidies & contributions | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 42.0 Insurance claims & indemnities | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 44.0 Refunds | 0 | 0 | 0 | 0 | 0 | 0.0% |
| Total, Non-Pay | \$623 | \$573 | \$640 | \$1,130 | \$491 | 76.7% |
| Total, Copyright Royalty Judges | \$1,829 | \$1,711 | \$1,898 | \$2,867 | \$969 | 51.1% |

Copyright Royalty Judges Analysis of Change

(Dollars in Thousands)

| | Fiscal 2021 Agency Request | |
|---|-------------------------------|----------------|
| | Funded FTE | Amount |
| Fiscal 2020 Enacted Budget | 6 | \$1,898 |
| Non-recurring Costs: | 0 | 0 |
| Mandatory Pay and Related Costs: | | |
| Locality-based comparability pay raise January 2021 @ 3.00% | | 28 |
| Annualization of January 2020 pay raise @ 3.52% | | 11 |
| Within-grade increases | | 5 |
| One extra day, 262 vs. 261 | | 9 |
| Fiscal 2019 - 2020 FERS pay increase | | 19 |
| Fiscal 2020 - 2021 FERS pay increase | | 12 |
| Total, Mandatory Pay and Related Costs | 0 | 85 |
| Price Level Changes | | 19 |
| Program Increases: | | |
| CRJ Staffing | 3 | 865 |
| Total, Program Increases | 3 | 865 |
| Net Increase/Decrease | 3 | \$ 969 |
| Total Budget | 9 | \$2,867 |
| Total Offsetting Collections | 0 | (546) |
| Total Appropriation | 9 | \$2,321 |

Copyright Royalty Judges

COPYRIGHT OFFICE, SALARIES AND EXPENSES

FISCAL 2021 BUDGET REQUEST

The Library is requesting a total of **\$2.867 million** for the Copyright Royalty Judges in fiscal 2021, an increase of \$969,000, or 51.1 percent, over fiscal 2020, offset by \$546,000 in offsetting collection authority, for a net appropriation of \$2.321 million. This increase represents \$104,000 in mandatory pay related and price level increases, and \$865,000 and 3 FTE in programmatic increases for additional staffing.

Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2019 | | | | Fiscal 2020 Enacted Budget | | Fiscal 2021 | | Fiscal 2020/2021 Net Change | | Percent Change |
|-------------------|----------------|----------|--------------------|----------|----------------------------|----------|---------------|----------|-----------------------------|-------|----------------|
| | Operating Plan | | Actual Obligations | | | | Request Total | | | | |
| | Funded FTE | \$ | FTE Usage | \$ | Funded FTE | \$ | Funded FTE | \$ | Funded FTE | \$ | |
| COP_CRJ | 6 | \$ 1,829 | 5 | \$ 1,711 | 6 | \$ 1,898 | 9 | \$ 2,867 | 3 | \$969 | 51.1% |
| Offsetting Coll. | | (517) | | (473) | | (530) | | (546) | | (16) | 3.0% |
| COP_CRJ | 6 | \$ 1,312 | 5 | \$ 1,238 | 6 | \$ 1,368 | 9 | \$ 2,321 | 3 | \$953 | 69.7% |

FUNDING OVERVIEW

In fiscal 2020, the Copyright Royalty Judges (CRJ) program has a budget of \$1.898 million / 6 FTE (Pay - \$1.258 M/ Non-Pay - \$0.640 M) to carry out its mission under the Copyright Act. Offsetting collections totaling \$530,000 credit this appropriation, providing CRJ a net appropriation of \$1.368 million. There were no requested programmatic increases in fiscal 2019 or 2020.

PROGRAM OVERVIEW

Congress established the CRJ program in chapter 8 of the Copyright Act to:

- Determine royalty rates and terms for statutory licenses that authorize licensees to transmit copyrighted sound recordings via cable, satellite, or over the Internet.
- Adjudicate proceedings to determine the appropriate allocation among copyright owners of statutory license royalties deposited with the U.S. Copyright Office.
- Facilitate the Copyright Office's administration of statutory licenses for the use of copyrighted works.
- Determine the amount and terms of an administrative assessment on digital music services to fund the collective established under the Music Modernization Act (MMA) to collect and distribute royalties for the reproduction and distribution of copyrighted musical works.

Fiscal 2019 Accomplishments

In fiscal 2019, with a budget of \$1.829 million, the CRJ program accomplished the following:

- Approved distribution of approximately \$131 million to copyright owners from nine royalty funds.
- Concluded five distribution proceedings and five rate-setting proceedings.
- Published proposed and final rules governing proceedings to determine the administrative assessment to fund the Mechanical Licensing Collective created under the Music Modernization Act.
- Commenced four distribution proceedings, two rate-setting proceedings, and one proceeding to determine the administrative assessment to fund the Mechanical Licensing Collective.
- Published five notices announcing receipt of notices of intent to audit, three notices requesting comments on partial distribution motions, and three notices announcing cost of living adjustments to established royalty rates.
- Awarded contracts for multiple enhancements to their electronic filing and case-management system (eCRB) and, under a separate contract, ingested into eCRB years of legacy records relating to royalty proceedings, thereby making the records readily available to the public.

Fiscal 2020 Priority Activities

In fiscal 2020, with a budget of \$1.898 million, the CRJ program's priorities include the following.

- Conduct proceedings to determine rates and terms for digital transmission of sound recordings, and making of ephemeral recordings, by eligible non-subscription services and by new subscription services.
- Conclude proceedings to determine the administrative assessment to fund the Mechanical Licensing Collective established under the Music Modernization Act.
- Commence proceedings to adjust royalty rates for secondary transmissions of broadcast programming by cable systems.
- Conduct proceedings to determine the appropriate allocation of royalties held by the Copyright Office in respect of secondary transmissions of broadcast programming by cable systems and satellite providers in 2014 through 2017.
- Conclude the proceeding to determine the appropriate allocation of royalties held by the Copyright Office in respect of secondary transmissions of broadcast programming by satellite providers in 2010-2013.
- Conclude several proceedings to determine distribution of Audio Home Recording Act royalties held by the Copyright Office from claim years 2007 through 2015.
- Continue to facilitate the prompt and efficient distribution of royalties held by the Copyright Office by authorizing partial distributions of funds, where appropriate.
- Continue ongoing administration of statutory licenses by publishing notices of intent to audit and cost of living adjustments to established royalty rates.
- Conclude a rulemaking to establish new rules governing royalty distribution proceedings.
- Conclude a rulemaking establishing standards of conduct for participants in proceedings before the CRJs.
- Conclude a rulemaking to update reporting require-

ments for webcasters.

- Deploy enhancements to eCRB to improve the user experience and improve efficiency of the CRJ program.
- Continue the digitization of legacy records and ingestion of those records into eCRB.

Fiscal 2021 Priority Activities

In fiscal 2021, with a budget of \$2.867 million requested, the CRJ program's priorities include the following.

- Increase staff capacity by three to benefit public and support the administration of new responsibilities under the MMA.
- Conclude proceedings to determine rates and terms for digital transmission of sound recordings, and making of ephemeral recordings, by non-subscription services and by new subscription services.
- Commence proceedings to determine rates and terms for making and distributing reproductions of musical works and for the use of certain works in connection with noncommercial broadcasting.
- Conclude proceedings to determine the appropriate allocation of royalties held by the Copyright Office in respect of secondary transmissions of broadcast programming by cable systems and satellite providers in 2014 through 2017.
- Continue to facilitate the prompt and efficient distribution of royalties held by the Copyright Office by authorizing partial distributions of funds, where appropriate.
- Commence a rulemaking to update and streamline procedural rules for the CRJ program.
- Continue ongoing administration of statutory licenses by publishing notices of intent to audit and cost of living adjustments to established royalty rates.
- Commence the next phase of digitization of legacy records and ingestion into eCRB.
- Commence the next round of enhancements to eCRB based on user feedback.
- Modernize facilities for conducting live hearings.

CONGRESSIONAL RESEARCH SERVICE, SALARIES AND EXPENSES

Congressional Research Service, Salaries and Expenses Summary By Object Class (Dollars in Thousands)

| Object Class | Fiscal 2019 | | Fiscal 2020 Enacted Budget | Fiscal 2021 | Fiscal 2020/2021 Net Change | Percent Change |
|---|-------------------|-----------------------|----------------------------------|------------------|-----------------------------------|-------------------|
| | Operating Plan | Actual Obligations | | Request Total | | |
| 00.0 Lapse Reserve | \$0 | \$0 | \$0 | \$0 | \$0 | 0.0% |
| Total, Lapse Reserve | \$0 | \$0 | \$0 | \$0 | \$0 | 0.0% |
| 11.1 Full-time permanent | \$73,774 | \$72,100 | \$77,348 | \$81,783 | \$4,436 | 5.7% |
| 11.3 Other than full-time permanent | 1,289 | 1,205 | 1,289 | 1,340 | 51 | 3.9% |
| 11.5 Other personnel compensation | 817 | 649 | 817 | 849 | 32 | 3.9% |
| 11.8 Special personal services payment | 85 | 0 | 85 | 88 | 3 | 3.1% |
| 12.1 Civilian personnel benefits | 23,234 | 22,514 | 23,234 | 27,238 | 4,004 | 17.2% |
| 13.0 Benefits for former personnel | 30 | 30 | 30 | 31 | 1 | 3.1% |
| Total, Pay | \$99,229 | \$96,497 | \$102,803 | \$111,330 | \$8,526 | 8.3% |
| 21.0 Travel & transportation of persons | \$234 | \$214 | \$234 | \$240 | \$6 | 2.5% |
| 22.0 Transportation of things | 0 | 0 | 0 | 0 | 0 | 2.7% |
| 23.1 Rental payments to GSA | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 23.3 Communication, utilities & misc charges | 600 | 552 | 600 | 615 | 15 | 2.5% |
| 24.0 Printing & reproduction | 28 | 28 | 28 | 29 | 1 | 2.5% |
| 25.1 Advisory & associate services | 6,536 | 8,236 | 6,536 | 6,700 | 163 | 2.5% |
| 25.2 Other services | 2,067 | 2,108 | 2,067 | 2,143 | 76 | 3.7% |
| 25.3 Other purch of goods & services from gov acc | 7,202 | 7,357 | 104 | 107 | 3 | 2.5% |
| 25.4 Operation & maintenance of facilities | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 25.5 Research and Development Contracts | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 25.7 Operation & maintenance of equipment | 1,795 | 2,031 | 1,795 | 1,867 | 73 | 4.0% |
| 25.8 Subsistence and Support of Persons | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 26.0 Supplies & materials | 4,855 | 4,777 | 4,855 | 4,976 | 121 | 2.5% |
| 31.0 Equipment | 3,142 | 3,774 | 1,473 | 1,510 | 37 | 2.5% |
| Total, Non-Pay | \$26,459 | \$29,077 | \$17,692 | \$18,186 | \$495 | 2.8% |
| Total, CRS, S&E | \$125,688 | \$125,574 | \$120,495 | \$129,516 | \$9,021 | 7.5% |

Congressional Research Service
Analysis of Change
(Dollars in Thousands)

| | Fiscal 2021 Agency Request | |
|---|---------------------------------------|------------------|
| | Funded FTE | Amount |
| Fiscal 2020 Enacted Budget | 621 | \$120,495 |
| Non-recurring Costs: | 0 | 0 |
| Mandatory Pay and Related Costs: | | |
| Locality-based comparability pay raise January 2021 @ 3.00% | | 2,300 |
| Annualization of January 2020 pay raise @ 3.52% | | 899 |
| Within-grade increases | | 411 |
| One extra day, 262 vs. 261 | | 407 |
| Fiscal 2019 - 2020 FERS pay increase | | 1,612 |
| Fiscal 2020 - 2021 FERS pay increase | | 988 |
| Total, Mandatory Pay and Related Costs | 0 | 6,617 |
| Price Level Changes | | 471 |
| Program Increases: | | |
| Science and Technology Research Capacity | 12 | 1,933 |
| Total, Program Increases | 12 | 1,933 |
| Net Increase/Decrease | 12 | 9,021 |
| Total Budget | 633 | \$129,516 |
| Total Offsetting Collections | 0 | 0 |
| Total Appropriation | 633 | \$129,516 |

Fiscal 2021 Program Changes: \$1.933 million

Science & Technology Research Capacity: \$1.933 million/12 FTE

The CRS is committed to continuing its long tradition of providing the highest quality research, analysis, information and confidential consultation to support Congress's legislative, representational and oversight duties. This unique responsibility requires a robust roster of qualified experts who excel at providing nonpartisan, objective, authoritative, and confidential support. In the conference report accompanying the Energy and Water, Legislative Branch, and Military Construction and Veterans Affairs Appropriations Act, 2019 (P.L. 115-244), the Congress clearly articulated the need for robust science and technology legislative policy analysis and research, stating, "The Committees have heard testimony on, and received dozens of requests advocating for restoring funding to the Office of Technology Assessment, and more generally on how Congress equips itself with the deep technical advice necessary to understand and tackle the growing number of science and technology policy challenges facing our country."

As directed in the conference report accompanying H.R. 5895, House Report 115-929, the Congressional Research Service (CRS) contracted with the National Academy of Public Administration (NAPA) to conduct a review of the current available resources for science and technology assessments in the Legislative Branch. Moreover, the study tasked NAPA with making recommendations for ways to enhance science and technology support to the Congress. The final report identified gaps in various services currently available, as well the need for additional support. NAPA recommended, in part, that the Congress enhance existing congressional support agencies to expand and enhance science and technology support to the Congress. NAPA recommended that CRS continue to expand and enhance research capacity for its extensive consultative services on science and technology policy-related issues.

As noted in the NAPA report, the Congress requires CRS to increase the depth and breadth of science and technology research and legislative policy analysis. The rapid pace of science and technology innovation and the adoption and integration of those technologies into products and services could potentially lead to a wide range of economic and societal impacts. As a result, the congressional need for timely and complex analysis of policy issues related to these technologies, the role of the federal government and the effects of federal policies across all sectors will continue to grow. In some instances, comprehensive analysis will require an interdisciplinary approach, using complex modeling methodology.

As an example, the Congress recently expressed interest in

transforming U.S. energy generation technology, with an increased focus on renewables, offshore generation and the export of hydrocarbon fuels. Evolving energy and resource priorities require specialized expertise to assess the industrial and ecosystem impacts of policy options. The changing climate is another example of a multifaceted science and technology issue that requires a multidisciplinary approach to evaluate both governmental and private sector efforts to identify, plan for, address and ameliorate subsequent impacts.

Cybersecurity, federal government information policy and information technology management also raise critical policy issues for a 21st century Congress. For example, the security and protection of large amounts of data held by both private sector companies and the federal government is dependent on effective information technology and data management policy. Comprehensive analysis of policy options will facilitate the efficient management of both private sector and government technology and information assets.

The Library is requesting \$1.933 million to enhance the depth and breadth of the Congressional Research Service's (CRS) research capacity by adding 12 FTE in subject areas related to science and technology policy to meet the demonstrated needs of the Congress. This additional research capacity will provide more robust and timely support across a spectrum of current and emerging legislative issues related to science and technology such as: cybersecurity, natural resources, renewable fuels, climate change, and federal uses and oversight of science and technology.

The science and technology research and legislative policy analysis positions requested within CRS are as follows:

1. Analyst in Financial Technology and Cybersecurity (one - GS-13)

Congress continues to express interest in innovations in financial technology. Financial technology has the potential to alter the financial services marketplace by enabling the entry of new companies and an array of products and services that do not align with the current regulatory framework. Financial services companies continue to gather significant amounts of consumer data, which increasingly raises cybersecurity and consumer protection concerns. This analyst will focus on financial technology and financial cybersecurity as it relates to the technology undergirding developments in these areas and the uncertain regulatory landscape.

2. Analyst in American National Government (Government Information Policy) (one - GS-13)

This position will focus on policy aspects of the Privacy

Act and other federal privacy regulations; the Freedom of Information Act (FOIA); information sharing; records management; and federal government collection, use and dissemination of information. This position will also address forward-looking issues such as the federal government's increasing reliance on large data stores to inform decision making and policies, such as OMB's growing emphasis on evidence-based policymaking.

3. Analyst, Data Innovation and Governance Policy (one - GS-13)

This position will ensure that the Service has the capability to provide analysis of the complex issues associated with big data, including discoverability, accessibility, ownership, accuracy, and security. This includes the role of the federal government and the effects of federal policies across all sectors.

4. Analyst in Ocean Resources (one - GS-13)

This position will ensure that the Service can provide analysis of changing uses and competing priorities in the energy and environment space associated with the oceans and their use. This includes the capacity to assess the impacts on the ecosystem from increased ocean temperature and acidity, living resource depletion and increased energy generation.

5. Analyst in Resilience and Risk Reduction (one - GS-13)

This position will ensure that the Service has the capacity to provide analysis of cross-cutting resilience and risk mitigation policies associated with the impacts of natural disasters and a changing climate on communities and infrastructure. This includes policies associated with the impacts of drought, wildfire, coastal and inland flooding, and earthquakes.

6. Analyst in Renewable Technologies (one - GS-13)

This position will ensure that the Service can assess emerging trends and capabilities associated with adoption and deployment of renewable energy technologies and infrastructure, advances in material science and competing arguments regarding efficacy and efficiency of renewables.

7. Analyst in Environmental Modeling (one - GS-13)

This position will ensure that the Service has the capacity to provide analysis of scientific models that seek to explain short and long-term effects of greenhouse gasses on the atmosphere and climate. The ability to understand and assess fundamental effects and assumptions in these models, the effects of various policy proposals, and the

feasibility of domestic and international efforts requires scientific expertise that bridges the scientific and policy space.

8. Analyst in Climate Science (one - GS-13)

This position will ensure that the Service can provide analysis of the multi-disciplinary aspects of climate change policy and a whole-of-government perspective on climate change mitigation, impacts and adaptation policy issues. The federal, state and local concerns about the impacts of a changing climate will continue to focus policy discussions on governmental and private sector efforts to identify, plan for, address and ameliorate arising impacts.

9. Analyst in Technology and Innovation Policy (one - GS-13)

This position will ensure that the Service has the capability to evaluate technology trends in key sectors that drive innovation and technological change, the impact of these technologies on different aspects of the economy (e.g., precision agriculture, the Internet of things, hypersonic air travel) and the effects of changes in federal policies and programs on these sectors.

10. Analyst in Science, Technology and Society (one - GS-13)

This position will ensure that the Service has the capability to provide analysis of the social dimensions of emergent technology and the policy implications associated with the wide-spread adoption of these technologies. This includes topics such as the ethics of big data and algorithms and the impacts of automation and artificial intelligence on the workforce.

11. Analyst in Industrial Innovation (one - GS-13)

This position will ensure that the Service has the capability to analyze the impact of digitization on businesses and industries, including changes over a wide-range of issues such as advanced manufacturing, expanded access to cloud computing and collection and storage of user data, human/machine interface concerns, and workforce development and retraining.

12. Analyst in Industrial Technology (one - GS-13)

This position will ensure that the Service has the capability to analyze the increasing convergence of industrial technologies with various aspects of life. Examples of policy issues surrounding industrial technologies include questions regarding increased automation, such as with autonomous vehicles, smart manufacturing and drone deployment.

Congressional Research Service

CONGRESSIONAL RESEARCH SERVICE, SALARIES AND EXPENSES

FISCAL 2021 BUDGET REQUEST

The Library is requesting a total of **\$129.516 million** for the Congressional Research Service in fiscal 2021, an increase of \$9.021 million, or 7.5 percent, change from fiscal 2020. This increase includes \$7.088 million for mandatory pay related and price level increases and a programmatic increase of \$1.933 million and 12 FTE for Science and Technology Research Capacity.

Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2019 | | | | Fiscal 2020 Enacted Budget | | Fiscal 2021 | | Fiscal 2020/2021 Net Change | | Percent Change |
|-------------------|----------------|------------|--------------------|------------|----------------------------|------------|---------------|------------|-----------------------------|---------|----------------|
| | Operating Plan | | Actual Obligations | | | | Request Total | | | | |
| | Funded FTE | \$ | FTE Usage | \$ | Funded FTE | \$ | Funded FTE | \$ | Funded FTE | \$ | |
| CRS | 621 | \$ 125,688 | 604 | \$ 125,574 | 621 | \$ 120,495 | 633 | \$ 129,516 | 12 | \$9,021 | 7.5% |

FUNDING OVERVIEW

In fiscal 2020, the Congressional Research Service (CRS) has a budget of \$120.495 million/621 FTE (Pay - \$102.803 M/ Non-Pay - \$17.692 M) which supports capacity to meet the legislative support and research needs of the Congress. Of this funding, CRS did not request a programmatic increase in fiscal 2020. In the two prior fiscal years, CRS received \$3.496 million/28 FTE to support staffing and \$4 million (non-recurring in fiscal 2023) to modernize IT systems.

Funded Programmatic Increases

Strengthening Support in Areas of High Congressional Demand

Fiscal 2018

- \$753,000 for eight FTE (temporary NTE 3-5 years);
- Targeted research support (two FTE each) for: Defense Policy and Budget, Health Policy, Education Policy, Budget and Appropriation;
- Current status: All positions were filled. One position has been vacated and is currently being reposted.

Integrated Research and Information System (IRIS)

Fiscal 2018

- \$4 million added (non-recurring in fiscal 2023) for IT modernization in CRS;
- A joint project – CRS is the business owner for the IT systems, LOC Office of Chief Information Officer (OCIO) provides technical support for modernization efforts;
- In fiscal 2018, contract was awarded (base +option year) to modernize the CRS authoring and publishing platform;

- At the end of the first year, the contractor delivered a pilot product for testing by 50 CRS and OCIO staff;
- The option year was exercised in fiscal 2019. Contractor is implementing improvements from pilot product test results, towards delivery of a viable product;
- After acceptance of viable product, training and deployment will occur to bring the authoring and publishing tool online by the summer of 2020;
- Fiscal 2020 activities include contract awards and kickoff on other modernization projects: Text Analysis Protocol (TAP), Mercury 2.0 client relationship and workflow management system, data metrics, and taxonomy tools.

Strengthening CRS Capacity

Fiscal 2019

- \$2.743 million for 20 FTE (GS-13) to support direct research and policy analysis for Congress.
- All positions were filled by the end of fiscal 2019.

PROGRAM OVERVIEW

The Congressional Research Service provides the Congress with timely, objective, authoritative, and confidential research and analysis to support its legislative, oversight, and representational functions. Members of the House and Senate, personal office staff, and committee staff are the beneficiaries of CRS' efforts. Acting as a pooled staff resource, CRS experts provide: tailored confidential memoranda, personalized briefings and consultations, expert testimony, seminars, and written products on a variety of legal and policy issues.

Congress relies on CRS to marshal interdisciplinary resources,

apply critical thinking, and create innovative frameworks to help legislators evaluate and develop sound legislative options and make decisions that will guide and shape present and future national policy.

Fiscal 2019 Accomplishments

In fiscal 2019, with the budget of \$125.688 million, CRS' priorities included the following.

- The Service supported Congress during all stages of the legislative process and across a range of public policy issues. This support included:
 - examining the nature and extent of challenges facing Congress;
 - identifying and assessing policy options;
 - assisting with hearings on policy proposals and implementations;
 - supporting congressional review of nominations and treaties;
 - products, briefings and consultations to address issues on the legislative agenda.
- Responded to over 71,000 requests for legislative policy analysis and information from Members, congressional staff, and committees, an increase of 12 percent from 2018;
- Requests included almost 6,500 in-person briefings, a 34 percent increase from 2018;
- Prepared 1100 new products and updated over 2,500 existing products;
- Conducted 275 seminars attended by over 9,200 congressional staff, attendance increasing seven percent over 2018;
- Published all 9,687 non-confidential products to the public web site;
- Provided an intensive orientation to the issues of policy, practice and procedure for 70 freshman members of the 116th Congress at the New Members Seminar;
- Educated congressional staff on the use of Congress.gov in preparation for the retirement of the Legislative Information System (LIS);
- Implemented data analytics in a variety of ways to assess product output, gauge client usage, reveal trends in policy interests and measure the capture of institutional knowledge.
- Launched an initial version of the Constitution of the United States of America: Analysis and Interpretation (CONAN) web site on Constitution Day (September 17, 2019);

- Completed the first phase of the IRIS project, producing an authoring and publishing system document prototype for testing and evaluation;
- Identified strategies to improve recruitment and retention of staff;
- Supported an inclusive work environment that values diversity;
- Implemented actions and strategies to meet the goals outlined in the CRS Fiscal 2019 – Fiscal 2023 Directional Plan. The strategic goals are:
 - Enhance service and access for all of Congress
 - Optimize resource utilization
- Launched the CRS Research Portal, aimed at curating research materials gathered by analysts, attorneys and librarians on selected public policy issues.

Fiscal 2020 Priority Activities

In fiscal 2020, with the budget of \$120.495 million, CRS' priorities include the following.

- Providing Congress with timely, authoritative, non-partisan and objective legislative policy support;
- Implement and maintain staff programs that support recruitment, retention and continued professional development for a diverse and accomplished workforce;
- Initiate a survey instrument to measure Congress's satisfaction with CRS products and services;
- Provide additional improvements to search and other user tools in the Constitution Annotated (CONAN);
- Complete the second phase of the IRIS project to deploy a modern authoring and publishing system;
- Retire LIS from congressional use in November 2019. CRS continues to create content and congressional user support for Congress.gov.

Fiscal 2021 Priority Activities

In fiscal 2021, with the budget of \$129.516 million requested, CRS' priorities include the following.

- Continue to provide Congress with our core services including timely, objective, non-partisan and authoritative consultations and legislative policy support;
- Continue presenting informative and comprehensive seminars on current and relevant issues of congressional interest;
- At the direction of the Committee on House Administration, prepare and deliver a New Members Seminar, in January 2021;

- Apply the programmatic increase to enhance the CRS science and technology research and legislative policy analysis capacity. This will result in expanded science and technology research support, which will inform and facilitate congressional deliberations;
- In conjunction with OCIO, continue to develop and deploy new IT tools and software to modernize CRS systems and retire legacy systems;
- Maintain and develop a diverse and inclusive workforce that provides superior service to Congress and its committees.



NLS FOR THE BLIND AND PRINT DISABLED, SALARIES AND EXPENSES

NLS for the Blind and Print Disabled, Salaries and Expenses Summary By Object Class (Dollars in Thousands)

| Object Class | Fiscal 2019 | | Fiscal 2020 Enacted Budget | Fiscal 2021 | Fiscal 2020/2021 Net Change | Percent Change |
|---|-------------------|-----------------------|----------------------------------|------------------|-----------------------------------|-------------------|
| | Operating Plan | Actual Obligations | | Request Total | | |
| 00.0 Lapse Reserve | \$ 0 | \$ 0 | \$ 0 | \$ 0 | \$ 0 | 0.0% |
| Total, Lapse Reserve | \$ 0 | \$ 0 | \$ 0 | \$ 0 | \$ 0 | 0.0% |
| 11.1 Full-time permanent | \$9,914 | \$9,316 | \$10,675 | \$11,131 | \$456 | 4.3% |
| 11.3 Other than full-time permanent | 402 | 360 | 402 | 419 | 17 | 4.3% |
| 11.5 Other personnel compensation | 125 | 107 | 125 | 130 | 5 | 4.3% |
| 11.8 Special personal services payment | 0 | 0 | 0 | 0 | 0 | 0.0% |
| 12.1 Civilian personnel benefits | 3,075 | 2,961 | 3,178 | 3,668 | 490 | 15.4% |
| 13.0 Benefits for former personnel | 10 | 2 | 10 | 10 | 0 | 3.5% |
| Total, Pay | \$13,526 | \$12,746 | \$14,390 | \$15,359 | \$968 | 6.7% |
| 21.0 Travel & transportation of persons | \$ 214 | \$ 212 | \$ 214 | \$ 220 | \$6 | 2.8% |
| 22.0 Transportation of things | 60 | 25 | 60 | 62 | 2 | 2.5% |
| 23.1 Rental payments to GSA | 2,950 | 2,838 | 2,950 | 3,024 | 74 | 2.5% |
| 23.3 Communication, utilities & misc charges | 249 | 195 | 347 | 356 | 9 | 2.5% |
| 24.0 Printing & reproduction | 936 | 886 | 936 | 959 | 23 | 2.5% |
| 25.1 Advisory & associate services | 6,636 | 7,280 | 6,636 | 6,802 | 166 | 2.5% |
| 25.2 Other services | 4,383 | 4,147 | 8,309 | 8,517 | 208 | 2.5% |
| 25.3 Other purch of goods & services from gov acc | 1,486 | 1,346 | 383 | 393 | 10 | 2.5% |
| 25.4 Operation & maintenance of facilities | 8 | 21 | 8 | 8 | 0 | 2.5% |
| 25.5 Research and Development Contracts | 515 | 15 | 515 | 528 | 13 | 2.5% |
| 25.7 Operation & maintenance of equipment | 134 | 171 | 134 | 139 | 6 | 4.3% |
| 25.8 Subsistence and Support of Persons | 50 | 18 | 50 | 51 | 1 | 2.5% |
| 26.0 Supplies & materials | 277 | 323 | 277 | 283 | 7 | 2.5% |
| 31.0 Equipment | 21,359 | 22,209 | 23,354 | 23,938 | 584 | 2.5% |
| Total, Non-Pay | \$ 39,257 | \$ 39,686 | \$ 44,173 | \$ 45,280 | \$ 1,108 | 2.5% |
| Total, BBPH, S&E | \$ 52,783 | \$ 52,432 | \$ 58,563 | \$60,639 | \$ 2,076 | 3.5% |

NLS for the Blind and Print Disabled, S&E Analysis of Change

(Dollars in Thousands)

| | Fiscal 2021 | |
|---|----------------|-----------------|
| | Agency Request | |
| | FTE | Amount |
| Fiscal 2020 Enacted Budget | 115 | \$58,563 |
| Mandatory Pay and Related Costs: | | |
| Locality-based comparability pay raise January 2021 @ 3.00% | | 323 |
| Annualization of January 2020 pay raise @ 3.52% | | 126 |
| Within-grade increases | | 57 |
| One extra day, 262 vs. 261 | | 106 |
| Fiscal 2019 - 2020 FERS pay increase | | 218 |
| Fiscal 2020 - 2021 FERS pay increase | | 137 |
| Total, Mandatory Pay and Related Costs | 0 | 968 |
| Price Level Changes | | 1,108 |
| Program Increases: | | |
| Net Increase/Decrease | 0 | \$ 2,076 |
| Total Budget | 115 | \$60,639 |
| Total Offsetting Collections | 0 | 0 |
| Total Appropriation | 115 | \$60,639 |

NLS for the Blind and Print Disabled

NLS FOR THE BLIND AND PRINT DISABLED, SALARIES AND EXPENSES

FISCAL 2021 BUDGET REQUEST

The Library is requesting a total of **\$60.639 million** for the National Library Service for the Blind and Print Disabled in fiscal 2021, an increase of \$2.076 million, or 3.5 percent, over fiscal 2020. This increase represents \$2.076 million for mandatory pay related and price level increases.

Resource Summary (Dollars in Thousands)

| Appropriation/PPA | Fiscal 2019 | | | | Fiscal 2020 Enacted Budget | | Fiscal 2021 | | Fiscal 2020/2021 Net Change | | Percent Change |
|-------------------|----------------|-----------|--------------------|-----------|----------------------------|-----------|---------------|----------|-----------------------------|---------|----------------|
| | Operating Plan | | Actual Obligations | | | | Request Total | | | | |
| | Funded FTE | \$ | FTE Usage | \$ | Funded FTE | \$ | Funded FTE | \$ | Funded FTE | \$ | |
| BBPD | 113 | \$ 52,783 | 103 | \$ 52,432 | 115 | \$ 58,563 | 115 | \$60,639 | 0 | \$2,076 | 3.5% |

FUNDING OVERVIEW

In fiscal 2020, the National Library Service for the Blind and Print Disabled (NLS) has a budget of \$58.563 million/115 FTE (Pay - \$14.390 M/ Non-Pay - \$44.173 M) which supports the free reading program blind and print disabled patrons of United States citizens. Of this funding \$7.375 million/ 2 NTE was newly appropriated in fiscal 2020 to support the Braille and Audio Reading Download (BARD) Infrastructure Modernization (\$5 M/2 NTE), and Braille eReader and Talking Book Machine (\$2.375M) initiatives. The BARD Modernization initiative includes short-term funding of \$4.560 million for contractual services for agile development that will non-recur in fiscal 2023, leaving an ongoing base increase of \$440,000 for operation and maintenance expenses. The \$2.375 million for the Braille eReader initiative will non-recur in fiscal 2025 after the eReader and Talking Book Machine inventory is replenished.

Funded Programmatic Increases

Braille eReader and Digital Talking Book Machine

Fiscal 2020

- Procure 2,000-4,000 eReader devices for the eReader pilot program.
- Begin (dual) eReader pilot program by distributing eReaders to multiple NLS network libraries to study all aspects of implementation and functionality before full-scale national distribution.

Fiscal 2021

- Procure next tranche of approximately 2,000-4,000 eReader devices.
- Begin national roll-out of new eReader device.
- Finalize analysis of Digital Talking Book Machines (DTBM) needed to maintain necessary patron-based inventory.

Fiscal 2022 and out

- If DTBM inventory and usage analysis render necessary, purchase approximately 5,000 DTBMs to maintain necessary patron-based inventory.
- Continue the acquisition of eReaders with purchase of approximately 1,000-2,000 eReaders. If acquisition of DTBMs are rendered unnecessary, purchase approximately 2,000-4,000 new eReaders for distribution.

NLS BARD Modernization

Fiscal 2020

- Continue to work with OCIO to transform BARD by making it cloud-hosted (BARD 1.5). This is essential to meeting the bandwidth and functional needs of NLS' growing patron base.
- NLS and OCIO will complete BARD alpha testing Phase 1.
- NLS and OCIO will begin BARD beta testing.
- NLS establishes baseline for customer satisfaction.

Fiscal 2021

- Continue transition to fully cloud-hosted environment (BARD 1.5).
- Develop and implement appropriate security-protection mechanism.
- Implement API manager.

Fiscal 2022 and out

- Complete BARD's transition to cloud-hosted environment (BARD 2.0).
- Develop cloud-native services, including Services API.

- Migrate all services that use BARD API to managed API interfaces.

PROGRAM OVERVIEW

Originating from a congressional mandate, since 1931 the National Library Service for the Blind and Print Disabled (NLS) has been utilizing a national network now comprised of 100 cooperating libraries to provide books, magazines, musical scores, foreign language materials, locally produced materials, and texts in braille and recorded formats to blind and print disabled individuals in the United States and U.S. citizens living abroad.

In order *That All May Read* NLS is:

- Increasing availability and discoverability by:
 - Working to increase access by modifying its accepted certifying authorities.
 - Working with the Librarian of Congress and with NLS stakeholders, proposing an expanded list of professionals able to certify eligibility for a reading disability and drafting policy change language necessary to make it easier for patrons and potential patrons to sign-up for services.
- Elevating digital experiences by:
 - Enhancing digital delivery through making BARD more scalable, user-friendly, and flexible, including transitioning patrons to BARD once it has migrated to the cloud.
 - Enhancing patron self-service capabilities by enabling an intuitive access system.
 - Piloting and rolling out new braille eReaders and next-generation digital talking book devices in an effort to provide a full menu of options for its preferentially diverse patrons.
- Modernizing its operations by:
 - Implementing a NLS business modernization plan (i.e., via a new modernization office and unit-wide realignment), utilizing a request (if approved) for BARD modernization, focusing on building out various cloud infrastructures, and working to provide for the digital delivery of content via new devices.
- Continuing to understand its users better (and be a fully and proactively data-driven organization) by:
 - Fully incorporating research findings into communications and outreach initiatives to current and potential patrons.

Fiscal 2019 Accomplishments

With a budget of \$52,783 million in fiscal 2019, NLS accomplished the following.

Core Services

- Continued adding thousands of titles to core collections (braille, audio, and BARD collections), including both NLS and network-produced braille and talking book titles, and converted commercially recorded audio titles to the talking book format. Currently has over 286,000 book records and BARD now contains approximately 114,000 books and approximately 18,000 magazine issues.
- The NLS network of 100 state and local libraries circulated more than 21 million books and magazines in fiscal 2019.
 - Continued to support network library staff through training opportunities, consultant visits, and ongoing communications such as its *NLS on the Move*, *Talking Book Topics*, *Braille Book Review*, *Operations Alerts*, and distributed reference publications.
- Expanded the Duplication on Demand technology to 12 more network libraries whereby these libraries can receive content electronically, avoid stockpiling physical inventories, and fulfill individual requests from patrons more quickly with content-customized cartridges containing one or multiple audio files. This important program has now expanded to 28 collaborative partners.
- Duplication of Demand technology was adopted by the NLS overseas library service (for U.S. citizens abroad who are NLS patrons) and was integrated with another circulation system used by nearly half of NLS' network libraries.
- Continued to report to and collaborate with congressional partners in service of both NLS' statutory mandate and Congress' constitutional oversight prerogative, in particular by responding to inquiries regarding the relocation of NLS closer to the Capitol Complex to better fulfill its mission, serve its patrons, and maximize collaboration with the Library.
- Continued to modernize for the 21st century by formally updating its institutional name to better descriptively reflect its patrons and by incorporating a new logo.

Special Initiatives

- Continued to research and investigate next generation devices (i.e., smart phones and smart speakers) to prepare for respective pilot programs, continued development, and eventual device selection(s) for patron introduction.

- Completed initial comprehensive analysis of NLS' patron-based data needs (i.e., number of next-generation devices needed and quantity of data necessary per patron).
- Completed selection of eReader models to pilot as well as outreach to pilot participants.
- Completed its multiyear, multimedia advertising/outreach campaign which included digital outreach and television and radio advertising. The campaign received excellent feedback from network libraries and resulted in notable increases in requests for information about NLS service (i.e., digital ads resulted in 83,297,292 impressions, 814,125 campaign web site visits, and 39,010 requests for information. 65,321 calls were directly attributed to the television and radio outreach).
- Contracted with Gallup research to conduct primary research about NLS's current patrons as well as potential patrons regarding their use of technology and preferences for receiving information. Gallup's findings will be incorporated into NLS outreach and communications operations as well as its modernization strategies.
- Continued to seek collaborative opportunities both within the LOC and with similarly situated entities through partnerships with the Veterans Administration and events like the NLS-sponsored November concert event in the Coolidge Auditorium featuring the *José André Trio*.
- Receive the first 2,000 eReader devices for the eReader pilot program. Will distribute eReaders to multiple NLS network libraries to study all aspects of implementation and functionality before full-scale distribution.
- Via collaboration with the Office of the Chief Information Officer (OCIO), will complete phase 1 of the development and integration of its Production Information Control System (PICS-2), the IT system central to NLS content production. The new system will allow for more efficient work processes as well as better tracking and utilization of program inputs.
- Incorporate Gallup-based findings into its decision-making, risk assessments, and patron analysis as next generation devices are developed, web site and outreach efforts are redesigned to more precisely serve patrons and would-be patrons, and defines best practices to continuously gather more feedback from patrons.
- Complete pilot program for reading disabled individuals initiated at the beginning of fiscal 2019. Pilot program and data ascertained will strongly enlighten as to contextual probability of new patrons once certification of eligibility is expanded to all those with reading disabilities.

Special Initiatives

- Continue to work with OCIO to transform BARD by moving it to the cloud, restructuring its component parts, and ultimately servicing it cloud-based, micro-targeted, and fully agile to meet the bandwidth and functional needs of NLS' growing patron base.
- Continue research on its locked down smartphone pilot (including synthetic text-to-speech) as well as its smart speaker pilot (also including synthetic text-to-speech). Each will be field-tested in fiscal 2020.
- Pilot (dual) eReader devices as it moves to clarify device specifications in anticipation of a national roll-out (acquisition of initial tranches of distributed eReaders is dependent on pending 2021 congressional funding approval).
- Establish a vital NLS Modernization Office within the Deputy Director's Office that will collaborate with OCIO in the development of modernized eReader and BARD programs.
- Develop and execute a pilot to implement self-service capabilities by creating an intuitive access system allowing BARD signees to avoid having to fill out an entire online application.
- Will begin IT design of Marrakesh Treaty implementation to allow for international exchange of digital content.

Fiscal 2020 Priority Activities

With an enacted budget of \$58,563 million, NLS set out the following goals for fiscal 2020.

Core Services

- Continue adding titles to the collections, including network-produced braille and talking book titles, NLS-produced narration and transcription, and commercially recorded audio titles converted to the talking book format. NLS will not only continue to utilize award winning recording studio to ensure that human narration products are always available to NLS patrons but will also continue to emphasize the fact that "discoverability is the new accessibility" by building upon its efforts to provide full-spectrum accessibility options to patrons (i.e., tactile graphics and image descriptions) instead of mere text-only-based content.
- Continue the expansion of Duplication on Demand to network libraries with the incorporation of Duplication on Demand into more than two dozen new cooperating libraries.

Fiscal 2021 Priority Activities

With a requested budget of \$60.639 million, NLS sets out the following goals for fiscal 2021.

Core Services

- Roll-out and implement initial next generation smart-phone and smart speaker devices, both of which will utilize synthetic text-to-speech and voice-user-interface capabilities.
- Executing approved modernization efforts, will continue to roll-out between 2,000-4,000 new eReader devices.
- Executing approved modernization efforts, will continue to work with the OCIO to transform BARD so that it can serve as the primary platform for the next generation of NLS service delivery by having micro-service architecture and scalability. This is essential to NLS' future ability to serve its patrons.
- In collaboration with OCIO, will continue PICS-2 integration and implementation and Patron Information Machine Maintenance System (PIMMS) cloud migration and integration. PICS-2 is the second version of the NLS Production Information Control System, the system that automates NLS' most critical business processes (those associated with the production of talking and braille books and magazines). The PIMMS is NLS' central system for the

network-based tracking of patron and equipment information. Both modernizing efforts are vital to the future efficiency and reliability of both NLS services and to the network and patron data used to improve those services.

- Building from the insights gleaned from the fiscal 2020 reading disabilities pilot, will seek to modify (i.e., expand) the list of certifying authorities as well as the policy process for patrons to sign-up.
- Use the results of the fiscal 2020 self-service pilot to execute and implement a Service-wide roll-out of intuitive self-service capabilities for those signing up for NLS via BARD.
- Implement Marrakesh Treaty based file exchange and repository system to fully allow NLS to exchange digital material with Marrakesh-authorized authorizing entities in other nations.

Special Initiatives

- Continue to work with Congress and the Architect of the Capitol (AOC) to implement Congress' mandate to move closer to Capitol Hill in the manner and timeframe so directed.
- Initiate, implement, and complete an internal reorganization to right-size the organization and better align its resources with the mission and patrons.

REIMBURSABLE FUNDS

Reimbursable Funds Summary by Object Class (Dollars in Thousands)

| Object Class | Fiscal 2019 Actual Obligations | Fiscal 2020 | Fiscal 2021 Request | 2020/2021 Net Change | Percent Change |
|---|--------------------------------------|----------------|------------------------|----------------------------|-------------------|
| 11.1 Full-Time Permanent | \$ 1014 | \$ 444 | \$ 1386 | \$942 | 212.3% |
| 11.3 Other than Full-Time Permanent | 0 | 20 | 20 | 0 | 0.0% |
| 11.5 Other Personnel Compensation | 0 | 50 | 50 | 0 | 1.1% |
| 12.1 Civilian Personnel Benefits | 345 | 161 | 369 | 208 | 129.1% |
| Total Pay | \$ 1,359 | \$ 675 | \$ 1,826 | \$1,150 | 170.6% |
| 21.0 Travel and Transportation of Persons | 5 | 11 | 11 | 0 | 0.0% |
| 22.0 Transportation of Things | | 1 | 1 | 0 | 0.0% |
| 23.3 Communication, Utilities, & Misc Charges | 20 | 0 | 0 | 0 | 0.0% |
| 24.0 Printing and Reproduction | 7 | 4 | 4 | 0 | 0.0% |
| 25.1 Advisory and Assistance Services | 1,249 | 1659 | 2,290 | 631 | 38.0% |
| 25.2 Other Services | 470 | 618 | 728 | 110 | 17.8% |
| 25.3 Other Purch of gds & services from gov acc | 0 | 178 | 283 | 105 | 58.9% |
| 25.4 Operation and Maintenance of Facilities | 0 | 2 | 2 | 0 | 0.0% |
| 25.7 Operation and Maintenance of Equipment | 9 | 10 | 10 | 0 | 0.0% |
| 25.8 Subsistence and Support of Persons | | 1 | 1 | (0) | 0.0% |
| 26.0 Supplies and Materials | 2 | 21 | 21 | 0 | 0.0% |
| 31.0 Equipment | 112 | 719 | 724 | 5 | 0.7% |
| 44.0 Refunds | 4 | 0 | 0 | 0 | 0.0% |
| Total Non-Pay | \$1,878 | \$3,225 | \$4,074 | \$850 | 26.4% |
| Total, Obligational Authority | \$3,237 | \$3,900 | \$5,900 | \$2,000 | 51.4% |

Reimbursable Funds Analysis of Change (Dollars in Thousands)

| | Fiscal 2021 Agency Request | |
|---|-------------------------------|----------------|
| | FTE | Amount |
| Obligational Authority, Fiscal 2019 | 8 | \$3,900 |
| Program/Project/Activity Increases/Decreases | 1 | 2,000 |
| Net Increases/Decreases | 1 | 2,000 |
| Total Obligational Authority, Fiscal 2020 | 9 | \$5,900 |

Overview

Under authority of the Economy Act (31 U.S.C. 1535-1536), or other more specific authority providing for transfers of funds between agencies, the Library provides reimbursable services to other federal government agencies when the Library can provide the service in a more economical and cost-effective manner or to leverage the specific expertise or knowledge of Library staff. In each instance, the Library

and the customer enter into an interagency agreement which sets forth the scope and cost of the service. Funds are transferred from the customer agency and credited to the Library's accounts to pay for all of the direct and indirect costs. Any funds transferred to the Library in excess of the actual costs are returned to the customer-agency at the end of the performance period.

Obligational Authority

In fiscal 2021, the Library is requesting obligational authority of **\$5.9 million** for its reimbursable program. The requested increase in authority is for the Library's interagency agreements.

The Library's interagency reimbursable customers include:

- The **Congressional Budget Office** and the **Office of Compliance** – The Library provides financial management support, data warehousing, and centralized computer processing services from the Library's support organizations.
- The **Open World Leadership Center Trust Fund** – The Library provides financial management support, data warehousing, legal assistance, event planning, administrative support, and centralized computer processing services from the Library's support organizations.

- The **U.S. Bureau of Engraving and Printing** – The Library coordinates the distribution of currency readers to the visually impaired.
- The **U.S. Capitol Police**, the **Architect of the Capitol**, **MEDPAC**, and **General Accountability Office** – The Library provides financial and asset management support, data warehousing, and centralized computer processing services from the Library's support organizations.
- The **National Endowment for the Humanities**, **Institute of Museum and Library Services**; and the **National Endowment for the Arts** – The Library provides support and promotes the participation of these and other government agencies in the annual National Book Festival event spearheaded by the Library of Congress.

REVOLVING FUNDS

Revolving Funds Summary by Object Class (Dollars in Thousands)

| Object Class | Fiscal 2019 Actual Obligations | Fiscal 2020 Base | Fiscal 2021 Request | Fiscal 2020/2021 Net Change | Percent Change |
|---|--------------------------------------|---------------------|------------------------|--------------------------------|-------------------|
| 11.1 Full-Time Permanent | \$ 4,938 | \$ 9,655 | \$ 9,887 | \$ 232 | 2.4% |
| 11.3 Other than Full-Time Permanent | 539 | 1,121 | 1,186 | 65 | 5.8% |
| 11.5 Other Personnel Compensation | 386 | 688 | 729 | 40 | 5.9% |
| 12.1 Civilian Personnel Benefits | 1,720 | 3,300 | 3,387 | 88 | 2.7% |
| Total Pay | \$ 7,583 | \$ 14,764 | \$ 15,189 | \$ 425 | 2.9% |
| 21.0 Travel and Transportation of Persons | 107 | 467 | 535 | 68 | 14.5% |
| 22.0 Transportation of Things | 511 | 814 | 859 | 45 | 5.5% |
| 23.3 Communication, Utilities, & Misc Charges | 245 | 699 | 760 | 60 | 8.6% |
| 24.0 Printing and Reproduction | 167 | 542 | 531 | 12 | - 2.2% |
| 25.1 Advisory and Assistance Services | 189 | 1,812 | 1,284 | 528 | - 29.1% |
| 25.2 Other Services | 39,370 | 167,981 | 185,622 | 17,640 | 10.5% |
| 25.3 Other Purch of gds & services from gov acc | 597 | 3,388 | 3,638 | 250 | 7.4% |
| 25.5 Research and Development of Contracts | 0 | 15 | 15 | 0 | 0.0% |
| 25.7 Operation and Maintenance of Equipment | 349 | 316 | 310 | 6 | - 1.9% |
| 25.8 Subsistence and Support of Persons | 0 | 0 | 0 | 0 | 0.0% |
| 26.0 Supplies and Materials | 1,100 | 1,680 | 1,906 | 226 | 13.5% |
| 31.0 Equipment | 21,825 | 35,387 | 35,794 | 407 | 1.2% |
| 41.0 Grants, Subsidies, and Contributions | 0 | 0 | 0 | 0 | 0.0% |
| 44.0 Refunds | 263 | 208 | 209 | 1 | 0.4% |
| 94.0 Financial Transfers | 0 | 0 | 0 | 0 | 0.0% |
| Total Non-Pay | \$64,373 | \$213,311 | \$231,463 | \$18,152 | 8.5% |
| Total, Obligational Authority | \$71,956 | \$228,075 | \$246,652 | \$18,577 | 8.1% |

Revolving Funds Analysis of Change (Dollars in Thousands)

| | Fiscal 2021 Agency Request | |
|---|-------------------------------|------------------|
| | FTE | Amount |
| Obligational Authority, Fiscal 2020 Base | 132 | \$228,075 |
| Mandatory Pay and Related Costs | 0 | 425 |
| Program/Project/Activity Increases/Decreases | 0 | 18,152 |
| Net Increase/Decrease | 0 | \$ 18,577 |
| Total Obligational Authority, Fiscal 2021 | 132 | \$246,652 |

Overview

The Library of Congress administers several revolving fund activities under the authority of 2 U.S.C. §§ 182a – 182c, 20 U.S.C. § 2106(a)(2) and 2 U.S.C. § 160. These activities support the acquisition of library materials, preservation and duplication of the Library’s audio-visual collections, special events and programs, classification editorial work, research and analysis, and retail sales. All of these activities further the

work of the Library and its services to its customers and the general public.

In fiscal 2021, total obligational authority of **\$246.652 million** is requested for the Library’s revolving fund programs, a net increase of \$18.577 million over fiscal 2020. This reflects a net increase of \$425,000 in pay and a net increase of \$18.152 million in non-pay.

Obligational Authority

Obligational authority is requested as follows:

2 U.S.C. 182

- The Cooperative Acquisitions Program secures hard-to-acquire research materials on behalf of participating U.S. research libraries. These materials are obtained by the Library’s six overseas offices, which purchase additional copies of items selected for the Library’s own collections based on the individual subject and language profiles supplied by the participating institutions. Each program participant pays for the cost of the publications, shipping, binding, and a surcharge that recovers the Library’s administrative costs of providing this service. Materials are acquired from 76 countries on behalf of more than 100 research institutions. In fiscal 2021, the Library is requesting obligational authority of **\$9.726 million** for the Cooperative Acquisitions Program.

2 U.S.C. 182a

- The Duplication Services Revolving Fund provides preservation, duplication, and delivery services for the Library’s audio-visual collections, including motion pictures, videotapes, sound recordings, and radio and television broadcasts. The fund is associated with the expanded service capabilities

of the Packard Campus of the Library’s National Audio-Visual Conservation Center in Culpeper, VA, and provides a range of audio-visual preservation and access services to other archives, libraries, and industry constituents in the public and private and sectors. In fiscal 2021, the Library is requesting obligational authority of **\$342,000** for the activities of the Duplication Services Revolving Fund.

2 U.S.C. 182b

- Gift Shop Operations supports retail sales activities of the Library. In fiscal 2021, the Library is requesting obligational authority of **\$4.340 million** for retail sales.
- Document Reproduction and Microfilm Services provides preservation microfilming services for the Library’s collections. It also provides photocopy, microfilm, photographic, and digital services to other libraries, research institutions, government agencies, and individuals in the United States and internationally. In fiscal 2021, the Library is requesting obligational authority of **\$2.2 million** for these activities.
- The Special Events Revolving Funds (OSEPP) support staff salaries and benefits and other costs associated with the coordination of Congressional,

outside organization, and Library-sponsored events, such as the annual National Book Festival Gala, meetings of the James Madison Council, the American Society of Composers, Authors and Publishers (ASCAP) event, the Kluge Center Scholarly Programs, Exhibition Opening events, the Congressional Dialogues Series on Great Americans, and the award ceremony for the Gershwin Prize in Popular Music. In fiscal 2021, the Library is requesting obligational authority of **\$7.256 million** for Library of Congress special events and public programs.

- The Verner W. Clapp Revolving Fund supports the creation of publication of books and similar products that showcase the Library's collections, scholarships, and services. In fiscal 2021, the Library is requesting obligational authority of **\$166,000**

2 U.S.C.182c

- The Federal Library and Information Network (FEDLINK) supports more than 1,200 federal offices, providing cost-effective training and a centralized procurement process for the acquisition of books, library support services, serials, and computer-based information retrieval services. The consolidated purchasing power permits the Library to negotiate economical contracts with more than 130 vendors. In fiscal 2021, the Library is requesting obligational authority of **\$216.042 million** for the FEDLINK program.
- The Federal Research Program (FRP) provides customized research reports, translations, and analytical studies for entities of the Federal Government and the District of Columbia on a cost-recovery basis. Program staff draws upon research

expertise and analytic experience to support analysts, program managers, and policy makers across a range of domestic and international concerns, thereby directly furthering the Library's mission of making the vast collections and resources available and useful to the federal government and the American people. In fiscal 2021, the Library is requesting obligational authority of **\$6.334 million** for FRP.

20 U.S.C. 2106

- The Elizabeth Hamer Kegan Fund promotes the activities of the American Folklife Center through publication and/or distribution of folklife-related publications, recordings, crafts and art objects. In fiscal 2021, the Library is requesting obligational authority of **\$28,000** for the Center's activities.

2 U.S.C. 160

- The Traveling Exhibition Fund supports the loan and display of select, major exhibitions, prepared by the Library, to municipal and private museums and cultural institutions throughout the world. In fiscal 2021, the Library is requesting obligational authority of **\$119,000** for these touring exhibition activities.
- The Cafritz Foundation Scholarly Activities Fund covers expenses related to the publication of the Library's exhibit catalogs, posters, and related materials. In fiscal 2021, the Library is requesting obligational authority of **\$6,000** for publication activities.
- The DaCapo Fund supports publications, concerts, lectures, and other special projects, using the Music Division's collections. In fiscal 2021, the Library is requesting obligational authority of **\$93,000** for Music Division activities.



LIBRARY OF CONGRESS FISCAL 2021 APPROPRIATIONS LANGUAGE

LIBRARY OF CONGRESS

SALARIES AND EXPENSES

For all necessary expenses of the Library of Congress not otherwise provided for, including development and maintenance of the Library's catalogs; custody and custodial care of the Library buildings; special clothing; cleaning, laundering and repair of uniforms; preservation of motion pictures in the custody of the Library; operation and maintenance of the American Folklife Center in the Library; preparation and distribution of catalog records and other publications of the Library; hire or purchase of one passenger motor vehicle; and expenses of the Library of Congress Trust Fund Board not properly chargeable to the income of any trust fund held by the Board, **\$544,582,000**, of which not more than **\$6,000,000** shall be derived from collections credited to this appropriation during fiscal year 2021, and shall remain available until expended, under the Act of June 28, 1902 (chapter 1301; 32 Stat. 480; 2 U.S.C. 150): *Provided*, That the Library of Congress may not obligate or expend any funds derived from collections under the Act of June 28, 1902, in excess of the amount authorized for obligation or expenditure in appropriations Acts: *Provided further*, That the total amount available for obligation shall be reduced by the amount by which collections are less than **\$6,000,000**: *Provided further*, That of the total amount appropriated, not more than \$18,000 may be expended, on the certification of the Librarian of Congress, in connection with official representation and reception expenses for the Overseas Field Offices: *Provided further*, That of the total amount appropriated, **\$9,424,000** shall remain available until expended for the digital collections and educational curricula program: *Provided further*, That of the total amount appropriated, **\$1,384,000** shall remain available until expended for upgrade of the Legislative Branch Financial Management System: *Provided further*, That of the total amount appropriated, **\$250,000** shall remain available until expended for the Surplus Books Program to promote the program and facilitate a greater number of donations to eligible entities across the United States: *Provided further*, That of the total amount appropriated, **\$3,720,000** shall remain available until expended for the Veterans History Project to continue digitization efforts of already collected materials, reach a greater number of veterans to record their stories, and promote public access to the Project: *Provided further*, That of the total amount appropriated, **\$10,000,000** shall remain available until expended for the development of the Library's Visitor Experience project, and may be obligated and expended only upon approval by the Subcommittee on the Legislative Branch of the Committee on Appropriations of the House of Representatives and by the Subcommittee on the Legislative Branch of the Committee on Appropriations of the senate: *Provided further*, That of the total amount appropriated, **\$4,370,000** shall remain available until September 30, 2024 to complete the second of three phases of the shelving replacement in Law Library's collection storage areas.

COPYRIGHT OFFICE

SALARIES AND EXPENSES

For all necessary expenses of the Copyright Office, **\$94,891,000**, of which not more than **\$38,004,000**, to remain available until expended, shall be derived from collections credited to this appropriation during fiscal year 2021 under section 708(d) and 1316 of title 17, United States Code: *Provided*, That the Copyright Office may not obligate or expend any funds derived from collections under such section, in excess of the amount authorized for obligation or expenditure in appropriations Acts: *Provided further*, That not more than **\$6,778,000** shall be derived from collections during fiscal year 2021 under sections 111(d)(2), 119(b)(3), 803(e), 1005 of such title: *Provided further*, That the total amount available for obligation shall be reduced by the amount by which collections are less than **\$44,782,000**: *Provided further*, That of the funds provided under this heading, not less than \$17,100,000 is for modernization initiatives, of which \$10,000,000 shall remain available until September 30, 2022: *Provided further*, That not more than \$100,000 of the amount appropriated is available for the maintenance of an "International Copyright Institute" in the Copyright Office of the Library of Congress for the purpose of training nationals of developing countries in intellectual property laws and policies: *Provided further*, That not more than \$6,500 may be expended, on the certification of the Librarian of Congress, in connection with official representation and reception expenses for activities of the International Copyright Institute and for copyright delegations, visitors, and seminars: *Provided further*, That, notwithstanding any provision of chapter 8 of title 17, United States Code, any amounts made available under this heading which are attributable to royalty fees and payments received by the Copyright Office pursuant to sections 111, 119, and chapter 10 of such title may be used for the costs incurred in the administration of the Copyright Royalty Judges program, with the exception of the costs of salaries and benefits for the Copyright Royalty Judges and staff under section 802(e).

CONGRESSIONAL RESEARCH SERVICE

SALARIES AND EXPENSES

For all necessary expenses to carry out the provisions of section 203 of the Legislative Reorganization Act of 1946 (2 U.S.C. 166) and to revise and extend the Annotated Constitution of the United States of America, **\$129,516,000**: *Provided*, That no part of such amount may be used to pay any salary or expense in connection with any publication, or preparation of material therefor (except the Digest of Public General Bills), to be issued by the Library of Congress unless such publication has obtained prior approval of either the Committee on House Administration of the House of Representatives or the Committee on Rules and Administration of the Senate: *Provided further*, That this prohibition does not apply to publication of non-confidential Congressional Research Service (CRS) products: *Provided further*, That a non-confidential CRS product includes any written product containing research or analysis that is currently available for general congressional access on the CRS Congressional Intranet, or that would be made available on the CRS Congressional Intranet in the normal course of business and does not include material prepared in response to Congressional requests for confidential analysis or research.

NATIONAL LIBRARY SERVICE FOR THE BLIND AND PRINT DISABLED

SALARIES AND EXPENSES

For all necessary expenses to carry out the Act of March 3, 1931 (chapter 400; 46 Stat. 1487; 2 U.S.C. 135a), **\$60,639,000**: *Provided*, That of the total amount appropriated, \$650,000 shall be available to contract to provide newspapers to blind and physically handicapped residents at no cost to the individual.

REIMBURSABLE AND REVOLVING FUND ACTIVITIES

SEC. 1201. (a) IN GENERAL.—For fiscal year 2021, the obligational authority of the Library of Congress for the activities described in subsection (b) may not exceed **\$252,552,000**.

(b) ACTIVITIES.—The activities referred to in subsection (a) are reimbursable and revolving fund activities that are funded from sources other than appropriations to the Library in appropriations Acts for the legislative branch.

APPENDICES

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APPENDIX A:

Information Technology Modernization Update

The Library of Congress has made significant strides in the modernization of its information technology (IT) capabilities over the last few years. The Library has been approaching modernization from multiple angles: restructuring the organization; centralizing management and operations; modernizing processes; and moving forward with IT infrastructure, networking, and new IT application development projects.

Centralization

The Librarian of Congress addressed the need to maximize value from the Library's investment in technology by directing that all technology activities be centrally coordinated through the Office of the Chief Information Officer (OCIO) and approved by the Chief Information Officer. The move to enterprise-wide coordination of IT operations followed a realignment of OCIO as a separate Program, Project, or Activity (PPA) reporting directly to the Librarian.

During fiscal 2018, all IT personnel from the Library's service units were reorganized into OCIO, completing a key element of centralization. OCIO implemented Reorganization Phase 1.5 in December 2017, merging service unit IT personnel into the newly created OCIO Customer Engagement Directorate, while continuing to evaluate how to best structure OCIO to maximize efficiencies and reduce risks for the Library. Centralization culminated at the end of the fiscal year with the OCIO Reorganization Phase 2.0, which realigned Library IT staff according to their skill-sets and functional responsibilities; streamlined governance and delivery of Library IT services; and strengthened OCIO's ability to collaborate effectively.

IT Governance

With IT centralization enacted in October 2018, OCIO moved in fiscal 2019 to align the Library's IT governance with the new organizational structure and shift IT planning to provide a multi-year strategic roadmap. The new IT governance framework requires direct participation by Library executives and subject matter experts to align IT activities with the Library's mission and goals. OCIO also continued to enhance the Library's Technology Business Management framework to provide transparency for IT resource use.

Digital Strategy

To help drive digital transformation, the OCIO Digital Strategy Directorate focused fiscal 2019 efforts on

communicating the Library's Digital Strategy, which was published in October 2018, and modeling innovative uses of technology through LC Labs activities and collaborations. In partnership with Library Services, the team launched *By the People*, a crowdsourcing program that invites the public to transcribe and tag images of handwritten text in the Library's collections. By the end of the year, *By the People* had inspired more than 12,000 digital volunteers who transcribed over 50,000 pages of manuscripts, letters and other historical material. Those transcripts are now making Library collections more accessible and searchable for everyone.

To ensure IT initiatives are aligned with the Library's Strategic Plan, OCIO implemented its Fiscal 2019-2023 Directional Plan in May 2019. The plan channels the Library's IT talent and resources into action that empowers successful operations across the Library, with service to Library staff and current and future generations of Library users in mind. It also ensures that the Library will continue to address key expectations from the Office of the Inspector General (OIG), the Government Accountability Office (GAO), and Congressional oversight committees.

Optimization

Throughout fiscal 2019, OCIO continued to optimize Library IT systems and operations. Build-out was completed for the Library's Data Center Transformation Project, and initial transfer of IT systems and applications to the Library's new state-of-the-art data center and enterprise cloud environment began. When fully implemented in December 2020, the new hybrid hosting environments will allow all production IT systems and applications to be removed from the obsolete James Madison Building Data Center, and provide Library IT a scalable foundation for the future (see the Hosting Facilities Challenge Appendix).

IT Security

IT Security also saw significant improvement in fiscal 2019. OCIO implemented multifactor authentication for all Library users, and successfully completed the review and security testing of 100 percent of Library IT systems, bringing the Library fully in-line with the National Institute of Standards and Technology. OCIO also began the effort to transition the Library to Zero Trust architecture, with an initial focus on the Congressional Research Service (CRS) data security, and started a comprehensive firewall modernization effort.

GAO and IG Recommendations

Those efforts and the focus on IT management allowed OCIO to successfully close 58 IT recommendations from GAO and OIG in fiscal 2019. OCIO has implemented and closed 263 out of 340 GAO and OIG recommendations since 2015, and is working diligently to address the rest.

Modernization Development Initiatives

With Library IT largely stabilized, OCIO expanded its focus on modernization efforts in fiscal 2019 – with initial development begun on systems for CRS, the U.S. Copyright Office, and the National Library Services for the Blind and Print Disabled (NLS).

To better serve Congress, OCIO began implementing the Integrated Research and Information System (IRIS) for CRS. IRIS will modernize CRS' mission-specific software applications to reduce the time needed to research, analyze, create, and deliver CRS products and services in the formats most useful to the Congress, while protecting the security and confidentiality of congressional data. IRIS is leveraging the latest advances in web-based technologies to provide an agile and flexible infrastructure that will enable efficient plug-and-play technologies for rapid deployment and use by CRS and the Congress.

The Copyright Office partnered with OCIO to continue development of its 'Enterprise Copyright System' (ECS). Ongoing congressional support has properly positioned the Library to deliver an initial pilot of the Copyright Recordation ECS component in the spring of 2020 and limited prototypes of the Copyright Registration and the Public Records user interface components by the end of 2020. ECS development is expected to last through fiscal 2023, when completed

operational systems will shift to operations and maintenance status.

As part of modernization for NLS, OCIO is working to establish a scalable, cost-effective enterprise cloud storage platform to better support patrons access needs for the Braille & Audio Reading Download (BARD) system. NLS has two programmatic increase requests for IT modernization of their programs – eReader talking book and BARD. If approved, OCIO will play a key role in the development of the next generation platform for service delivery, wireless content delivery, voice command and cloud storage. These developments will enable faster, more efficient delivery, resilience and scalability of NLS services.

Additionally, OCIO has initiated planning for the next-generation Integrated-Library-System to modernize the Library's ability to organize, manage, and share the world's largest collection of knowledge with Congress and the public. OCIO developed and is iteratively enhancing STACKS to manage secure access to rights-restricted collections content inside the Library, and, leveraging agile development techniques and user experience design, is providing continuous delivery of new functionality and content for Congress.gov and the Library's homepage, loc.gov.

Fiscal 2020 will see the modernization efforts for the Digital Library, U.S. Copyright Office, CRS and NLS continue. OCIO will also maintain the regular 'Run the Business' activities that support day-to-day operations of the Library. OCIO will also launch a network upgrade effort to improve access and connectivity among Library buildings and beyond its campus via Internet and Internet II, and a multi-year effort to access and modernize the Library's data storage environment to support the LOC digital strategy.

APPENDIX B:

Hosting Facilities Challenge - Data Center Migration Plan Update

The Office of the Chief Information Officer (OCIO) successfully awarded a multi-year data center transformation support contract for application rationalization and migration planning in fiscal 2017. This contract supports the implementation of key projects to transition data center operations from the aging James Madison Memorial Building Primary Computing Facility (JMMB PCF) to a hybrid hosting model that includes four data centers and the cloud environment, directly supporting all service units. Specific deliverables of the contract include the procurement and installation of data center core equipment and the application rationalization required to develop the migration roadmap.

Fiscal 2018 – Analyze All IT Systems and Applications to Provide Recommended Target Hosting Environment

The planning for application rationalization provided a comprehensive plan for migration to hosting environments that support cost-effective, secure and agile Information Technology (IT) management. The plan analyzed IT systems and applications to determine the appropriate hosting destinations, migration readiness and needed updates. The migration will transition the Library’s data center operations to a flexible and scalable hybrid hosting model that includes the Library managed data center facilities, cloud services and shared services. The following are the components of the hybrid hosting model:

- Data Center 1 (DC1) - JMMB PCF (Note: When Data Transformation is complete, this will remain as a limited data center, providing networking services for LOC Capitol Hill campus.)
- Data Center 2 (DC2) - Alternate Computing Facility (AFC)
- Data Center 3 (DC3) – Culpepper Computing Facility
- Data Center 4 (DC4) – Redstone-Turner Facility
- Cloud Services

Fiscal 2018 – 2019 – Plan and Build the Library’s Hybrid Hosting Environment

The Library established a hybrid hosting environment that includes Cloud hosting and “on-premise” (“on-prem”) data centers (DC2 and the new data center, DC4). The components of the initial build out are:

- A high speed data center core network at the new “on-prem” data center site consisting of core,

storage area network, and ancillary switches; domain name service appliances; firewalls; IT security appliances; and other infrastructure equipment.

- Mandatory network IT security appliances and processes.
- Server and storage components to handle monitoring, diagnostic and IT security requirements of the environment.
- A design for long haul transmission lines between the data centers: JMMB PCF (DC1); AFC (DC2); the Culpeper Computing Facility (DC3); and Redstone-Turner DC4), DC1. Also an analysis for increased bandwidth between DC1, DC2, and DC3.
- Centralized enterprise Cloud hosting environment.

Fiscal 2018 - 2020 –Migrate Library Production IT Systems to Target Hosting Environments

The Library began occupation in fiscal 2018 and will expand its capabilities at DC4, implement new and enhanced network communications between the Library’s data center facilities, and migrate production IT systems out of DC1.

This includes:

- Finalizing the lease for DC4 and transferring pre-configured data center core equipment.
- Installing of rack equipment at the Redstone-Turner facility, DC4 (based on the rationalization of systems, applications, workflows and data).
- This includes:
 - Installing and implementing long haul transmission lines between DC1, DC2, DC3 and DC4 in fiscal 2019 and fiscal 2020.
 - Increasing bandwidth between DC1, DC2, and DC3 in fiscal 2019 and fiscal 2020.
 - Installing additional hardware and services to facilitate migrating systems and digital content while minimizing operational disruption.
- Acquiring contract support and cloud services, as well as equipment and software for DC4 while continuing all production operations at DC1.
- Performing migrations in monthly waves of tested and approved IT systems, applications, and data services to the Library’s managed data centers, cloud

and shared services.

- Transiting DC1 operations once all production IT systems, application and data services are migrated to the new target hosting environments and all operational requirements are met.

Fiscal 2020 – Operations and Maintenance (O&M) of DC4 and other Target Hosting Environments

After the migration, the Library will operate from Library-managed data center facilities, cloud services and shared services. The Library expects the following:

- Operates and maintain Library data center facilities (DC1, DC2, DC3, and DC4) and other target hosting environments (cloud and shared services), while supporting normal technical refresh cycle for infrastructure and application components.
- Assess Multiple Hosting Environments. All of the hosting environments, including the data center

facilities and the cloud services, will be assessed to determine the correct mix of hosting environments. These facility occupancy costs will include monthly rack leases and other associated occupancy fees charged by the external facility operator (based on the current contract for the shared legislative data center). At DC1, these costs have historically been absorbed by the Architect of the Capitol budget and have never been included in the Library's IT budget. Other related facility operating costs will include long-haul transmission lines to meet operational bandwidth requirements and hardware/software support costs associated with telecommunications equipment.

- As technology evolves, the most efficient mix of hosting environments could change. Future operational costs and rack requirements may deviate as changes in technology and mission needs affect storage capacities, server, and telecommunication configurations.

APPENDIX C:

American Folklife Center and Veterans History Project

American Folklife Center

The American Folklife Center (AFC) explored multiple ways to engage audiences and users, both on-site and off-site. Examples include supporting a campaign at crowd.loc.gov focused on volunteers transcribing more than 5,000 pages of Alan Lomax manuscript materials; successfully completing the first season for our Folklife Today podcast; answering 6,382 reference queries, and hosting four “Summer Jams” that brought about 175 participants into contact with collections material through live performance as well as orientations to researcher resources.

The Center acquired 65 new collections in fiscal 2019, totaling approximately 200,000 items documenting expressive culture across the U.S. and around the world. The most notable collection received was the AIDS Memorial Quilt archive collection, which includes biographical records of the people memorialized on The Quilt panels, correspondence, photographs, tributes, epitaphs, news clippings and artifacts submitted by panel makers that add context about the lives memorialized in The Quilt. The archive also documents the creation, marketing and exhibition of The Quilt over the past 32 years. The Quilt is a powerful visual reminder of the AIDS pandemic and continues as the largest ongoing community folk art project in the world. Additionally, AFC doubled its archives unit staffing as part of the Library-wide initiative focused on arrearage reduction. Increased staff capacity has resulted in the clearing of over 100,000 items from collections-processing arrearage; made more than 53,000 digital files accessible online; published 12 finding aids and 26 topical guides; and digitized 35,394 collection items.

AFC staff produced 13 concerts, seven lectures, and a day-long symposium; awarded eleven fellowships and hosted two paid internships in fiscal 2019; produced over 85 blog posts and nearly 700 social media posts; and engaged fully in a range of reference and outreach activities.

Veterans History Project

Anticipating the 20th anniversary year of the Veterans History Project (VHP), VHP focused on increasing discoverability of collections and seeking further narratives. Particularly remarkable was VHP’s first Story Map, “D-Day Journeys: Personal geographies of D-Day veterans, 75 years later.” Working in close collaboration with Geography & Map, and pairing items from Prints & Photographs, VHP leveraged the map-based discovery platform to create an interactive, online experience that linked maps, texts, images and videos to trace the veterans’ journeys from their viewpoints. VHP’s Story Map was featured by CBS News, chosen by Esri (publisher of the application) as “Story Map of the Month” for June 2019, and promoted by their social media.

Since the 2016 enactment of the Gold Star Family Voices Act, VHP has added 79 interviews of Gold Star family members to the archive. Nearly half were received since March 2019 as a result of the largest to-date donation from Gold Star Dirt, an organization focused on Gold Star families. In September 2019, VHP hosted a Gold Star Families Day Display showcasing VHP items with related collections from Prints & Photographs, Music, and Manuscript Divisions. Attendees from Alaska and Arizona, to Tennessee and Maryland remarked that seeing the collections gave them a powerful connection to the Library and that they hoped to attend next year with other Gold Star families.

The steady drumbeat behind these successes is the constant engagement across the country and with Congress. VHP hosted 132 inspiring and instructive events, 12 of which were in collaboration with other Library divisions, and had cooperative efforts with 134 Member Offices. Websites had 4.5 million page views. VHP received 3,773 new acquisitions with 3,423 accessioned, and managed two large-scale digitization efforts via external vendors. VHP staff also directly facilitated 243 interviews this year, on-site and at events held around the country.

APPENDIX D:

Overseas Offices, Cooperative Acquisitions Program

Overseas Offices, Cooperative Acquisitions Program

The Library of Congress operates six overseas field offices in Brazil (Rio de Janeiro), Egypt (Cairo), India (New Delhi), Indonesia (Jakarta), Kenya (Nairobi), and Pakistan (Islamabad). These regional offices acquire, catalog, and preserve publications from regions around the world where conventional acquisitions methods are inadequate. They perform these functions directly for the Library of Congress and for over 100 research and academic libraries in the United States and other countries through the Library's Cooperative Acquisitions Program (CAP). The Library's overseas offices cover over 75 African, Asian, Middle Eastern, and South American countries.

The overseas offices have established direct communications over the years with select congressional staff and units that support congressional needs for immediate information from the areas of the world where the offices are located. These submissions of information include daily news summaries from local media and non-government organizations, translations of contemporary reports, and data related to countries and areas of interest to Congress. Beyond providing information directly to congressional offices and operations that support them, the offices supply contemporaneous information to the Congressional Research Service, Law Library, and Federal Research Division. Feedback from these Capitol Hill partners has enabled the field offices to develop tighter selection parameters for the materials acquired for the Library that better meet the needs of Congress.

The overseas offices were declared independent for whole book cataloging at the end of fiscal 2017. This independence is saving time and effort allowing completed cataloging production to move directly to the stacks on Capitol Hill, without additional review by Washington staff. The change is also saving time and effort of Washington staff and is benefiting CAP participants. Staff in the offices are increasing their skills and taking responsibility for working at a higher level for more efficient productivity.

The offices completed the installation of the Overseas Field Office Replacement System (OFORS). This new system is enabling greater processing efficiencies for materials acquired for the Library and CAP participants.

Fiscal 2019 statistics representing the work of the six offices are as follows:

- Acquired 43,008 books for the Library of Congress;
- Acquired 124,371 books for CAP participants;
- Acquired 138,082 serials and newspaper issues for the Library of Congress;
- Acquired 142,568 serials and newspaper issues for CAP participants;
- Created or upgraded 40,311 bibliographic records for the Library and CAP participants;
- Reformatted 2,007,999 pages of newspapers, periodicals and gazettes; and
- Produced 2,039 master negatives, 2,013 positives, and 1,926 printing negatives.

While managed centrally by the Library Services Acquisitions and Bibliographic Access Directorate, each of the overseas offices has a unique, regionally-based focus and specific areas of specialization and accomplishment, as described below.

Cairo, Egypt, Field Office

The Library of Congress Office in Cairo, Egypt, was established in 1962 and functions as a regional center for processing materials acquired from countries in the regions of the Middle East and North Africa. Countries covered are Algeria, Bahrain, Egypt, Gaza, Iraq, Jordan, Kuwait, Lebanon, Libya, Mauritania, Morocco, Oman, Qatar, Saudi Arabia, Sudan, Syria, Tunisia, Turkey, United Arab Emirates, West Bank, and Yemen. Political unrest, censorship, war, poverty, and a general lack of standards in publishing regularly challenge the Office as staff carry out its mission. The Office has a staff of 34 including an American Director. In addition to collecting for the Library, the Cairo Office collects materials for the 45 research libraries participating in the Office's Middle East Cooperative Acquisitions Program (MECAP).

The Office acquires recently published books on all subjects as well as materials in other formats, such as maps, DVDs, and CDs. In addition to Arabic, other languages that the Office covers include Turkish, Kurdish, and Armenian. Materials are selected for the quality of scholarship, importance of subject, and extent to which the titles add to the knowledge of a subject or an event. The Office collects government documents, non-commercial publications, newspapers, magazines, and academic journals. These

materials provide the Congress, researchers, and faculty of the MECAP research libraries with vital primary and secondary research material to enable them better to understand the history, politics, and culture of these countries.

In addition to site visits and acquisitions travel, the Office uses an extensive network of vendors and representatives to acquire materials from the countries it covers. The Office processes and catalogs materials acquired before sending them to Washington, DC, and to the 45 MECAP participants.

During fiscal 2019, the U.S. Embassy's facilities section continued the renovation project that began in the fourth quarter of 2018, as staff worked amidst the noise, dust and disruption that comes along with such projects. However, when the dust cleared and the new furniture was installed in February 2019, the end result was the professional-looking office that Cairo not only needed, but deserved. Elsewhere, IT staff did their part to improve the network infrastructure and corresponding security to be in accordance with OCIO directives. For acquisitions, the Cairo Office acquired 13,879 monograph pieces and 33,156 serials pieces for Library divisions, including the Law Library. This was exactly in-line with the final statistics for acquisitions in fiscal 2018, which was 13,273 monographs and 32,632 serials pieces for the for the Library's divisions. Significant acquisitions came from Kuwait—with no less than three substantial shipments, Libya, Yemen and southern Iraq, the latter three being critical countries where publications were wanting in the previous fiscal year. The Office made a considerable effort to acquire more law materials as needed by the Law Library, and focus in this area brought significant new reference titles. In terms of cataloging production, and despite a shortage of staff in the Monograph Section, the entire Office production for fiscal 2019 reached 7,922 items cataloged, a decrease against the 10,189 items cataloged in fiscal 2018 due to continued decrease in staffing and delays in announcing vacant positions. Despite this, the Office stuck to its goal of sending more shelf-ready items to Washington, producing 5,218 shelf-ready items compared to 4,977 in the fiscal 2018. New name authorities reached 1,399 in fiscal 2019 (compared to 1,368 in fiscal 2018) while modified authorities rose to 212, an uptake over the 34 from the previous fiscal year. As fiscal 2019 wound down, a new team of Human Resource officers started in Cairo, and the first wave of vacant position announcements began to appear, giving hope that fiscal 2020 will bring new staff to the Office to help increase its production at all levels.

Islamabad, Pakistan, Field Office

The Library of Congress Office in Pakistan was established in 1962 in Karachi, Pakistan, and in 1995 the Office moved operations to Pakistan's capital, Islamabad. The Office serves as a regional center for processing materials acquired from Pakistan, Afghanistan, and Iran. Political unrest, the high-threat security situation, censorship, war, poverty, and a general lack of standards in publishing regularly challenge

the Office as staff carry out the mission to collect and preserve resources. The Office has a staff of 23, including its American Director (residing in New Delhi). The Office acquires materials for 41 other U.S. and international libraries through the Cooperative Acquisitions Program (CAP).

The Office acquires newly published books and journals in all subjects and formats, including posters, maps, DVDs, CDs, and electronic resources. Librarians direct the acquisitions effort, using acquisitions trips when possible as well as an extensive network of vendors to acquire materials. In addition to English, the Office acquires materials in Urdu, Punjabi, Pushto, Sindhi, Persian, Balochi, Seraiki, Brahui, Hindko, Khowar, Gojri, Burushaski, Arabic, Tajik, Shina, Potohari, Torwali and Gawori Commercial publications are supplied by sixteen dealers and three bibliographic representatives. In fiscal 2019, for the first time since 2016 when an acquisitions travel moratorium went into effect for security reasons, the Islamabad Office was able to secure RSO permission to reinstate acquisitions trips within Pakistan. Between January and July 2019, the Acquisitions Section conducted eight outstation acquisitions trips in Pakistan. This required a large team of staff to coordinate all travel arrangements and comply with extremely complicated, time consuming and constantly changing RSO, Embassy and Consulate requirements.

Two significant microfilm arrears projects were completed in fiscal 2019. LC-Islamabad cataloged, collated, packed and shipped the following two arrears to LC-New Delhi for microfilming:

- Soviet and Taliban Era Serial and Newspapers (94 titles comprised of 16,757 pages)
- Pre-2013 Newspaper Arrears from Pakistan, Afghanistan and Iran (86,649 pages)

The Office selects materials based on the quality of scholarship, importance of subject, and extent to which the titles add to the knowledge of a subject or an event. The Office collects government documents, non-commercial publications, newspapers, magazines, and academic journals. These materials provide the Congress, researchers, and faculties of CAP research institutions with vital primary and secondary research material to enable them to understand better the history, politics, and culture of these countries. Over the past few years, the Office has collected an in-depth array of religious materials of interest to scholars and analysts seeking a better understanding of the religious-political-regional landscape. All materials are cataloged directly into the Library's online catalog system making the records available to the public in a very timely manner.

In fiscal 2019, the Office provided 53,141 documents to the Library and CAP participants from Iran, Pakistan, and Afghanistan. The Office preserved 73 web sites harvested to cover the presidential election in Afghanistan, the China Pakistan Economic Corridor and the Kashmir Legal Status (2019) web archiving projects. Staff cataloged 2,995 new

items. The Islamabad Office's quarterly acquisitions lists featured print and non-print titles that represent unique or interesting titles of use to policy makers and scholars.

The Office continued to collect born-digital working papers and other monographic works for the Library's research collection and added another 61 items to the project. The Office continued to contribute to the *Bibliography of Asian Studies*, enabling indexing of 72 scanned issues from Pakistani serials.

After the successful application of Secure Socket Layer (SSL) certificates to secure the OFORS web modules (Drupal, Chamo and Infostation), the next challenge was to secure OFORS for all overseas offices against all identified system (both operating system and application system) vulnerabilities detailed in the OCIO Security Team POA&Ms process. This was a requirement in order to obtain the required "Authorization to Operate" for the next annual cycle. Islamabad's Computer Management Specialist (CMS) was assigned the role of Technical POC for the Overseas Field Office Replacement System for all overseas offices. He assumed responsibility for this ongoing project and succeeded in resolving the identified operating system and application vulnerabilities. The result is that the ATO for OFORS was issued for the next annual cycle. Apart from this, following were the prominent updates to OFORS and IT operations of LC Islamabad office:

- Binding and Shipping modules were made available in the later part of year 2019 which is under evaluation by the concerned section of LC Islamabad.
- Reporting module prepared by New Delhi IT team was deployed and is under evaluation against the existing Microsoft Excel based reporting. Islamabad office will be sharing the comparison with New Delhi IT team for more improvement in the module.
- OFORS server and client upgrade successfully done for Islamabad office. The server side was upgraded by Innovative Interfaces, Inc. (iii) to a newer version (16.2.SP3), while OFORS client was upgraded by the Office CMS to a newer version (16.2.SP3.HF2-190).
- McAfee EPO and ManageEngine Desktop Central were upgraded to newer versions with more secure and robust features for efficiently securing and managing IT infrastructure.
- Windows Desktop Infrastructure was upgraded from Microsoft Windows 7 to Windows 10 for stability and continuation of support from Microsoft.

The CMS successfully negotiated and acquired IT equipment and supplies worth US \$50,000.00 from his previous Agency (USAID) at zero cost to Library of Congress. This equipment will help to meet IT needs of the office for years to come. IT inventory cleanup drive was successfully completed and unusable IT equipment was prepared for deaccessioning and turned over to the State Department for

auction at post. This helped to provide the CMS and Field Director with a clear IT inventory of functioning equipment.

Jakarta, Indonesia, Field Office

The Library of Congress Office in Jakarta, Indonesia, opened in 1963. The Jakarta Office serves as a regional center for the acquisition, cataloging, and reformatting of materials from Southeast Asia: Brunei, Burma (Myanmar), Cambodia, Indonesia, Laos, Malaysia, the Philippines, Singapore, Thailand, Timor Leste, and Vietnam. The Jakarta Office operates offices in Bangkok, Kuala Lumpur, Manila, and Rangoon (Yangon). Expert librarians acquire and catalog books in all of the national and sub-national languages of the region including Burmese, Cambodian, Cebuano, Chinese, English, Indonesian, Javanese, Lao, Malay, Tagalog, Thai, Vietnamese, and other minority languages. The Office has 55 local staff positions with one American Director based in Jakarta. The Office serves 45 U.S. and international libraries through the Southeast Asia Cooperative Acquisitions Program (CAPSEA).

The Office acquires newly published materials in all the national and sub-national languages in all subjects and formats. Expert librarians acquire resources through an extensive network of vendors, local contacts, and acquisitions travel targeted at areas of significant importance. Although the region is a major source for international business, scientific, and technical information, the knowledge and entertainment industries remain decentralized with little bibliographic control making it a challenge to identify primary sources and new research publications.

In order to obtain the best in publishing, cinema, and recordings, the Office maintains a network of eighty-one book vendors and bibliographic representatives who assist with the identification and acquisition of new research, government publications, and trade publications; many of these are small operations making significant contributions to our linguistic and other specialized collections. To supplement these acquisitions and ensure the acquisition of non-commercial materials, librarians travel throughout the region acquiring government, think-tank, and non-governmental organization (NGO) resources, as well as monitor and report on trends in publishing and educational development. The growth of the publishing sector across the region challenges the acquisitions librarians to select only materials that meet the information and scholarly needs of government and academia. A new challenge is the rise of e-publishing especially in the government and academic journal publishing sectors. The Office distributes quarterly highlights to clientele in the Library and to participants.

All materials acquired in Southeast Asia are cataloged prior to shipping to Washington. The Jakarta Office and branch offices increased shelf-ready materials to 4,572 of which 59 percent received whole book cataloging; another two percent were e-resources. In fiscal year 2019, catalogers created 11,380 records, of which only 1,916 (seventeen percent) were

in English. Catalogers continued to prepare for linked data environment by creating 2,949 new name authorities and updating 2,978 name authorities. Catalogers submitted sixty-five classification proposals and thirty subject proposals.

Most government agencies, think tanks, and NGOs publish working and discussion papers on their websites in PDF format. The Office has integrated the collection and cataloging of this gray literature into its regular workflow, adding approximately ninety-two titles.

The Jakarta Preservation Section produced 407 high-quality negative microfilm reels for thirty-three national gazettes and newspaper titles from the region. As part of its ongoing preservation efforts, the Section bound 1,963 volumes.

Nairobi, Kenya, Field Office

The Library of Congress Office in Nairobi, Kenya, established in 1966, acquires and catalogs publications in all subjects except clinical medicine and technical agriculture, from commercial, government, and nontrade sources in 30 sub-Saharan countries: Angola, Botswana, Burundi, Cameroon, Comoros, Congo (D.R.), Djibouti, Eritrea, Ethiopia, Gabon, Ghana, Kenya, Lesotho, Madagascar, Malawi, Mauritius, Mayotte, Mozambique, Namibia, Reunion, Rwanda, Senegal, Seychelles, Somalia, South Sudan, Swaziland, Tanzania, Uganda, Zambia, and Zimbabwe. The Office is staffed with 25 employees, including an American Director, and engages 24 bibliographic representatives in the countries it covers. The Office acquires publications for two national libraries (the Library of Congress and National Library of Medicine) and for 30 institutions that participate in the African Cooperative Acquisitions Program (AfriCAP), primarily university libraries in the U.S.

Sub-Saharan Africa is perhaps the most challenging world region in which to undertake library acquisitions work, making AfriCAP an especially critical service to the U.S. academic community. Commercial book vendors and distributors are virtually non-existent, and non-trade publications are generally printed in limited runs due to scarce resources. Successful acquisitions work relies heavily on travel to ensure acquisitions during narrow windows of availability, as well as intensive face-to-face communication with sources in order to successfully navigate the bureaucracies. In fiscal 2019, acquisitions staff made in-person visits to 1,464 different publications sources across Sub-Saharan Africa. Materials collected are in Amharic/Tigrinya, Somali, Kiswahili, English, French, German, Portuguese, and more than 40 indigenous African languages. In some countries, political instability poses significant challenges to collection efforts. For decades, LOC had no regular means of acquiring publications from Somalia, Eritrea, and South Sudan, but since 2017 the Office has devised workable acquisitions arrangements for all three. One notable fiscal 2019 acquisition from South Sudan comprises pdf copies of all public laws

passed since independence in 2011. Additionally, office personnel undertook successful acquisitions trips to Burundi, Cameroon, and Zimbabwe, all countries in which personal security is a serious concern. From all countries covered, the Nairobi Office acquired and processed 69,673 documents for the Library and AfriCAP participant libraries, with a current arrearage of 6,000 in the Office.

The Nairobi Office catalogs all monographs and new serial titles that are acquired and maintains records of all issues of newspapers and other serials received. Nairobi catalogers created or updated 3,262 bibliographic records for monographs, serials, maps, CDs, and DVDs. Additionally, they created or updated 1,746 name authority records, and submitted proposals for three new subject headings and seven new classification numbers. Ongoing work of the Nairobi Office includes serials check-in into the Library's Integrated Library System for all categories except Law; and whole book cataloging in all subjects except Music and Law. Nairobi Office catalogers are participating in the BIBFRAME 2.0 Pilot Project, and are currently creating bibliographic records in the new standard. Additionally, the office undertook full-level cataloging of electronic government documents for the first time, and prepared for its maiden web archiving project to preserve web sites documenting the 2019 Mozambique Presidential and Parliamentary Elections. More than 500 electronic news clippings from Kenya, 269 electronic issues of the *Namibia Official Gazette*, and 92 electronic issues of the *Journal officiel de la Republique gabonaise* were sent to the Congressional Research Service, Federal Research Division, and Law Library.

A significant activity of the Office remains the preservation of African newspapers. In fiscal 2019, approximately 523,000 pages were collated and shipped to the New Delhi Office and Center for Research Libraries (CRL) for film processing. The Office submitted two microfilm funding proposals to the Cooperative Africana Materials Project (CAMP), one of which (for Gabon) has been approved and the other (for Cameroon) is under consideration. The first, a group of 37 at-risk Gabon newspapers comprising approximately 28,850 pages, was approved at \$11,400. Additionally, the Office contributed 13,838 pages to a Yale University Library and Northwestern University Library proposal for the microfilming of Lesotho newspaper titles from 1990 to 2018. Almost all of these newspapers are in a fragile state (yellowed, brittle, and worn out) and not readily available elsewhere.

New Delhi, India, Field Office

The Library of Congress Office in New Delhi, India, established in 1963, is the regional center for the acquisition, cataloging, preservation and shipping of print and non-print materials published in India, Bhutan, and the Maldives, as well as Bangladesh, Nepal, and Sri Lanka, where it maintains sub-offices. Its mission is to respond to the information needs of the Congress, other U.S. agencies,

and the scholarly community by: 1) adding to the depth and comprehensiveness of the Library's South Asia collections; 2) providing complete online bibliographic access to these publications; 3) preserving "at risk" publications; and 4) administering the South Asia Cooperative Acquisitions Program (SACAP). The Office has a staff of 73, 13 on-site contract staff for packing and unpacking services, and an American Director and Deputy Director. SACAP has 57 participants from universities and institutional libraries.

A challenge to accomplishing the mission is the lack of a developed book trade that impedes the identification and acquisition of new research quality publications without having a local presence in each Indian state. The situation is further aggravated by the large volume and uneven quality of the commercial, non-commercial, and government publishing sectors, all of which reflect the active social, political, and economic environment in the world's largest democracy.

The six sections in the New Delhi Office are: Acquisitions, Cataloging, Serials, Microfilm, Management Services and Information Technology. Three sub offices in Colombo, Dhaka, and Kathmandu are located in American Embassies. Staff acquire publications and create bibliographic records in a wide range of languages. 9,436 bibliographic records were created. Catalogers created or revised 7,560 authority records and classification proposals: 5,258 new authority records, 2,194 authorities revised, 53 new subject authorities, 20 subject authorities revised and 35 new classification proposals. Publications were in: Assamese, Bengali, Dogri, English, Gujarati, Hindi and Hindi dialects, Kannada, Kashmiri, Khasi, Konkani, Lushai, Malayalam, Manipuri, Marathi, Nepali, Newari, Oriya, Pali, Panjabi, Prakrit, Rajasthani, Sanskrit, Sinhala, Tamil, Telugu, Tibetan, Tulu, and Urdu. The Office sent 97.26 percent of all publications cataloged by office staff as "shelf-ready." These are print monographs cataloged as minimal level and those receiving whole book cataloging.

Commercial publications are supplied on approval by 24 dealers. The Office uses services of bibliographic representatives in countries and states with minimal, but important, publishing activity. Commercial and non-commercial publications are supplied by eight bibliographic representatives: in Bhutan and seven North Eastern states in India that constantly experience communal, social, religious and ethnic unrest. Staff members carry out local and distant acquisitions trips to obtain non-commercial, controversial, underground, and hard-to-acquire publications that are not available to commercial dealers.

The Microfilm section, in fiscal 2019, reformatted 1,580,049 pages of newspapers, periodicals and gazettes. It produced 2,039 master negatives; 2,013 print negatives; and 1,926 positives. Its master list consists of 205 newspapers, 22 periodicals, and 18 gazettes from 42 countries covered by New Delhi (and its sub-offices), and Library offices in Cairo, Islamabad, and Nairobi, and the Library representative in Mongolia.

OFORS Phase I was implemented in New Delhi in fiscal 2015. Phase II: in fiscal 2019 the Binding module was implemented in April 2019, the Shipping module tested satisfactorily and will be implemented in early fiscal 2020.

Rio de Janeiro, Brazil, Field Office

The overseas office in Rio de Janeiro, Brazil, established in 1966, acquires and processes materials from five countries: Brazil, French Guiana, Guyana, Suriname and Uruguay. The Rio de Janeiro Office acquisitions librarians collect elusive academic materials for use by the Congress, the Library's Hispanic Division (for its *Handbook of Latin American Studies*) and the international scholarly community through their detailed field work. The Office has a staff of fifteen, including an American director. Thirty-eight research libraries participate in the Office's CAP.

In addition to acquiring materials for the Library, the Rio Office acquires serials, cordel literature, and CDs for its CAP participants. Cordels are inexpensively printed pamphlets containing folk tales, poems, and songs that are unique to Brazil. The Brazil CAP started in 1990 with serial subscriptions; music CDs were added in 1999 and a cordel package was added in 2012. The 203 serial titles offered include scholarly journals and newspapers in economics, history, culture, and law. The office acquired 76 biomedical serial titles for the National Library of Medicine (NLM). Brazil's medical research is important to NLM because the country is well known for its advances in such areas as tropical medicine, dentistry, plastic surgery, phytomedicine and antibiotics research.

For the five countries covered by the Rio Office, it is difficult to acquire materials through book dealers or aggregators. Supplying research library materials from the area covered is not a profitable commercial venture due to problems such as poor distribution of published materials, lack of advertising by publishers/sources, scant print runs, legal barriers and geographic inaccessibility. Because of the dearth of vendors, the Office relies on four acquisitions librarians for their expertise to identify new publications, develop relationships with publishers and other sources, travel widely to book fairs, and meet with exchange partners. In fiscal 2019, staff traveled to twelve cities for acquisitions, making a total of 464 visits to government agencies, NGOs, publishers, university presses, and bookstores while collecting 5,475 items. In all, the Office acquired some 19,920 items for both the Library and CAP and cataloged 4,308 (including shelf-ready and descriptive-only items).

Web archiving remains a high priority in recent years, with the ongoing collection Brazil Cordel Literature Online, preserving 39 blogs and sites since its inception in 2011. In August 2018 the Office compiled a list of political websites for the 2018 presidential election. With the collaboration of the Hispanic Division's Brazil specialist and a specialist from the National Library of Brazil, a list of 62 political candidate, political parties, special sections of newspapers, fact checkers

and bloggers was compiled for web harvesting. The crawling continued until January 2, 2019.

The 2016 supplement was the last BPG set for microfilm. This year some 487 pamphlets were sent to Princeton University Library as per our agreement. All were cataloged, digitized and ingested into the Digital Archive of Latin American and Caribbean Ephemera (<https://lae.princeton.edu/>) which is open access to everyone.

The Office played a critical role in the repatriation of some 40 reels of mostly silent films from Hollywood of the 1920-30s. Deemed hazardous materials for shipping, the field director had to take an online course to be certified as a “hazmat” shipper to send the materials to the Library. It was a four-month process involving several government agencies from both Brazil and the US.

**Library of Congress
Cooperative Acquisitions Program Participants by State and Country**

| | Participant | India | Egypt | Pakistan | Kenya | Indonesia | Brazil |
|----------------------|---|-------|-------|----------|-------|-----------|--------|
| United States: | | | | | | | |
| Arizona | Arizona State University | | | | | X | |
| | University of Arizona | | X | | | | |
| California | Defense Language Institute | | X | X | | X | |
| | Stanford University | X | | X | X | | X |
| | Stanford Law Library | | | | | | |
| | UC, Berkeley | X | X | X | X | X | X |
| | UC, Berkeley, East Asia | X | | | | | |
| | UC, Berkeley, Law Library | | | X | X | X | |
| | UC, Irvine | | | | | | |
| | UC, Los Angeles | X | X | X | X | X | X |
| | UC, Los Angeles--Diaspora | | | | | X | |
| | UC, Riverside | | | | | X | |
| | UC, San Diego | | | | | | X |
| | UC, Santa Cruz | | | | | | |
| | University of Southern California | | | | | | X |
| | University of Colorado | X | | | | | |
| Colorado | Yale Divinity Library | | | | | X | |
| Connecticut | Yale University | X | | X | X | X | X |
| | Yale University Law Library | X | X | X | X | | |
| | Inter-American Development Bank | | | | | | |
| District of Columbia | Open Source Center | | | | | X | |
| | | | | | | | |
| | University of Florida | | | | | | X |
| Florida | Emory University | X | | | X | | X |
| Georgia | University of Georgia | | | | | | X |
| | University of Hawaii | X | | X | | X | |
| Hawaii | Center for Research Libraries | X | X | X | X | X | |
| Illinois | Northern Illinois University | | | | | X | |
| | Northwestern University | X | | X | X | X | |
| | University of Chicago | X | X | X | X | | |
| | University of Illinois | X | X | X | X | | X |
| | Indiana University | X | X | X | X | X | |
| Indiana | University of Notre Dame | | | | | | |
| | University of Iowa | X | | X | X | X | X |
| Iowa | University of Iowa Law library | X | X | X | X | X | X |
| | University of Kansas | | | | X | | |
| Kansas | Tulane University | | | | | | X |
| Louisiana | National Agricultural Library | X | | | | X | |
| Maryland | National Library of Medicine | X | X | X | X | X | X |
| | University of Maryland | | | | | | |
| | Boston University | | | | X | | |
| Massachusetts | Harvard University | X | | X | X | X | X |
| | Harvard University--Baker Library (Busi & Mgnt) | X | | | | | |
| | Harvard University--Fine Arts Library | X | | | | | |
| | Harvard University--Loeb Music Library | X | | | | | |
| | Harvard University--Map Collection | X | | | | | |
| | Harvard University--Widener ReCAP | X | | | | | |

**Library of Congress
Cooperative Acquisitions Program Participants by State and Country**

| | Participant | India | Egypt | Pakistan | Kenya | Indonesia | Brazil |
|----------------|---|-------|-------|----------|-------|-----------|--------|
| | Harvard Law Library | X | X | X | | X | |
| | Harvard Middle Eastern Division | X | X | X | | | |
| | University of Michigan | X | X | X | X | X | X |
| | Michigan State University | | | | X | X | X |
| | University of Minnesota | X | X | X | | | X |
| Michigan | Washington University | X | X | X | | | |
| | Tibetan Language Institute | X | | | | | |
| Minnesota | Princeton University | X | X | X | X | | X |
| | Princeton University--Onsite | X | | | | | |
| Missouri | Rutgers University | | | | | | X |
| Montana | University of New Mexico | | | | | | X |
| New Jersey | Columbia University | X | X | X | X | X | X |
| | Columbia University--ReCAP | X | | | | | |
| | Columbia University Law Library | X | | X | X | | |
| New Mexico | Cornell University | X | X | X | X | | X |
| New York | Cornell University Echols Collection | X | | | | X | |
| | Cornell University Law Library | X | | X | | | |
| | New York Public Library | X | X | | X | | X |
| | New York University | X | X | X | | | X |
| | SUNY, Binghamton | | X | | | | |
| | Syracuse University | X | | | | | |
| | Duke University | X | X | X | X | | X |
| | North Carolina State University | X | | X | | | |
| | University of North Carolina | X | X | X | | X | X |
| North Carolina | University of North Carolina - South Asia Collection | X | | | | | |
| | ITSC Library | | | | | | |
| | Ohio State University | | X | | | | X |
| | Ohio University | | | | X | X | |
| Ohio | Wooster College | X | | | | | |
| | Portland State University | | X | | | | |
| | Pennsylvania State University | | | | X | X | |
| | Temple University | | X | | | X | |
| Oregon | University of Pennsylvania | X | X | X | X | X | |
| Pennsylvania | University of Pennsylvania -- Biddle Law Library | X | | | | | |
| | University of Pittsburgh | | | | | | X |
| | University of Pittsburgh Law Library | | X | | | | |
| | Brown University | X | X | X | | | X |
| | Vanderbilt University | | | | | | X |
| | Rice University | | | | | | X |
| Rhode Island | University of Texas | X | | X | | X | X |
| Tennessee | Brigham Young University | | X | | | | X |
| Texas | University of Utah | | X | | | | |
| | University of Virginia | X | X | X | | | |
| Utah | University of Washington | X | X | X | | X | X |
| | University of Wisconsin | X | | X | X | X | X |
| Virginia | University of Wisconsin Law Library | | | | | X | |
| Washington | 80 participants | 53 | 34 | 37 | 30 | 34 | 36 |

**Library of Congress
Cooperative Acquisitions Program Participants by State and Country**

| | Participant | India | Egypt | Pakistan | Kenya | Indonesia | Brazil |
|----------------------------|--|-------|-------|----------|-------|-----------|--------|
| Wisconsin | | | | | | | |
| | Murdoch University Library | | | | | X | |
| Subtotal, United States | National Library of Australia | | | | | X | |
| Foreign Countries: | McGill University | X | X | X | | X | |
| Australia | Royal Ontario Museum | | | | | X | |
| | University of British Columbia | X | | | | X | |
| Canada | University of Toronto | X | X | X | | | |
| | American University, Cairo | | X | | | | |
| | Ibero-Amerikanisches Institut | | | | | | X |
| | Universitäts Bibliothek, Frankfurt-am-Main | | | | X | | |
| Egypt | Universitäts und Landesbibliothek | | | X | | | |
| Germany | Sachsen-Anhalt | | | | | | |
| | American Institute for Indonesian Studies | | | | | X | |
| | Kyoto University, Center for Southeast | | | | | X | |
| | Asian Studies | | | | | | |
| Indonesia | National Diet Library | | | | | X | |
| Japan | American University of Bierut | | | | | | |
| | King Abdul Aziz al-Saood Foundation | | X | | | | |
| | Peace Palace Library | | X | | | | |
| Lebanon | Leiden University | | | | | X | |
| Morocco | Northwestern University in Qatar Library | | X | | | | |
| The Netherlands | Qatar National Library | | X | | | | |
| | Institute for South East Asian Studies | | | | | X | |
| Qatar | Singapore National Library Board | | | | | X | |
| | American University of Sharjah | | X | | | | |
| Singapore | Bodleian Libraries | X | | | | | |
| | British Library | | X | X | | | |
| United Arab Emirates | The Joint Library IIS-ISMC | | X | | | | |
| United Kingdom | University of Essex | | | | | | X |
| | University of Exeter | | X | | | | |
| Subtotal, Foreign | 26 participants | 4 | 11 | 4 | 1 | 11 | 2 |
| Total | 106 participants | 57 | 45 | 41 | 31 | 45 | 38 |

APPENDIX E:

Acquisition of Library Materials by Source

Fiscal 2015- Fiscal 2019

Acquisition of Library Materials by Source Fiscal 2015 - Fiscal 2019

| Source | | | | | |
|-------------------------------|------------------|------------------|------------------|------------------|------------------|
| | Fiscal 2015 | Fiscal 2016 | Fiscal 2017 | Fiscal 2018 | Fiscal 2019 |
| Purchases: | | | | | |
| Appropriated - GENPAC/LAW | 630,829 | 564,984 | 634,425 | 549,962 | 623,518 |
| Appropriated Other | 14,089 | 3,827 | 11,164 | 7,073 | 5,602 |
| Gift and Trust Funds | 5,375 | 27,055 | 2,238 | 1,492 | 4,817 |
| Total Purchases | 650,293 | 595,866 | 647,827 | 558,527 | 633,937 |
| Non-Purchases: | | | | | |
| Exchange | 80,199 | 72,298 | 54,041 | 55,650 | 52,124 |
| Government Transfers | 196,657 | 69,033 | 58,631 | 66,706 | 62,274 |
| Gifts | 983,220 | 1,726,739 | 936,110 | 955,459 | 1,096,866 |
| Cataloging in Publication/PCN | 100,710 | 96,120 | 94,386 | 94,165 | 117,925 |
| Copyright Deposits | 615,146 | 636,479 | 658,045 | 736,833 | 727,427 |
| Total Non-Purchases | 1,975,932 | 2,600,669 | 1,801,213 | 1,908,813 | 2,056,616 |
| Total All Acquisitions | 2,626,225 | 3,196,535 | 2,449,040 | 2,467,340 | 2,690,553 |

Daily Average Receipts and Items Added to Collections

| Fiscal Year | Items Received | Items Added to Collections |
|--------------------------|----------------|----------------------------|
| 2010 | 15,052 | 10,233 |
| 2011 | 22,061 | 18,863 |
| 2012 | 16,034 | 14,379 |
| 2013 | 13,724 | 10,599 |
| 2014 | 14,928 | 11,183 |
| 2015 | 11,818 | 9,190 |
| 2016 | 14,443 | 8,319 |
| 2017 | 11,654 | 10,991 |
| 2018 | 10,952 | 5,340 |
| 2019 | 10,762 | 8,794 |
| 2010-2019 Average | 14,143 | 10,789 |

Beginning in FY2019, Items Received excludes Copyright deposits that were retained by the Copyright Office under their management and final disposition.

APPENDIX F:

Library of Congress Mass Deacidification Project

Deacidification

Deacidification is a preservation treatment process used to keep print paper materials, mostly general collection bound volumes and manuscript sheets, in usable condition. This treatment is applied to acidic papers before they become brittle, in order to increase the pH and create an alkaline reserve that helps to extend the useful life by a factor of two or more. In 2013, the Library estimated its level of need for Mass Deacidification at 7.5 million book equivalent volumes. (A book equivalent, two pounds of bound material, is the unit of measure used in contract pricing for deacidification of bound volumes of various sizes.) At the close of fiscal 2019, the Library had completed treatment of approximately 4,983,692 million book equivalent volumes, 66 percent of the projected total, and 17,063,656 million sheets of manuscript materials. Current estimates indicate that approximately 2.5 million candidate book equivalent volumes will remain for the life of the program.

Positive Trends

Evaluation of future Mass Deacidification needs reveal several positive trends. At the inception of this program, there were significant concerns about materials from overseas printers who did not have access to acid free paper because of the large number of works from foreign publishers acquired by the Library. However, titles produced overseas in recent years generally conform to the acid free paper standards common to American printers, and the overall rate at which new acidic materials enter the collection remains well below initial projections. Over 80 percent of the priority treatment goals are complete and overall need is declining.

Rebalancing Preservation

In the fiscal 2020 budget, the Library forecast its plans to revisit the role of deacidification services in its overall portfolio of preservation methods, based on the availability of environmentally optimized collection storage, results of cost benchmarking studies, the advancement of reformatting alternatives, and other high-priority collection preservation needs (see the “Rebalancing Preservation Strategies Request”). The Library’s Inspector General also recommended a cost study of the deacidification program alongside other preservation strategies and PRES commissioned an external consulting firm to review the relevant cost factors in fiscal 2019. The results of that study suggest rebalancing preservation strategies to emphasize environmentally optimized storage, which was found to be approximately 2.8 times less expensive per unit. The Rebalancing Preservation Strategies request in this budget describes the main points of that rebalancing and covers the proposed changes in more detail. For the deacidification program, PRES intends to continue with planned production through fiscal 2021, completing deacidification of approximately 170,000 book equivalent volumes and one million sheets of manuscript materials in the period of performance ending May 31 of 2022. At that time, the Mass Deacidification program will be at a level of substantial completeness for bound volumes, having treated over 90 percent of top priority materials and over 70 percent of the total projected need. From that point, the Library believes that the large scale program can be discontinued as the cost per unit becomes more prohibitive.

Deacidification Treatment Fiscal 2002 - Fiscal 2019
(Dollars in Thousands)

| Fiscal Year | Collections Treated | | Total Obligations |
|----------------------------|---------------------|------------------|-------------------|
| | Books* | | |
| | Physical Volumes | Book Equivalents | |
| ^1996-1997 | | 92,000 | |
| ^1997-2001 | | 306,258 | |
| 2002 | | 170,600 | 0 |
| 2003 | | 215,319 | 696,000 |
| 2004 | | 299,064 | 1,219,500 |
| 2005 | | 296,119 | 1,012,500 |
| 2006 | | 298,826 | 1,069,500 |
| 2007 | | 292,648 | 1,086,000 |
| 2008 | | 345,937 | 1,066,500 |
| 2009 | | 325,830 | 736,500 |
| 2010 | | 330,497 | 1,365,000 |
| 2011 | | 288,334 | 1,013,400 |
| 2012 | | 258,087 | 846,900 |
| 2013 | 214,825 | 249,874 | 851,450 |
| 2014 | 195,027 | 240,070 | 903,461 |
| 2015 | 183,191 | 232,105 | 1,025,686 |
| 2016 | 158,615 | 188,737 | 998,669 |
| 2017 | 168,969 | 192,660 | 589,857 |
| 2018 | 167,138 | 193,977 | 1,214,800 |
| 2019 | 131,912 | 166,750 | 1,367,933 |
| Totals | | 4,983,692 | 17,063,656 |
| Total, Actuals 2002-2019 | | | \$ 98,013 |
| Total, Estimated 2020-2031 | | | \$ 66,000 |

\$164,013

Total, Actual and Estimated Thirty-Year Mass Deacidification Program Cost

*A book equivalent (BE) is a volume weighing two pounds. This unit of measure is used to manage the contract pricing for deacidification of many different sized volumes. Physical volumes is the actual number of books deacidified, which the Library started recording in 2013.

^The number of BE's the Library treated prior to the start of the 2002 Deacidification program.

APPENDIX G:

Teaching with Primary Sources (TPS)

Overview

The Library's *Teaching with Primary Sources* (TPS) program serves educators across the grade spectrum, across the curriculum, and across the country by providing easily accessible, high-quality professional development programs and classroom materials. These opportunities and tools help educators effectively use primary sources from the Library's vast digital collections in their teaching.

In fiscal 2019, the program continued to serve tens of thousands of teachers from all parts of the country, helping them achieve curricular standards while engaging students in authentic inquiry experiences and encouraging original student research. The TPS team also took important steps to broaden the reach and the scope of the program.

In early fiscal 2019, the Library's Educational Outreach Division, that manages the TPS program, became the Learning and Innovation Office (LIO) in the new Center for Learning, Literacy, and Engagement (CLLE) in the Librarian's Office. Opportunities to incorporate TPS resources and strategies into the Library's on-site programs grew, enabling thousands of visitors to learn about and participate in TPS inspired activities.

Professional Development

Education resource specialists at the Library of Congress and TPS Consortium partners in other institutions and organizations across the country provided a wide variety of professional development opportunities for educators. Through workshops, institutes, conferences, and webinars, TPS efforts served thousands of teachers nationwide.

The Educational Consortium

During fiscal 2019, the 30 TPS Consortium members offered TPS-focused professional development, curricula, apps and online interactives and research for use in K-12 classrooms. Consortium members and Library staff reached nearly 9,000 teachers from 395 Congressional districts. Another 52,000 educators downloaded TPS-focused curricular materials or online interactives/apps that Consortium members made available on their web sites.

In addition, the TPS Teachers Network web site (hosted by a TPS partner), a professional networking site for educators using Library of Congress primary sources in their classrooms, continued to grow in popularity and use. At the end of the fiscal year, 8,388 educators were enrolled on the site.

The regional TPS program, which offers grants small grants to organizations that wish to incorporate Library materials

into their programs for teachers, continued to expand the reach of TPS to new communities across the country. Fiscal 2019 grantees included school districts, historical societies, professional education associations, colleges and universities. These grantees offer teacher professional development focused on using Library resources relating to landmark Supreme Court cases, Native American veterans, poetry, science, geography, etc., with students of diverse backgrounds and abilities.

Also during fiscal 2019, the Learning and Innovation Office released a notice of funding opportunity to identify additional grantees with national outreach and recognition. Through this competitive bidding process, the Library selected four influential new grantees to join the Consortium: National Council of Teachers of English (NCTE), National Council for Social Studies (NCSS), National History Day (NHD) and The Right Question Institute (RQI). These new partners will create co-branded curricular materials with Learning and Innovation Office staff, which imbed Library of Congress primary sources into materials to teach language arts, social studies, student questioning and student research. Furthermore, they will use their large constituent networks to widely disseminate the materials developed under their grants throughout the teaching community.

Learning and Innovation Staff

In fiscal 2019, Learning and Innovation Office staff members offered three week-long Summer Teacher Institutes; a 2 ½ day Teaching with Primary Sources workshop for Library Media Specialists; and numerous 1-hour to 1-day Teaching with Primary Sources professional development events delivered at the Library, off-site at conferences, or online via webinar.

Educators from diverse educational settings—library/media specialists, classroom teachers, school administrators, and curriculum developers—took part in these events. Between the three Summer Teacher Institutes and the Library Media Specialist workshop, 112 educators from 36 states and the District of Columbia traveled to the Library of Congress to participate. One session focused on school librarians; one focused on primary sources related to Science, Technology, and Engineering; the remainder were open to educators of all disciplines.

The primary goal of these multi-day professional development events was to provide participants with tools and resources to integrate the Library's digitized primary sources into classroom and library instruction. Participants expressed great satisfaction with the degree to which this goal was met and reported significant gains in learning specific

teaching strategies, skills for navigating the Library's website, and the value of collaboration with other educators. Surveys administered post-session indicated that over 85 percent of participants "strongly agreed" that they could now use Library of Congress digitized primary sources to develop students' critical thinking skills and deepen student subject matter understandings (almost all other participants chose the next selection: "agreed."). Meanwhile, over 40 percent of participating educators reported that they reached over 200 students annually, and another 20 percent stated that they reached between 100-200 students per year. Almost 90 percent of attendees also indicated that they would share what they learned with a colleagues, further extending the reach of the program. During the institutes, the Library of Congress Open House was again included, increasing the exposure of more than two-dozen Library divisions to the educators who take what they have learned and share it with colleagues.

In addition to these multi-day professional development events, Learning and Innovation Office staff also offered numerous shorter sessions ranging from 1-hour to 1-day. Workshops offered at the Library of Congress included sessions as diverse as: a one-day workshop for 12 Einstein Fellows, leading K-12 educators in STEM fields specially selected to serve one year in various Federal agencies and U.S. Congressional Offices; a one-day workshop for music educators lead by our Music Teacher-in-Residence; a one-day "maker" workshop for STEM teachers led by our Einstein Fellow, featuring items from the Historic American Engineering Record (HAER) collection in honor of its 50-year anniversary; and a workshop for history educators visiting Washington, D.C. for the National Council for History Education (NCHE) Conference.

Conference presentations further allowed Learning and Innovation Office staff to reach diverse audiences throughout the country. Staff offered presentations and exhibited at the annual conferences of the National Council for the Social Studies (NCSS), the National Science Teachers Association (NSTA), the American Library Association (ALA), The National Council for Music Education (NAfME), the National Council for Teachers of English (NCTE), and the National Council for History Education (NCHE). Webinars were also delivered to various internal and external partners to further extend reach.

As a result of these cumulative efforts, TPS met tens of thousands of educators and alerted them to the Library's resources and programs as well as effective strategies for teaching with primary sources.

Digital Initiatives, Publications and Teaching Tools

Twitter: TPS-managed Twitter account for the Library's K-12 audience (@TeachingLC) continued to enable the Library not only to promote its materials and programs to the nation's

teachers, students, and administrators, but also to develop original teaching activities for the medium. By the end of fiscal 2019, the account had more than 35,000 followers, increasing its audience from fiscal 2018 by an additional 6 percent. The account's followers include teachers, librarians, authors, educational organizations and thought leaders, and Members of Congress.

Blog: The Library's blog for teachers, *Teaching with the Library of Congress*, published 110 posts. The blog promotes practical strategies for the effective use of the Library's online collections and spotlighted items from the collections that are especially well suited for classroom use, as well as promoting Library programs and initiatives that support the work of educators. The blog was visited more than 194,000 times in fiscal 2019, and has over 32,000 subscribers.

Articles for Professional Journals: In addition to collaborating with The History Channel on an Idea Book for Educators related to Women's Suffrage (to be published in early fiscal 2020), Learning and Innovation Office staff continued to build Library-centered teacher resources, publishing a new primary source set related to the 19th Amendment; and TPS continued publishing regular features in the NSTA journal, *The Science Teacher*, the NCSS journal, *Social Education*, and the NAfME *Music Educators Journal*. All totaled, 19 original articles were contributed to publications whose combined readership is more than 300,000.

Teachers' Page: The Library's web site for teachers, www.loc.gov/teachers, continued to be an active hub for the Library's educator audience. The web site, which provides teacher resources on a wide range of topics as well as free professional development, was visited more than 5.5 million times in fiscal 2019.

eBooks: Educational Outreach continued to address the needs of the growing tablet-based educational community by offering free educational eBooks, the Student Discovery Sets. These interactive eBooks allow students to draw on, analyze, and explore primary sources from the Library's collections. The Library's teacher eBooks have been downloaded more than 123,000 times to date.

Teachers in Residence

Since 2000, TPS has recruited teachers in residence to work on-site as they advise and make direct contributions to resources and programs developed for educators by the Library's staff. During fiscal 2019, the Library hosted our first Music Teacher-in-Residence, Carolyn Bennett, from Connecticut. She authored or co-authored several articles for education publications, wrote blog posts, presented at conferences; and partnered with the Library's Young Readers Center and Music Division on multiple initiatives.

Also in fiscal 2019, TPS participated in the Albert Einstein Distinguished Educator Fellow Program, an initiative managed by the Department of Energy. The Library hosted Kellie Taylor, an Elementary STEM Educator from Idaho,

who spent eleven months working at the Library, bringing her extensive knowledge, creativity, and experience to TPS efforts to serve science teachers.

Young Readers Center (YRC)

Through the Young Readers Center, the Library provides our youngest visitors and their parents, caregivers, and teachers with on-site and online opportunities to connect with the Library, its collections and the larger literary world. In fiscal 2019, YRC programs and activities further incorporated TPS strategies and approaches, took greater advantage of technology to reach broader audiences and welcomed more than 43,000 visitors. In addition, staff reorganized the entirety of its 7,500 books to align the collections' content and overall collection policy with the larger Library's collections, divisions, resources, and services.

Author/Illustrator Programs

In fiscal 2019, as the YRC realigned its goals and mission with the newly created Center for Learning, Literacy, and Engagement, the YRC hosted twelve programs with authors and illustrators. Programs with authors John Cena and R.L. Stine drew significant attention, a program about James Baldwin's legacy invited teen audience members to celebrate the vast and varied materials and stories in the Library's digitized collections, and Children's Africana Book-Award Winning authors, as well KidsEuro Festival authors, presented programming that will serve as a precursor for Multicultural Event Series of FY20 and beyond. The YRC celebrated Children's Book Week and the launch of the Library's new Children's Book Selections digital collection with a major full-day live-streamed event, broadcast on the Library of Congress YouTube and Facebook channels, featuring local authors reading 20 of the featured books.

The YRC participated in larger Library of Congress initiatives by including a children's program with the Walt Whitman bicentennial celebration, co-hosting Main Reading Room Open House family activities with the Hispanic Division, and presenting a family program about animated films as part of the Library-wide Anime for All program series.

Family Days and Workshops

The YRC partnered with many experts in the Library to pilot various field trip and family-friendly primary source-based programming on weekends. Some highlights were: History of Printing Workshop (featuring 3D printing); Historic American Engineering Record Anniversary Family Day; Scratch coding workshop and Sing and Move Family Day created with TPS Teachers in Residence; and "What is a Library?," a series of field trips created with the Visitor Engagement Office.

Teen Board

The YRC Teen Board, now in its fifth year, engaged 30 students from four different DC public schools. At each of the Board's eight meetings, a guest speaker from one of the

Library's divisions, introduced the students to his/her job at the Library and shared items from the collections to pique student curiosity.

TPS-YRC Internship

The Learning and Innovation Office continued to support a TPS-YRC Internship opportunity to enable college students from across the country, familiar with the TPS program, to serve a semester-long internship in the Library's YRC, working with staff to develop primary source-based, hands-on activities for visitors. In fiscal 2019, TPS welcomed interns from Florida and California.

National Book Festival Participation

Learning and Innovation Office staff and volunteers engaged thousands of visitors in hands-on activities and games featuring facsimiles of primary sources from the Library's collections at the 2019 National Book Festival.

Literacy Awards Program

In late fiscal 2019, the Library's Literacy Awards program became part of the Learning and Innovation Office. This enabled TPS experience and expertise to influence and inform planning for the fall 2019 Best Practices Conference.

Future Growth and Development

In fiscal 2020, as part of the Learning and Innovation Office in the new Center for Learning, Literacy and Engagement, TPS will continue to be a leader and key participant in the national conversation on K-12 education, and TPS will continue to contribute to conference panels, program boards, educational publications, and wherever primary-source-based learning and student research are topics of discussion.

Preparing for a program impact study in 2021 will be a priority this fiscal year. Defining impact and determining how to both measure and describe it will be incorporated into the following TPS goals for fiscal 2020:

Professional Learning Opportunities

- Emphasize work with, and opportunities for, civics and science teachers, including hosting a Civics Teacher in Residence and our second Einstein Fellow;
- Pilot-test innovative collaborations with colleagues from across the Library;
- Increase alignment of program areas and approaches, ensuring more "collection connections";
- Create opportunities for Literacy Award Winners and Honorees to learn more about the Library and its collections—and ways to incorporate TPS strategies into literacy programs;
- Increase the diversity of programs (both in terms of participants and content), to reach a larger audience; and
- Expand the Library's online outreach to educators, librarians, and students.

Learning Resources and Research

- With strategic TPS partners, co-develop teacher resources that address the needs of specific audiences: Civics, History, Language Arts, and STEM teachers; and Social Studies Methods professors.
- Develop and utilize mobile products to increase awareness of the Library's collections and strategies for teaching with primary sources.
- Develop new tracking and reporting mechanisms and create strategies for discerning the impact of the TPS program; and

In fiscal 2021, TPS will lead the Library's efforts to engage, inspire, and inform teachers and librarians—and will harness its expertise in primary source-based teaching strategies to expand Library-wide initiatives serving early researchers and literacy champions.

Through primary source-based programs, publications, innovative on-site experiences, and creative online initiatives, the team will engage audiences in creating and sharing knowledge; inspire a love of reading and research; and inform learners about the mission, functions, and collections of the Library.

APPENDIX H: Copyright Office - Estimated Value of Materials Transferred to the Library Fiscal 2019

Estimated Value of Materials Transferred to the Library of Congress, Fiscal 2019

| Category of Work | Registered works transferred | Non-registered works transferred | Total works transferred | Average Unit Price | Value of works transferred |
|---|------------------------------|----------------------------------|-------------------------|--------------------|----------------------------|
| Books | 126,080 | 175,625 | 301,705 | | \$23,965,075 |
| <i>Book-hardbound</i> | 45,712 | 18,104 | 63,816 | \$105.80 | 6,751,733 |
| <i>Book-softbound</i> | 80,366 | 17,866 | 98,232 | 41.84 | 4,110,027 |
| <i>e-books (Pro Quest)</i> | 0 | 20,234 | 20,234 | 5.50 | 111,287 |
| <i>e-books (special relief)</i> | 2 | 119,421 | 119,423 | 108.79 | 12,992,028 |
| Serials | 67,556 | 319,039 | 386,595 | | 26,182,045 |
| <i>Periodicals</i> | 67,548 | 198,984 | 266,532 | 55.93 | 10,434,994 |
| <i>Newspapers</i> | 8 | 22,320 | 22,328 | 1.50 | 23,444 |
| <i>eSerials</i> | 0 | 97,735 | 97,735 | 160.88 | 15,723,607 |
| Microforms | 343 | 1,628 | 1,971 | | 295,373 |
| <i>Microfilm</i> | 341 | 1,628 | 1,969 | 150.00 | 295,350 |
| <i>Microfiche</i> | 2 | 0 | 2 | 11.61 | 23 |
| Motion Pictures | 3,092 | 11 | 3,103 | | 737,769 |
| <i>Film-35mm/70mm/IMAX</i> | 15 | 7 | 22 | 14,969.12 | 329,321 |
| <i>Film 16mm</i> | 0 | 0 | 0 | 1,500.00 | 0 |
| <i>Videotape</i> | 3,077 | 4 | 3,081 | 132.57 | 408,448 |
| CD/DVDs | 29,939 | 1,082 | 31,021 | 25.00 | 775,525 |
| Printed Music | 1,846 | 495 | 2,341 | 71.31 | 166,937 |
| Maps | 188 | 33 | 221 | 55.70 | 12,310 |
| Prints, Posters, Photographs, Works of Art | 422 | 48 | 470 | 45.27 | 21,277 |
| Total | 229,466 | 497,961 | 727,427 | | \$52,156,311 |

1 As of 2010, categories were changed to match format codes in the Copyright Office's eCO system. Newspapers and Film-35mm/70mm/IMAX that year showed substantially fewer works than in previous years where an arithmetical calculation was used. Books and serials showed an increase, partly due to counting published Dramas under Books, as well as increased productivity in that year.

2 60 percent of "Books" are selected for the collections; 40 percent are used for the Library's exchange program.

3 In the "Serials" category, 70 percent of periodicals and newspapers are selected for the collections. For this reason the dollar amount in the value of works transferred column for periodicals and newspapers has been reduced by 30 percent. 100 percent of e-serials are selected.

4 The figure for non-registered "Periodicals" includes: (1) an estimate based on average loads in hampers delivered to Library processing and custodial divisions and (2) a count of serials issues checked in through the Copyright Acquisitions Division. For the estimated portion, there was an earlier change in physical method of delivery, which decreased the average amount per hamper. The figures above reflect a reasonable estimate of current receipts per hamper and are periodically reviewed.

5 Totals do not include certain e-books and e-serials for which online access is negotiated with publishers for the Library of Congress under section 407. In FY 2019 the Library was granted access to 508,560 e-books and 9,046 e-serials that are not included in the numbers in the table.

Copyright Office, Salaries and Expenses
Receipt Authority and Obligations, Fiscal 2016 – Fiscal 2021
(Dollars in Thousands)

| Authority/Obligations | 2016 Actuals | 2017 Actuals | 2018 Actuals | 2019 Actuals | 2020 Estimate | 2021 Estimate |
|--|-----------------|-----------------|-----------------|-----------------|------------------|------------------|
| Receipt Authority: | | | | | | |
| Offsetting collections credited to Copyright Basic program | \$30,000 | \$33,619 | \$35,218 | \$35,004 | \$39,218 | \$35,004 |
| Offsetting Collections - Prior Year Unobligated Balances credited to the Copyright Basic program | ... | \$6,179 | 2,260 | 2,686 | 4,003 | 3,000 |
| Filing fees and royalties credited to Licensing program from Cable, Satellite, and DART | 5,388 | 5,531 | 5,680 | 4,138 | 5,952 | 6,232 |
| Participation fees and royalties credited to CRJ program from Cable, Satellite, and DART | 389 | 398 | 407 | 473 | 530 | 546 |
| Estimated value of materials transferred to the Library | 35,629 | 40,821 | 47,592 | 52,156 | 53,000 | 54,000 |
| Total Receipt Authority | \$71,406 | \$86,548 | \$91,157 | \$94,457 | \$102,703 | \$98,782 |
| Obligations: | | | | | | |
| Pay | \$45,301 | \$47,071 | \$48,645 | \$47,715 | \$55,221 | \$54,753 |
| Other Obligations | 12,004 | 17,687 | 21,339 | 23,907 | 36,619 | 37,784 |
| Total Obligations | \$57,305 | \$64,758 | \$69,984 | \$71,622 | \$91,840 | \$92,537 |
| RATIO of Receipt Authority to Obligations | 125% | 134% | 130% | 132% | 112% | 107% |

APPENDIX I:

Copyright Office Modernization

The Library of Congress and U.S. Copyright Office (USCO) continue to implement the *Modified USCO Provisional IT Modernization Plan: Analysis of Shared Services, Support Requirements, and Modernization Efforts* (“Modified IT Plan”), submitted to the House and Senate Committees on Appropriations on September 1, 2017.

The Copyright Modernization Office (CMO), established on January 21, 2018, provides direction, collaboration and coordination with all stakeholders on behalf of the USCO in order to ensure that modernization activities are continuously aligned with USCO and Library of Congress strategic goals. CMO serves as the primary liaison with the Library of Congress Office of the Chief Information Officer (OCIO), and the two organizations collaborate closely on IT-related modernization activities. CMO also provides oversight of USCO program management, project management, data management, and business analysis.

The USCO and the Library are in the process of engaging an outside consulting firm to update the timeline for all technical and non-technical activities during the full five-year modernization period, including development of new systems to support document recordation, registration, statutory licensing, and public records searches. The updated timeline will identify milestones and dependencies, clearly delineate roles and responsibilities, and coordinate the availability of resources.

The USCO is pleased to report on the progress of the following projects currently underway.

Recordation Development

Development work is in progress on a new recordation system that will replace the current paper-based process. The USCO’s goal is to fully automate the intake, sorting, assignment, and examination of recordation claims. Under the direction and oversight of the OCIO, the recordation project is being developed using an agile software development methodology - an iterative development approach that typically delivers a functional system more quickly than traditional software development methods.

In fiscal 2019, development continued on a Recordation Minimum Viable Product (MVP), a version of the system with basic functionality. Multiple internal releases successfully delivered discrete, limited functionality for demonstration and validation purposes throughout the year. The USCO is planning for a limited public release of the

MVP so that feedback can be obtained for use in guiding continuing development.

Development of the new Public Record System

Development work began to replace the current system of copyright public records with a highly searchable, web-based catalog that integrates records of copyright registrations and recorded documents. The new system will house data from the past systems as well as current system. The goal of the system is to provide improved searchability of the Office’s copyright records, by facilitating user ability to view relationships between records and navigate between them, including locating submitted chain of title information for copyrighted works and associated files; offering both simple and advanced search capabilities and facets to help narrow search results; and allowing users to save, share or download public records. With the development and deployment of the new Public Record System, we should see an enhanced user experience which provides a more complete copyright record.

Registration Development

To prepare for the start of Registration development in fiscal 2020, the USCO conducted several activities during fiscal 2019 to collect and document Registration user needs. A notional list of business priorities was created to capture key system features and their precedence from the business perspective. This list has been used in discussion with OCIO to aid planning for technical activities. The USCO also facilitated road mapping sessions in the summer of 2019 that led to a high-level roadmap for the duration of the Registration development effort and a more detailed, feature level plan for the first full year of development.

Access to Historical Public Records

The USCO has the largest collection of records of copyright ownership in the world. The USCO is undertaking a comprehensive review of all of its pre-1978 (i.e. physical) public records to determine how best to preserve them digitally and make them searchable to the public online.

Virtual Card Catalog. The physical Copyright Card Catalog contains records of registrations, renewals, and transfers dating from 1870 through 1977. The USCO has scanned the entire catalog, resulting in approximately 41.5 million imaged records. The Virtual Card Catalog (VCC) makes full-color scans of cards available online for public searching

with drawer-level browsing. The March 2019 software release of the VCC added the remaining images (1870-1954) and completed the Card Catalog collection. The VCC has transitioned to operations and maintenance, however, USCO will also continue to enhance and update the system.

Scanning of Record Books. The USCO continues to scan its collection of Copyright Record Books. There are over 26,000 bound volumes of original copyright applications, including hand-written ledgers. These pre-1978 records present a unique perspective on creativity in America and abroad. In fiscal 2019, a pilot project was completed across a diverse sample of the collection. The results of the pilot will be incorporated into the strategic planning to refine the digitization production phase for this collection, which is scheduled to begin in fiscal 2020. Upon completion of this scanning project, we should be able to provide the copyright community with remote access to records that may help them determine the status of a pre-1978 copyrighted work.

The USCO has partnered with the Library's Federal Research Division (FRD) to perform and manage the metadata quality review process for digitized deliverables. Also, in fiscal 2019, the USCO initiated an agreement and collaborative effort with OCIO to develop a software tool, DLS Sampler, to provide efficient metadata quality review processes, and facilitate reporting of digitized deliverables for Record Books and cards. A minimal viable product of the DLS Sampler is targeted for release in the second quarter of fiscal 2020.

Scanning of Statements of Account. The USCO is also scanning paper and microfilmed Statements of Account (SOAs) submitted to the USCO Licensing Division from 1978 to 2017, with a goal of digitizing SOAs for preservation and online access. Nearly two-thirds of the SOAs had been scanned by the end of fiscal 2019.

Enterprise Copyright System Development

The cloud-hosted Enterprise Copyright System (ECS) will provide a more user-friendly platform for the public to transact services with the USCO, will offer streamlined processing internally for faster service delivery, and will be flexible enough to allow the USCO to continue to update its technology through time. The USCO intends that the ECS will not be limited to a particular system, technology, or methodology, but that it is fluid, flexible, and scalable.

In coordination with OCIO, the USCO recommended proceeding with a Request for Information (RFI)/Request for Proposals process to explore industry capabilities for the development of the ECS. To issue the RFI, OCIO is partnering with the General Services Administration (GSA) to leverage GSA's acquisition expertise, including the use of existing Federal agile contracting vehicles and creative contracting strategies.

Enterprise Copyright System User Interface

In fiscal 2019, the USCO continued a robust user outreach and research initiative focused on capturing and integrating feedback from actual USCO customers to inform the design of a user-centric interface for the ECS. A click-through presentation of the Registration interface was finalized, and usability testing was conducted to validate its design. Testing was also conducted to assess the usability and accessibility of the Recordation system. Feedback from this testing is incorporated by the technical team in preparation for the spring 2020 pilot launch. Work also commenced on a global design system, which will allow for a consistent look and feel across all components of the ECS.

Copyright Data Management

Data is central to the USCO's role as an office of public record. Strategic management of that data is necessary to meet the copyright community's needs for information that is authoritative, easily found, well described, secured, and managed across the entire enterprise.

In fiscal 2019, the USCO worked to complete the second phase of the Data Management Plan. This involved the finalization of the baseline plan, which describes how to define standards and processes, identify vulnerabilities, make data digitally enabled, and establish principles for the collection, storage, and analysis of data. This completed baseline plan both outlines the path forward for improving data integrity and integrating data across disparate databases and systems already in use and serves as the framework for the development and integration of modernized IT systems across the USCO, specifically the ECS.

A business intelligence (BI) tool was procured in fiscal 2019. Dashboards built with the BI tool will allow for greater data transparency and data-driven decision making by showcasing processes, identifying bottlenecks and gaps, and relaying key metrics and business related insights.

Additional Modernization Activities

In addition to IT development and related technical activities, the USCO is undertaking major efforts to address the process, organization, and people aspects of modernization.

Business Process Reengineering. Fiscal 2019 saw the initiation of the USCO's business process reengineering (BPR) effort. BPR will allow the USCO to look at its current processes, determine if they are effective, and recommend new methods and processes to reduce operational costs and improve business efficiencies. This effort will be continuous throughout the development process for the ECS.

Organizational Change Management. The USCO began an organizational change management (OCM) effort in fiscal 2019 to build an internal capability of continuous

change management. OCM involves developing key change management processes and documents, training USCO staff on change management practices, and strategic coaching on structuring and leading complex business transformation.

Organizational Analysis. To consider the organization and people aspects of modernization, the USCO engaged the Office of Personnel Management's Human Resources Solutions (OPM) to perform an organizational analysis and workload assessment. The first phase of OPM's work, conducted in fiscal 2019, involved an organizational assessment to identify strengths and weaknesses across the organization and provide information about organizational performance, and a workload analysis to inform FTE recommendations. OPM delivered a draft of its final report

in November 2019. The USCO is now reviewing the findings and determining how to implement key action items. In addition, the USCO will engage OPM in fiscal 2020 to conduct an in-depth classification review of supervisory and managerial positions and perform a succession risk analysis to identify short-term and long-term succession planning concerns.

Space Utilization Study. The USCO partnered with the Library's Integrated Support Services unit to conduct a space utilization study to evaluate current and future space needs based on evolving business requirements and processes, with the goal of ensuring that USCO's physical infrastructure is configured to fully support modernization. The USCO has reviewed the final report and is considering next steps.

APPENDIX J:

Fiscal 2020 - 2025 Facility Project Plan

The below five year list of facilities projects is a result of the strategic planning of the Architect of the Capitol (AOC) and Integrated Support Services (ISS) as to the facilities needs of the Library of Congress. These facility projects support the strategic direction of the Library through a methodical planning process for facility sustainment, modernization, new construction and, when necessary facility leasing. The AOC supports the planning and execution of the work presented here.

ISS is responsible for the day-to-day long-term management and oversight of facility operations, space utilization planning, occupational health, logistics, construction planning and management, asset management, and safety services. In partnership with the AOC, ISS ensures that Library buildings and grounds are maintained for staff, visitors, and the collections.

Multi-Year Facility Project Plan FY 2020-2025

| Category | Service Unit | Project Name | Project Scope | Stage | |
|--------------------|----------------|---|--|---|--------------|
| | | | Fiscal 2020 | | |
| Collection Storage | LAW | LAW Quad C Shelving Replacement | Replace existing limited function shelving system with moveable compact shelving. Phase 2 AoC sprinkler completed. Shelving activities underway. Received full funding for construction. The project is on schedule and on budget; all metrics are green. | Installation | |
| | LCSG | Ft. Meade Storage Module 6 | Module 6 is the first double-wide module at Ft. Meade and will provide approximately 24,500 SF permanent storage for processed and unprocessed collections and 2,232 SF general storage for collections support. | Construction | |
| | LCSG | Ft. Meade Storage Module 7 | Design and 100 percent construction documents for Module 7. Risk analysis and mitigation planning is complete. | Design | |
| | LCSG | Geography & Maps Room LM-B01 Phase 2, 3 and 4 | Phased project. Replace stationary shelving with large format compact mobile shelving to increase storage capacity in existing space. Each phase is approximately 5,000 SF. | Installation | |
| | LCSG | Prints & Photographs (P&P) South Vault | Annual Collection Storage Fund Budget project. Design requirements in review. Phased Project. LM-332 Prints & Photographs Collection Storage Area approximately 10,000 SF: Phase 1 of 2. Replace stationary shelving with large format compact mobile shelving to increase storage capacity in existing space. | Design/Installation | |
| | OCOO | Assessment for Compact Shelving | Evaluation and Selection -50K sq. ft./yr. | Design | |
| | OCOO | Installation of Compact Shelving | Installation of selected compact shelving | Installation | |
| | Public Spaces | OCOO | Exterior Wayfinding - Installation | Fabrication and Installation of the fully designed exterior wayfinding system | Installation |
| | | LCSG/LS | Performing Arts Reading Room | Update furniture, furnishings, and configuration of the Performing Arts Reading Room to consolidate and improve work functions and the patron experience. | Construction |
| | Infrastructure | AOC | Book Conveyor, James Madison Bldg (JMB) | Removing the book conveyor system and pneumatic messenger systems, and repairing all systems as required. | Construction |
| AOC | | East & West Pavilion Roof Replacement, Thomas Jeff Blg (TJB) - Construction | Replace the copper on the East and West main pavilion roofs. Phased construction, West roof is Phase I. | Repair | |
| AOC | | Elevator Modernization | JMB/John Adams Blg (JAB): MC 1-4, 13 & 14, JAB 13-14 (Red Core) | Construction | |
| AOC | | Emergency Lighting Upgrade, JAB | Upgrade emergency lighting and exit signage to comply with fire and life safety codes. | Construction | |

Multi-Year Facility Project Plan FY 2020-2025

| Category | Service Unit | Project Name | Project Scope | Stage |
|------------------|---------------------|--|---|---------------------|
| | AOC | JAB Garage Structural Repairs & Entry Improvements | Repair East and West entries to mitigate structural challenges associated with water infiltration. | Repair |
| | OCOO | Master Key System Upgrades | Replace existing key systems across Capitol Hill | Installation |
| | USCO | USCO Storage Facility at 1519 Cabin Branch | Design-Build lease 40L SF facility, including high-density storage, office space, and security. | Installation |
| | AOC | Energy Savings Performance Contract - design/build | To support the AOC's energy savings efforts, the jurisdiction is pursuing an Energy Savings Performance Contract to install high-efficiency facility infrastructure and equipment for minimal up-front investment. | Installation |
| | OCIO | JMMB Emergency Generator Replacement | The overall scope is for two generators and space for a future third. The project will include all electrical paralleling gear and load bank testing equipment. The decommissioned book conveyer shafts will be utilized for utility infrastructure. | Design |
| | LCSG/LS | LCSG/ NLS Relocation | NLS relocation to the Old Page Dorm, GPO Design Build, and Main Campus Study | Construction |
| | AOC | JMB 6th Floor Terrace Roof Replacement | Replace James Madison Bulg balcony roof with IRMA type roofing system with pavers. | Construction |
| | AOC | JMB Penthouse Roof Replacement | Replace JMB 6th floor and mechanical space roofs. | Construction |
| | AOC | Rain leader Replacement | Develop construction documents to complete the final phase of the leader replacement projects. Architecture/Engineering (A/E) will also update the as-built drawings to reflect installed conditions for completed sections. | Design |
| | AOC | TJB Sidewalk Lift upgrades | Upgrade electrical system for outdoor environment and add sealable doors. | Repair |
| | AOC | TJB Emergency Generator, Replacement | Replacement of emergency power generator and supporting infrastructure. | Construction |
| | AOC | TJB Exterior Envelope | Repair, repointing and cleaning. | Repair |
| | AOC | TJB Lighting Upgrade | Install code compliant emergency lighting throughout the Thomas Jefferson Building in restrooms, hallways, exhibit spaces, cafeterias, electrical rooms, mechanical rooms, elevator machine rooms and pedestrian tunnels. | Installation |
| | AOC | TJB North Exit Stair | New exit stair in the northeast stacks extending from the cellar to the top floor of the building and corrects common paths of travel violations and dead-end conditions to ensure that occupants are able to exit the building in an efficient and rapid manner. | Construction |
| | AOC | Assess Data Center Fire Suppression System - National Audio Visual Conservation Center (NAVCC) | Implement plan to replace fire suppression system in data center with a system designed for data centers, NAVCC. | Construction |
| | OCIO | Cell Phone DAS Upgrades | Replacement of equipment associated with the campus wide cell phone antennas. | Design |
| | AOC | JMMB Fire Alarm | This project will provide the complete design for a new, networked, distributed application, voice evacuation system and the completion of the addressable detection and monitoring device installations for the JMMB | Design/Installation |
| Work Environment | LIBN | TJB Visitors Experience | Execute Master Plan | Design |
| | CRS | CRS FDT Renovation | Design the reconfiguration of workspace for CRS' Foreign Affairs, Defense and Trade Division (FDT) in LM-309/317/319. | Design |
| | LIBN | LIBN North Curtain Reconfiguration | - | Design |
| | OCOO | CGD Office Reconfiguration (JAB) | LA-323 & LA-325 Space to accommodate 4 teams: 1 Supervisor, 2 Team Leads, and staff workstations. Swing Space Required | Installation |
| | OCOO | OCOO Swing Space & Print Shop Reconfiguration (JMB) | LM G14/G56. Reconfigure space to achieve efficiency and buildout as swing space. | Installation |

Multi-Year Facility Project Plan FY 2020-2025

| Category | Service Unit | Project Name | Project Scope | Stage |
|--------------------|--------------|---|--|---------------------|
| | USCO | COP Public Information and Education (PIE) | Expansion and renovation to accommodate additional staff for the Public Information and Education Office to include LM 453 and LM 401. | Installation |
| | USCO | COP REG Wall Repainting (JMB) | Register's Suite Wall Repainting to match recently areas renovated in fiscal 2016. LM-403 | Installation |
| | OCIO | OCIO Reconfigure LM G-51 (JMB) | Design LM G51 reconfiguration and fit out. Redesign office space for CIO staff in LMG51 to develop improved workflow and upgrade furniture and furnishings. | Design |
| | LCSG/LS | LCSG Deck 37 Renovation | Upgrade lighting, fire safety devices/systems, existing perimeter heating and cooling system. General office space upgrade with modular wall offices and systems furniture. Install new carpet and vinyl flooring. | Installation |
| | LCSG/LS | LCSG Integrated Library Systems (ILS) conference room (JAB) | Redesign conference room LA-302, keep existing tables and provide new chairs, pc tables, and wall-mounted interactive board with projector. | Installation |
| Fiscal 2021 | | | | |
| Collection Storage | LAW | LAW Quad B Shelving Replacement | Replace existing limited function shelving system with moveable compact shelving. | Design |
| | LCSG | Ft. Meade Storage Module 6 | Module 6 is the first double-wide module at Ft. Meade and will provide approximately 24,500 SF permanent storage for processed and unprocessed collections and 2,232 SF general storage for collections support. | Construction |
| | LCSG | Ft. Meade Storage Module 7 | Design and 100 percent construction documents for Module 7. | Construction |
| | LCSG | Ft. Meade Storage Module 8 | Design and 100 percent construction documents for Module 8. | Design |
| | LCSG | Geography & Maps Room LM-B01 Phase 2, 3 and 4 | Phased project. Replace stationary shelving with large format compact mobile shelving to increase storage capacity in existing space. Each phase is approximately 5,000 SF. | Installation |
| | LCSG | Photographs & Prints South Vault | Phased Project. LM-332 P&P Collection Storage Area approximately 10,000 SF: Phase 1 of 2. Replace stationary shelving with large format compact mobile shelving to increase storage capacity in existing space. | Design/Installation |
| | OCOO | Assessment for Compact Shelving | Evaluation and Selection -50K sq. ft./yr. | Design |
| | OCOO | Installation of Compact Shelving | Installation of selected compact shelving | Installation |
| Public Spaces | OCOO | Exterior Wayfinding - Installation | Fabrication and Installation of the fully designed exterior wayfinding system | Installation |
| | LCSG/LS | Performing Arts Reading Room | Update furniture, furnishings, and configuration of the Performing Arts Reading Room to consolidate and improve work functions and the patron experience. | Construction |
| Infrastructure | AOC | Book Conveyor, JMB | Removing the book conveyor system and pneumatic messenger systems, and repairing all systems as required. | Construction |
| | AOC | East & West Pavilion Roof Replacement, TJB - Construction | Replace the copper on the East and West main pavilion roofs. Phased construction, West roof is Phase I. | Repair |
| | AOC | Elevator Modernization | JMB/JAB: MC 1-4, 13 & 14, JAB 13-14 (Red Core) | Construction |
| | AOC | Emergency Lighting Upgrade, JAB | Upgrade emergency lighting and exit signage to comply with fire and life safety codes. | Construction |
| | AOC | JAB Garage Structural Repairs & Entry Improvements | Repair East and West entries to mitigate structural challenges associated with water infiltration. | Repair |
| | OCOO | Master Key System Upgrades | Replace existing key systems across Capitol Hill | Installation |
| | USCO | USCO Storage Facility at 1519 Cabin Branch | Design-Build lease 40L SF facility, including high-density storage, office space, and security. | Installation |
| | AOC | Energy Savings Performance Contract - design/build | To support the AOC's energy savings efforts, the jurisdiction is pursuing an Energy Savings Performance Contract to install high-efficiency facility infrastructure and equipment for minimal up-front investment. | Installation |

Multi-Year Facility Project Plan FY 2020-2025

| Category | Service Unit | Project Name | Project Scope | Stage |
|------------------|--------------|--|---|---------------------|
| | OCIO | JMMB Emergency Generator Replacement | The overall scope is for two generators and space for a future third. The project will include all electrical paralleling gear and load bank testing equipment. The decommissioned book conveyer shafts will be utilized for utility infrastructure. | Design |
| | LCSG/LS | LCSG/ NLS Relocation | NLS relocation to the Old Page Dorm, GPO Design Build, and Main Campus Study | Construction |
| | AOC | JMB 6th Floor Terrace Roof Replacement | Replace Madison balcony roof with IRMA type roofing system with pavers. | Construction |
| | AOC | JMB Penthouse Roof Replacement | Replace 6th floor and mechanical space roofs. | Construction |
| | AOC | Rain leader Replacement | Develop construction documents to complete the final phase of the leader replacement projects. A/E will also update the as-built drawings to reflect installed conditions for completed sections. | Design |
| | AOC | TJ Sidewalk Lift upgrades | Upgrade electrical system for outdoor environment and add sealable doors. | Repair |
| | AOC | TJB Emergency Generator, Replacement | Replacement of emergency power generator and supporting infrastructure. | Construction |
| | AOC | TJB Exterior Envelope | Repair, repointing and cleaning. | Repair |
| | AOC | TJB Lighting Upgrade | Install code compliant emergency lighting throughout the Thomas Jefferson Building in restrooms, hallways, exhibit spaces, cafeterias, electrical rooms, mechanical rooms, elevator machine rooms and pedestrian tunnels. | Installation |
| | AOC | TJB North Exit Stair | New exit stair in the northeast stacks extending from the cellar to the top floor of the building and corrects common paths of travel violations and dead-end conditions to ensure that occupants are able to exit the building in an efficient and rapid manner. | Construction |
| | AOC | Assess Data Center Fire Suppression System - NAVCC | Implement plan to replace fire suppression system in data center with a system designed for data centers, NAVCC. | Construction |
| | OCIO | Cell Phone DAS Upgrades | Replacement of equipment associated with the campus wide cell phone antennas. | Design |
| | AOC | JMMB Fire Alarm | This project will provide the complete design for a new, networked, distributed application, voice evacuation system and the completion of the addressable detection and monitoring device installations for the JMMB | Design/Installation |
| | LIBN | TJB Visitors Experience | Execute Master Plan | Construction |
| Work Environment | OCIO | OCIO Centralization Support | Multi; Develop high-level strategy for the centralization of OCIO offices and provide and executable design. | Design |
| | OCIO | OCIO Reconfigure LM G-51 (JMB) | Design LM G51 reconfiguration and fit out. Redesign office space for CIO staff in LMG51 to develop improved workflow and upgrade furniture and furnishings. | Design |
| | LCSG/LS | LCSG Deck 37 Renovation | Upgrade lighting, fire safety devices/systems, existing perimeter heating and cooling system. General office space upgrade with modular wall offices and systems furniture. Install new carpet and vinyl flooring. | Installation |
| | LAW | Law Library Supervisor Office Optimization | Optimize office space for GS-15 Supervisors and Senior Leaders. | Installation |
| | LCSG/LS | LCSG AFC-VHP reading room and work spaces in Jefferson Bldg. | Move to North Curtain of ground floor as part of the Visitor Experience Master Plan. Current AFC-VHP space in South Curtain will be repurposed for Youth Center activities. | Construction |
| | LCSG/LS | LCSG LJ-G42 CMD Consolidation | Consolidate 5 CMD and 2 RRS staff from the North Curtain. | Design |
| | LCSG/LS | LCSG Music Cataloging Room | Two Phased project: .Phase 1 - LM-110 vacant space will be converted into swing space for the Music Catalogers situated in LM -119A. Phase 2 - LM-119/119A will undergo renovation | Construction |
| | LCSG/LS | LCSG NAVCC - 3rd Floor Storage Space Lighting | Install lighting to meet OSHA standards in the Packard Campus 3rd floor storage space. | Installation |
| | LIBN | LIBN CRO New Office Furniture - 4 Offices | Furniture is at end of useful life; replace furniture and paint offices. | Installation |

Multi-Year Facility Project Plan FY 2020-2025

| Category | Service Unit | Project Name | Project Scope | Stage |
|--------------------|--------------|---|---|--------------|
| | LIBN | LIBN Master Control Lighting | Install track lighting; paint ceiling and walls. | Installation |
| | OCIO | OCIO Convert Storage Room to Office | Convert the records room to into an Office for staff. | Installation |
| | OCOO | OCOO Correct AHAP LA 522 | Inherit from LS unprioritized project. Non-Reading Room side of 5th FL. Old generation Steelcase panel base cover plates are failing due to over-use for cable management. Large bundle of voice/data cabling enter panel base cover plates directly from hole in building floor. Multiple panel base cover plates have voice/data jacks mounted directly on them. Add cable management. Increase number of voice/data cable connections to building floor. Problematic workstations are used as book truck parking areas, not occupied by staff. | Installation |
| | OCOO | OCOO OCFO Office Reconfiguration | LM-613 OCFO Reconfiguration | Design |
| | OCOO | OCOO Wellness Center Expansion - Design | Update HVAC and reconfigure rooms. | Construction |
| | OCOO | USCP Refresh | Upgrade LM-G40 USCP breakroom area including workstations and flooring. (JMB) | Installation |
| | USCO | COP CRB Hearing Room Redesign | Redesign and Expansion of Hearing Room LM 408. (JMB) | Design |
| | USCO | COP WIDE Restacking | Continue restacking effort to include remaining all Copyright divisions and offices based on recommendations from the COP Program of Requirements Study | Construction |
| | OCOO | Assessment for Facility Modernization | Evaluation and Selection -50K sq. ft./yr. | Design |
| | OCOO | Assessment for Facility Modernization | Evaluation and Selection -50K sq. ft./yr. | Construction |
| Fiscal 2022 | | | | |
| Collection Storage | LAW | LAW Quad B Shelving Replacement | Replace existing limited function shelving system with moveable compact shelving. | Installation |
| | LCSG | Ft. Meade Storage Module 7 | Design and 100% construction documents for Module 7. | Completion |
| | LCSG | Ft. Meade Storage Module 8 | Design and 100% construction documents for Module 8. | Design |
| | LCSG | Geography & Maps Room LM-B01 Phase 2, 3 and 4 (JMB) | Phased project. Replace stationary shelving with large format compact mobile shelving to increase storage capacity in existing space. Each phase is approximately 5,000 SF. | Installation |
| | LCSG | Prints & Photographs South Vault | Phased Project. LM-332 P&P Collection Storage Area approximately 10,000 SF: Phase 1 of 2. Replace stationary shelving with large format compact mobile shelving to increase storage capacity in existing space. | Construction |
| Public Spaces | OCOO | Assessment for Compact Shelving | Evaluation and Selection -50K sq. ft./yr. | Design |
| Infrastructure | OCOO | Installation of Compact Shelving | Installation of selected compact shelving | Installation |
| | LCSG/LS | Performing Arts Reading Room | Update furniture, furnishings, and configuration of the Performing Arts Reading Room to consolidate and improve work functions and the patron experience. | Construction |
| | AOC | Book Conveyor, JMMB | Removing the book conveyor system and pneumatic messenger systems, and repairing all systems as required. | Construction |
| | AOC | East & West Pavilion Roof Replacement, TJB - Construction | Replace the copper on the East and West main pavilion roofs. Phased construction, West roof is Phase I. | Repair |
| | AOC | Elevator Modernization | JMB/JAB: MC 1-4, 13 & 14, JAB 13-14 (Red Core) | Construction |
| | AOC | Emergency Lighting Upgrade, JAB | Upgrade emergency lighting and exit signage to comply with fire and life safety codes. | Construction |
| | AOC | JAB Garage Structural Repairs & Entry Improvements | Repair East and West entries to mitigate structural challenges associated with water infiltration. | Repair |
| | AOC | Energy Savings Performance Contract - design/build | To support the AOC's energy savings efforts, the jurisdiction is pursuing an Energy Savings Performance Contract to install high-efficiency facility infrastructure and equipment for minimal up-front investment. | Installation |

Multi-Year Facility Project Plan FY 2020-2025

| Category | Service Unit | Project Name | Project Scope | Stage |
|------------------|--------------|--|---|---------------------|
| | OCIO | JMMB Emergency Generator Replacement | The overall scope is for two generators and space for a future third. The project will include all electrical paralleling gear and load bank testing equipment. The decommissioned book conveyer shafts will be utilized for utility infrastructure. | Construction |
| | LCSG/LS | LCSG/ NLS Relocation | NLS relocation to the Old Page Dorm, GPO Design Build, and Main Campus Study | Construction |
| | AOC | JMB 6th Floor Terrace Roof Replacement | Replace Madison balcony roof with IRMA type roofing system with pavers. | Construction |
| | AOC | JMB Penthouse Roof Replacement | Replace 6th floor and mechanical space roofs. | Construction |
| | AOC | Rain leader Replacement | Develop construction documents to complete the final phase of the leader replacement projects. A/E will also update the as-built drawings to reflect installed conditions for completed sections. | Construction |
| | AOC | TJ Sidewalk Lift upgrades | Upgrade electrical system for outdoor environment and add sealable doors. | Repair |
| | AOC | TJB Emergency Generator, Replacement | Replacement of emergency power generator and supporting infrastructure. | Construction |
| | AOC | TJB Exterior Envelope | Repair, repointing and cleaning. | Repair |
| | AOC | TJB Lighting Upgrade | Install code compliant emergency lighting throughout the Thomas Jefferson Building in restrooms, hallways, exhibit spaces, cafeterias, electrical rooms, mechanical rooms, elevator machine rooms and pedestrian tunnels. | Installation |
| | AOC | TJB North Exit Stair | New exit stair in the northeast stacks extending from the cellar to the top floor of the building and corrects common paths of travel violations and dead-end conditions to ensure that occupants are able to exit the building in an efficient and rapid manner. | Construction |
| | AOC | Assess Data Center Fire Suppression System - NAVCC | Implement plan to replace fire suppression system in data center with a system designed for data centers, NAVCC. | Construction |
| | OCIO | Cell Phone DAS Upgrades | Replacement of equipment associated with the campus wide cell phone antennas. | Construction |
| | AOC | JMMB Fire Alarm | This project will provide the complete design for a new, networked, distributed application, voice evacuation system and the completion of the addressable detection and monitoring device installations for the JMMB | Design/Installation |
| | LIBN | TJB Visitors Experience | Execute Master Plan | Construction |
| Work Environment | LBN | Madison Atrium and Foyer Refurbishment - Design | Madison Atrium and Foyer Refurbishment options | Design |
| | LCSG/LS | LCSG Music Cataloging Room | Two Phased project: .Phase 1 - LM-110 vacant space will be converted into swing space for the Music Catalogers situated in LM -119A. Phase 2 - LM-119/119A will undergo renovation | Construction |
| | LCSG/LS | TJB Visitor's Experience Master Plan (VEMP) | Master Plan | Construction |
| | OCIO | OCIO Convert Storage Room to Office | Convert the records room to into an Office for staff. | Installation |
| | OCIO | OCIO Reconfigure Cubicles, LM 637 | Reconfigure cubicles (JMB) | Installation |
| | OCOO | OCOO OCFO Office Reconfiguration | LM-613 (JMB) OCFO Reconfiguration | Design/Installation |
| | OCOO | OCOO Wellness Center Expansion - Design | Update HVAC and reconfigure rooms. | Construction |
| | USCO | COP CRB Hearing Room Redesign | Redesign and Expansion of Hearing Room LM 408 | Design |
| | USCO | COP WIDE Restacking | Continue restacking effort to include remaining all Copyright divisions and offices based on recommendations from the COP Program of Requirements Study | Construction |
| | OCOO | Assessment for Facility Modernization | Evaluation and Selection -50K sq. ft./yr. | Design |

Multi-Year Facility Project Plan FY 2020-2025

| Category | Service Unit | Project Name | Project Scope | Stage |
|--------------------|---------------------|--|---|--------------|
| Fiscal 2023 | | | | |
| Collection Storage | OCCO | Assessment for Facility Modernization | Evaluation and Selection -50K sq. ft./yr. | Construction |
| | LAW | LAW Quad B Shelving Replacement | Replace existing limited function shelving system with moveable compact shelving. | Installation |
| | LAW | LAW Quad D Shelving Replacement | Replace existing limited function shelving system with moveable compact shelving. | Evaluation |
| | LCSG | Ft. Meade Storage Module 7 | Design and 100% construction documents for Module 7. | Completion |
| | LCSG | Ft. Meade Storage Module 8 | Design and 100% construction documents for Module 8. | Construction |
| Public Spaces | OCCO | Assessment for Compact Shelving | Evaluation and Selection -50K sq. ft./yr. | Design |
| Infrastructure | OCCO | Installation of Compact Shelving | Installation of selected compact shelving | Installation |
| | LCSG/LS | Performing Arts Reading Room | Update furniture, furnishings, and configuration of the Performing Arts Reading Room to consolidate and improve work functions and the patron experience. | Construction |
| | AOC | Book Conveyor, JMMB | Removing the book conveyor system and pneumatic messenger systems, and repairing all systems as required. | Construction |
| | AOC | JAB Garage Structural Repairs & Entry Improvements | Repair East and West entries to mitigate structural challenges associated with water infiltration. | Repair |
| | AOC | Energy Savings Performance Contract - design/build | To support the AOC's energy savings efforts, the jurisdiction is pursuing an Energy Savings Performance Contract to install high-efficiency facility infrastructure and equipment for minimal up-front investment. | Installation |
| | OCCO | JMMB Emergency Generator Replacement | The overall scope is for two generators and space for a future third. The project will include all electrical paralleling gear and load bank testing equipment. The decommissioned book conveyor shafts will be utilized for utility infrastructure. | Construction |
| | LCSG/LS | LCSG/ NLS Relocation | NLS relocation to the Old Page Dorm, GPO Design Build, and Main Campus Study | Construction |
| | AOC | JMB 6th Floor Terrace Roof Replacement | Replace Madison balcony roof with IRMA type roofing system with pavers. | Construction |
| | AOC | JMB Penthouse Roof Replacement | Replace 6th floor and mechanical space roofs. | Construction |
| | AOC | Rain leader Replacement | Develop construction documents to complete the final phase of the leader replacement projects. A/E will also update the as-built drawings to reflect installed conditions for completed sections. | Construction |
| | AOC | TJB Emergency Generator, Replacement | Replacement of emergency power generator and supporting infrastructure. | Construction |
| | AOC | TJB Exterior Envelope | Repair, repointing and cleaning. | Repair |
| | AOC | TJB Lighting Upgrade | Install code compliant emergency lighting throughout the Thomas Jefferson Building in restrooms, hallways, exhibit spaces, cafeterias, electrical rooms, mechanical rooms, elevator machine rooms and pedestrian tunnels. | Installation |
| | AOC | TJB North Exit Stair | New exit stair in the northeast stacks extending from the cellar to the top floor of the building and corrects common paths of travel violations and dead-end conditions to ensure that occupants are able to exit the building in an efficient and rapid manner. | Construction |
| | AOC | Assess Data Center Fire Suppression System - NAVCC | Implement plan to replace fire suppression system in data center with a system designed for data centers, NAVCC. | Construction |
| | OCCO | Cell Phone DAS Upgrades | Replacement of equipment associated with the campus wide cell phone antennas. | Construction |
| | AOC | JMMB Fire Alarm | This project will provide the complete design for a new, networked, distributed application, voice evacuation system and the completion of the addressable detection and monitoring device installations for the JMMB | Construction |
| Work Environment | LIBN | TJB Visitors Experience | Execute Master Plan | Construction |

Multi-Year Facility Project Plan FY 2020-2025

| Category | Service Unit | Project Name | Project Scope | Stage |
|--------------------|---------------------|--|---|--------------|
| | LBN | Madison Atrium and Foyer Refurbishment - Design | JMB Atrium and Foyer Refurbishment options | Design |
| | OCOO | OCOO OCFO Office Reconfiguration | LM-613 OCFO Reconfiguration (JMB) | Construction |
| | OCOO | OCOO Wellness Center Expansion - Design | Update HVAC and reconfigure rooms. | Construction |
| | USCO | COP CRB Hearing Room Redesign | Redesign and Expansion of Hearing Room LM 408 (JMB) | Design |
| | USCO | COP WIDE Restacking | Continue restacking effort to include remaining all Copyright divisions and offices based on recommendations from the COP Program of Requirements Study | Construction |
| | OCOO | Assessment for Facility Modernization | Evaluation and Selection -50K sq. ft./yr. | Design |
| Fiscal 2024 | | | | |
| Collection Storage | LAW | LAW Quad B Shelving Replacement | Replace existing limited function shelving system with moveable compact shelving. (JMB) | Installation |
| | LAW | LAW Quad D Shelving Replacement | Replace existing limited function shelving system with moveable compact shelving. (JMB) | Evaluation |
| | LCSG | Ft. Meade Storage Module 8 | Design and 100% construction documents for Module 8. | Construction |
| | OCOO | Assessment for Compact Shelving | Evaluation and Selection -50K sq. ft./yr. | Design |
| | OCOO | Installation of Compact Shelving | Installation of selected compact shelving | Installation |
| Public Spaces | LCSG/LS | Performing Arts Reading Room | Update furniture, furnishings, and configuration of the Performing Arts Reading Room to consolidate and improve work functions and the patron experience. | Construction |
| Infrastructure | AOC | Book Conveyor, JMMB | Removing the book conveyor system and pneumatic messenger systems, and repairing all systems as required. | Construction |
| | LCSG/LS | LCSG/ NLS Relocation | NLS relocation to the Old Page Dorm, GPO Design Build, and Main Campus Study | Construction |
| | AOC | JMB 6th Floor Terrace Roof Replacement | Replace Madison balcony roof with IRMA type roofing system with pavers. | Construction |
| | AOC | Madison Penthouse Roof Replacement | Replace 6th floor and mechanical space roofs. | Construction |
| | AOC | Rain leader Replacement | Develop construction documents to complete the final phase of the leader replacement projects. A/E will also update the as-built drawings to reflect installed conditions for completed sections. | Construction |
| | AOC | TJB Emergency Generator, Replacement | Replacement of emergency power generator and supporting infrastructure. | Construction |
| | AOC | TJB Exterior Envelope | Repair, repointing and cleaning. | Repair |
| | AOC | TJB Lighting Upgrade | Install code compliant emergency lighting throughout the Thomas Jefferson Building in restrooms, hallways, exhibit spaces, cafeterias, electrical rooms, mechanical rooms, elevator machine rooms and pedestrian tunnels. | Installation |
| | AOC | TJB North Exit Stair | New exit stair in the northeast stacks extending from the cellar to the top floor of the building and corrects common paths of travel violations and dead-end conditions to ensure that occupants are able to exit the building in an efficient and rapid manner. | Construction |
| | AOC | Assess Data Center Fire Suppression System - NAVCC | Implement plan to replace fire suppression system in data center with a system designed for data centers, NAVCC. | Construction |
| | OCIO | Cell Phone DAS Upgrades | Replacement of equipment associated with the campus wide cell phone antennas. | Construction |
| | AOC | JMMB Fire Alarm | This project will provide the complete design for a new, networked, distributed application, voice evacuation system and the completion of the addressable detection and monitoring device installations for the JMMB | Construction |
| | LIBN | TJB Visitors Experience | Execute Master Plan | Construction |
| | LBN | Madison Atrium and Foyer Refurbishment - Design | Madison Atrium and Foyer Refurbishment options | Design |

Multi-Year Facility Project Plan FY 2020-2025

| Category | Service Unit | Project Name | Project Scope | Stage |
|--------------------|---------------------|--|---|--|
| Work Environment | OCOO | OCOO Wellness Center Expansion - Design | Update HVAC and reconfigure rooms. | Construction |
| | USCO | COP CRB Hearing Room Redesign | Redesign and Expansion of Hearing Room LM 408 | Design |
| | USCO | COP WIDE Restacking | Continue restacking effort to include remaining all Copyright divisions and offices based on recommendations from the COP Program of Requirements Study | Construction |
| Fiscal 2025 | | | | |
| Collection Storage | OCOO | Assessment for Facility Modernization | Evaluation and Selection -50K sq. ft./yr. | Construction |
| | LAW | LAW Quad D Shelving Replacement | Replace existing limited function shelving system with moveable compact shelving. | Construction |
| | LCSG | Ft. Meade Storage Module 8 | Design and 100% construction documents for Module 8. | Construction |
| Public Spaces | OCOO | Assessment for Compact Shelving | Evaluation and Selection -50K sq. ft./yr. | Design |
| Infrastructure | OCOO | Installation of Compact Shelving | Installation of selected compact shelving | Installation |
| | LCSG/LS | Performing Arts Reading Room | Update furniture, furnishings, and configuration of the Performing Arts Reading Room to consolidate and improve work functions and the patron experience. | Construction |
| | LCSG/LS | LCSG/ NLS Relocation | NLS relocation to the Old Page Dorm, GPO Design Build, and Main Campus Study | Construction |
| | AOC | JMB 6th Floor Terrace Roof Replacement | Replace Madison balcony roof with IRMA type roofing system with pavers. | Construction |
| | AOC | JMB Penthouse Roof Replacement | Replace 6th floor and mechanical space roofs. | Construction |
| | AOC | Rain leader Replacement | Develop construction documents to complete the final phase of the leader replacement projects. A/E will also update the as-built drawings to reflect installed conditions for completed sections. | Construction |
| | AOC | TJB Emergency Generator, Replacement | Replacement of emergency power generator and supporting infrastructure. | Construction |
| | AOC | TJB Exterior Envelope | Repair, repointing and cleaning. | Repair |
| | AOC | TJB Lighting Upgrade | Install code compliant emergency lighting throughout the Thomas Jefferson Building in restrooms, hallways, exhibit spaces, cafeterias, electrical rooms, mechanical rooms, elevator machine rooms and pedestrian tunnels. | Installation |
| | AOC | TJB North Exit Stair | New exit stair in the northeast stacks extending from the cellar to the top floor of the building and corrects common paths of travel violations and dead-end conditions to ensure that occupants are able to exit the building in an efficient and rapid manner. | Construction |
| | AOC | Assess Data Center Fire Suppression System - NAVCC | Implement plan to replace fire suppression system in data center with a system designed for data centers, NAVCC. | Construction |
| | OCIO | Cell Phone DAS Upgrades | Replacement of equipment associated with the campus wide cell phone antennas. | Construction |
| | AOC | JMMB Fire Alarm | This project will provide the complete design for a new, networked, distributed application, voice evacuation system and the completion of the addressable detection and monitoring device installations for the JMMB | Construction |
| | LIBN | TJB Visitors Experience | Execute Master Plan | Construction |
| | Work Environment | LBN | JMB Atrium and Foyer Refurbishment - Design | Madison Atrium and Foyer Refurbishment options |
| USCO | | COP CRB Hearing Room Redesign | Redesign and Expansion of Hearing Room LM 408 | Construction |
| USCO | | COP WIDE Restacking | Continue restacking effort to include remaining all Copyright divisions and offices based on recommendations from the COP Program of Requirements Study | Construction |
| OCOO | | Assessment for Facility Modernization | Evaluation and Selection -50K sq. ft./yr. | Design |
| OCOO | | Assessment for Facility Modernization | Evaluation and Selection -50K sq. ft./yr. | Construction |

APPENDIX K:

Collection Storage Modules

The Library of Congress currently stores physical collections at several locations. Aside from the Capital Hill campus, the Library has facilities at Landover, Maryland; Cabin Branch, Maryland; and Ft. Meade, Maryland. The Copyright Office also stores deposits at Landover, Iron Mountain and NARA facilities. Current trends are to vacate the Landover Annex, continue to build storage modules on the 97 acres at Ft. Meade and in the transition period lease less expensive, more desirable space at Cabin Branch.

Ft. Meade Storage Module 5: Construction of the Library's fifth collection storage module at Ft. Meade is complete. The permanent Certificate of Occupancy was issued October 2017, and placement of collections is underway. Transfer of 1.2 million books from the Landover Center Annex (LCA) is complete. In December 2019, when transfer of 38,000 containers from the Cabin Branch facility is expected to be complete, Storage Module 5 will be filled to approximately 90 percent of capacity.

The completed facility provides approximately 12,750 square feet (SF) of secure, environmentally optimized storage for collections, including high-bay shelving, preservation quality heating, ventilation and air conditioning (HVAC), desiccant dehumidification and integrated fire protection systems. The facility achieves LC strategic objectives by enhancing storage and preservation of collections, expanding access, and modernizing operations.

Ft. Meade Storage Module 6: Design of Module 6 is complete and construction underway. The contract for construction, awarded in December 2018, is on schedule and on budget with completion scheduled in May 2021. Following integration of security systems and information technology, placement of collections is scheduled to begin in July 2021.

Storage Module 6 is the first double-wide module to be constructed at Ft. Meade, providing approximately 24,500 SF optimized for collections storage and approximately 2,200 SF general storage for collections support. The project also includes site work for future Storage Module 7, new roads and main entrance to the site, and many enhancements for sustainability.

Ft. Meade Module 7: Design, construction documents, and cost estimates for Storage Module 7 are complete. Third-party reviews required by the Government Accountability Office (GAO) for major projects are complete. It is anticipated that the Architect of the Capitol (AOC) will request funding for construction in fiscal year 2021.

When funded, Storage Module 7 will be the second doublewide module at Ft. Meade and will complete the

facility build-out to the west (future Library facilities are planned to the east). The facility includes 24,500 SF optimized for collections storage plus circulation, egress stairs, mechanical space, and new electrical service.

Collections Storage Facility at 1503 Cabin Branch: Design and construction of the 50,530 SF leased facility for interim storage of Library collections is complete. The permanent Certificate of Occupancy was issued in June 2017. The secure, environmentally conditioned facility is fully operational and transfer of collections underway. Pursuant to the interagency agreement, the AOC administers the lease and manages facility operations and maintenance.

Logistics Facility at 1505 Cabin Branch: Design and construction of the 56,121 SF leased facility to support Library logistics and general warehousing is complete. The permanent Certificate of Occupancy was issued in January 2018. Transfer of general storage from LCA, staff relocation and operational startup are complete. Pursuant to the interagency agreement, the AOC administers the lease and manages facility operations and maintenance.

The Logistics Services Division manages the Library's receiving and warehousing operations including receiving, storing, and delivering bulk merchandise such as equipment, furniture and supplies; managing inventory, and disposing of surplus property.

Copyright Deposits Facility at 1519 Cabin Branch: Pursuant to a request from the Librarian of Congress, the AOC in September 2019, leased a facility for interim storage of United States Copyright Office (USCO) deposits. The planned 40,000 SF facility will provide approximately 30,000 SF of secure, high-bay storage optimized for USCO deposits, plus space for receiving, processing and administrative operations.

When complete in 2020, the facility will provide capacity for interim storage of USCO deposits until a permanent storage solution is available. The plan and schedule supports the Library's strategy for vacating the Landover Collections Annex (LCA), and is a first step toward consolidation of USCO deposits currently stored in other locations (Iron Mountain and NARA). As with other Library facilities at Cabin Branch, the AOC will administer the lease and manage facility operations and maintenance.

Landover Collections Annex: The Library intends to vacate LCA in early calendar year 2022 assuming the construction of Ft. Meade Storage Module 6 is completed in late fiscal year 2021. In fiscal year 2019 the Library reduced the total occupied space at the facility by 25,000 SF.

APPENDIX L:

Performance Measures and Customer Service

Released in October 2019, the Library's new Strategic Plan, *Enriching the Library Experience*, defines a user-centered, digitally enabled, and data-driven direction forward that is focused on four strategic goals designed to support the Library's mission. Implementing this strategic plan will enable the Library to expose its vast collections and knowledge to more users, greatly increasing our impact. The Library of Congress' four strategic goals are to:

- **Expand Access.** Make our unique collections, experts, and services available when, where, and how users need them.
- **Enhance Services.** Create valuable experiences for every user to foster lifelong connections to the Library.
- **Optimize Resources.** Modernize, strengthen, and streamline our operational capabilities.
- **Measure Impact.** Use data to demonstrate our impact on the world around us, justify investment of resources by the American people, and share a powerful story.

Importantly, the Library included Measuring Impact as one of our four strategic goals. While measuring impact is an important component of work supporting the first three goals, the Library established this stand-alone goal to ensure investment in and attention to the efforts the Library is making to significantly strengthen our effectiveness and efficiency in all areas.

In support of the Library's Strategic Plan, the Library's Service Units and Centers (Units) developed internal management documents, termed *Directional Plans*. The Directional Plans define the priority work that will drive progress to the agency goals while also fulfilling unique Unit-specific

missions. This effort, completed in early 2019, was the first time in many years that each of the Library's Units provided plans in support of and aligned to the agency-wide strategic plan. Within these Directional Plans, each Unit identifies goals, objectives, and unit-level initiatives as well as designated agency-level priority initiatives. Importantly, the Units also articulate how they will track progress on their priority initiatives using impact-based measures. The Directional Plans are intended to be living management documents that feed other planning, reporting, and documentation needs, such as the establishment of annual performance goals and targets.

Regular evaluation and improvement are critical components to successful strategic plan implementation. The Library is continuing the work begun in 2017 to strengthen our performance management approach by reducing the number of output-based measures we use to track performance, shifting to more outcome and impact-oriented measures. Starting in fiscal 2020, Library leadership will rely upon a recently launched integrated performance management framework designed to track advancement to the Library's strategic goals. Using the measures articulated by Units within their Directional Plans and Units' annual performance goals and targets, agency-priority initiatives will be monitored and reported to the Library's Executive Committee.

Many of the measures identified by the Units within their Directional Plans rely on data and feedback collected from Library customers, or 'users'. This has led to an expansion of our work to collect, analyze, and make decisions from user feedback. With the new Strategic and Directional Plans in place, the Library will continue to build on that effort using new methods and activities, including user surveys. Through this outcome-focused, evidence-based approach, the Library will provide a more meaningful experience and improve the likelihood of achieving our vision of connecting all Americans to the Library of Congress.

APPENDIX M: NLS Modernization

Background

On March 3, 1931, the Pratt-Smoot Act became law, providing \$100,000 to be administered by the Library of Congress, fostering a book program for blind Americans beginning four months later on July 1, 1931. Now approaching its eighty-ninth year of service, the Library of Congress' National Library Service for the Blind and Print Disabled continues to innovate and adapt to meet the reading needs of blind and print disabled Americans across the nation and overseas.¹ Encompassing an institutional history that traverses phonographic records, cassette players and tapes, digital talking book machines and flash memory cartridges, and the internet, all the while continuing to supply hard copy braille materials, NLS sits at the precipice of an exciting digital future.

Digital Future

Over the next five to seven years, NLS will be striving to double the number of blind and print disabled patrons it serves with digital audio and braille content delivered via Wi-Fi or cellular systems directly to various digital devices, including braille eReaders and smart devices with voice user interface. This paradigm shift to a digitally based future state is driven by several factors: the 2015 Government Accountability Office (GAO) recommendations to modernize services and ease access;² the 2013 Marrakesh Treaty and 2018 Marrakesh Treaty Implementation Act; the aforementioned potential doubling of NLS patrons; and numerous legacy systems and service models that cannot support an expanded user base. NLS sits at an opportune time to modernize its business practices and IT infrastructure to continue to meet its congressionally-mandated mission.

Areas of Modernization

NLS is holistically modernizing in six main areas:

- an updated name change
- amended laws and regulations
- digital braille implementation
- new modern IT systems and business practices
- new digital devices for talking book delivery
- digital content delivery mechanisms and funding

1 NLS' mission is "[t]o provide books, magazines, musical scores, foreign language, locally produced materials and texts in braille and recorded formats to blind and print disabled individuals in the United States & U.S. citizens living abroad." Its Vision Statement is *That All May Read*.

2 GAO Report 16-355, "LIBRARY SERVICES FOR THOSE WITH DISABILITIES: Additional Steps Needed to Ease Access to Services and Modernize Technology," published April 4, 2016.

Last October the Librarian instituted an important name change for NLS modernizing its identity and allowing it to more properly identify itself with those it seeks to serve. The use of the term "print disabled" (i.e., "The National Library Service for the Blind and Print Disabled") now conforms NLS to the language agreed upon by the blind and Marrakesh communities domestically and internationally.

NLS has sought to harmonize its statutory authorization with the Marrakesh Treaty and Marrakesh Treaty Implementation Act, thereby conforming its terms of eligibility with those works, as well as now allowing NLS to participate in the cross-border exchange of material. NLS (via the Librarian's directive) will also take this opportunity to modernize its regulations related to the reading disabled community so that their eligibility is no longer tethered to the requirement to ascertain a medical doctor's certification.

NLS is also modernizing its braille delivery mechanisms for its braille reading patrons. While NLS also has and always will provide hard copy braille materials, it will increasingly provide braille via digital means via new eReader technology, or refreshable braille devices. Currently, NLS is moving ahead with research and pilot programs to finalize the optimal eReader option available.

Central to NLS' modernization is a systematic IT and business practices renovation and overhaul. NLS' IT modernization is situated within the Library's IT centralization efforts. This entails a new partnership between the Office of the Chief Information Officer (OCIO) and NLS to manage, design, develop, test, and implement new IT systems across the spectrum of NLS services and to-be-replaced legacy systems. These systems include:

- PICS (Production Inventory Control System)
- PICS-2
- BARD (Braille and Audio Reading Download)
- PIMMS (Patron Information Machine Maintenance System)
- Braille Digitization Program
- NLDB-2 (Network Library Database)
- XESS-2 (an excess book redistribution management system)
- WebReads (a reader enrollment and circulation system)
- MARS-LM (the data management system for NLS data)

- AAA (a single sign-on system for all NLS systems)
- Duplication on Demand (which provides duplication services of audio books and magazine cartridges to network libraries)

These systems span the reach of NLS IT services (i.e., content delivery, content production, library systems, marketing and communications, customer service, and functional enablers). In addition, NLS is creating a new Modernization Office within the Office of the Deputy Director to oversee many of these initiatives.

Integral to this future state is the new digital device for talking book delivery and the digital content delivery mechanism and funding. This next-generation system will feature audio (only) streaming, Braille and Audio Reading Download (BARD) connectivity, automatic Wi-Fi and hot spot searches, Voice User Interface (VUI), and Text to Speech (TTS) capabilities. The OCIO's continued efforts to move BARD to the cloud over the next three years is vital to the success of this new device. The new BARD will be cloud-based, scalable, and micro-targeted. Likewise, ensuring a cost effective means of

data delivery to these new devices is very important. NLS is conducting in-depth research on data delivery channels, quantity, and costs. Preliminary estimates are that once the new audio player is fully deployed – a process likely to take 5-7 years – NLS projects approximately 250,000 patrons requiring data connectivity, transmitting 120-135 terabytes of data per month, at a cost of about \$18 million per year.

Conclusion

All six of these areas of NLS modernization embody the Library's 2019-2023 Strategic Plan³ and NLS' own Directional Plan implementing that Master Plan. They focus on increasing the availability and discoverability of LOC materials, increasing access to those materials, elevating digital experiences, enhancing digital delivery, and modernizing services to patrons. By ensuring it is user centered, digitally enabled, and data driven, NLS continues to empower blind and print disabled Americans – Americans who, since 1931, have been able to *see* and *read* Jefferson's metaphorical library of memory, knowledge, and imagination - with the repository of human knowledge as seen in the Library's unparalleled collections.

3 https://www.loc.gov/static/portals/strategic-plan/documents/LOC_Strat_Plan_2018.pdf.

APPENDIX N:

Public Recommendations

Pursuant to the Good Accounting Obligation in Government Act, Pub. L. 115-414 (Jan. 3, 2019), the Library of Congress provides the following updates of open, public recommendations issued by the Government Accountability Office (GAO) and the Library of Congress Office of the Inspector General (OIG).

[Note: this chart relates to GAO or OIG reports issued prior to January 6, 2019. This chart reflects only the public recommendations from such reports that remain open at the time of this budget submission. Accordingly, the chart does not include any recommendations implemented by the Library and closed by the GAO or OIG, regardless of the report issue date. The Library does not have any “closed but unimplemented” recommendations to report.]

| Report Number | Report Title | Rec # | Recommendation | Status |
|----------------------------------|---|-------|---|---|
| GAO-15-315 (issued Mar. 2015) | Library of Congress: Strong Leadership Needed to Address Serious Information Technology Management Weaknesses | 17 | Establish and implement an organization-wide policy for developing cost estimates that includes key practices as discussed in this report. | In Q2 FY2019, the expected date of completion was changed to Q4 FY2019. The Library updated its cost estimating spreadsheet template to include cost type definitions and categories based on the Library's Technology Business Management (TBM) model. The Library also updated its project cost documentation template that includes additional guidance for conducting a project cost estimate including a Monte Carlo quantitative risk analysis. The Library will be submitting examples of projects as evidence. |
| GAO-15-315 (issued Mar. 2015) | | 18 | Establish a time frame for finalizing and implementing an organization-wide policy for developing and maintaining project schedules that include key practices as discussed in this report and finalize and implement the policy within the established time frame. | In Q2 FY2019, the expected date of completion was changed to Q4 FY2019. In order for the Library to demonstrate how agile projects can fulfill the spirit of GAO scheduling guidance, the Library facilitated a demonstration of a project as an example of agile implementation including a presentation of multiple agile project artifacts which were also submitted as evidence. GAO provided feedback on the evidence. The Library took corrective action to address GAO's feedback. Per agreement with GAO, the Library will provide a list of eight projects for GAO to choose from to verify the Library's implementation of scheduling best practices. |
| GAO-15-315 (issued Mar. 2015) | | 22 | Conduct comprehensive and effective security testing for all systems within the time frames called for by Library policy, including assessing security controls that are inherited from the Library's information security program. | In Q2 FY2019, the expected date of completion was changed to Q4 FY2019. The Library met with GAO in September 2019 to discuss progress. Additionally, numerous documents were submitted as evidence. GAO then requested final versions of the Ongoing Authorization Strategy and Continuous Monitoring Dashboards from the Library. In September 2019, the Library submitted the evidence to GAO for their review. |
| GAO-15-315 (issued Mar. 2015) | | 30 | Document and execute a plan for improving customer satisfaction with information technology services that includes prioritized improvement projects and associated resource requirements, schedules, and measurable goals and outcomes. | The Library completed draft written service improvement statements and continues requirements analysis to improve survey development, administration and reporting across all IT services. When completed, surveys will become the primary means of receiving and reporting customer feedback regarding service experience. Additional evidence submitted to GAO in October 2019. |

| Report Number | Report Title | Rec # | Recommendation | Status |
|---------------------------------------|---|-------|--|--|
| GAO-16-355 (issued Apr. 2016) | Library Services for those with Disabilities: Additional Steps Needed to Ease Access to Services and Modernize Technology | 1 | To ensure that it provides all eligible populations access to its services and that its eligibility requirements are consistent with currently accepted practices, the Library of Congress should re-examine and potentially revise its requirement that medical doctors must certify eligibility for the NLS program for those with a reading disability caused by organic dysfunction. | NLS' commissioned study of the issue was completed in November 2017. The Library has decided to change now, and will be changing more comprehensively in the future, the process of certifying eligibility for people with a reading disability to ease access. The Library has requested, and Congress is considering, a legislative amendment to conform NLS' statute to the newly enacted section of copyright law, which expands the definition of "eligible person" for U.S. copyright exceptions relating to reproductions in accordance with the Marrakesh Treaty Implementation Act. If the NLS statute is amended, the Library plans to amend its regulations to adopt the new definition of "eligible person" and broaden the list of acceptable certifying authorities. These future developments are dependent on the Library's and NLS' information technology infrastructures having the capacity to handle increased demands for service. To study the actual impact of such changes, the Library has initiated a two-state pilot project (in Texas and Pennsylvania) with the results informing the current three-phase implementation plan. NLS has included funding requests in the FY20 budget to support the initial IT infrastructure upgrades. In the 10/16/19 letter to GAO, the Library requested this recommendation be closed. |
| GAO-16-355 (issued Apr. 2016) | | 3 | To help it determine the most cost-effective approach for its next audio player, NLS should comprehensively assess the alternatives of designing its own specialized audio player versus providing commercially available players to its users. | NLS continues to study the options of using a commercial product for the next generation of digital talking book device. NLS commissioned an in-depth evaluation of the feasibility of using commercial products and an analysis of existing solutions for usability, lifecycle costs, operations and maintenance effort, and durability. That recommendation (completed in November 2017) suggested commercial off the shelf (COTS) digital devices or locked-down smartphones with specialized software were feasible. NLS envisions a new paradigm for its next generation delivery system using COTS digital devices programmed with specialized software and using the emerging voice user interface technology. NLS has contracted for an evaluation of the effectiveness of using such devices and to what extent accessories (such as speakers and docking stations) would be required to meet patrons' needs. NLS is planning several additional projects to study acceptance, discoverability and usability of recommended devices and exploring options for data delivery to such devices (recognizing shifting costs from mail to internet with associated data delivery costs). NLS expects the results of this study by FY21. In the 10/16/19 letter to GAO, the Library requested this recommendation be closed. |
| OIG-2013-IT-105 (issued Feb. 2015) | Maturity of System Development Life Cycle Processes and Procedures | 4 | Establish budget methodology to track project development costs and measure variances against approved costs. | In March 2019, the Library submitted project FTE cost variance reports for Q1 FY2019 to OIG for review and closure. Following meetings with OCIO and OIG, OIG is drafting additional clarification for OCIO's review and next steps. The estimated date of completion will be determined when the additional clarification from the OIG is received. |

| Report Number | Report Title | Rec # | Recommendation | Status |
|------------------------------------|--|-------|--|---|
| OIG-2014-IT-101 (issued Mar. 2015) | Design of Library-wide Internal Controls for Tracking Information Technology Investments | V.1.A | Align current cost development processes for IT investments to coincide with requirements for OMB reporting, such as the use of an earned value management system to track costs on high risk projects, as discussed in Capital Programming Guide, V.3.0, Supplement to OMB Circular A-11: Planning, Budgeting, and Acquisition of Capital Assets. | OCIO has begun adopting selected sections of OMB guidance to eight Major IT Investments approved by the Technology Strategy Board (TSB). The OCIO's FY 2020 IT Finance Plan provides OCIO planned staff hour estimates for each major IT Investment, along with planned non-personnel cost estimates. The first draft of the FY 2020 IT Finance Plan was published and distributed to the TSB. Finalization of the FY 2020 IT Finance Plan is within 30 days of FY 20 budget enactment to ensure the plan is synced with the Financial Services Directorate (FSD)'s spend plan lock process. Completion is subject to budget enactment. |
| OIG-2014-IT-101 (issued Mar. 2015) | | V.1.B | Implementation of these practices may require procedural changes used by the service units for reporting expenditures and systemic modifications to the Library's financial system (Momentum) and budget system (Clarity) used for tracking costs. | OCIO worked with FSD to conduct quality reviews of FY 2018 data in Momentum and to extract data from its reporting systems to include FRS and LCBS. Quality review and adjustments of the FY 2018 data has been completed. The FY18 IT Expenditure (Obligation) Report is anticipated to be completed by the fourth quarter FY 2019. OCIO continues to work with FSD to conduct quality reviews of FY 2019 data. The estimated date of completion of improved financial tracking using a TBM tool is the fourth quarter of FY 2021. |
| OIG-2014-IT-101 (issued Mar. 2015) | | V.2.C | Institute better tracking of IT investments through changes in Momentum and Clarity financial systems. | OCIO worked with FSD to conduct quality reviews of FY 2018 data in Momentum and to extract data from its reporting systems to include FRS and LCBS. Quality review and adjustments of the FY 2018 data has been completed. The FY18 IT Expenditure (Obligation) Report is anticipated to be completed by the fourth quarter FY 2019. OCIO continues to work with FSD to conduct quality reviews of FY 2019 data. The estimated date of completion of improved financial tracking using a TBM tool is the fourth quarter of FY 2021. |

| Report Number | Report Title | Rec # | Recommendation | Status |
|------------------------------------|--|-------|---|--|
| OIG-2014-PA-101 (issued Apr. 2015) | The Library Needs to Determine an eDeposit and eCollections Strategy | 1 | To become more cost efficient and to ensure that eCollection activities are meeting the Library's strategic business objectives, the Library needs an overarching, transformative eCollections Strategy for collecting electronic works that: groups programs, projects, and other IT work together to facilitate effective portfolio management of activities related to collecting electronic works, including born-digital works; identifies the Library's organizational priorities related to these programs and projects and other IT work, makes investment decisions, and allocates resources accordingly; and focuses on meeting common requirements that span across the Library's service units. | As reported in the OIG's March 2019 Semi Annual Report (SAR), this recommendation was under review by the OIG. The Library and OIG met on 9/30/19 to discuss next steps to achieve closure of the eDeposit and eCollections recommendations. The Library provided evidence of: (1) current Library of Congress Collections Policy Statements, which include digital assets and proof that digital collecting is part of overarching Library collections strategies; (2) the Digital Collecting Plan Targets, which include references to the Digital Collecting Strategy Framework and Digital Collecting Plan adopted in June and December of 2016, respectively, and provides the current status updates and revisions to targets as of August 2019; and (3) the updated Digital Collecting Plan matrix, which maps each target from the plan to a Library strategic objective and goal and tracks project completion. The Library will determine the extent to which existing documentation may be aligned with project management best practice guidance pursuant to recent OIG requests and will provide either concerns regarding adoption of such standards for this subject or supplemental documentation. |
| OIG-2014-PA-101 (issued Apr. 2015) | | 2 | The Librarian should require the Architecture Review Board to: ensure that the eCollections Strategy and related activities are sufficiently addressed in the Enterprise Architecture's current or "as-is" environment, the target or "to-be" environment, and the roadmap leading from the "as-is" to the "to-be" environment; sufficiently address and reduce the risk of implementing duplicative, poorly integrated, and unnecessarily costly eCollection activities; and sufficiently address the need for "robust security" to prevent "loss, alteration, and unauthorized access" of eCollections items. | In September 2019, the Library submitted IT strategic, IT planning processes and IT directional documentation as evidence to the OIG for closure. |

| Report Number | Report Title | Rec # | Recommendation | Status |
|------------------------------------|--|-------|---|---|
| OIG-2014-PA-101 (issued Apr. 2015) | The Library Needs to Determine an eDeposit and eCollections Strategy | 4 | The Librarian should take the following steps to implement better governance and accountability in order to ensure timely implementation of the Librarian's vision to acquire digital works: create a mechanism for the Librarian and his immediate leadership team to receive executive-level reports on a regular basis on eCollection activities, mandate their review, and take timely action as necessary to ensure that such activities stay in-line with the Librarian's vision and with senior leadership's cost schedule, and performance expectations; provide greater clarity on the role of the Executive Committee in monitoring and overseeing cross-cutting IT programs; and ensure the Executive Committee's consistent involvement, support, and oversight of the eDeposit Program and the eSerials Project. | As reported in the March 2019 SAR, this recommendation was under review by the OIG. The Library and OIG met on 9/30/19 to discuss next steps to achieve closure of the eDeposit and eCollections recommendations. The Library provided evidence of: (1) current Library of Congress Collections Policy Statements, which include digital assets and proof that digital collecting is part of overarching Library collections strategies; (2) the Digital Collecting Plan Targets, which include references to the Digital Collecting Strategy Framework and Digital Collecting Plan adopted in June and December of 2016, respectively, and provides the current status updates and revisions to targets as of August 2019; and (3) the updated Digital Collecting Plan matrix, which maps each target from the plan to a Library strategic objective and goal and tracks project completion. The Library will determine the extent to which existing documentation may be aligned with project management best practice guidance pursuant to recent OIG requests and will provide either concerns regarding adoption of such standards for this subject or supplemental documentation. |
| OIG-2014-PA-101 (issued Apr. 2015) | | 5 | ITSC does not have the necessary data to align information technology goals, objectives, and priorities with the strategic needs and plans of the Library. The Librarian should do the following to correct this: direct the Chief Financial Officer (CFO) to provide information on the full universe of IT investments budgeted in each fiscal year for eCollection activities to the ITSC on an ongoing basis, as well as provide actual year-to-year costs for budget versus actual comparisons; require ITSC to formulate approval and monitoring criteria that align with the Library's organizational priorities as stated in an eCollections Strategy and associated enterprise architecture, as well as with common requirements spanning the Library's service units for ingesting and protecting electronic works; and require the chair of the ITSC to report regularly to the Librarian, his designee, and/or the EC about ITSC decisions and oversight issues related to the schedule, cost, and performance of eCollection activities. | As reported in the March 2019 SAR, this recommendation was under review by the OIG. The Library and OIG met on 9/30/19 to discuss next steps to achieve closure of the eDeposit and eCollections recommendations. The Library provided evidence of: (1) current Library of Congress Collections Policy Statements, which include digital assets and proof that digital collecting is part of overarching Library collections strategies; (2) the Digital Collecting Plan Targets, which include references to the Digital Collecting Strategy Framework and Digital Collecting Plan adopted in June and December of 2016, respectively, and provides the current status updates and revisions to targets as of August 2019; and (3) the updated Digital Collecting Plan matrix, which maps each target from the plan to a Library strategic objective and goal and tracks project completion. In addition, the Library submitted evidence in November 2018, to the OIG relating to the Library's ITIM processes and oversight boards. The Library will determine the extent to which existing documentation may be aligned with project management best practice guidance pursuant to recent OIG requests and will provide either concerns regarding adoption of such standards for this subject or supplemental documentation. |

| Report Number | Report Title | Rec # | Recommendation | Status |
|------------------------------------|--|-------|--|--|
| OIG-2014-PA-101 (issued Apr. 2015) | | 6 | To improve the organizational and financial management of its eCollection activities, the Librarian needs to require that service units adopt and implement Library-wide best practices for standardizing program and project management to increase the likelihood of delivering effective digital transformations on time and on budget; and collect, track, and use quantitative data demonstrating variances in project delivery and investment targets to inform management oversight and reporting, including budget, planning, and investment decision-making going forward. This information should be used as part of the Library's performance management process. | As reported in the March 2019 SAR, this recommendation was under review by the OIG. The Library and OIG met on 9/30/19 to discuss next steps to achieve closure of the eDeposit and eCollections recommendations. The Library provided evidence of: (1) current Library of Congress Collections Policy Statements, which include digital assets and proof that digital collecting is part of overarching Library collections strategies; (2) the Digital Collecting Plan Targets, which include references to the Digital Collecting Strategy Framework and Digital Collecting Plan adopted in June and December of 2016, respectively, and provides the current status updates and revisions to targets as of August 2019; and (3) the updated Digital Collecting Plan matrix, which maps each target from the plan to a Library strategic objective and goal and tracks project completion. In addition, the Library submitted project full-time-equivalent cost variance reports for the second quarter of FY2019 to OIG in March 2019. The Library will determine the extent to which existing documentation may be aligned with project management best practice guidance pursuant to recent OIG requests and will provide either concerns regarding adoption of such standards for this subject or supplemental documentation. |
| OIG-2014-PA-101 (issued Apr. 2015) | The Library Needs to Determine an eDeposit and eCollections Strategy | 7 | For all technology investments, the Librarian should: (1) require service units and sponsors of significant IT investments (regardless of funding source) to complete a business case document that demonstrates how each IT project would meet organizational needs; outlines benefits, estimated costs, and risks, including the results of a cost-benefit analysis; and establishes a preliminary schedule for implementation; (2) require the business case document to be submitted to the ITSC for review during an early phase of product development and require the business case to be periodically reviewed and verified by ITSC with respect to the business need(s) being supported; (3) direct the CFO to develop the capability to fully project, capture, and track the actual costs of IT-related activities, including payroll costs; (4) and require the Strategic Planning Office or another unit to develop the capability for the Librarian and his immediate leadership team to monitor significant IT investments across the Library's various planning, budgeting, program/project management, and financial accounting systems to reveal inefficiencies and ineffectiveness in order to address problems in a timely manner. | The Library established regulations, directives and standard forms to implement IT Investment Management across the Library as noted in the March SAR, which largely addressed this recommendation. The Library has updated its IT governance structure and workflows to include multi-year investment information, to improve lifecycle cost estimates, and to improve implementation scheduling. See also response to 2014-PA-101, recommendations 1, 4, 5, and 6. |

| Report Number | Report Title | Rec # | Recommendation | Status |
|---|----------------------|---|--|---|
| Annual Financial Audit Recommendations | | | | |
| 2018-FN-101 | FY18 Financial Audit | 1 NFR # 2018-F06-1 (modified repeat of 2017-F06) | Complex Financial Reporting Process. Perform an analysis of current financial reporting processes to identify any complex processes that could be simplified or eliminated, to include an analysis on how transactions are reported in the financial reporting system. If the FSD does not have the bandwidth to perform such an analysis, it should consider hiring an outside consultant with expertise and knowledge of best practices in Federal financial reporting processes. | <p>The Library contracted for a review of chart of accounts in the legislative branch financial management system (LBFMS) and for: uses for creation of financial reports, documentation of external financial reports, and map General Ledger accounts to reports. The contractors will provide analyses on methods to simplify Library processes by 7/31/20.</p> <p>The Library contracted for an analysis of its current financial reporting processes with the aim to streamline and gain efficiencies in accordance with Government best practices in the following areas: -investments. (Contract completed Q1 2019.) -assets. (Library CFO Advisory Group created a team to address asset process.) -FEDLINK AP accrual. (In March 2019, the Library drafted a standard operating procedure to document processes and basis for using start date of order period of performance as the effective delivery point for serials and information retrieval services. A contractor validated that the "negative confirmation" method used by FEDLINK is a recognized accounting standard in October 2019. Actions completed.) -GTAS -AWF -reports and schedules.</p> <p>Investments - see status of 2018-FN-101, 5 & 6.</p> <p>Assets and GTAS - ongoing; the Financial Reports Office (FRO) is performing a benchmark analysis with other agencies and currently reviewing results.</p> |
| 2018-FN-101 | | 2 NFR# 2018-F06-2 (modified repeat of 2017-F06) | Complex Financial Reporting Process. Once financial reporting processes are reviewed and simplified, where possible, document all steps needed to report financial transactions in desk guides or procedures documents. | FRO documenting procedures as needed. Workflows are included in the contract identified in 2018-FN-101, 1. |

| Report Number | Report Title | Rec # | Recommendation | Status |
|---------------|----------------------|--|---|--|
| 2018-FN-101 | FY18 Financial Audit | 3 NFR# 2018-F06-3 (modified repeat of 2017-F06) | Complex Financial Reporting Process. Perform an assessment of who should be performing the processes, such that procedures are pushed down to the lowest level feasible to allow for a detailed review below the management level, where possible. | <p>The Library contracted for an assessment of tasks to streamline processes and determine appropriate level for review. The contract will be completed and the contractor's assessment available for Library review on 7/31/20.</p> <p>The Financial Services Directorate (FSD) staff completed competency assessments in mid-May 2019 and results were analyzed in mid-summer. FRO continues to review processes to document in standard operating procedures and desk guides and identify skill gaps and positions needed in FRO.</p> <p>Vacancy announcements were posted for three accountants. FSD anticipated completing the interviews by August 2019 with new hires in Q1 FY19.</p> <p>FRO is reviewing over 700 tasks to identify the receiving agency /unit, accounting function and purpose of task. The goal is to eliminate duplication and unnecessary tasks to gain efficiencies, identify alternative processes to streamline work, and to create clearly defined job descriptions by September 2019.</p> |
| 2018-FN-101 | | 4 NFR# 2018-F06-4 (modified repeat of 2017-F06) | Complex Financial Reporting Process. Develop and establish high-level analytical procedures at the supervisor and manager level to facilitate the identification and correction of errors in financial reporting processes. | See the status for 2018-FN-101, 3. In addition, FSD received proposals for possible collaboration and task management tools. |

| Report Number | Report Title | Rec # | Recommendation | Status |
|---------------|----------------------|--|---|---|
| 2018-FN-101 | | 5 NFR # 2018-F05-1 (modified repeat of 2017-F05 & 2016-F04) | Improper Reporting of Investment Gains and Losses. Establish and document procedures to record corrections, including prior-period corrections, in accordance with United States Standard General Ledger (USS-GL) guidance. The Library should use these procedures to ensure that corrections posted to the financial management system are properly reflected on the Balance Sheet, Statement of Changes in Net Position, and Statement of Budgetary Resources, as well as that current period results are not impacted by prior-period adjustments. | <p>The Library contracted for an outside accounting firm to review the Library's investment processes and general ledger posting models for investments and to provide recommendations for a future state. The contract was completed in Q1 2019 and an internal team is working on implementation. The internal team is scheduled to complete clean up of investment posting models in Q4 2019.</p> <p>The Library is in the process of gathering benchmark information relating to best practices from other agencies.</p> <p>The Library has not been able to identify potential software tools available to streamline the process but will continue searching.</p> |
| 2018-FN-101 | FY18 Financial Audit | 6 NFR # 2018-F05-2 (modified repeat of 2017-F05 & 2016-F04) | Improper Reporting of Investment Gains and Losses. Establish and document procedures to perform a quarterly reconciliation of non-Treasury investments to include reconciling all GL accounts related to investments and realized and unrealized gains and losses. As part of the quarterly reconciliation, Library personnel should compare the market value of investment per statements received from the financial institutions with the investment balance recorded in the financial system. Any difference noted in the market value should be recorded as an adjustment to the balance of GL account Market Adjustment - Investments and the unrealized gain or loss accounts. The Library should also use this reconciliation to ensure the appropriate historical cost and current market value amounts are recorded in memo accounts used to create the investment footnote that accompanies the financial statements and to ensure that current-period realized and unrealized gains and losses are properly reported on the financial statements. | <p>See above status for 2018-FN-101, 5.</p> <p>Comprehensive reconciliation is being worked on by FRO with estimated completion by Q4 2019.</p> |

APPENDIX O:

Visitor Experience Initiative

Fiscal 2018 Funding and Planned Work

In fiscal 2018, the Library was appropriated an initial \$10 million; the first \$2 million was directed for the development of the Visitor's Experience Master Plan (VEMP). With Congressional approval of the Library's VEMP on September 19, 2019, the Library gained access to the remaining \$8,000,000 of no-year funding appropriated in fiscal 2018 and began to execute project plans. Thus, the Library is currently soliciting contracts to be awarded early in calendar year 2020 in the following four areas: 1) Treasures Gallery Exhibit Design and Audio Visual/Interactives Design and Production (\$2,200,000); 2) Orientation Gallery/Welcome Area Exhibit Design and Audio Visual/Interactives Design and Production (\$4,500,000); 3) Youth Center Experience Design Plan (\$300,000); 4) Project Scheduling/Critical Path (\$102,000).

Additionally, there are three NTE specialists (\$450,000) included for hiring this calendar year that will support three areas of the project. A Learning Specialist will support the Library's Center for Learning Literacy & Engagement; a Preservation Specialist will support the Conservation Division; and a Project Manager will support the Center for Exhibits & Interpretation.

All of these actions should result in approximately \$7,552,000 obligated from fiscal 2018 funding, the \$448,000 remaining will be applied to other items planned in 2020 discussed below.

Fiscal 2020 Funding and Estimated Work

The \$10,000,000 of no-year appropriated funding in fiscal 2020 is planned for the following efforts: 1) the Wayfinding Signage contract for the design, fabrication, and installation of the new wayfinding/signage package (\$2,000,000). The contracting documents are currently being developed by the Library's Exhibit Office; 2) The AOC's costs for design of the Orientation Gallery/Welcome, Treasures Gallery design and construction, Youth Center design (\$3,000,000). This effort will require a transfer of funding to AOC; 3) The design, layout and purchase of materials for the Cafe on 2nd Floor Mezzanine of Thomas Jefferson Building (TJB) (\$150,000); 4) The collections storage for artifact de-installation for the Kislak gallery and the Thomas Jefferson Library in the TJB (\$400,000).

The efforts described above will result in completed design documentation/drawing sets for the Treasures Gallery and the Orientation Gallery/Welcome Area. Once this work is completed follow-on contracts for the fabrication of those two spaces will commence, most likely in fiscal 2021. The three NTE's (\$450,000), Project Manager, Learning Specialist and Preservation Specialist will continue to support the project.

These actions will approximately obligate \$5,600,000 of the fiscal 2020 funding with \$4,400,000 remaining that will be integrated into the planned work for fiscal 2021 and out.

Fiscal 2021 Funding and Estimated Work

With full design documentation and drawing sets completed, the Library anticipates being able to proceed with the following contracts: 1) Treasures Gallery fabrication (estimated \$7,500,000); 2) Youth Center Exhibit Design & Audio Visual/Interactives Design and Production (\$1,987,200); 4) AOC construction of the Orientation Gallery/Welcome Area (estimated at \$12,640,000).

The three NTE's (\$450,000), Project Manager, Learning Specialist and Preservation Specialist will continue to support the project. Thus, funding estimates required for fiscal 2021 are approximately \$22,577,200. Assuming the \$10,000,000 appropriated in 2020 does not non-recur until fiscal 2023 there would be \$14,400,000 remaining. Currently it is estimated that private fundraising would total approximately \$12,500,000 which could be applied to fiscal 2021 or fiscal 2022 work depending on funding flow and project progress.

Fiscal 2022 Funding and Estimated Work

Assuming the \$10,000,000 appropriated in fiscal 2020 recurs through fiscal 2022 and private fundraising stays and the project progress remains on track, the Library estimates proceeding with the following contracts: 1) Orientation Gallery/Welcome Area Exhibit fabrication (\$10,000,000); 2) Youth Center fabrication (\$4,631,800); 3) AOC construction for Youth Center (\$2,800,000).

The three NTE's (\$450,000), Project Manager, Learning Specialist and Preservation Specialist will continue to support the project. Based on this schedule the estimated funding required for this fiscal year is approximately \$17,431,800. Thus, the estimated private fundraising needed will be approximately \$7,500,000 in fiscal 2022.

APPENDIX P: Advertising

The total obligations for fiscal 2019 for Advertising Services was approximately \$6.7 million. Most of the advertising services was embedded in one advertising contract for the National Library Service for the Blind and Print Disabled of \$5.7 million. Some contracts fell into multiple categories, i.e. a woman owned business could also be a minority owned business. This created some overlap across the four categories. For example, large portions of the advertising services contracts could be classified in two categories – a Socially & Economically Small Business and also a Minority-owned Business.

Below is a table that summarize the results.

| Library of Congress Fiscal 2019 Contracts for Advertising Services | Total Obligations | Socially & Economically Disadvantaged Small Business | Minority-owned Business | Women-owned Business | All other businesses |
|--|-------------------|--|-------------------------|----------------------|----------------------|
| | \$6,659,636 | \$5,777,679 | \$5,792,718 | \$51,258 | \$816,610 |
| Percent of Total 2019 Obligations | | 86.8% | 87.0% | 0.8% | 12.3% |

Background

This appendix is intended to provide advertising services contracts information as per the direction in the fiscal 2020 House Report 116–64. Specifically too include a section in the fiscal 2021 CBJ listing the Library’s fiscal 2019 advertising services contracts in accordance with the below guiding language:

Advertising Contracts: The Committee directs each department and agency to include the following information in its fiscal year 2021 budget justification: Expenditures for fiscal year 2019 for (1) all contracts for advertising services; and (2) contracts for the advertising services of (I) socially and economically disadvantaged small business concerns (as defined in section 8(a)(4) of the Small Business Act (15 U.S.C. 637(a)(4)); and (II) women- and minority owned businesses.

Advertising Services Contracts

The following charts summarize the Library’s advertising services contracts in terms of total obligations as one or more of the following businesses.

- a. All contracts for advertising services – total obligations
- b. Socially and economically disadvantaged small business concerns - obligations
- c. Minority-owned businesses - obligations
- d. Women-owned businesses – obligations

The below table displays the criteria used in determining the scope of advertising services:

| | |
|------------------------|---|
| Advertising agencies | Creating advertising campaigns and placing advertising in periodicals, newspapers, radio and television, or other media. |
| Public relations firms | Designing and implementing public relations campaigns designed to promote the interests and image of their clients. Includes PR consulting. |
| Outdoor advertising | Creating and designing public display advertising, including indoor or outdoor billboards and panels and retail (in-store) displays. |

| | |
|---|--|
| Direct mail advertising | Creating advertising campaigns to distribute keychains, magnets, pens etc. by mail or other direct distribution. May also compile, maintain, sell, and rent mailing lists. |
| Advertising material distribution services | Direct distribution of advertisements (e.g., circulars, coupons, handbills) or samples. |
| Other services related to advertising | Advertising services not listed above such as providing keychains, magnets, pens, sign lettering and painting. |
| Marketing research and public opinion polling | Gathering, recording, tabulating, and presenting marketing and public opinion data. Also broadcast media rating; marketing analysis or research; statistical sampling; opinion research. |
| Commercial printing (of advertising materials) | Note that ISS Print Management Services may contract out print jobs to commercial establishments. |
| Recruitment | Advertising to support recruitment |
| Customer service | Providing information to users of agency services |
| General information; public education and awareness | Keeping the public informed of agency activities |
| Communications media training | Training of agency personnel to deal with media and media responses |
| Advertising media | Defined in OMB Circular No. A-122 as magazines, newspapers, radio and television, direct mail, exhibits, and electronic or computer transmittals |
| PR - media technologies used to facilitate communications with the public | Any contract costs associated with media technologies including e-mail, websites, blogs, text messaging, and social media such as Facebook |

The below definitional guidelines were adhered to in the determination of the advertising services for the requested categories:

- a. Socially and economically disadvantaged small business concern:
Any small business concern which is at least 51 percent unconditionally owned by one or more socially and economically disadvantaged individuals, an economically disadvantaged Indian tribe an economically disadvantaged Native Hawaiian organization.
- b. Women-owned businesses - Businesses of all sizes that are at least 51 percent owned by one or more women and whose management and daily business operations are controlled by one or more women.
- c. Minority-owned businesses - Businesses of all sizes that are at least 51 percent owned by one or more members of a minority group.

APPENDIX Q: Non-Recur Schedule

Library of Congress
Programmatic Increase
Funding Chronology - Non-Recur Schedule
(Dollars in Thousands)

| Request | Fiscal Year Appropriation Chronology for Programmatic Increase Requests | | | | | | | | | | | | Ongoing Funding | | | | |
|---|---|--------|------------------|------|--------|------------|--------|-------|-------|---------|---------|---------|-----------------|------|---------|---------|-------|
| | FY | Amount | Funding Provided | | | Non-Recur* | | | | | | 2031 | | | | | |
| | | | 2018 | 2019 | 2020 | 2019 | 2020 | 2021 | 2023 | 2024 | 2025 | | | 2026 | | | |
| CRS Intergrated Research Information System (IRIS) | 2018 | 4,000 | 4,000 | | | | | | | | | (4,000) | | | | | 0 |
| OCFO System Improvements and Standardization of LBFMS | 2019 | 1,133 | 1,133 | | 1,133 | | | | | | | (750) | | | | | 383 |
| Law Library Strengthening Capacity - Digitization Effort | 2019 | 823 | | | 823 | | | | | | | (96) | | | | (400) | 327 |
| Termination of Law Library GLIN Offsetting Collection Program | 2019 | 350 | | | 350 | | | (350) | | | | | | | | | 0 |
| Copyright Office Modernization Enterprise Solution | 2019 | 12,121 | | | 12,121 | | | | | | | | (6,709) | | | | 5,412 |
| Copyright Office Searchable Historic Records | 2019 | 5,000 | | | 5,000 | | | | | | | | | | (5,000) | | 0 |
| Copyright Office Public Records and Recordation | 2019 | 1,100 | | | 1,100 | | | | | | (1,100) | | | | | | 0 |
| Copyright Office Warehouse Move Preparation | 2019 | 1,328 | | | 1,328 | | | | (325) | (1,003) | | | | | | | 0 |
| Enriching the Visitors Experience | 2020 | 10,000 | | | | | 10,000 | | | | | | (10,000) | | | | 0 |
| OCFO Optimization & Modernization | 2020 | 3,862 | | | | 2,744 | | | | | (650) | | (400) | | | | 1,694 |
| Congress.gov Enhancements | 2020 | 3,617 | | | | | 3,067 | | | | | | | | | | 3,067 |
| IT Network Security | 2020 | 7,000 | | | | | 5,000 | | | | | | | | | | 5,000 |
| BARD Infrastructure Modernization | 2020 | 5,000 | | | | | 5,000 | | | | | | | | | (4,560) | 440 |
| Braille eReader & Digital Talking Book Machine | 2020 | 2,375 | | | | | 2,375 | | | | | | | | (2,375) | | 0 |

Total, Programmatic Increases 57,709 4,000 21,855 28,186 (350) (325) (2,753) (19,406) (7,109) (2,375) (5,000) (400) 16,323

*Fiscal Year's displayed only when non-recurs are apparent.



ARCHITECT OF THE CAPITOL - LIBRARY BUILDINGS & GROUNDS

Overview

The Architect of the Capitol (AOC) manages the Library Buildings and Grounds (LB&G) jurisdiction and is responsible for the lifecycle operations, maintenance, development, and stewardship of the Library of Congress (LOC) facilities and surrounding grounds. The Jurisdiction's real property assets include the Thomas Jefferson (TJB), John Adams (JAB), and James Madison Memorial (JMMB) Buildings on Capitol Hill; the Packard Campus for Audio-Visual Conservation in Culpeper, Virginia; the Library Collections Storage Facilities on the 100-acre campus at Ft. Meade, Maryland; and, other leased facilities.

Fiscal 2021 Library Buildings & Grounds Budget Request – \$111.193 million

Operating Budget: \$32.393 million

The Operating Budget of the LB&G appropriation funds all costs associated with the daily care, maintenance and operation of the LB&G.

Capital Investment Multi-Year Projects: \$78.800 million

The Capital Investment Multi-Year Project Budget request consists of major construction or system replacement requirements to address fire, life-safety and security issues; deferred maintenance; capital renewal; capital improvement; capital construction; and necessary studies and designs, including efforts to achieve energy savings. It also includes Minor Construction funding that provides jurisdictions with the flexibility to respond to unforeseen requirements. Projects include the following:

Collection Storage Module 7, Ft. Meade [\$41.500 million]

For the construction of additional permanent storage space at the LOC's Ft. Meade campus, Collections Storage Module 7, to alleviate the shortage of collection capacity on Capitol Hill. The project will allow for the long-term preservation of collections by constructing a climate controlled, secure, non-leased storage facility.

Performing Arts Reading Room Renovation, JMMB [\$9.700 million]

This project will provide various upgrades for the consolidation and reconfiguration of the existing spaces, including removal of obsolete equipment, modification of entrance door hardware to remove accessibility barriers, replacement of existing finishes (floors, walls, ceilings) and creation of expanded storage and a multipurpose training and conference room space.

Stained Glass Window Repairs, Northeast, East, Southeast Windows, TJB [\$8.900 million]

The original eight stained glass, semi-circular windows of the TJB Main Reading Room have not been comprehensively restored in their 121 year history. This project will renovate and restore the Main Reading Room windows through a complete removal and cleaning process that conserves historic qualities.

Sixth Floor Terrace, JMMB [\$8.600 million]

This project will remove the sixth floor terrace roofing, membrane, insulation, and decking, and replace with new more durable materials for a longer lifespan.

Rain Leader Replacement, JAB [\$2.100 million]

Approximately 75 percent of the JAB deteriorating rain leaders were replaced prior to 2014. This project is to replace the remaining 25 percent of rain leader pipes original to the building's construction. These pipes are severely damaged and subject to active leaks on a regular and recurring basis.

Exterior Masonry and Envelope Repairs, JAB [\$2.000 million]

Stone joints on the façade of the JAB are open and existing sealant is not bonded to the stone. The project will repoint and clean the entire building; repair the spalled stone at the upper levels and parapet wall; replace the sealant around all windows; clean all window frames; replace corroded steel shelf angles; and provide control joints in the facade as needed to prevent shifting. It will also repair and clean south facing stairs and walls along Pennsylvania Avenue, repair roof and parapet walls of the 5th floor setback, and repoint brick walls at the moat.

West Main Pavilion, Exit Stair G, TJB**[\$2.000 million]**

The project will provide adequate exit capacity, bring into compliance with National Fire Protection Association (NFPA) 1010 Life Safety Code and address an Office of Congressional Workplace Rights citation regarding these egress deficiencies. It will increase available exit capacity of the building, provide a code compliant means of egress from the TJB attic and decrease excessive travel distances by providing new code compliant exit stairs in the southwest courtyard. It will also construct fire-rated exit passageways, a fire-related enclosure and a cellar exit.

Minor Construction**[\$4.000 million]**

An additional \$500K is requested from the previous year to better address deferred maintenance and meet the unforeseen facilities architectural needs that arise over the course of a year.