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Description of document: US Census Bureau Responses to Congressional Questions for the Record (QFRs), 2017-2020

Requested date: 23-May-2020

Release date: 22-July-2020

Posted date: 10-August-2020

Source of document: Freedom of Information Request  
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**UNITED STATES DEPARTMENT OF COMMERCE**  
**Economics and Statistics Administration**  
**U.S. Census Bureau**  
Washington, DC 20233-0001  
OFFICE OF THE DIRECTOR

July 22, 2020

This letter is in response to your Freedom of Information Act (FOIA), Title 5, United States Code, Section 552, request dated May 23, 2020, to the U.S. Census Bureau's FOIA Office. We received your request in this office on May 26, 2020. We have assigned to it tracking number DOC-CEN-2020-001309 and are responding under the FOIA to your request for a copy of the Questions For Record (QFR) and agency QFR responses to Congress responding to QFRs during calendar years 2017, 2018, 2019 and 2020 to date, for the Bureau of the Census.

By letter, dated May 29, 2020, we provided you a fee estimate of \$56.00 for processing your request under the FOIA. According to our records, we received your check to pay the estimated fee in this office on June 15, 2020. After receipt of your payment, we continued to process your request. Enclosed is one (1) document (237 pages) that is responsive to your request; this record is fully releasable under the FOIA.

Also, please note we recently were informed that the above requested Questions for Records can also be found at <http://www.govinfo.gov>. This is not a Census Bureau website.

Please contact La Von Brown or Deloris Reed of my staff, by telephone at 301-763-2127 or by email at [census.efoia@census.gov](mailto:census.efoia@census.gov) if you have any questions regarding your request.

Sincerely,

A handwritten signature in blue ink that reads "Vernon Curry".

Vernon E. Curry, PMP, CIPP/G  
Freedom of Information Act/Privacy Act Officer  
Chief, Freedom of Information Act Office

Enclosure

The Honorable José E. Serrano  
Subcommittee on Commerce, Justice, Science, and Related Agencies  
Questions for the Record  
Census Bureau FY 2019 Budget Request

1. The explanatory statement accompanying the final fiscal year 2018 Omnibus Appropriations Act directed the Census Bureau to ensure that its fiscal year 2018 partnership and communications activities in support of the 2020 Census are conducted at a level of effort and staffing no less than that conducted during fiscal year 2008 in preparation for the 2010 Census. Please explain the ways in which the Census Bureau is working to abide by this directive to ensure that the partnership and communications efforts are at least as strong this year as they were at this same point ten years ago.

**Answer:** The Census Bureau's FY 2018 approved spend plan increased the partnership program by \$3.5 million with the goal of hiring 132 partnership specialists, which matches with the 132 partnership specialists that were in place at the end of FY 2008. The recruitment of these partnership specialists across the nation is ongoing and will continue to ensure positions are filled at the levels approved in the final spend plan.

The approved spend plan request also increased by \$11.5 million the spending level in the planning tasks for the communications contract. The total amount of spending for the advertising contract for FY 2018 was already above the spending level in FY 2008. However, the Census Bureau in collaboration with the vendor has made the decision that operational and cost risk can be mitigated by moving planning activity originally planned for FY 2019 into FY 2018. Planning and overall strategy will be substantially complete before the purchase of advertising time in FY 2019.

2. Will the Census Bureau be relying on a large number of partnership ASSISTANTS to help increase the self-response rate to the 2020 Census, as it did during the run-up to the 2010 Decennial Census (in part due to the availability of Recovery Act funding at that time)?

**Answer:** The Census Bureau's approach to developing the Partnership Program staff is driven by its past experience. In the 2010 Census, the Bureau initially planned for a total of 680 partnership specialists. When the Bureau received funding from the American Reinvestment and Recovery Act (ARRA) an additional \$120 million was invested in the Partnership Program. This additional investment was welcome, but was not part of the overall program's strategy. This unplanned additional investment was primarily used to increase partnership specialists to 786, and to add an additional 1,750 partnership assistants. These additional staff were added late in the process, and the Census Bureau's assessment is that the partnership assistants, in particular, were not as effective as the more seasoned partnership specialists. Because of this

experience, the Census Bureau will be hiring partnership specialists but not partnership assistants for the 2020 Census. The Census Bureau has increased the number of partnership specialists to 1,500, which is nearly double the number of specialists hired for the 2010 Census program.

3. The Bureau's evaluations of that effort in the 2010 Census indicated strong benefits (such as access to a workforce with much broader set of language skills) from relying on partnership assistants in addition to the partnership specialists the Bureau has been talking about for the 2020 Census. To what extent will the Bureau be repeating this effort from 2010, relying on the partnership assistants as well?

**Answer:** The Census Bureau is currently reviewing the staffing requirements for the Partnership Program. The significant increase in partnership specialists will allow for the hiring of staff with specific skill sets, including fluency in specific languages needed in particular regions of the country, experience in web development and digital outreach, and Congressional and media relations. This approach will build a Partnership Program that will be stronger and more robust than the program in place for the 2010 Census.

4. Please provide the number of Census Bureau decennial partnership and communications staff (including partnership specialists, partnership assistants, and others) currently on staff as of March 2018. How do these numbers compare to the comparable numbers of such decennial partnership and communications staff in March 2008?

**Answer:** At the end of March 2008 (the pay period ended March 29), the Census Bureau had 40 employees in the partnership specialist and partnership specialist manager roles. At the end of March 2018 (the pay period ended March 31), the Census Bureau had 36 employees in the partnership specialist and partnership specialist manager roles.

5. Please provide the number of Census Bureau decennial partnership and communications staff (including partnership specialists, partnership assistants, and others) that are planned to be on staff in September 2018. How do these numbers compare to the comparable numbers of such decennial partnership and communications staff in September 2008?

**Answer:** At the end of September 2008 (the pay period ended September 27), the Census Bureau had 132 employees in the partnership specialist and partnership specialist manager roles. At the end of September 2018, the Census Bureau plans to have on board 132 employees in the partnership specialist and partnership specialist manager roles.

6. Why wasn't the citizenship question included in the Department's March 2017 list of topics to be covered in the 2020 Census, even though the Department now plans on including such a question in the 2020 Census?

**Answer:** The Secretary of Commerce did not decide to reinstate the citizenship question on the 2020 Census until March 26, 2018.

7. Secretary Ross's March 26, 2018 memo on the Department's decision to add a question on citizenship to the 2020 Census asserts that "no one provided evidence that there are residents who would respond accurately to a decennial census that did not contain a citizenship question but would not respond if it did." However, at the very end of that same memo, the Secretary announces, "To minimize any impact on decennial census response rates, I am directing the Census Bureau to place the citizenship question last on the decennial census form." Doesn't this suggest that the Department does strongly suspect that there will be a very real and negative impact associated with adding the question on citizenship? If so, why isn't the Department testing the question as part of the 2018 end-to-end test currently being conducted in Rhode Island?

**Answer:**

In support of the Secretary's decision, the Census Bureau considered whether inclusion of the citizenship question would impact self-response, thereby increasing nonresponse follow-up workload, in which census takers, enumerators, contact non-responding households to complete the questionnaire. There was limited data to determine the potential impact to response rates, but the Census Bureau was able to evaluate information from the 2000 short and long form and the American Community Survey programs. Ultimately, the Census Bureau estimated that the nonresponse follow-up workload could potentially increase by approximately 630,000 households, or 0.5%

Because there has been public confusion of the difference between self-response and net undercount, I want to further elaborate. The Census Bureau did not supply any quantitative evidence that the addition of a question on citizenship would impact the net undercount of the 2020 Census.

The decision to reinstate the citizenship question for the 2020 Census was made after the 2018 End-to-End Census Test in Rhode Island (the test) was already underway. The systems had already been set up, and the paper questionnaires and other materials had already been printed. It is important to note that the critical priority for this and any other end-to-end test is to ensure that the key systems and operations are functioning effectively, not to test the content of questions. The citizenship question that will appear on the 2020 Census contains identical wording to the question that currently appears on the American Community Survey. The Census began using this question in 2005 and, through 2017, the Census Bureau has sent

the questionnaire to 42 million households and 2.5 million group quarters locations. The current citizenship question has been answered by 61 million respondents. In contrast, the 2015 National Census Content Test, which evaluated and compared different census questionnaire content, including the race and Hispanic origin questions, was sent to a far smaller sample of only 1.2 million households.

8. Who made the decision not to include the citizenship question on the 2018 end-to-end test, even though Secretary Ross made it clear that he had been considering adding this question ever since the Census Bureau received the Justice Department's December 2017 letter on this subject?

**Answer:** By the time the Secretary made a decision about the reinstatement of the question in late March 2017, all materials for the end-to-end test had been printed, including the questionnaires, and the Internet system was already developed. Making changes after the questionnaires were printed and the Internet system was developed would have increased risk and cost. Moreover, the primary goal of the test is to test the integration of the key operations and systems necessary to ensure a successful 2020 Census, and not to test the content of questions.

9. In March 2018, President Trump's campaign committee put out a fundraising e-mail that asked recipients whether they believe the 2020 Census should include a question on citizenship. The e-mail included a survey on the question that led to a page seeking contributions to the campaign. Shouldn't this give a reasonable person sufficient reason to be skeptical of the Trump Administration's true motives for adding a citizenship question to the 2020 Census, especially when the topic of citizenship status was not included in the list of decennial census topics sent to Congress in March 2017?

**Answer:** At a May 10, 2018, Senate Appropriations hearing, Secretary Ross stated that neither the Department of Commerce nor the Census Bureau had any interaction with the campaign committees. Secretary Ross took a hard look at the options available to meet the Department of Justice's request to provide block-level citizenship data. The Department of Commerce and the Census Bureau conducted a review of the request that involved looking at the legal, program, and policy considerations involved with the reinstatement of a citizenship question. The review prioritized the goal of obtaining complete and accurate data. After a thorough review of the legal, program, and policy considerations, as well as discussions with Census Bureau leadership and interested stakeholders, Secretary Ross determined that reinstatement of a citizenship question on the 2020 decennial census is necessary to provide complete and accurate data in response to the request from Department of Justice.

10. Regarding the inclusion in the 2020 Census of the question on citizenship, Secretary Ross's March 26, 2018 memo states, "neither the Census Bureau nor the concerned

stakeholders could document that the response rate would in fact decline materially.” Given that this will be the first time since 1950 that every household in the country will be asked the question about citizenship, and given the very volatile political environment in the country in recent years, especially on the issue of immigration, shouldn’t the Department and the Census Bureau carry the burden of proof in this instance? In other words, isn’t it fair for Congress and other stakeholders to instead ask for assurances and evidence from the Department that the response rate will not decline as a result of the inclusion of a citizenship question sent to every household in the country?

**Answer:** To ensure thorough consideration of any potential impacts from the addition of a citizenship question, Secretary Ross consulted extensively with the Census Bureau and reached out to a number of different stakeholders during his review of the request from the Department of Justice. In addition to meetings with Census Bureau leadership, he had conversations about the citizenship question with over 24 diverse, well informed, and interested parties representing a broad range of views. He and his staff reviewed over 50 incoming letters from stakeholders, interest groups, Members of Congress, and state and local officials regarding the reinstatement of a citizenship question on the 2020 decennial census. After a thorough review of the legal, program, and policy considerations, as well as numerous discussions with the Census Bureau leadership and interested stakeholders, Secretary Ross determined that reinstatement of a citizenship question on the 2020 decennial census is necessary to provide complete and accurate data in response to the request from the Department of Justice.

11. While the Census Bureau has included a question on citizenship in the American Community Survey, it has not attempted to test the impact of including this question on the decennial census form sent to every household, and especially in the current post-2016 political climate, is that correct?

**Answer:** It is correct that this question will not be tested by sending it to every household, but it is important to note that no question is tested by sending it to every household. The Census Bureau’s goal of testing a question and options for responses is to ensure that all populations can cognitively understand the concepts associated with the question and can accurately respond within the options provided. This goal of cognitive understanding and accurate response has been met through many years of use of this form of the question on the American Community Survey (ACS). In fact, as discussed earlier in the response to question 7, the decennial census questions on race and ethnicity were tested on a sample population of only 1.2 million households. In contrast, in addition to the testing that was conducted on the citizenship question before it was placed on the ACS, the citizenship question has been effectively tested on, and answered by, more than 61 million respondents since being added to the ACS in 2005.

12. A great many experts are predicting that the effect of a citizenship question will be to discourage participation in the 2020 Census among significant segments of the population. Wouldn't such an outcome ultimately have the opposite effect of what the Administration has stated as the reason for the question's inclusion, and actually undermine voting rights, by not effectively counting all persons for purposes of legislative representation?

**Answer:** There is no reason any person should be afraid to answer the decennial census. The law is clear—the answers a person provides on a census form may not be used for law enforcement or any purpose that would reveal their identity or how an individual responded to a question. Anyone who handles Census data swears an oath to keep those data confidential for life. Under Title 13 of the United States Code, using census responses for any reason other than to produce population statistics is punishable by fines and up to five years in prison. The Census Bureau, the Department and the Administration are asking federal, state, and local leaders to reassure the public of these facts. Such public encouragement and reassurance would help achieve the goals that we share and are working very hard to achieve: a complete and accurate census. By encouraging non-citizens, their friends, and their families to respond to the census, Members of Congress can help the Census Bureau conduct a complete and accurate count. This would in turn provide the anonymous enumeration of all persons. Better citizenship data will allow stronger enforcement of the Voting Rights Act to protect minorities, and accurate numbers will help governments and civic organizations provide better services to all.

13. Secretary Ross's March 26, 2018 memo on the citizenship question asserts, "even if there is some impact on responses, the value of more complete and accurate data derived from surveying the entire population outweighs such concerns." However, the very same memo noted that a Census Bureau analysis of the American Community Survey (ACS) found that when non-citizens responded to ACS questions on citizenship, they inaccurately marked "citizen" about 30 percent of the time. Given this finding of inaccuracy, how can the Bureau be confident that citizenship data received via the 2020 Census will be reliable, even for those who do respond to the census?

**Answer:** Secretary Ross evaluated a number of options presented to him by the Census Bureau to provide the data requested by the Department of Justice in its December 12, 2017 letter. After evaluating the options, Secretary Ross asked a series of questions and then directed the Census Bureau to present a fourth option consisting of a hybrid approach that combined the reinstatement of the question with the use of administrative records. Secretary Ross ultimately decided to direct the Census Bureau to adopt that hybrid approach under which the ACS citizenship question would be asked on the decennial census and the Census Bureau would use the two years remaining until the 2020 decennial census to further enhance its administrative record data sets, protocols and statistical models to provide more complete and accurate data. Accordingly, at the Secretary's direction the Census Bureau is working to obtain



as many additional federal and state administrative records as possible to provide more comprehensive information for the population.

Secretary Ross believes that this approach will provide DOJ with the most complete and accurate Citizen Voting Age Population (CVAP) data in response to their request. Asking the citizenship question of 100 percent of the population gives each respondent the opportunity to provide an answer. Placing the question on the decennial census and directing the Census Bureau to determine the best means to compare the decennial census responses with administrative records will permit the Census Bureau to determine the inaccurate response rate for citizens and non-citizens alike using the entire population. This will enable the Census Bureau to establish, to the best of its ability, the accurate ratio of citizen to non-citizen responses to impute for that small percentage of cases where it is necessary to do so.

14. Did anyone at the Census Bureau or Commerce Department meet with officials or staff from the Department of Justice (DOJ) or any outside group regarding the original request from DOJ to add a citizenship question to the 2020 Census? Did anyone from the White House contact the Census Bureau or Commerce Department about this request? If so, please provide the names of those individuals and groups that met with Census Bureau and Commerce Department officials and staff regarding the citizenship question.

**Answer:** The documents containing information about Secretary Ross's decision-making process in connection with his decision to reinstate the citizenship question on the 2020 decennial census can be found here:

[http://www.osec.doc.gov/opog/FOIA/FOIA\\_elibrary.html](http://www.osec.doc.gov/opog/FOIA/FOIA_elibrary.html)

15. GAO has reported that the Census Bureau is facing staffing challenges that could impact its ability to effectively manage and oversee the 2020 Census technical integration contractor. As of February 2018, the government program management office in charge of this oversight was mostly vacant, with 34 of its 58 positions vacant. What is the current status of the staffing of this office? Have vacancies been filled, and how many positions remain vacant? Please explain the ways in which the Bureau is currently providing oversight of contractor cost, schedule, and performance as well as how the Bureau intends to continue exercising this oversight in the future.

**Answer:** The Technical Integrator Government Program Management Office is currently staffed by 26 government employees. Contractor oversight is performed by current Census Bureau staff, including technical directive leads and technical monitors. The office also has staff assigned to it from other Census organizations, such as the Information Technology Directorate's Chief Technology Office and the Decennial Directorate's Contracts Business

Management Office. We will fill vacancies through the hiring process over the summer and into the next fiscal year, and will continue to use contracts to support current Census Bureau staff, which include technical subject matter experts and program management support for risk, change, and asset management activities.

16. Does the Census Bureau plan on reserving the option of hiring non-U.S. citizens to work on the decennial census, particularly to bolster the Census Bureau's partnership, communications, and enumeration efforts among language minority communities?

**Answer:** The Census Bureau is confident that it will be able to hire the workforce it needs while continuing to comply with all applicable laws. Appropriations law specifically allows the Census Bureau to hire non-citizens for certain translation functions.

17. Will the Census Bureau count households and persons who respond to the decennial census even if the census forms are not completely filled out?

**Answer:** As with past censuses, we understand there will be blank answers on some forms. A complete and accurate census is important to local communities, so we urge everyone to answer every question on the decennial census. The Census Bureau is taking numerous steps to ensure a complete and accurate count, including how it will use administrative records to address item non-response. We will also take measures to support complete self-response including increased outreach and partnership activities and robust planning for non-response follow-up visits.

**The Honorable Derek Kilmer**  
**Subcommittee on Commerce, Justice, Science, and Related Agencies**  
**Questions for the Record**  
**Census Bureau FY 2019 Budget Request**

1. I'd like to continue to state my concern with the inclusion of a question asking about the citizenship status of respondents, hereafter referred to as the "citizenship question":
  - a. What is the estimate for the range (minimum and maximum values) of potential increases in non-response rate with the citizenship question as compared to without the citizenship questions?
  - b. How does that estimated range of potential increases in non-response rate with the citizenship question vary with respect to race, ethnicity, geography, and other Census demographics?
  - c. What is the increase in cost of performing the Census for every increase in percent non-response rate?
  - d. How does that increase in cost of performing the Census for every increase in percent non-response rate vary with respect to race, ethnicity, geography, and other Census demographics?
  - e. What are the risk mitigation steps being taken in case there is an increase in non-response rate due to the citizenship question or other factors?

**Answer:** The Census Bureau estimated that the reinstatement of the citizenship question could potentially increase non-response follow up costs by up to 0.5 percent, which would equate to a potential cost increase of up to \$27.5 million. However, as discussed in the Secretary's decision memorandum, this increased cost is well within the scope of the contingency funding included in the October 2017 Lifecycle Cost Estimate provided to Congress. While the Census Bureau in 2017 predicted a self-response rate of 60.5%, the Lifecycle Cost Estimate included contingency funding to accommodate for several possible variables, including a reduction in self-response rate to 55%. So even though the current Lifecycle Cost Estimate was prepared before the reinstatement of the citizenship question and therefore could not have included its impact in the self-response assumption, the Lifecycle Cost Estimate adopted by Congress in the FY 2018 Omnibus provides more than sufficient funding to address the potential drop-off in self-response that the Census Bureau predicted could result from reinstating the question. The Census Bureau has not done a specific analysis of the impact of a question on citizenship on response rates across specific race and ethnic populations. However, in preparation for the 2020 decennial census, the Census Bureau has

been planning a robust communications and partnership program working with trusted leaders in communities across the nation, with a particular focus on hard-to-count populations. Partners will include national organizations, local businesses, churches and other faith-based organizations, health clinics, legal aid centers, and other support organizations. The Census Bureau is also taking steps to make it easier for people to respond through the Internet, by phone and by mail. For the 2020 decennial census, the Census Bureau plans to provide the Internet Self-Response Instrument and will accept phone calls in 12 non-English languages. These 12 languages cover more than 87 percent of all households with limited English proficiency. When we add English, we cover more than 99 percent of all households in the United States. The paper questionnaire and mailing materials will all be in English and Spanish. There will be additional support materials in 59 non-English languages. The advertising and partnership programs will include materials and messaging in multiple languages, as well. Specifically, the \$480 million advertising contract will be in multiple languages and reassure respondents that it is safe to respond to the decennial census.

The structure of the FY 2018 Omnibus allows us the flexibility and funding we need to hit the ground running in FY 2019. The Omnibus provided \$1.056 billion for FY 2019 activity in FY 2018. We are accelerating some activity from FY 2019 to FY 2018 to reduce overall risk to the program. The Committee has approved the first set of activities we plan to accelerate, including partnership and communications. These funds have brought more partnership specialists on board faster and accelerated the planning for the communications campaign so we can hit the ground running in FY 2019 with implementation of the communications strategies. A high-quality 2020 decennial census depends on reaching all segments of our population to motivate self-response and convincing people to open their door and engage when an enumerator follows up. Motivation to respond is enhanced through an effective paid advertising campaign and trusted voices in communities. The Census Bureau anticipates a message that responding to the 2020 decennial census is safe and beneficial to individual communities. An informative and appealing campaign will help the Bureau reach its self-response goals and make follow up with households that don't chose self-response easier thereby reducing cost and operational risk. We have developed plans to accelerate other activity planned for FY 2019 to reduce overall risk to the program, using the funds provided by this year's appropriation, and have communicated those plans to the Appropriations Committees.

Also, we are incorporating the decision to reinstate the citizenship question in our efforts to promote response. The question has been included in the recent Census Barriers, Attitudes, and Motivators Survey (CBAMS) focus groups, and what we learn from those efforts will be used to craft the messaging in our advertising and partnership efforts to maximize self-response.

- f. If specific answers to the above questions cannot be legally disclosed at this point, will you commit to updating myself and the committee with answers as soon as you are able to do so?

**Answer:** At my direction, the Department is being fully transparent in providing the public access to the administrative record supporting my decision to reinstate the citizenship question. Those documents can be found at

[http://www.osec.doc.gov/opog/FOIA/FOIA\\_elibrary.html](http://www.osec.doc.gov/opog/FOIA/FOIA_elibrary.html).

2. In the wake of numerous data breaches at the state and federal level, including the recent incidents at OPM, many Americans are already concerned about the security of the information they provide to the federal government. It is vital that the government earn that trust back. Congress recently included \$3.2 billion in the FY 2018 omnibus for the Census Bureau to prepare for the 2020 Census.

- a. How much of the FY18 funding is going towards investments to protect census data from the threat of cyber-attacks?

**Answer:** The Census Bureau understands the importance of protecting census data and its technology and processes from cybersecurity threats. In FY 2018 the Census Bureau funded cybersecurity operations at \$39 million to identify, detect, protect, respond and recover from potential cyber incidents. Funded activities included the security operations centers, incident response teams, security assessments, continuous monitoring compliance and oversight, training, as well as implementation of security tools.

- b. What is needed in FY 2019 to ensure we're on track to achieving a meaningful level of cybersecurity?

**Answer:** The Census Bureau has submitted an FY 2019 budget request of \$42 million that continues to fund cybersecurity operations similar to FY 2018. In FY 2019, the Census Bureau will also begin its 2020 communications campaign, which will incorporate messaging to raise cybersecurity awareness.

3. The District I represent is largely rural, and it's also home to eleven federally recognized tribes. I know Census testing is being done in my district in Pierce County but I am still deeply concerned that the Census Bureau doesn't have the resources or the outreach strategy to ensure an accurate count in these communities. As you know, this data determines how more than \$675 billion in annual federal funding is distributed for things like schools, hospitals, roads, public works and other vital programs. This data also helps to determine which communities qualify for economic incentives like the New Market Tax Credit and the newly established 'Opportunity Zone' designation. How do you plan to

ensure that the rural and tribal communities I represent will be accurately counted in the 2020 census?

Answer: We recognize the importance of counting every person, including people in rural areas and tribal communities. We are aware of the unique challenges of reaching people in rural areas and tribal communities, and also recognize that the Internet response option is not feasible or acceptable to the entire population. As a result, several alternative modes will be provided for respondents to complete their 2020 Census questionnaire, in addition to the paper methods used in the past. Our self-response contact strategies include invitation letters, postcards, and questionnaires mailed to households. Although our objective is for a majority of respondents to complete their census questionnaire online, in areas with low Internet connectivity and other characteristics that make it less likely that respondents will complete the census questionnaire online, we offer an Internet Choice contact strategy where a paper questionnaire is provided on the first contact, in addition to information about how to respond online or by phone.

A second step we take to ensure an accurate count in rural areas and tribal communities involves an operation we call "Update/Leave." This operation is designed to update the address frame in areas where the majority of housing units either do not have mail delivered to the physical location of the housing unit, or the mail delivery information for the housing unit cannot be verified. The purpose of the operation is to update the address and feature data for the area assigned, and to leave a 2020 Census Internet Choice Questionnaire Package at every housing unit identified to allow the household to self-respond. The choice questionnaire package will offer occupants two different ways to respond to the census: through the Internet or by mailing back a completed paper questionnaire. A household could also choose to respond by phone. Households that do not respond will be included in the Non-response Follow-up operation.

Our Partnership and Communications Program also will include organizations that are focused on rural areas and tribal communities and feature advertising and promotion targeted to these populations.

Our efforts to enumerate tribal areas recognize their special character. The Census Bureau announced on July 1, 2015, that it would seek input from tribal leaders for the 2020 Census. The Census Bureau conducted 18 tribal consultation meetings that started two years earlier than those conducted for the 2010 Census. These meetings requested input on topics like geography, data collection operations, and tribal enrollment. Connectivity issues were discussed in these meetings, and the Census Bureau continues to explore ways to ensure that it has measures in place to address them. As we move closer to the 2020 decennial census we are working with leaders from each tribe to determine the best way to conduct census

operations in their areas. Where appropriate, the Census Bureau will use the Update Leave Operation.

4. According to the GAO's testimony, the cost of the decennial census has increased from \$9.4 billion in 2000, to \$12.3 billion in 2010, and now the estimates are \$15.6 billion for the 2020. It seems like every 10 years, we start over rather than building upon the technology, systems, and organizations we already have.
  - a. What steps is the Census Bureau taking to prepare now ensure 2030 Census doesn't set yet another record for most expensive Census on record?

Answer: The challenges associated with conducting a complete and accurate census of the population increase each decade, and much of this drives up cost. Some of the things we need to take into account are:

- Declining response rates – Response rates for surveys and censuses in general have declined as people are overloaded with requests for information and have become increasingly concerned about sharing information. Although the decennial census is important, many people view it as just one more request for information – another intrusion into their lives. For the decennial census - where we have to count people once, only once, and in the right place - we need to combat that attitude and motivate people to respond.
- Complex living arrangements – We have to plan for the increasingly complex living arrangements and population. Households are becoming more diverse and dynamic, making it a challenge to associate an identified person to a single location. For example, blended families may include children who have two primary residences. Additionally, some households include multiple relationships and generations.
- A very mobile population – About 15 percent of this country's population moves in a given year, making for a highly mobile population. We do not just count everyone in the decennial census, we also have to correctly locate everyone geographically. With a population as mobile as ours is, this is a challenge. It is the combination of data on the characteristics of the population with their geographic location that make the decennial census data so valuable to communities, governments, and businesses.
- Technology – Technology is infused throughout decennial census operations, and the changes each decade that we must keep pace with are dramatic. Each decade brings new ideas, efficiencies and increases in quality, but with it come challenges as well. We design each decennial census based on current technology, but each decade

technology evolves significantly. Our ability to adapt effectively to, and adopt, new technology has to be balanced against rigid timelines and the requirement that we implement this technology on a massive scale.

Despite these challenges, we are doing all we can to find ways to leverage technology across all of the censuses and surveys that the Census Bureau conducts throughout the decade, and we are hopeful that this can contribute to cost containment. In previous decades, the Census Bureau built single-purpose systems designed to manage and control the decennial Census, retiring those systems shortly after the completion of each decennial census. Since the 2010 decennial census, our approach to system development has evolved to enable shared services and long-term application lifecycles usable across the entire Census Bureau enterprise. This approach is evident in the Census Enterprise Data Collection and Processing (CEDCaP) and the Center for Enterprise Dissemination Services and Customer Innovation (CEDSCI) programs. This "build once - use many times" approach means that applications initially built for the 2020 Census will provide the platform upon which demographic and economic surveys will function during the rest of the coming decade. Ongoing use and the inevitable modernization and enhancement of these enterprise platforms throughout the decade will help ensure that they are up to date as preparations for the 2030 decennial census commence.

Additionally, the Census Bureau has embraced a cloud-first approach for the 2020 decennial census, partnering with leading industry providers. These relationships will continue through the coming decade and into the future, ensuring that our computing infrastructure will be maintained and evolve on pace with the latest capabilities and innovations available in the private sector.

After the 2020 decennial census is complete we will be closely analyzing the costs and efficiencies resulting from the increased technological and operational innovations implemented across decennial census operations utilize the lessons learned to minimize costs in the 2030 decennial census and beyond.

5. I often think about the Future of Work, and the impact that AI, robotics and other technologies will have on our economy and workforce. I am thinking about how we create more opportunities for more people in more places. Places beyond the shadow of the Space Needle – communities feeling left behind by the growth in Seattle and San Francisco. Places like the communities I represent – Grays Harbor and where I grew up, Port Angeles.
  - a. What efforts is the Census Bureau undertaking and what measures could the Census Bureau undertake to measure adoption and impacts of these technologies and the potential geographic disparity in costs and benefits?



Answer: Partly as a response to the call within the National Academy of Science report to develop a wide range of strategies and research to study the impact of advanced technologies on the work force and related Congressional inquiries, the Census Bureau has focused on three efforts to help understand the impact of robotics, artificial intelligence (AI), and other technologies. First, we have partnered with external experts to develop research intended to address some aspects of the impact of these technologies on labor as well as businesses. Second, building upon these discussions, we have initiated the collection of survey items on multiple survey instruments. Third, we have begun research into alternative existing sources of information (administrative, commercial, and others) to complement survey information.

As part of its strategy to continuously improve data products, the Census Bureau partners with external stakeholders, data users, and academic experts through a variety of mechanisms. Reports by the National Academy of Sciences, like the one referenced above, are one such mechanism. The Census Bureau also receives formal guidance through various advisory committees, such as the Federal Economic Statistics Advisory Committee. The Census Bureau also leverages outside expertise through work in the Federal Statistical Research Data Centers (FSRDC). Through the FSRDC system, qualified researchers on approved projects produce research using Census micro-level data; to be approved, research projects must provide a benefit to the Census Bureau and to the Nation. Another mechanism is when academics and other external experts conduct research on their own that provides insights into our data collection.

Three Census Bureau collections that specifically ask about technology adoption are the Annual Business Survey, the Annual Capital Expenditures Survey, and the Annual Survey of Manufacturers. Each is described below. Finally, we are in the early stages of determining content for a potential Management and Organizational Practices Survey for 2020. The sponsoring researchers have expressed interest in combining technology adoption questions with management questions.

- Annual Business Survey (ABS). The ABS is conducted in partnership with the National Science Foundation's National Center for Science and Engineering Statistics.
  - The 2017 ABS includes three questions related to advanced technologies and automation. Two of these technology questions ask the extent to which businesses are using digitized data and cloud services (which may provide an indication of how "AI-ready" these businesses are). The third question lists specific technologies and asks the degree to which they are being used by businesses; we hope this will not only provide initial industry and possibly geographic estimates for these technologies but will also help inform future content and sampling needs.

- For the 2018 ABS, the Bureau has developed a draft module of questions covering four technologies (robotics, AI, specialized software, and dedicated machinery), the businesses' motivation for adoption, and the impact of these technologies on the amount of labor used by the business as well as the skill mix at the business.
- Annual Survey of Manufacturing (ASM). The 2018 ASM plans to include a Special Inquiry at the end of the survey instrument that asks about the capital expenditures on industrial robotics, as well as a count of industrial robots used at the plant and a count purchased that year.
- Annual Capital Expenditures Survey (ACES). We are also in the process of developing content for the 2018 ACES and may collect capital expenditures for industrial as well as service robotics.

The Census Bureau also conducts research to determine if information products can be developed that rely upon non-survey methods of collection. Some of these sources include administrative data and commercial data. Some of the impact of technology on workers comes from the development of platforms that have enabled the rise of the gig economy. Census Bureau researchers working with academic partners are comparing the results from survey questions on gig economy work with administrative data on gig economy work.

An area for future research concerns whether we could use data from suppliers of advance technologies to measure differences in the geographic adoption of these technologies. We could use data from company websites to develop firm technology profiles (e.g. data, analytics, robotics, AI). Further, there has been some discussion of whether we could use web-scraping of employment advertisements and machine learning to determine where these skills are used.

- b. To that end, in the late 1980s and early 1990s, the Census had a standalone survey called Survey of Manufacturing Technology. You no longer run this survey. Would you ever consider such a survey again?

Answer: The Census Bureau has conducted two specific or supplemental surveys on technology: the Survey of Manufacturing Technology (collected in 1988, 1991, and 1993) and the Information and Technology Communication Survey (collected as a supplement to the Annual Capital Expenditures Survey in 2003-2013). Both technology surveys were discontinued under prior Administrations due to a lack of funding.

6. Are there ways for Census Bureau to modernize the collection and distribution of data? For example, have you considered using apps to collect data on the population of individuals, or using web scraping or other digital technology to collect data on business activity?

**Answer:** The Census Bureau is actively researching and developing ways to modernize data collection and dissemination. For collection, we offer Internet self-response applications across Census Bureau surveys. We are also exploring web-scraping technologies and have developed a prototype tool that scrapes data from state and local government websites to support our public-sector data collection efforts. Because of the privacy concerns surrounding these new methods, publicly available data provided by state and local governments has been our initial starting point. We continue to explore privacy and policy implications as we further develop these tools for use in other Census Bureau collections.

The Census Bureau has embarked upon a multiyear, innovative effort to transform and expand the dissemination of Census content. This effort empowers data users to find, to access, to connect, and to use data in ways that better the data users' lives and communities, as well as stimulate economic invention and growth. To manage this effort, the Census Bureau has formed a new, collaborative Center for Enterprise Dissemination Services and Consumer Information (CEDSCI) with representation from multiple directorates. CEDSCI will set a course to reuse, re-engineer, and redeploy Census Bureau legacy dissemination systems into an integrated, shared-services platform. Program areas will deliver content to a single system that will deliver services for customers that include mapping, visualizations, and data mash-ups enabled across all data sets, including the American Community Survey (ACS), the economic censuses, and the decennial censuses.

The Honorable Matt Cartwright  
Subcommittee on Commerce, Justice, Science, and Related Agencies  
Questions for the Record  
Census Bureau FY 2019 Budget Request

**1. THE CITIZENSHIP QUESTION**

The DOJ's request for a citizenship question will almost assuredly lower the **response rate** for the 2020 Census among U.S. population groups that were hard to count in past censuses. We do not want a climate of fear to lead to a biased undercount and a **less accurate** census.

This year, **six** former Census Bureau directors and two former Secretaries of Commerce expressed their concerns about the effect a citizenship question would have on the **accuracy** and integrity of the census. The former directors found that even small changes in survey question order, wording, and instructions can have significant, and often unexpected, consequences for the rate, quality, and truthfulness of responses.

In Secretary Ross' October 2017 testimony, he stated: "One of the problems with adding questions is it reduces response rates...the more things you ask in those forms, the less likely you are to get them in."

- a) If small changes or added questions impact response rates, would it not stand to reason a hugely controversial and untested change might dramatically affect response rates?
- b) *If he brings up the ACS or Neilson Consumer Survey - Follow-Up*: How is it scientifically appropriate to draw assumptions about responses to the citizenship question from how a different audience answered different questions in the very different American Community Survey or Nielsen Consumer Survey?
- c) What gaps in information is the Bureau dealing with because the citizenship question was not included on the end-to-end test in Providence?
  - a. Aren't you essentially going in blind because you have never tested this question for the entire population in the modern era? When, if ever, has the census included a question that was not on the end-to-end test?
    - i. *If it has happened before*: What were the results? Was this question as controversial and impactful as the citizenship question? What mistakes were made and what did your agency learn to ensure it does not repeat the same mistakes in the 2020 Census?

- ii. *If it has not happened before:* So, you're telling me that the Bureau has never before included an untested question on the census, correct? That means we have no idea how it will affect response rate or what the consequences will be. It is unconscionable that your agency is being so cavalier about something that will fundamentally shape our nation for the decade to come.

Answer: In support of the Secretary's decision, the Census Bureau considered whether inclusion of the citizenship question would impact self-response, thereby increasing nonresponse follow-up workload, in which census takers, enumerators, contact non-responding households to complete the questionnaire. There was limited data to determine the potential impact to response rates, but the Census Bureau was able to evaluate information from the 2000 short and long form and the American Community Survey programs. Ultimately, the Census Bureau estimated that the nonresponse follow-up workload could potentially increase by approximately 630,000 households, or 0.5%

Because there has been public confusion of the difference between self-response and net undercount, I want to further elaborate. The Census Bureau did not supply any quantitative evidence that the addition of a question on citizenship would impact the net undercount of the 2020 Census.

The decision to reinstate the citizenship question for the 2020 Census was made after the 2018 End-to-End Census Test in Rhode Island (the test) was already underway. The systems had already been set up, and the paper questionnaires and other materials had already been printed. It is important to note that the critical priority for this and any other end-to-end test is to ensure that the key systems and operations are functioning effectively, not to test the content of questions. The citizenship question that will appear on the 2020 Census contains identical wording to the question that currently appears on the American Community Survey. The Census began using this question in 2005 and, through 2017, the Census Bureau has sent the questionnaire to 42 million households and 2.5 million group quarters locations. The current citizenship question has been answered by 61 million respondents. In contrast, the 2015 National Census Content Test, which evaluated and compared different census questionnaire content, including the race and Hispanic origin questions, was sent to a far smaller sample of only 1.2 million households.

- d) According to the GAO "non-response follow-up is the Bureau's largest and most costly field operation." The non-response rate for the citizenship question on the ACS is between 5 and 14%. If the full census has the same non-response rate that means between 15 and 45 million additional people may need to be contacted for follow-up compared to the 2010 Census. It seems that adding citizenship questions will require

greater nonresponse follow-up with apprehensive U.S. residents. Does the Census Bureau have **a recent cost estimate** for how much this additional follow-up would cost?

- a. Does the current cost-estimate reflect the addition of the citizenship question?

**Answer:** The Census Bureau estimated that the reinstatement of the citizenship question could potentially increase non-response follow up costs by up to 0.5 percent, which would equate to a potential cost increase of up to \$27.5 million. However, as discussed in the Secretary's decision memorandum, this increased cost is well within the scope of the contingency funding included in the October 2017 Lifecycle Cost Estimate provided to Congress. While the Census Bureau is managing to a self-response rate of 60.5%, the 2017 Lifecycle Cost Estimate included contingency funding to accommodate for several possible variables, including a reduction in self-response rate to 55%. So even though the current Lifecycle Cost Estimate was prepared before the reinstatement of the citizenship question and therefore could not have included its impact in the self-response assumption, the Lifecycle Cost Estimate adopted by Congress in the FY 2018 Omnibus provides more than sufficient funding to address the potential drop-off in self-response that the Census Bureau predicted could result from reinstating the question.

- b. How will the budget request need to change to account for this last-minute addition? This Committee will need to review a comprehensive cost-estimate that includes the effects of the citizenship question when making our allocation decisions.

**Answer:** The Department of Commerce and the Census Bureau will review all the assumptions that drive the cost of the 2020 decennial census prior to the FY 2020 budget submission. This process was both planned and is considered a best practice by GAO. Assumptions will be updated to reflect all known changes to the program, but most importantly the assumptions will be adjusted to reflect what the Census Bureau has learned from the 2018 End-to-End Census Test, as well as any changes required to the self-response rate using an evidence-based methodology.

- c. Targeted messaging will be more important than ever to break through to households not convinced by a general communications campaign. In 2010, the Bureau's massive advertising campaign increased participation rates and saved **\$85 million** in follow-up costs with nonresponding households. How will the Bureau shape its message and advertising to offset the financial burden the citizenship question will cause in follow-up costs? What additional resources will the Bureau devote to offset the burdens imposed by the new citizenship question?

Answer: Counting everyone in a country as large and diverse as the United States is a significant challenge. To do the job well requires reaching everyone and persuading them to answer the census; counting everyone once, and in the right place. Reaching those populations that are typically less likely to participate in the census is a key priority for the Census Bureau.

Designing an effective communications program begins with foundational research. The Census Bureau is currently analyzing data from the Census Barriers, Attitudes and Motivators Study (CBAMS). CBAMS measures public knowledge, awareness, and perceptions about the decennial census as well as behaviors and attitudes related to participating in the decennial census. This research complements previous iterations of surveys designed to gauge public knowledge, attitudes, and behavior regarding the decennial censuses, as well as inform the strategic direction of the 2020 decennial census Integrated Partnership and Communications (IPC) Program. CBAMS is providing insights necessary to create a communications campaign with messages and media plans developed for specific audience segments with unique response behaviors, attitudes, and demographics. Targeted messages and the selection of the unique channels that these specific audiences consume will provide the visibility this campaign needs among target audiences.

While digital outreach is an effective tool for reaching many audiences, not all people can or prefer to be reached online, and some audiences with a strong online presence may not be willing to respond to the census online. Traditional forms of advertising outreach—through print, outdoor, and broadcast media and through partners and influencers, for example—will continue to be important, not only to reach some hard to count populations but also to reach those who prefer traditional forms of media or who are less likely to trust communications delivered digitally. The strong support of partners—who serve as “trusted voices” that influence individuals from diverse groups and can promote participation during events and through their own communication channels—is perhaps more important than ever before. Partners will underscore and support the Census Bureau’s message that participation in the decennial census is important and safe.

The Census Bureau, working with its communications contractor and subcontractors, will continue to analyze research into the attitudes of various audiences toward different communications modes, as well as attitudes toward the government and media. This will help identify the most effective messaging to encourage participation, as well as inform the most optimal outreach strategies and advertising plans. Additionally, we will expand our use of social media, evaluating each property that exists at the time we plan to be in the market advertising and promoting the 2020 decennial census.

The Census Bureau will expend the resources necessary to reach the hard-to-count populations using both traditional and digital media, as well as the use of ethnic and local

media. However, final decisions on how much to allocate to each of these efforts have not been made pending results of the aforementioned research efforts.

- e) In a September 2017 memo Census staff noted **unprecedented** fears about confidentiality from respondents. Both respondents and field representatives expressed concerns at the highest rates ever seen before during a pretesting project. These concerns have **strong** implications for nonresponses in the 2020 census.
  - a. **PRIVACY:** Under what circumstances, if any, might the Bureau release citizenship data on individuals to another U.S. government agency, particularly Immigration and Customs Enforcement?

**Answer:** There are no circumstances where the Census Bureau will release responses to a citizenship question on the decennial census (or the ACS or any other survey by the Census Bureau) to another government agency. As set forth in sections 8 and 9 of title 13, United States Code, the Secretary, the Department and the Census Bureau are prohibited from disclosing individual census responses to anyone other than the respondent and prohibited from sharing census responses with any government agency. No one should be afraid to answer the decennial census. The law is clear – the answers a person provides on a census form may not be used for law enforcement or any purpose that would reveal their identity or how an individual responded to a question. Anyone who handles Census data swears an oath to keep those data confidential for life. Under Title 13, using census responses for any other reason than to produce population statistics is punishable by fines and up to five years in prison.

- f) The ACS is our country's only source for comparable (across geography), consistent (across time), timely (updated annually) and quality demographic and socio-economic data for all communities, down to the neighborhood and census tracts.
  - a. **American Community Survey:** The ACS gathers detailed social, demographic, economic, and housing data over time to produce yearly and five-year estimates. These estimates are intended to be representative of the larger population. Does the reinstatement of the citizenship question on the 2020 decennial census suggest that the ACS sample size should be increased to compensate for flawed data? If so, by how much?

**Answer:** No. The ACS is an ongoing national survey that samples approximately 3.5 million addresses annually, about 290,000 addresses per month. These data are collected continuously throughout the year, to produce detailed population and housing estimates annually. The ACS is designed to produce critical information that was previously collected in



the decennial census. Our estimates, covering more than 35 topics, support more than 300 known federal uses and countless nonfederal uses.

The ACS sample is sufficient to produce estimates for small geographic areas, such as neighborhoods and sparsely-populated rural counties. As is done with long-form census data, ACS estimates are published down to the block group level, the smallest geographic unit for which the Census Bureau tabulates sample data. The Department of Justice requested citizen voting age population data at the block level, which is a more granular level than the ACS sampling method is able to provide.

The Census Bureau is continually investigating ways to improve ACS data quality, create a more positive customer experience, and ensure the survey is operating in an efficient and cost-effective manner. In an effort to improve data quality and reduce the amount of information we request from our respondents, the Census Bureau is charting a course to incorporate administrative records in our data gathering and processing efforts. Administrative data are being considered to fill-in-the-blanks during data editing and imputation, replace census and survey questions, and to provide additional information to enrich the information currently published from the ACS. In the case of the citizenship question, the Census Bureau comparison of ACS citizenship responses with administrative records that was provided to the Secretary during his consideration of whether to reinstate a citizenship question on the decennial census revealed that approximately one third of non-citizens who answered the citizenship question on the ACS provided an incorrect response. Providing more accurate information to impute responses and collecting data to address this inaccurate response rate were two of the factors the Secretary cited in his decision memo reinstating a citizenship question on the decennial census to provide complete and accurate information on citizen voting age populations to the Department of Justice.

- g) In addition to individuals not filling out the census at all, some may simply decline to answer the citizenship question but otherwise fully complete the census. They deserve to be counted too. In light of the fact that – according to the most recent GAO report -- “because of funding uncertainties [...] the Bureau canceled the field components of the 2017 Census Test including non-response follow-up, a key census operation”
  - a. **Non-Response Follow Up:** What is the Bureau’s planned response when somebody fills out all but the citizenship question on the census? How is that response counted and will there be follow up for that individual?
  - b. **Non-Response Follow Up:** Does the Bureau need to conduct outreach to get that question answered in order to record the other responses and “count” that individual?

- c. **Non-Response Follow Up:** Is there a way for the Census Bureau to extrapolate or “fill in” the missing information without conducting individualized follow-up? How much money could that potentially save, while still ensuring accurate data collection?

**Answer:** The Census Bureau relies on individuals to respond to all of the questions on the decennial census. When individuals answer all the questions they are asked, the Census Bureau can produce the data that are necessary for important federal functions, including the allocation of federal funds. In addition, responses to all questions on the census are mandatory under Title 13 of the U.S. Code, Sections 141 and 193.

We understand there will be blank answers on some forms. To have the best data possible, we urge everyone to answer every question on the 2020 decennial census. The Census Bureau is actively considering steps it will take to ensure a complete and accurate count. This includes follow-up visits and the use of administrative records to address item nonresponse. But the quickest and easiest way for respondents to minimize interaction with the Census Bureau is to self-respond and answer all questions.

The Census Bureau has used administrative records for decades to impute information for invalid, inconsistent, or missing responses. An example of prior administrative record use would be when respondents failed to indicate a response about race in the 2010 Census, the Census Bureau attempted to impute a value from an earlier Census response. For the 2020 Census, the Census Bureau will expand this usage for other questions including age, sex, relationship, and tenure (owner/renter).

## **2. ADMINISTRATIVE RECORDS**

The Census Bureau plans to use administrative records to compensate for lacking data from non-responsive households. However, these records lack the information to accurately record vulnerable and hard-to-count populations. This use of administrative records may lead to misrepresentations in the overall data collected. The Bureau intends to save money by using records and eliminating follow-up field visits, but this method could end up **costing more** if further non-response follow-up is needed when the records do not provide enough information.

- a) Has the Census Bureau tested the use of administrative records to support quality control during non-response follow-up?

**Answer:** Throughout the decade, the Census Bureau has been planning and testing the use of administrative records for the identification of vacant housing units and the enumeration of occupied nonresponding households. Administrative records include data from the IRS, the Social Security Administration (SSA), Medicare and Medicaid, the Indian Health Service, and other data sources. Administrative records also include data from prior decennial censuses

and the American Community Survey (ACS). In addition, the Census Bureau uses state, local and private sector data for well-defined operational purposes, such as establishing census block boundaries and supporting address list compilation.

In the case of households that do not respond after our repeated efforts to encourage them to respond by mail, telephone, or the Internet, the Census Bureau expects to be able to enumerate up to six million households in the 2020 decennial census entirely with federal administrative records. This will be done only when the Census Bureau has a high level of confidence that the federal administrative records are of high quality, because the Bureau can corroborate the same information across several federal administrative record sources, and that the information can be accurately applied to the addresses and persons in question. One type of household that could be enumerated using administrative records, for example, is that of an elderly couple who have lived at the same address for many years, who file their taxes regularly, and who have signed up for Medicare.

Where the Census Bureau does not have federal administrative records that provide high quality and high confidence in the data, such as when the data in the federal administrative records is inconsistent or missing, the household will become part of the Census Bureau's Non-response Follow-up operation (NRFU) for a direct follow up by census enumerators. Moreover, to ensure the success of the NRFU Operation, the Census Bureau intends to support this operation through the Integrated Partnerships and Communications Program to reach those who do not self-respond and cannot be enumerated through federal administrative records.

- b) Last week, Secretary Wilbur Ross ordered the Census Bureau to engage in a costly and burdensome cross-checking of administrative records to find data about citizenship status that can be matched accurately to each 2020 Census form. Secretary Ross left the choice of whether to use other government records to fill in the blanks or correct census responses up to the Bureau. Dr. Jarmin, wouldn't it be more cost-effective to invest in higher response rates for the 2020 Census than to use more of the Bureau's resources to continue digging through administrative records looking for citizenship data?

Answer: The Census Bureau already has in place plans for a robust Partnership and Communications effort designed to drive the response rate up as high as possible. The comparison of administrative records with ACS and decennial census long form responses the Census Bureau conducted in order to evaluate the use of administrative records to respond to the Department of Justice request was neither costly nor burdensome. The Census Bureau already has access to and has acquired a broad range of federal administrative record sources. Following the 2010 Census, the Census Bureau conducted research into the quality of these records and its ability to match administrative records sources to persons in the 2010 Census. The Census Bureau was able to assign match 88.6 percent of all census persons to the

administrative records. The Census Bureau built off its prior research to conduct an analysis for the Secretary comparing the administrative records with the ACS and the 2000 Census long form to develop the three options. After evaluating three options, Secretary Ross asked a series of questions and then directed the Census Bureau to present a fourth option consisting of a hybrid approach that combined the reinstatement of the question with the use of administrative records. Secretary Ross ultimately decided to direct the Census Bureau to adopt that hybrid approach under which the ACS citizenship question would be asked on the decennial census and the Census Bureau would use the two years remaining until the 2020 decennial census to further enhance its administrative record data sets, protocols and statistical models to provide more complete and accurate data. This approach would maximize the Census Bureau's ability to match the decennial census responses with administrative records. Accordingly, at the Secretary's direction the Census Bureau is working to obtain as many additional Federal and state administrative records as possible to provide credible data on the remaining 11.4 percent of the population for which the Census Bureau does not yet have such data.

Secretary Ross believes that this approach will provide the Department of Justice with the most complete and accurate citizen voting age population data in response to their request. Asking the citizenship question of 100 percent of the population gives each respondent the opportunity to provide an answer. Placing the question on the decennial census and directing the Census Bureau to determine the best means to compare the decennial census responses with administrative records will permit the Census Bureau to determine the inaccurate response rate for citizens and non-citizens alike using the entire population. This will enable the Census Bureau to establish, to the best of its ability, the accurate ratio of citizen to non-citizen responses to impute for that small percentage of cases where it is necessary to do so.

### 3. CENSUS AND RESPONDENT PRIVACY

The census is the most inclusive federal database on Americans. The information it contains is protected under law from disclosure and misuse, but emerging technologies make many of our traditional legal protections inadequate. The most recent GAO report ruled that "While the planned innovations could help control costs, they also introduce new risks, in part, because they include new procedures and technology that have not been used extensively in earlier decennials, if at all."

- a) The Census Bureau is introducing impressive new technology to decrease costs associated with the census. However these new tools could exacerbate fears about data privacy and could lower the response rate. Moreover, these tools could make our private information vulnerable to hacking. What concrete steps will the bureau take to ensure that our personal data is protected and used solely for statistical purposes?

Answer: The Census Bureau has intentionally designed systems and processes with many layers and levels of separation to enable us to identify areas of concern, protect systems and data, detect and contain cyber threats and data manipulation, as well as, if necessary, respond and recover from an incident. All self-responses are subject to a battery of automated checks that use data, matching, and security alert information to identify suspect individual responses and cumulative trends. Responses identified by automated checks are sent to analysts for further investigation. Cumulative trends are monitored by senior analysts for assessment of credible threats, and all work to investigate suspect cases is coordinated with IT security.

Moreover, the law is clear – the answers a person provides on a census form may not be used for law enforcement or any purpose that would reveal their identity or how an individual responded to a question. As set forth in sections 8 and 9 of title 13, United States Code, the Secretary, the Department and the Census Bureau are prohibited from disclosing individual census responses to anyone other than the respondent or sharing census responses with any government agency. Anyone who handles Census data swears an oath to keep those data confidential for life. Under Title 13, using census responses for any reason other than to produce population statistics is punishable by fines and up to five years in prison.

- b) In 2000, the “Social Security Number, Privacy Attitudes, and Notification (SPAN) Experiment” was developed to understand the public’s attitude on privacy issues linked to administrative records and Social Security numbers. Has the Bureau followed up on its recommendations to 1) conduct research with targeted populations that demonstrate lower response rates and willingness to provide personal information? Or 2) subsequently addressed the concerns of these targeted populations?

Answer: The Social Security, Privacy Attitudes, and Notification (SPAN) Experiment was specifically designed to determine if Social Security Number (SSN) requests and administrative record use notification affected census response, form completeness among census forms returned, and response to a Social Security Number item on the decennial census. The Census Bureau conducted this experiment during 2000 decennial census as part of its effort to understand whether it was possible to potentially increase completeness of measurement by reducing respondent burden with shorter questionnaires and improve data quality by eliminating memory/respondent errors through linking census responses to administrative records data. However, as indicated in the experiment, requesting SSN, for all household members or the first person on the form caused small but significant drops in response. These findings were informative and the Census Bureau did not include an SSN request in the 2010 decennial census and has no plans to include a request for the 2020 decennial census.

#### 4. INTERNET RESPONSES AND CYBERSECURITY

The 2020 Census will implement a number of innovations aimed at increasing efficacy and decreasing costs. One of these innovations is allowing the public, for the first time, to respond

using the Internet. The collection and transfer of this information poses a cyber security threat. Needless to say, we should take every precaution possible to ensure the personal information shared with us through the census remains private.

- a) What percentage of total respondents does the Census Bureau expect will complete internet responses?

**Answer:** We expect that about 45 percent of households will respond via the Internet.

- a. What measures has the Census Bureau already taken to ensure that the data of these respondents will not be hacked or manipulated?

**Answer:** The Census Bureau has intentionally designed systems and processes with many layers and levels of separation to enable us to identify areas of concern, protect systems and data, detect and contain cyber threats and data manipulation, as well as, if necessary, respond and recover from an incident. All self-responses are subject to a battery of automated checks that use data, matching, and security alert information to identify suspect individual responses and cumulative trends. Responses identified by automated checks are sent to analysts for further investigation. Cumulative trends are monitored by senior analysts for assessment of credible threats, and all work to investigate suspect cases is coordinated with IT security.

- b. A system as extensive as the Census' internet response system requires robust testing to guarantee that information will be collected properly and securely. What tests have been completed to assess the security weaknesses of the internet response system?

**Answer:** The Authority to Operate (ATO) process is quality control for cybersecurity. It is completed for all systems to continually reduce information technology security risks to an acceptable level. The Census Bureau grants the ATO after completing a robust security assessment according to a risk-based framework. Before ATO is granted, there are typically findings that must be addressed under strict timelines. Systems and data are secure when all high-risk findings have been addressed. Once a system is granted the ATO, a system is continuously monitored and annually reauthorized to ensure it maintains an acceptable cybersecurity posture.

Complementing these processes, the Census Bureau has worked with independent contractors and federal intelligence partners to conduct penetration testing of the public facing systems for Internet Self Response, with no weaknesses identified. The Census Bureau is now working with the Department of Homeland Security to conduct additional penetration testing this year to test additional components of our public facing systems.

- b) An October 2017 GAO Report titled: *2020 CENSUS: Continued Management Attention Needed to Oversee Innovations, Develop and Secure IT Systems, and Improve Cost Estimation*, found that the Census “Bureau has not yet addressed several security risks and challenges to secure its systems and data, including making certain that security assessments are completed in a timely manner and that risks are at an acceptable level.” According to the most recent GAO report, as of this month, only 8 out of 44 IT systems have completed all testing for the 2018 End-to-End test. When will the remaining 36 IT systems be developed and tested for the 2018 End-to-End test, and why is this process taking so long?

**Answer:** The Census Bureau has met the requirements of every operation completed to this point. As of July 2018 we have deployed 40 of the 44 systems in support of the 2018 End-to-End Census Test. Of the 40 systems, 35 have completed all of the development needed to support any of the relevant operations for the 2018 test. The remaining systems are on schedule, per the Integrated Master Schedule (IMS), to be deployed for the pending operations that are part of the 2018 test.

- a. The most recent GAO report found “The Bureau plans to rely heavily on both new and legacy IT systems and infrastructure”. Considering 75% of these IT systems are going to be dealing with sensitive information from respondents, will you be able to test all IT systems?

**Answer:** No system will be deployed to production without adequate and rigorous testing. We take information security very seriously. Since a majority of our systems will be dealing with sensitive information from respondents, every system will be subjected to rigorous testing and will receive an ATO certification from the CIO and Associate Director for Census Programs. No system will be deployed without an ATO. In some situations, for the 2018 End-to-End Census Test, GAO noted that we had to compress the schedule for obtaining ATOs, which we did by adding additional resources. We achieved security-related validation prior to using all systems in production.

- c) This month the GAO reported that 9 of 14 key IT milestone dates have been delayed by several months. The GAO also concluded that “If the Bureau continues to experience delays in meeting development and testing milestones for the 2018 End-to-End Test, it may not be able to fully test production-level systems and operations in a census-like environment prior to the 2020 Census.” Delays reduce the time available to conduct security reviews. How do you plan on meeting the cybersecurity needs of your internet response system if you can’t reach the milestone dates to test them?

**Answer:** The Census Bureau has a very detailed risk management framework based on NIST SP 800-37r1 “Guide for Applying Risk Management Framework to Federal Information Systems.”

Following that framework, the Census Bureau Office of Information Security (OIS) embeds a security engineer into major IT systems development to ensure security is addressed early on and throughout the lifecycle. The Census Bureau Internet Response System relies on the underlying infrastructure which undergoes its own security assessment and continuous monitoring. The Internet Response System relies on a number of those “inherited” infrastructure controls to provide security. The Internet Response System has been granted its initial ATO which meets FISMA requirements. The system will be under continuous monitoring and any changes to the system will require that the system go through a security impact analysis to determine if reauthorization of the ATO is required. If reauthorization is required, OIS will conduct the review and develop a Plans of Action and Milestones that will identify actions to reduce overall systems security risk. Based on this plan, the Census Bureau will prioritize action on the highest risk findings and reduce risk to an acceptable operating level.

d) If data was manipulated, what measures would the census bureau take to assess the severity of the manipulation?

Answer: The Census Bureau takes a multi-pronged approach to data integrity. First, we have built a robust Fraud Detection System (FDS) that allows us to identify and rectify fraudulent data that may have come through secure channels. Through the security measures and fraud detection measures we are in a position to assess the severity of data manipulation. We have given a technical directive to industry experts to build a FDS and are testing the system as part of the 2018 End-to-End Census Test, as well as post 2018 test prior to the 2020 decennial census.

Secondly, we utilize our Census Security Operations Center to monitor our systems to identify and detect potential security related breaches. We have an active and robust cyber defense plan that includes coordination with federal and intelligence community partners to facilitate proactive protection against such security incidents from occurring.

Finally, we ensure that the systems that host sensitive data are secured effectively following the latest secure technologies and methodologies. This approach is to prevent data manipulation from happening in the first place.

a. Does one instance of data manipulation put the integrity of all data collected into question?

Answer: No. We have multiple modes of data collection and each one is independent of others. Within each mode we collect information that delineates information within a housing unit from other housing units.



- b. What detection methods are you employing to ensure that you will detect a manipulation of the data? Given how many data breaches we have experienced over the past several years, how will we assure Americans that you have maintained data integrity and privacy throughout the process?

**Answer:** The Census Bureau has strict processes in place for handling all Title 13 and Title 26 data that may contain sensitive or personally identifiable information. The Census Bureau has also incorporated into its operations both fraud detection and cyber security tools and processes that help us to identify, detect, protect, respond and recover from internal or external threats related to entering, extraction, or manipulation of data. In addition, the Census Bureau is working with federal and intelligence community partners to keep abreast of potential threats and is prepared, if necessary, to address those threats.

- e) The National Research Council of the National Academies expressed concerns that an internet response option may lead to the “establishment of a ‘phishing’ site appearing to be related to the Census”. Phishing sites would lead to data theft and discourage respondent participation. What preventative measures has the Census taken to ensure that internet respondents don’t fall prey to phishing schemes?

**Answer:** Phishing attacks by entities purporting to be the Census Bureau are one example of the many cybersecurity threats that target consumers. To help identify and protect against these external threats, the Census Bureau will partner with industry and other federal agencies. The Census Bureau will use proactive public communications to educate and reinforce typical cybersecurity measures that respondents should be taking at home to protect their own data and increase their confidence that they are using the websites and tools from the Census Bureau intended for the secure collection of data for the 2020 decennial census. In addition, the Census Bureau will proactively monitor for fake websites and will not send emails directly to respondents. Coupled with robust public communications, this will limit the ability for others to impersonate the Census Bureau.

## **5. COST-ESTIMATE AND OPERATIONS**

Both the Department of Commerce and Congress have come to markedly different conclusions than the Administration about the level of funding needed by the Census Bureau in the coming fiscal year. Congress provided more than \$1 billion above the Administration’s request for FY18 and the Secretary has admitted the FY 18 request was too low.

- a) The Administration’s FY19 request is still \$437 million below the Commerce Department’s revised FY19 cost-estimate of \$3.45 billion as published on the Census website. Dr. Jarmin, why is the Administration’s request significantly lower than that of Congress and the Department of Commerce? Are you just hoping that Congress does not take the administration’s request seriously once again?

Answer: The Administration's FY 2019 budget request is aligned with the Department's lifecycle cost estimate for the 2020 decennial census. It fully funds all operational and systems development necessary to ensure a complete and accurate 2020 decennial census, including opening the remaining field offices and the first major 2020 decennial census field operation, the In-Field Address Canvassing operation. Importantly, the FY 2019 budget request also contains all contingency funding determined by the Department's independent cost estimate. The difference you cited reflects additional contingency funding above the confidence level recommended by GAO best practices in cost estimation. While there exists uncertainty in the need for additional contingency funding above the independent cost estimate at this time, should it become necessary as the lifecycle cost is informed and refined with the results of the 2018 End-to-End Census Test, the Administration will work closely with Congress to reconsider.

The Census Bureau would like to express appreciation for the Consolidated Appropriations Act of 2018. We are thankful not only for the financial resources, but also for the flexibility that allows the Bureau to commit the resources required for the 2020 decennial census when they are needed. This year's appropriation helps to reduce the overall risk to the 2020 decennial census by enabling us to make the critical investments beginning on October 1. This appropriation, and the way that it is structured, underscores the Committee's commitment to a successful 2020 decennial census.

- a. The most recent GAO report noted that "without sufficient testing, operational problems can go undiscovered and the opportunity to improve operations will be lost." How is the Administration's funding request conducive to handling emerging challenges early in the census planning process?

Answer: The FY 2018 Omnibus included \$50 million in contingency and the FY 2019 Request proposes nearly \$300 million more in contingency. Given the preliminary successes of the FY 2018 End-to-End Census test, we anticipate the current contingency request will be sufficient to handle the emerging challenges in FY 2019.

- b. Area Census Offices are critical to the planning and implementation of a successful "field footprint" to ensure to non-responses receive proper follow-up. Yet in many states, including Pennsylvania, the number of these offices were cut by 50% -- and by 80% in the case of Iowa. What was the rationale behind reducing the number of offices and how do you plan to address the increased follow-up costs as a result of fewer offices?

Answer: The Census Bureau will be opening a total of 248 Area Census Offices to support data collection and outreach efforts for the 2020 decennial census. These offices will be the

primary management centers for most field data collection activities on the 2020 decennial census. As you note, we opened more partnership offices in 2010. The efficiencies gained with automation and the reduction in paper-based activities over the last decade allows the Census Bureau to significantly reduce the brick and mortar footprint necessary to support the work of census enumerators. Enumerators no longer need paper maps, nor are they receiving and returning paper-based assignments and submitting paper-based payroll and administrative documents. All of these functions will be done electronically for the 2020 decennial census. The reduction in the number of offices does not reduce the ability of the Census Bureau to conduct a complete and accurate count. The Census Bureau still plans to hire staff locally and in sufficient numbers to ensure that everyone is counted. In addition, the Census Bureau will adopt the same approach to managing staff as it has done in the past. Census enumerators will work in the neighborhoods where they live, providing a critical element of local knowledge that increases cooperation and response. The direct supervision of these enumerators will be by Field Supervisors who also live in these communities and work from home.

- b) How have the Census Bureau's operational plans for FY18 changed in light of the designation of additional appropriations?

Answer: The Census Bureau would like to express appreciation for the Consolidated Appropriations Act of 2018. We are thankful not only for the financial resources, but also for the flexibility that allows the Bureau to commit the resources required for the 2020 decennial census when they are needed. This year's appropriation helps to reduce the overall risk to the 2020 decennial census by enabling us to make the critical investments beginning on October 1. This appropriation, and the way that it is structured, underscores the Committee's commitment to a successful 2020 decennial census. The Census Bureau is already increasing its partnership and communication campaign in FY 2018. Given the flexibility provided in the Consolidated Appropriations Act, in August the Census Bureau sent a reprogramming request to the Committee that advances some activities originally planned in FY 2019 to FY 2018 and uses risk-based contingency to reduce to overall risk to the 2020 decennial census.

## 6. Rural, Tribal, and Remote Areas

Individuals living in rural areas and on tribal land are often undercounted in the census because of their remote locations. Originally, the Bureau planned to conduct end-to-end testing in tribal, rural, suburban, and urban areas and collect information from 700,000 homes. However, due to underfunding of this critical "dress rehearsal," end-to-end testing is only happening in Providence, Rhode Island for about 200,000 homes.

- a) What are the significant differences between suburban and urban Providence and the many rural and remote areas and tribal lands within our nation? What gaps in understanding of participation rates do you anticipate because you only tested one fairly densely-populated area?

Answer: We conducted the early operations of the 2018 End-to-End Census Test in three locations that included the very rural areas of the Bluefield, Beckley, Oakhill region of West Virginia, and in Pierce County, Washington. We gained valuable experience in implementing census operations in areas with no Internet connectivity, and we are currently adjusting our systems and operations based on what we learned. The Census Bureau successfully implemented its management systems in these areas, and field staff were able to receive their assignments and submit their payroll and operational data at the beginning or end of their shifts when they could connect to the Internet, but they did not require Internet access while they were actually doing their work. This is important to the Commonwealth of Puerto Rico, which includes areas with sporadic Internet connectivity particularly in the aftermath of Hurricane Maria.

The primary goal of any end-to-end test is to ensure the effective integration of all of our systems and operations, and the Providence, Rhode Island site is ideal for that. Moreover, the operations we are implementing in rural areas, and on American Indian Reservations, are identical to those implemented in prior censuses, so they are well-established and have proven to be effective in the past.

We recognize the importance of counting people in rural areas and the unique challenges that represents. We do recognize that the Internet response option is not feasible or acceptable to the entire population; alternative modes will be provided for respondents to complete their 2020 decennial census questionnaire, such as the paper methods used in the past. Our self-response contact strategies include invitation letters, post-cards, and questionnaires mailed to households. Although our objective is for a majority of respondents to complete their census questionnaire online, in areas with low Internet connectivity and other characteristics that make it less likely that respondents will complete the census questionnaire online, we offer an Internet Choice contact strategy where a questionnaire is provided on the first contact, in addition to information about how to respond online or by phone.

A second step we take to ensure an accurate count in rural areas involves an operation we call "Update/Leave." This operation is designed to update the address frame in areas where the majority of housing units either do not have mail delivered to the physical location of the housing unit, or the mail delivery information for the housing unit cannot be verified. The purpose of the operation is to update the address and feature data for the area assigned, and to leave a 2020 Census Internet Choice Questionnaire Package at every housing unit (HU) identified to allow the household to self-respond. The choice questionnaire package will offer occupants two different ways to respond to the census: through the Internet or by mailing back a completed paper questionnaire. All households can also choose to respond by phone. Households that do not respond will be included in the Non-response Follow-up operation with correct geographic information.

Our Partnership and Communications Program also will include organizations that are focused on rural communities and advertising and promotion that will reach these areas as well.

Our efforts to enumerate tribal areas are equally strong. The Census Bureau announced on July 1, 2015, that it would seek input from tribal leaders for the 2020 Census. The Census Bureau conducted 18 tribal consultation meetings that started two years earlier than those conducted for the 2010 Census. These meetings requested input on topics like geography, data collection operations, and tribal enrollment. Connectivity issues were discussed in these meetings, and the Census Bureau continues to explore ways to ensure that it has measures in place to address them. As we move closer to the 2020 Census we are working with leaders from each tribe to determine the best way to conduct census operations in their areas. In many cases, the Census Bureau will use the Update Leave Operation in these areas as well.

We also are working closely with tribal leaders as we develop the Communications and Partnership program. Our contracting team, led by Young & Rubicam (Team Y&R) includes G+G Advertising. G+G Advertising has been a leader in American Indian and Alaska Natives (AIAN) advertising and outreach to AIAN audiences for more than 20 years. The firm also has extensive decennial experience, having participated in the 2000 and 2010 Census advertising campaigns. Team Y&R, G+G Advertising, and Census Bureau staff, both at the headquarters and local level, have been working on two key elements: research and partnerships. Working in conjunction with the Census Bureau, Team Y&R recently completed the Census Barriers Attitudes and Motivators Survey. CBAMS is a quantitative and qualitative research effort which includes a survey with a sample of 50,000 households and 42 focus groups in 14 cities across the United States. The American Indian and Alaska Native population was a significant focus of this study. In addition, the Census Bureau is implementing its Community Partnerships Engagement Program (CPEP). CPEP is an effort that focuses on building and engaging community or grassroots level partnerships throughout the United States.

- a. If there are issues or gaps in participation in rural and tribal areas that you only discover after the 2020 Census is underway, how does the Bureau plan to respond to ensure an accurate count of everybody in the US, no matter where they live?
  - i. It often costs significantly more to do follow-up outreach in sparsely populated areas. What is your plan if costs of follow-up are dramatically higher than currently anticipated?

**Answer:** The Census Bureau's lifecycle cost estimate includes the contingency funding necessary to expand Non-response Follow-up operation in tribal or rural areas as necessary.

- b) Hurricane Maria wiped out virtually all of Puerto Rico's infrastructure. It will take many years to fully recover. How does the Census propose to access and interview individuals living in areas recovering from natural disasters?
  - a. What challenges will you face in making sure you get an accurate count in areas like Puerto Rico and the Florida Keys, which were remote even before last year's devastating hurricanes?

**Answer:** In areas hit hard by natural disasters the Census Bureau converts operations to the Update/Leave operation because the on-the-ground listing effort close to Census Day ensures that shifting or evolving living situations are captured so that questionnaire packages are delivered effectively, and that they are accurately included in the Non-response Follow-up operation. We did this in the areas affected by Hurricanes Rita and Katrina prior to the 2010 Census, and we have made the decision to enumerate the entire Commonwealth of Puerto Rico with the Update/Leave operation for the 2020 decennial census. We are working closely with the Government of Puerto Rico and will make additional operational adjustments as necessary.

## **7. UNDERCOUNTING YOUNG CHILDREN**

Considerable and deserved attention is focused on racial minorities, the foreign-born, and the poor –not mutually exclusive groups – who may be harder to count in the census. Less attention is focused on other hard-to-count groups such as children, particularly in rural areas. Nearly a **million** children under age five, for example, did not show up in the 2010 census. Unlike other age groups, the count of young children appears to be increasingly less accurate.

- a) What factors make young children harder to count and what are the implications of undercounting them?

**Answer:** We recognize that the undercount of children has increased in recent decades and that this is a critical challenge in the 2020 decennial census. An undercount of young children on the census is not new or unique to the United States. The Decennial Census of the U.S. population and other censuses around the world have struggled with this issue for decades. Task forces at the Census Bureau have been examining this issue throughout the decade, and we know that we often miss children living in complex living situations such as staying with grandparents, other relatives or nonrelatives because they are less likely to be listed on the census questionnaire. In this, the relationship of the child to the householder is important. Unrelated children, grandchildren and other related children were most at risk of coverage error than biological or adopted children of the householder. We also know that we miss young mothers, and children who live in a household of recent immigrants or in a non-English or limited-English speaking home are likely to be undercounted as well.

As with other undercounted populations there are significant implications arising from undercounting children for the communities where they live. Young children, like all members of the population, contribute to the census counts that are used to apportion the House of Representatives. Many federal programs allocate funds according to census counts. Programs especially focused on children include Temporary Assistance for Needy Families, special education grants to states for providing education and services to children with disabilities, Head Start, and the National School Lunch Program. If census counts are too low in areas, school planning may be impacted when more children exist than are expected.

b) What exact provisions is the Census Bureau making to ensure **all** these groups are counted accurately in 2020?

Answer: We have taken a number of steps to address this issue. This included updating the language on our mailing to households to emphasize that “all adults, children and babies living or staying at this address” should be included (the 2010 form just said “everyone”); updating the wording of the undercount probe on the questionnaire to specifically mention “grandchildren” and “unrelated” children; and updating the help text on the Internet self-response instrument to provide additional guidance about counting children. In addition, our automated instruments will allow respondents to add these additional people in real time in response to our prompts, and we are incorporating messaging about including young children in the training for our field staff conducting the Non-response Follow-up operation.

We also know that the importance of counting young children must be woven into all of our communications messaging and partnership support materials, which is a principal focus of our communications contracting team. Our Partnership Program also will be building relationships with national organizations that support children, and local organizations like hospitals all across the country. Continuing to explore opportunities for addressing issue will be an important priority in the months ahead.

## 8. LGBTQ Community, Sexual Orientation, and Gender Identity

In 2016, 5 major federal agencies asked the Census Bureau to include questions on sexual orientation and gender identity on the American Community Survey (ACS). They were the Departments of Justice (DOJ), Health and Human Services (HHS), and Housing and Urban Development (HUD), Centers for Medicare and Medicaid Services, and the Environmental Protection Agency (EPA). In March of 2017, the Census Bureau communicated with the DOJ and removed the questions from the ACS.

a) Can you confirm that those five agencies made this request of the Census?

a. Did you follow up in March 2017 with all agencies, or only with DOJ as has been reported?

- b. Why was DOJ the primary agency the Census worked with regarding inclusion of a question on sexual orientation and gender identity? Why didn't you contact the other 4 agencies?
- b) The Census is important for providing services to marginalized and underserved communities. Your Bureau said that there was "no federal data need" to ask about sexual orientation and gender identity. But this is a survey that is used to distribute more than \$400 billion in federal funds to communities across the country. LGBTQ Americans will continue to be underserved because they are uncaptured. This lack of service and funds will contribute to the increased rates of homelessness, poverty, and discrimination LGBTQ Americans face. Does the Bureau consider it unimportant to understand the LGBTQ community and serve these Americans? If there is "no federal data need" to ask about sexual orientation, then why do both forms of the census include questions on "same-sex" or "opposite-sex" partners?
  - a. By counting only LGBTQ individuals who are living together in same-sex partnerships the government is getting a woefully inadequate sample of the LGBTQ population. It completely erases the existence of single LGBTQ Americans and LGBTQ youth who face high rates of homelessness, transgender individuals who face intense discrimination and are at high risk for depression and suicide, and bisexuals whose orientation is not determined by whom they are in a relationship with. I believe every person in America deserves to be counted fully and accurately.

**Answer:** The Census Bureau remains committed to providing high quality data to ensure efficient and effective management of federal programs and services. The Census Bureau, working with the Office of Management and Budget and Interagency Council on Statistical Policy's Subcommittee on the ACS, has established criteria for determining content on the American Community Survey (ACS). These criteria ensure that the ACS asks only what is necessary, constraining the length and burden of the ACS on the American public.

It is incumbent upon federal agencies to identify their need for data and communicate this information to the Census Bureau. Requests for new or revised content for the ACS must demonstrate a statutory or regulatory need for data at small geographies or for small populations in order to be considered for the ACS.

The Census Bureau received four federal agency requests in 2016 to add sexual orientation and gender identity to the ACS. All four requests underwent legal, technical, and policy review. Three requests failed to meet the criteria for adding a subject. The fourth agency withdrew its



request. As a result, there are currently no requests to add sexual orientation and gender identity questions to the ACS that meet the criteria for inclusion.

The Census Bureau published two reports detailing the planned subjects and planned questions for the 2020 decennial census and ACS, which serve to notify Congress, federal agencies, and the public about the planned topics for the decennial census program. In addition, the Census Bureau publishes Federal Register Notices in compliance with the Paperwork Reduction Act, which provides an opportunity for the public and federal agencies to comment on the subjects and questions planned for the 2020 decennial census and ACS. Since there were no requests that met the criteria for adding a subject to the ACS, sexual orientation and gender identity were not included in the published reports or Federal Register Notices.

#### **9. GAO Recommendation for an Updated Census Cost Estimate**

According to the GAO, the Census Bureau released an updated cost estimate in October 2017. An accurate cost-estimate is necessary for the Bureau to plan and execute the Census. As we have discussed, it is an extremely important tool for determining both the make-up of this body and for allocating important government resources like Medicaid, Social Security, and housing grants.

- a) I know the end-to-end test is underway in Providence. What information have you gathered that from the ongoing test that may call into question the cost-estimate from 2017? Will there be time to update the budget for Census after the end-to-end test and before the 2020 Census is underway?

**Answer:** The 2018 End-to-End Census Test is ongoing, and we will not complete our analysis of the data from the test until the Fall. Nothing at this stage, though, indicates that significant revisions to the Department's October 2017 Lifecycle Cost Estimate (LCCE) are required. We will be updating the LCCE later this year based on our ongoing review of all of the parameters and estimates it contains.

- b) What contingencies have you explored if the current cost-estimates need to be dramatically increased as a result of the lessons learned during the Providence testing, while still ensuring the greatest levels of participation possible?

**Answer:** We believe that the funds provided in the 2018 Consolidated Appropriations Act enacted by the Congress are sufficient to cover any mitigations required by the results of the test.

**Post-Hearing Questions for the Record  
Submitted to the Honorable Wilbur Ross  
“2020 Census: Examining Cost Overruns, Information Security, and Accuracy”  
October 31, 2017**

**From Senator Claire McCaskill**

**Potential Risks and Their Costs**

**The recent disasters in Puerto Rico, Texas, Florida, and California could significantly impact and cause serious complications for the 2020 Census.**

**1. Please describe actions that the Census Bureau is taking to account for these complications in its revised 2020 Census Lifecycle Cost estimate.**

The Department of Commerce’s revised lifecycle cost estimate of \$15.6 billion includes \$1.2 billion in unallocated contingency funding above the independence cost estimate of \$14.1 billion to address unknown risks. These unknown risks include the Census Bureau’s ability to respond to unforeseen circumstances such as impacts of natural disasters. The Census Bureau already is planning to conduct an additional round of in-office address canvassing in areas affected by recent natural disasters. The Census Bureau also will increase in-field address canvassing in those areas when necessary. Following Hurricanes Rita and Katrina, the Census Bureau increased some field operations for the 2010 Census.

The Census Bureau is conducting a complete address canvassing operation that covers the entire country. The important difference in the 2020 Census is that the Bureau is continually updating the address list and maps based on data from multiple sources, using a combination of aerial imagery, and administrative and programmatic data to help understand where change is occurring. This in-office address canvassing work allows the Census Bureau to reduce the amount of in-field address canvassing needed to ensure an accurate address list.

The Census Bureau has been updating its address list for Puerto Rico for the past decade as well. Nonetheless, because of the devastating impact of Hurricane Maria on the island, the Census Bureau has determined that it is in Puerto Rico’s best interest for the Census Bureau to conduct what they call “Update Leave” across the entire Commonwealth. As part of this “Update Leave” process, the complete inventory of addresses will be validated and updated where appropriate by Census Bureau staff walking every road and checking every housing unit. Census Bureau staff will leave a questionnaire package on every doorstep, and occupants will have the opportunity to respond via paper questionnaire, via telephone, or via Internet just like respondents across the country. Households that do not respond will be included in the nonresponse follow-up operation (“NRFU”).

## **2. How will the Census Bureau ensure accuracy in places where there has been significant displacement and devastation of homes?**

On November 8, 2017, the Census Bureau extended the registration deadline for the Local Update of Census Addresses (LUCA) program to January 31, 2018 for governments that have experienced natural disasters, including the hurricane impacted areas of Puerto Rico and the Gulf/Atlantic coasts, as well as the wild fire areas. The Bureau is working closely with these communities throughout the LUCA program to ensure that the address list and spatial database in these areas are as accurate as possible.

LUCA offers an opportunity to tribal, state, and local governments to review and comment on the U.S. Census Bureau's residential address list for their jurisdiction prior to the 2020 Census. The Census Bureau relies on a complete and accurate address list to reach every living quarters and associated population for inclusion in the census. The Census Bureau is required by the Census Address List Improvement Act of 1994 (Public Law 103-430) to allow governments the opportunity to review the Census Bureau's address list prior to the Census and the LUCA operation is how we implement that directive.

As the 2020 Census approaches, the Census Bureau will work with these communities, and others impacted by natural disasters, to make operational adjustments, such as increasing field operations like Update Leave.

**The revised 2020 Census Lifecycle Cost Estimate assumes a lower self-response rate than originally projected. Self-response is now estimated to be 55%, whereas the original projection was 63.5%.**

## **3. Please explain why the new projection for self-response is significantly lower than the original estimate.**

The Census Bureau reduced the estimated self-response rate for the 2020 Census from 63.5% to 60.5% due to two changes made to increase the security of the online instrument and provide stronger privacy protections for the confidential data of all respondents. Stronger privacy protections create extra steps that may dissuade some respondents from responding online. It is a tradeoff that the Census Bureau considered to be worthwhile. One specific change is the potential for additional authentication steps at the point of log-in into the Internet instrument. The second change is the removal of the save and log-out functionality, meaning that respondents cannot save a partial response and return to complete it later. This latter factor could have a particular impact on large households.

The recent upper bound lifecycle cost estimate includes funding to address the risk that the response rate could be as low as 55%. The 2020 Census Program continues to project, and manage to, an estimated self-response rate of 60.5%, but now has contingency funding in place should it be needed.

**4. How does the 55% breakdown by mode of response: Internet, telephone, and paper questionnaire?**

As stated above, the Census Bureau is managing to the current projected self-response rate of 60.5%. We estimate that 45.0% will respond via the Internet, 11.2% by returning a paper questionnaire, and 4.3% by phone.

**5. Has a further estimate been conducted that lowers the projected self-response rate? If so, please provide additional information on the downgrade of projected self-response rate and the reasons underpinning this revision.**

See answer to Question #3.

**The Bureau decided to reduce the number of regional offices from 13 to 6, in large part because it was expected that the new technology would reduce the need for regional office support.**

**6. Given the estimated decrease in self-response rates, should the Census Bureau consider opening additional regional offices?**

The Census Bureau does not believe that opening additional regional offices is necessary. The Regional Census Centers serve primarily as administrative centers for the local offices that conduct data collection. Operational support and oversight of field data collection and outreach activities continue to come from local offices. With respect to operational oversight, the Census Bureau will adopt the same approach to managing staff as in past censuses. Census enumerators will work in the communities where they live, providing critical local knowledge that increases cooperation and response. Field Supervisors who also reside in these communities and work from home will directly supervise the enumerators.

**a. Should the Census Bureau consider an increase in address canvassing, and hiring more enumerators for non-response follow up? Why or why not?**

The Census Bureau is conducting a complete address canvassing operation that covers the entire country. The important difference in the 2020 Census is that the Census Bureau is continually updating the addresses list and maps based on data from multiple sources, such as: USPS Delivery Sequence File; state, county, local, and tribal government partner files, through the Census Bureau's Geographic Support System program; LUCA participants; and imagery files from National Geospatial-Intelligence Agency (NGA) and the United States Department of Agriculture. It also is using a combination of aerial imagery and administrative and programmatic data to help understand where change is occurring. This in-office address canvassing allows the Census Bureau to reduce the amount of in-field address canvassing needed while ensuring an accurate address list. In areas of the country that are experiencing change, the Census Bureau still intends to hire field staff to check and add addresses as necessary. It currently estimates that this will be required for 30% of addresses in the country, and the Bureau intends to hire the staff necessary to accomplish this.

With respect to the Nonresponse Followup Operation, the Census Bureau intends to hire the staff necessary to conduct field operations, in particular interviewing nonresponding households, to ensure a complete and accurate census. As in past decennial censuses, the Census Bureau will recruit and train up to three times the number of enumerators that we plan to deploy in order to expand the workforce as necessary should self-response rates be lower than anticipated, and additional households need to be interviewed after the self-response phase of the census.

**b. What additional costs would be incurred should the Census Bureau need to open additional field offices?**

The Census Bureau's current estimate is that each additional Local Census Office (LCO) would cost \$4 million.

**It was raised in the course of the hearing that a position of the Director of the Census is vacant and the Government Program is operating with 60% vacancy rate.**

**7. How is the Commerce Department addressing any issues arising from the understaffing at the Government Program Office?**

The Department sent a budget adjustment request to the Appropriations Committee that includes the resources necessary to expand the program management staff so that it has the capacity and the skills required to effectively manage a program of this size and complexity and it was included in the omnibus spending bill P.L. 115-141 that the President signed into law on March 23, 2018.

**8. Please explain the responsibilities of the four outside consultants you discussed in your testimony and provide information on their relevant experience.**

The team of experts from outside the Census Bureau identified and accounted for major potential risks and cost drivers beyond the assumptions in the 2020 Census program's original cost estimate. The team identified potential risks and associated challenges for the 2020 Census, which include declining self-response rates, cybersecurity concerns, recruitment size and wage rate, and field management staffing ratios.

The Independent Cost Estimation (ICE) team was comprised of financial management experts from the Department of Commerce and the Office of Management and Budget. The outside consultants who provided program management expertise and analysis on program integration, major contracts, and the budget included former Census employees, two former technology executives with experience in rolling out complex systems, and other experts with extensive private sector experience.

**Arnold Jackson**

Arnold Jackson is CEO of AJ Management Consulting LLC, Silver Spring Maryland. Prior to founding AJ Management Consulting, Arnold was Associate Director for Decennial Census at the U.S. Census Bureau serving as the Chief Operating Officer for the 2010 Decennial Census at

the U.S. Department of Commerce, Bureau of the Census. In that role, he exercised full oversight of the \$14 billion budget as he directed the management and administration of all decennial census and geographic support plans and operations of the 2010 Census. Arnold served on the Director's executive staff and on the newly established executive steering committee for the 2020 Decennial Census. After completing the operations of the 2010 Census, he contributed to emerging Bureau executive bodies for Diversity, Data Quality, and Internal Operating Efficiencies.

Previously, he was the President and a member of the Board of Directors of James Martin Government Intelligence (1998-2002), an information management consultancy that worked primarily with defense and civilian intelligence agencies. His work there included strategic planning, enterprise architecture, technology strategies and process reengineering. He implemented programs and practices in support of the Clinger-Cohen Act; a 1996 law that was designed to improve the way the federal government acquires and manages information technology. During an earlier tenure at the Census, he was the first Associate Director and Chief Information Officer (1991-1997) to serve on the Director's executive staff at the U.S. Census Bureau, where he was also the Chief of the former U.S. Census Bureau Decennial Operations Division (1984-1991). Arnold pioneered the use of highly distributed information-technology solutions and strategic outsourcing for the decennial census by executing nationwide support for the 1990 Census. He returned to private management consulting following that experience, becoming partner and director at Ferguson-Bryan and Associates, a minority-owned business consulting firm in Washington, DC (1980--1984).

Arnold is presently serving as a Special Advisor to the Secretary of Commerce and his immediate staff. As a seasoned executive with vast experience in all phases of Decennial Censuses he is advising the Secretary on a range of risk reduction, operational and organizational matters for the 2020 Census.

Arnold is a winner of a Hammer Award for leading the team that launched the Census Bureau website in the mid-1990s. The Hammer Award is presented to teams of federal employees who have made significant contributions in support of reinventing government principles. His senior management team was awarded the Department of Commerce Gold Medal in 2011 for their widely acclaimed contributions to a most successful 2010 Decennial Census. Arnold is a graduate of Hampton University, the Harvard Business School, and the Federal Executive's Institute. He is a frequent speaker on topics including program management, management of information technology projects, performance management, and large scale data collection and analysis.

### **Dave Abel**

David Abel served as Vice President and managing partner for public sector systems integration at IBM's global business services organization, where he oversaw the development of solutions and systems for federal, state, local, healthcare and education customers. Before that position, Mr. Abel led the company's projects with the departments of Homeland Security, Justice and State; and state, local and education clients in the eastern U.S. In that role, he addressed some of government's toughest mission challenges by deploying emerging technologies to protect and prevent threats, enhance cybersecurity, improve program outcomes, and engage citizens.

Mr. Abel has successfully managed large scale implementation programs worldwide, including North America, Africa, Asia, and Europe. Some of the programs Mr. Abel led included Customs and Border Protection's modernization and automated customs environment, a transformation program for U.S. Citizenship and Immigration Services, and software development and platform management for the Federal Emergency Management Agency's flood mapping program. He also oversaw programs involving airport operations at the Raleigh-Durham and Indianapolis airports, the Transportation Security Administration's application support and information services, financial management system deployment at the Justice Department, and programs for the New York City police and fire departments.

Prior to IBM, Mr. Abel served as a partner with PricewaterhouseCoopers, where he focused on commercial and public sector transportation, airport safety and operations planning and the banking and finance industries. He also worked on the development and deployment of automated fingerprint identification systems for law enforcement agencies.

Mr. Abel holds a bachelor's degree from the University of Virginia's McIntire School of Commerce and is a graduate of the University of Virginia's McIntire School of Commerce. He has been a guest speaker at The University of North Carolina's Keenan School of Business and Witwatersrand University in Johannesburg, SA, and also co-hosted "The Business of Government Hour." Mr. Abel sits on the Advisory Board for American University Kogod School of Business and is a former member of the board of directors of the Homeland Security and Defense Business Council.

### **Johnny Barnes**

Mr. Barnes is a retired IBM Vice President with more than four decades of experience as one of the company's top executives. He was appointed to several IBM corporate staff positions, including several critical strategy, product, and manufacturing task forces that established the foundation of IBM's current business and technical direction. He was a critical high-level manager and leader of IBM's mid-range and high performance RISC-based products which reestablished IBM's industry leadership, and led the re-engineering of IBM's internal hardware development, global computing and telephony environments. He also grew IBM's Manufacturing, Financial, Communication and Public Sector services businesses, serving as Director of Common Tools, Vice President of Global IT Infrastructure, and Vice President and Deputy CIO. Mr. Barnes' management responsibilities included business management, strategy, architecture, design, development and deployment of both IBM and customer business solutions utilizing advance technologies and standards.

Mr. Barnes' professional experience includes several years of business and technical management of products, customer solution contracts, and IBM worldwide organizations. He was responsible for the definition of IBM's Manufacturing Industries' Worldwide Technical Strategy and the development of key components of the strategy. As the Vice President and CTO of IBM's Public Sector, Mr. Barnes was responsible for successful recovery of a troubled strategic government agency infrastructure program and integration of advanced technology solutions into multiple agencies. Mr. Barnes is recognized worldwide as an accomplished executive leader and technologist. During his IBM career, he received eight patents, three IBM invention achievement awards, and an array of IBM awards for his technical and management

contributions. Mr. Barnes also has numerous publications on a wide variety of technical areas. He was recognized nationally by DOD Continuous Acquisition and Life-cycle Support (CALs), the National Eagle Leadership Institute (NELI) and National Society of Black Engineers (NSBE). NSBE awarded Mr. Barnes the Black Engineer of the Year award in 2011. In addition, he was a director on the board of SCRA Advance Technology International and is on the board of STEM Premier (Chairman).

Mr. Barnes holds a B.S. in Electrical Engineering from the University of Houston and attended graduate school at the University of Texas concentrating on software engineering and manufacturing automation. He is Project Management (PMP®) and IT Infrastructure Library (ITIL®) V3 certified. In addition, Mr. Barnes has a TS/SCI CI polygraph clearance level with the federal government. Currently, as the owner of an IT consulting and services company, Mr. Barnes provides leadership and consulting to companies and government agencies globally.

### **A. Mark Neuman**

In addition to the three paid consultants, I have continued to seek advice from my advisor on Census issues during the presidential transition, A. Mark Neuman, who has worked on 1990, 2000, and 2010 Decennial Censuses.

Neuman also advised previous Secretaries of Commerce on Census issues, including Secretary Mosbacher, Secretary Daley, and Secretary Evans. Neuman also worked on the Census Executive Staff during the 1990 Decennial Census and worked closely with seven different directors of the Census. Neuman has worked with most of the stakeholders in the Decennial Census: The Bureau, the Department of Commerce, Congressional Oversight and Appropriations Committees, GAO, NAS, the Census Advisory Committees, and numerous other stakeholders including NALEO, MALDEF, and the Leadership Conference on Civil Rights.

Neuman has extensive experience in strategies to effectively count hard-to-count populations (including Spanish and other non-English speaking populations, as well as American Indians living on Reservations). He is focused on the need to further reduce and eliminate the black-white differential undercount and ensure that we count every person living in America one time and at the correct address.

Neuman's advisory capacity is modeled on the previous advisory role performed by John Thompson for Secretary Carlos Gutierrez during President George W. Bush's second term.

### **Revised 2020 Census Lifecycle Costs**

**The Commerce Department recently revised the 2020 Census Lifecycle Cost Estimate because of ineffective planning and problematic management that created significant cost overruns. The Department now estimates the costs will total \$15.6 billion, which is \$3 billion more than originally estimated. The Department is also requesting a \$187 million increased in funding for FY 2018.**



**9. What steps will the Census Bureau take to control any further cost growth?**

My staff and I are closely involved with the planning and execution of the 2020 Census. We meet regularly with the Census Bureau team and their contract partners to bring oversight and accountability into the Decennial operation. These meetings help me ensure that we are on track, on time, and on budget.

My staff also conducts weekly 2020 Census oversight reviews, which include tracking metrics and program execution status on a real-time basis. In addition, they hold monthly meetings with the Office of Management and Budget, Census program managers, and Commerce's 2020 leadership team, headed by Under Secretary Karen Dunn Kelley, who is also performing the nonexclusive duties of the Deputy Secretary of Commerce, to review issues related to the programs budget, scope, schedule, and risks. These management meetings include detailed reviews of the evolving budget and lifecycle cost estimate for the 2020 Census. The results of these meetings are reported directly to me by Under Secretary Kelley and her staff so that I can personally oversee the progress of the Decennial Census.

**10. What specific 2020 Census programs will benefit from the \$187 million in additional funding for FY 2017? Is the \$187 million sufficient to cover the expense of 2020 Census program requirements?**

The additional \$187 million will be allocated to the critical activities necessary to keep the Census Bureau on track for a successful 2020 Census. The funding is primarily allocated to the major IT contracts, including the Technical Integrator contract and the Census Questionnaire Assistance contract, and program management, systems engineering and operational development. These funds allow us to make a significant course correction to keep crucial programs on track and provide much-needed financial oversight and better management at the Census Bureau. The Census Bureau and the Department of Commerce are accountable to manage the 2020 Census efficiently.

**11. Please identify and list the qualifications of the experts who participated in the process to revise the 2020 Census Lifecycle cost estimate.**

Several teams were involved in the process to revise the 2020 Lifecycle cost estimate. Each team was led by an individual who has decades of experience in the relevant fields, including acquisitions, management, cost analysis, engineering, public policy, and major systems development. Members included the Senior Procurement Executive and Director of Acquisition Management at the Office of Acquisition Management of the Department of Commerce, the Deputy Director for Acquisition, Grant and Risk Program Management at the Office of Acquisition Management of the Department of Commerce, the Senior Leader, Director for Cost Analysis at the Office of Acquisition Management of the Department of Commerce, and a Detailee and Presidential Management Fellow at the Office of Acquisition Management of the Department of Commerce.

## **Cancelled Tests**

**Earlier this year, the Census Bureau cancelled three important 2017 field tests—a Spanish language test in Puerto Rico, a test on the Colville Indian Reservation and Off-Reservation Trust Land in Washington State, and a test on Standing Rock Reservation in North and South Dakota. These tests would have provided data and best information for obtaining a more accurate count in important, historically undercounted minority, rural, and tribal communities.**

**12. Has the Census Bureau done an analysis to see if it could possibly restore funding for these cancelled tests to ensure that these populations and systems are tested prior to 2020? If not, why?**

There are no plans to conduct testing in Puerto Rico. Systems that are critical to the 2020 Census, both in Puerto Rico and nationwide, are being tested in the 2018 End-to-End Test, including the Update Leave and Group Quarters operations. The Spanish language Internet Self-Response instrument is currently deployed for the peak operations in Providence, Rhode Island, where 19% of the population speaks Spanish. The Census Bureau has determined the results of the Providence End-to-End test of the Internet Self-Response instrument will be sufficient to understand any issues that arise. In addition, field staff in the End-To-End test will be using data collection instruments with both English and Spanish language functionality.

The 2018 End-to-End Census Test began in August 2017 in Pierce County, Washington; Providence County, Rhode Island; and the Bluefield-Beckley-Oak Hill, West Virginia area with the implementation of an address canvassing operation. This operation allowed the Census Bureau to test systems in areas without internet connectivity and hone the critical address list development operations in a wide range of geographical situations similar to those in Puerto Rico and tribal areas. In addition, the Census Bureau was able to test management systems in areas without internet connectivity, which will be very important in rural and tribal areas. Census field staff were able to receive their assignments and submit their payroll and operational data at the beginning or end of their shifts when they could connect to the Internet, but they did not require Internet access while they were actually doing their work.

Finally, the Census Bureau selected Providence County, Rhode Island, for peak operations of the 2018 End-to-End Test for a multitude of factors, but primarily because its diverse population presents unique challenges that the Census Bureau will face in 2020. Providence County's demographics mirror those of the nation and therefore offer a microcosm of the 2020 Census experience. Its population of over 600,000 (626,667) includes historically hard-to-count populations, more than a quarter-million housing units (264,048) and 110,734 Spanish speakers.

**13. If restoring funding to these cancelled tests is not feasible, what efforts will the Census Bureau make to mitigate this issue to ensure that these hard-to-count populations are fairly and accurately counted in the 2020 Census?**

The Census Bureau is planning a robust communications and partnership program to help reach the hard-to-count populations for the 2020 census. Efforts include advertising in multiple languages and working with trusted voices in communities across the nation to encourage

responses to the 2020 Census. Census partners include national organizations, churches and other faith-based organizations, health clinics, legal aid centers, and other support organizations that traditionally undercounted populations rely on. The Census Bureau will also provide support and response options, including Internet and telephone response options, in up to 12 languages. All mail materials and paper questionnaires will be in both English and Spanish. In addition, Census enumerators will be well trained and provide support in multiple languages.

### **Contract Oversight: 43 IT Systems Integration**

**The redesign of the 2020 Census principally depends on the effectiveness of the Census Bureau plans to integrate new and legacy information technology (IT) systems and infrastructure. GAO has warned that the development of these systems is woefully behind schedule and that not all of the systems will be fully operational by for the 2018 End-to-End Census Test. According to GAO, development and testing is behind schedule for 39 of the 43 IT systems that must be in place for the 2020 Census.<sup>1</sup>**

#### **14. How confident are you that these systems will be completed and fully tested before they are needed for the test? What actions are you taking to ensure that they are ready in time?**

The Census Bureau has developed a robust schedule for developing and integrating the key systems for the 2018 End-to-End Census Test. Each system has its own well-defined scope, requirements, schedule, and costs, and each system is overseen by experienced project management teams. As they enter the peak operations of the Test, 40 out of the 44 systems supporting the test have been deployed, and a majority of them have completed integration testing. No system will be released without completing the necessary integration testing, and all 44 are on track to be fully integrated and deployed when they are needed to support the applicable operations.

GAO and the Census Bureau have been working closely together to ensure that they have a consistent understanding of the status of systems readiness, and they are monitoring final development and testing of the remaining systems needed for the 2018 End-to-End Test. They also are looking closely at the developmental work needed for the 2020 Census. Based on GAO's recommendations the Census Bureau has taken a closer look at operations that could reuse existing systems instead of developing new ones, such as the field component of the Post Enumeration Survey, where the decision has been made to use systems that are already supporting existing Census Bureau current survey operations.

My staff and I are in constant communication with both the Census Bureau and GAO. In fact, Under Secretary Karen Dunn Kelley (who is performing the duties of the Deputy Secretary) has met with both teams and encouraged them to work together to ensure that GAO best practices are being implemented by the Census Bureau.

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<sup>1</sup> Government Accountability Office, *Continued Management Attention Needed to Oversee Innovations, Develop and Secure IT Systems, and Improve Cost Estimation* (GAO-18-141T) (Oct. 2017).

**15. How is the Census Bureau holding contractors accountable for these delays?**

Decennial Senior Leadership conducts a weekly contract review meeting to assess the contractors' performance against the technical and schedule milestones of each contract.

**16. GAO reported that, during the 2017 Test, the Census Bureau assumed increased risk when systems were deployed before security assessments could be completed as planned. What is the status of the authorizations to operate for the 43 systems being used in the 2018 End-to-End Test given that 33 of them contain personally identifiable information?**

The Census Bureau is following its Authority to Operate (ATO) process for systems involved in the 2018 End to End test, and the status of the authorizations as of March 23, 2018 is 86% (38 systems) complete with 14% (6 systems) in progress to obtaining an ATO. The Census Bureau is on schedule to ensure that all systems used in the 2018 End-to-End test are authorized prior to use. The authorizing officials are made aware of any risks identified in the ATO process and systems with ATOs will have their cybersecurity maintained through continuous monitoring.

**Contract Oversight: Mobile Devices and Bid Protest**

The Government Accountability Office (GAO) recently issued its decision on a bid protest of the \$283 million contract for mobile devices for the 2018 End-to-End test and the 2020 Census. GAO found that the Census Bureau, "conducted unequal and misleading discussions, and failed to adequately document its evaluation and selection decision." GAO recommended the Census Bureau reopen the competition, conduct discussion, accept and evaluate revised proposals, and make a new decision.

**17. What is the status of the bid protest on the device-as-a-service contract? Does the Census Bureau still plan to test the devices in that contract during the 2018 End-to-End Test? If not, what plans do you have in place to test them prior to 2020?**

GAO's October 5, 2017, decision sustaining the protest of the Decennial Device as a Service (dDaaS) contract award included recommendations for corrective action. The Census Bureau takes GAO's recommendations seriously and immediately began examining all potential paths forward to enable the Census Bureau to proceed with this important program without endangering the critical path for the 2020 Decennial Census. As part of that process, the Census Bureau began developing an action plan to implement GAO's recommended corrective action. The Census Bureau also convened a meeting with the awardee and the protestor to describe the steps it was taking and to facilitate a dialogue between the two. On November 7, the awardee notified the Census Bureau that it and the protestor had executed a subcontracting agreement. On November 8, the Census Bureau provided notice to GAO that, in light of the subcontracting agreement, the Census Bureau intended to lift the stop work order on the contract that had been in place since August. On November 9, the Census Bureau authorized the contractor to resume performance of the dDaaS contract. Work is underway and on track to successfully provide dDaaS services for the 2018 End-to-End Test and the 2020 Decennial Census, including testing the devices during the 2018 End-to-End Census Test.

## **Internet Response: Users**

**18. For the first time this census count will heavily rely on Internet self-responses. The Census Bureau's goal is that 55% of the response rate will come from the Internet and budgeted based on that number. How will the Census Bureau meet the 55% Internet-self response rate goal?**

Although the Census Bureau has estimated the cost of a potential 55% self-response rate as a lower-bound estimate, the Census Bureau continues to project, and manages to, an estimated self-response rate of 60.5%. It estimates that 45.0% will respond via the Internet, 11.2% by returning a paper questionnaire, and 4.3% by phone. These projections are based on the tests the Census Bureau has been conducting throughout the decade and on self-response rates in the 2010 Census, the American Community Survey, and other surveys.

Every household will receive multiple mailings from the Census Bureau encouraging response via the Internet. Households in areas without an Internet connection, or those that are not likely to respond via the Internet, will also receive a paper questionnaire in the first mailing. All households that do not initially respond to the Census will receive a paper questionnaire. The Census Bureau is prepared to expand paper processing and telephone response capacity if Internet response rates are lower than projected.

In addition, the Internet Self Response (ISR) operation works to make the application content accessible to a wide range of people with disabilities, including blindness and low vision, deafness and hearing loss, learning disabilities, cognitive limitations, limited movement, photosensitivity, and combinations of these. To maximize accessibility, the ISR application is being developed following Web Content Accessibility Guidelines 2.0 with a "AA" level of success. Each page of the application is assessed for conformance to the applicable guidelines.

The Census Bureau is committed to making all of its electronic and information technology accessible to all individuals. They leverage the knowledge and expertise of their Section 508 Coordination Council, the General Services Administration (GSA) Refresh Toolkit, and interagency best practices. All application systems, especially those supporting the 2020 Census, will be in compliance with the Section 508 standards. The 2020 Census Program has allocated Section 508 requirements to systems and continuously certifies and validates compliance through testing.

On January 18, 2018, revised Section 508 standards went into effect. The 2020 decennial census performed an analysis of these revised standards and is integrating them with the prior Section 508 guidance. This integration includes an assessment of each application system's level of compliance with the revised standards. Revised requirements will be allocated to each application system as applicable.

**19. The federal government has a mixed record with developing and debuting online platforms. Please discuss whether the Census Bureau has conducted any testing to ensure that the site will be able to handle heavy response traffic.**

The Census Bureau issued a technical directive to the Technical Integrator to perform scalability testing on the Internet Self Response (ISR) System that is built on the Pega Platform. The test results showed successful scaling of the ISR System, in the Cloud, to meet the number of concurrent users requirement defined by the external demand models. Based on the results, the Census Bureau believes that the ISR solution will be able to handle heavy response traffic. In addition, the Census Bureau's IT experts are working closely with other federal government experts and private sector experts to ensure that the Internet Self-Response system is as resilient as possible. The Census Bureau is testing the Internet self-response platform in numerous ways. It was successfully deployed in the 2017 Census Test, and it is now being utilized during the peak operations of the 2018 End-to-End test in Providence County, Rhode Island. The Census Bureau will continue to perform load tests based on demand models on the Internet self-response platform. They also are implementing enough redundancy to ensure continuity of operations (for example, every cluster of hardware in the system is duplicated and placed in two availability zones).

**20. Please describe the contingency plans the Bureau has adopted, or intends to adopt in the event that the online system does not perform as intended.**

The Census Bureau is designing all of its systems with failover capabilities to provide seamless operational readiness. By establishing multiple modes for the public to respond, the Census Bureau is creating a backup in case there are problems with any one particular response option. Self-response will be available by Internet, telephone, or paper. If problems arise in the Internet response option, the Census Questionnaire Assistance contract allows for collection of interviews via telephone. The Census Bureau also has the capability to scale up call centers and staff operations to meet increased demand. Finally, there is redundancy in the paper questionnaire self-response capabilities so that work can be shifted between the Census Bureau's two facilities, allowing the Census Bureau to accommodate a much higher volume of paper responses. In addition, if aggregate response rates are lower than expected, the Census Bureau can increase the staff conducting interviews with nonresponding households and extend the duration of the Nonresponse Follow-up operations as it has done in the past.

**21. Will the online version require people to complete the questionnaire in one sitting or will it allow people to stop in the middle and come back to it? How will it account for "break-off," which is when people start filling something out but don't complete it?**

Because the Census Bureau has increased the security of the online instrument to provide stronger privacy protections on the confidential data of all respondents, the Internet self-response system will not allow people to save a partial response and return to it at a later time. The Census Bureau expects and is planning an increase in telephone response.

**22. How will the online platform accommodate non-English speakers?**

The Census Bureau is planning to offer Internet response options in 12 languages covering over 80% of limited English speaking households.

**Internet Response: Cybersecurity**

**23. What preventative measures is the Census Bureau taking to ensure that Americans do not fall victim to phishing attacks from emails and websites that appear authentic but instead are malicious when filling responding to the 2020 Census survey?**

Phishing attacks are one example of the many cybersecurity threats facing the Census Bureau that target consumers. To help provide services to resolve these external threats, the Census Bureau plans to partner with industry and other federal agencies. Additionally, the Census Bureau will use proactive public communications to educate and reinforce typical cybersecurity measures (virus protection, keyloggers, phishing etc.) to protect respondent's own data and increase their confidence that they are using the websites and tools from the Census Bureau. In addition, the Census Bureau will proactively monitor for websites impersonating the Census Bureau and will not send emails directly to respondents.

**24. Given the significant reduction in field operations for the 2018 End-to-End Census Test, what IT capabilities have been cut from the test? When will these capabilities be tested? For example, what fraud detection capabilities were originally planned for the 2018 End-to-End Test and what will actually be delivered?**

The reduction from three sites to one site for the peak operations of the 2018 End-to-End Census Test did not have a significant impact on the IT capabilities being tested to support the operations. The planned fraud detection capabilities have not changed, except for the Post Enumeration Survey and the Integrated Partnership and Communications Program. The systems supporting these operations will be tested in late 2018 and 2019.

**25. To date, has the Census Bureau developed a formal cybersecurity policy or plan to ensure the security of the system? If so, please provide. If not, when will the Census Bureau develop a formal cybersecurity policy or plan?**

The Census Bureau has a formal cybersecurity policy to ensure Census systems are developed with the appropriate security requirements. The Bureau of Census Information Security Program and Policy (BOC ITSP) specifies the mandatory requirements for the Census Bureau IT security Program that implement Federal Requirements as outlined by FISMA. The policy also addresses the security requirements for authorization of information systems in accordance with federal best practices as outlined by DOC's National Institutes of Standards and Technology (NIST) in its NIST SP 800-37, Guide for Applying the Risk Management Framework to Federal Information Systems.

For the 2020 Census Program, the Technical Integrator (TI) contractors have developed an overall 2020 Census System of Systems Security Plan (current version 4.0) ensuring

confidentiality, integrity and availability of 2020 Census system boundaries (On-Premise, Cloud and Field) in accordance with the TD-008 security requirements and BOC ITSSP. The On-Premise, Cloud and Field references the various infrastructure that is supported by the 2020 Census System of Systems Security Plan. The On-Premise infrastructure is hardware/software and telecommunications that the Census Bureau purchased for the physical data center in the Bowie Computer Center. The Cloud refers to the Amazon GovCloud service that the Bureau procured. The Field infrastructure refers to equipment that was purchased and housed in the Regional Census Centers. TI will be developing NIST 800-53 Rev 4 based System Security Plan (SSPs) for each infrastructure/security component and specific security plans such as Incident Response Plan, Disaster Recovery Plan, Contingency Plan and Vulnerability Management Plan as part of the ATO process.

The Bureau's Office of Information Security (OIS) manages the ATO process within the Bureau, including contractor operated systems. The Census Bureau uses the same process for all systems; Decennial and non-Decennial systems follow this process.

**26. Will the Census Bureau conduct risk-limiting audits to ensure that census responses are being accurately recorded and the system is maintaining its integrity? Please explain.**

The Census Bureau takes the integrity of data and systems seriously. It has implemented checks on database schemas, service bus, applications, etc., that would trigger events indicating data inconsistencies in relation to the responses. It has these checks at various levels, such as client side, middleware, and backend components, and it is ensuring compliance with Risk Management Framework with the objective of data integrity in relation to response data. It also runs security scans regularly on all appropriate components of their systems.

Additionally, the Bureau is implementing a fraudulent response detection system and operation center. This system will be responsible for determining whether fraudulent returns have been submitted from internet self-response, telephone interviews conducted by Census Questionnaire Assistance staff, and paper self-response. In addition to establishing criteria and thresholds to identify potentially fraudulent responses, the operation is responsible for determining the appropriate follow-up action for investigating and resolving cases of suspected fraud.

Fraud detection will identify:

- Individual Fraud: A single person submits a small number of fraudulent responses
- Targeted Fraud: An individual or group submits a large number of fraudulent responses in a particular state or locality in an attempt to fraudulently inflate Census counts in a particular area
- Widespread Fraud: An individual or organization submits a large number of fraudulent responses—potentially by automated hacking techniques, and not concentrated in a particular locality—in an effort to affect the overall counts



Fraud detection components will include:

- Modeling/algorithms – a statistical approach to ferret out potential fraud, including individual response scoring, outlier detection, and trend analysis
- Spatial analysis – examination of the geographic distribution of responses as a component determining suspected fraud cases
- Social media monitoring strategy – analytics to identify suspicious patterns which will be ranked, sorted, and displayed on a dashboard to inform the analytical work
- Case management – a system to create workloads for analysts and potential follow-up
- Business intelligence (BI)/visualization strategy - approach for condensing the data points from the multiple fraud analysis modes into relevant key performance indicators (KPIs)
- Feedback loop activities – continuous improvement in the Fraud Detection System

Resolution of suspected fraudulent responses will include:

- Investigation by fraud detection analysts to determine whether suspected cases identified through automated detection methods can be deemed acceptable by the analyst based on established rules, or require field follow-up to determine final disposition.

For cases referred by fraud detection analysts, field follow-up will occur as a component of Nonresponse Follow-up work. In work similar to the quality control efforts for enumerators, the respondent will be asked a series of questions to determine the level of consistency between the original response data and their current response. If necessary (e.g., significant differences are noted in the initial questions, such as household count), a complete interview (i.e., all questions on the census questionnaire) can be conducted to ensure accuracy of the response data for a household.

**27. Does the Census Bureau have dedicated cybersecurity staff in place, if so, what are their specific roles and responsibilities?**

Yes, the Census Bureau has dedicated cybersecurity staff in place. The Office of Information Security is responsible for ensuring the IT/Cybersecurity posture of the Census Bureau in accordance with the Federal Information Security Management Act (FISMA) and is directly responsible for six areas:

- 1) Policy and Compliance
- 2) Security Engineering
- 3) Security Assessment and Continuous Monitoring
- 4) Providing Information System Security Officer (ISSO) support
- 5) Situational Awareness/Security Operations Center
- 6) Cybersecurity incident handling

Within the Census Bureau, IT system owners and business authorizing officials can be located in the program areas and outside of the IT Directorate. OIS works closely with those program areas

to make sure they understand security requirements and that they are trained for the roles in which they operate.

**28. Securing people's personally identifiable information (PII) is essential as the Census Bureau moves to modernize the census.**

**a. Please discuss the federal partners the Census Bureau working with to ensure that its systems will be secure and ready to accept large amounts of data. Is the Census Bureau working with the Department of Homeland Security or any other executive agencies to monitor efforts to interfere with or undermine the Bureau's data collection efforts?**

The Census Bureau has been working closely with the National Institute of Standards and Technology (NIST) and the Department of Homeland Security (DHS). With NIST, the Census Bureau has been collaborating on the following topics: Cloud Computing Architectures, IT security risk management framework, and the Derived Credential initiative allowing the Bureau to use HSPD-12 required authentication for its general field force. With DHS, the Census Bureau has been working on the following initiatives: 2020 Census System Architecture review, Strengthening Incident Management Capabilities: Federal Incident Response Evaluation (FIRE) assessment (Completed 11/2017); 2020 Census System Penetration testing (Planned first quarter CY 2018); and Obtaining classified threat information (First report planned for First Quarter CY 2018).

The Census Bureau is also working with DHS to coordinate a table top exercise that simulates a Census-related cyber incident. This exercise will give Census the opportunity to walk through their cyber incident response procedures as well as better understand what resources are available across government to assist in their response.

The Census Bureau will continue to work with DHS and the Office of Management and Budget (OMB), which were engaged through the Federal Cyberstat Process, to determine what additional federal cybersecurity assistance the Census Bureau can receive.

**b. Please describe whether the Census Bureau's public education campaign will demonstrate to Americans that they can be confident their information will be collected and stored securely.**

The Census Bureau has official messaging on this topic and plans to share it with the 2020 Census communications contractor, Young & Rubicam, NY (Y&R), to ensure that the messaging being used demonstrates to everyone in the United States and its territories (including Puerto Rico, American Samoa, the Commonwealth of Northern Mariana Islands, Guam, and the US Virgin Islands) that their information will be securely collected and stored. Additionally, the Census Bureau continues to directly communicate this to the public. Its extended network of trusted voices (e.g. State Data Centers (SDCs), Census Information Centers (CICs), Advisory Committee Members, etc.) also play an invaluable role in communicating these key messages to their audiences to help ensure public awareness. Under Secretary Kelley and I are also working very closely with the Census Bureau to leverage additional communications opportunities.

**29. In the event of a data breach, what are the Census Bureau's data breach notification requirements?**

The Census Bureau implements incident response within its environment following guidelines established by the United States Computer Emergency Readiness Team (US CERT), the NIST Computer Security Incident Handling Guide (NIST SP 800 – 61 rev. 2), DOC's Breach Response and Notification Plan, and supporting directives from OMB. These directives allow the Census Bureau to create an incident response policy, incident response plan, a response committee (the Census Bureau Data Breach Response Committee), and incident response procedures applicable to its environment. At the Census Bureau, the policy is reviewed and approved by the Data Stewardship Executive Policy Committee (DSEP) and signed by the DSEP Chair. Incidents follow an incident response framework, which includes preparation, detection, analysis, containment, eradication, recovery and post-incident activity. The Remedy Case Management (RCM) system is used for tracking and documenting incidents at the Census Bureau. Broadcast messages enterprise-wide from OIS are used when appropriate to notify all Census employees of potential security impacts. In addition, notification of security alerts to program areas are made through their respective Information System Security Officers (ISSOs). The Technical Security Staff collaborates with US CERT and the DOC Enterprise Security Operations Center (ESOC) and Computer Incident Response Team (CIRT) and its sub agencies commonly called FEDCIRT. Vendors supporting the Census Bureau are required to report incidents to the Bureau of Census Computer Incident Response Team (BOC CIRT) following procedures in the incident response policy and plan.

For Cybersecurity incidents and breaches that meet the criteria of a major incident, the Census Bureau, like all federal agencies, must notify the appropriate congressional committee and its Office of Inspector General (OIG) no later than seven days after the agency has reasonably concluded that a major incident has occurred. Pursuant to Presidential Policy Directive-41 (PPD-41), if an incident is a major incident, it is also a "significant cyber incident", which will trigger the interagency coordination mechanisms outlined in PPD-41 and potentially require participation and actions from a Cyber Unified Coordination Group. Privacy incidents are included in these procedures for responding to a data breach, including a breach of personally identifiable information (PII). In addition, in the event of a Federal Tax Information data breach, reporting requirements will be guided by the Internal Revenue Service (IRS) 1075, Tax Information Security Guidelines.

**Administrative Records**

**In 2020, the Census Bureau plans to rely heavily on administrative records and third party data to reduce costs and to obtain missing information about unresponsive households in order to minimize field-canvassing operations.**

**30. Please discuss the specific administrative records and third party data the Census Bureau will use.**

Throughout the decade, the Census Bureau has been planning and testing the use of administrative records for the enumeration of occupied nonresponding households.

Administrative records include data from the IRS, the Social Security Administration (SSA), Medicare and Medicaid, the Indian Health Service, and other data sources. Administrative records also include data from prior Decennial Censuses and the American Community Survey (ACS). The Secretary has also directed the Census Bureau to obtain as many additional Federal and state administrative records as possible to provide more comprehensive information for the population. Additionally, the Census Bureau uses private sector data, where applicable.

**31. Also, please discuss the contingency plans the Census Bureau has to ensure that traditionally undercounted populations, who may not have the same body or quality of administrative records and third-party data as other groups, are counted in the 2020 Census.**

Throughout the decade, the Census Bureau has been planning and testing the use of administrative records for the identification of vacant housing units and the enumeration of occupied nonresponding households. Administrative records include data from the IRS, the Social Security Administration (SSA), Medicare and Medicaid, the Indian Health Service, and other data sources. Administrative records also include data from prior Decennial Censuses and the American Community Survey (ACS). Additionally, the Census Bureau uses state, local and private sector data for well-defined purposes, such as establishing census block boundaries and supporting address list compilation. The Secretary has also directed the Census Bureau to obtain as many additional Federal and state administrative records as possible to provide more comprehensive information for the population.

In the case of households that do not respond after our repeated efforts, the Census Bureau expects to be able to enumerate up to six million households in the 2020 Decennial Census entirely with federal administrative records. This will be done only when the Census Bureau has a high level of confidence that the federal administrative records are of high quality, can corroborate the information with other high-quality records, and when the information can be accurately applied to the addresses and persons in question. One type of household that could be enumerated using administrative records is that of an elderly couple who have lived at the same address for many years, who file their taxes regularly, and who have signed up for Medicare. Where it does not have high quality and high confidence in the data, such as when the data in the federal administrative records is inconsistent or missing, the household will become part of the Census Bureau's Nonresponse Follow-up operation (NRFU) for a direct follow up by census enumerators. Moreover, to ensure the success of the NRFU Operation, the Census Bureau intends to support this operation through the Integrated Partnerships and Communications Program to reach those who do not self-respond and cannot be enumerated through federal administrative records.

**Integrated Partnership and Communications Program**

**Earlier this year, the Census Bureau paused crucial advertising and partnership campaigns. Civil rights advocacy organizations have warned that the Census Bureau's decision to pause this campaign and delay the publishing of a comprehensive communication plan will adversely affect public outreach efforts, particularly with respect**

**to the hard-to-count populations. Moreover, this could cause self-response rates to decrease and potentially lead to increased costs.**

### **32. What is the status of the advertising and partnership campaign effort?**

The Census Bureau's approach to developing the Partnership Program staff is driven by their past experience. The 2010 Census initially planned for a total of 680 partnership specialists. When it received funding from the American Reinvestment and Recovery Act they invested an additional \$120 million in the Partnership Program. This primarily was used to increase partnership specialists to 786, and to add an additional 1,750 partnership assistants. These additional staff were added late in the process, and looking back the Census Bureau felt that the partnership assistants, in particular, were not as effective as the more seasoned partnership specialists. For the 2020 Census, the Census Bureau has increased the number of partnership specialists planned to 1,000, which is a significant increase relative to the base funding for the 2010 Census. The Census Bureau believes that this will allow for a strong Partnership Program.

The 2020 Partnership Program began in 2015 with eight partnership specialists to support the 18 tribal consultations and 2016 Census Test. This is the earliest the Census Bureau has started the partnership program. The 2010 Census did not begin to hire partnership specialists until 2008. Currently, there are over 40 Partnership Specialists across the country. The staff are now working with tribal, state and local governments to form State Complete Count Commissions and Complete Count Committees. These are formal partnerships with tribal, state and local governments that the Census Bureau can leverage the local trusted voices and expertise to extend the partnership staff reach to the hard-to-count populations.

The Census Bureau plans to ramp up to 1,000 Partnership Specialists beginning in October 2018.

An extensive communications and advertising campaign will also be launched, as was done in the prior two decennials. The 2020 Census Integrated Communications plan can be found here: [https://www.census.gov/programs-surveys/decennial-census/2020-census/planning-management/planning-docs/integrated\\_com\\_plan.html](https://www.census.gov/programs-surveys/decennial-census/2020-census/planning-management/planning-docs/integrated_com_plan.html).

**There were nearly 3,000 partnership specialists for the 2010 Census, however, the Census Bureau only plans to hire 1,000 partnership specialists for the 2020 Census. According to a 2010 GAO report, “[t]he Bureau better positioned itself to reach out to and enumerate HTC populations in 2010 in part by . . . significantly expand[ing] the partnership program by hiring about 2,800 partnership staff in 2010 compared to around 600 in 2000. As a result, staff were not spread as thin. Also, the number of languages they spoke increased from 35 in 2000 to 145 for the 2010 Census.”<sup>2</sup>**

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<sup>2</sup> Government Accountability Office, *Key Efforts to Include Hard-to-Count Populations Went Generally as Planned; Improvements Could Make the Efforts More Effective for Next Census* (GAO-11-45 2010) (Dec. 2010).

**33. What steps will the Census Bureau take to ensure that the 1,000 partnership specialists will be able to replicate the broad outreach to hard-to-count populations that the partnership specialists achieved in 2010?**

See answer to Question #32.

**34. What additional resources will be available to the decreased number of partnership specialists?**

The Census Bureau will be working closely with its communications contractor, Young and Rubicam, and its sub-contractors, collectively referred to as Team Y&R (TYR), to develop materials and tools for the partnership specialists. This will be based on TYR's research, including the Census Barriers, Attitudes and Motivators Survey (CBAMS). CBAMS will inform the messaging and support materials that partnership specialists will use in their work. TYR will also be launching an extensive advertising campaign, including online and targeted advertising. The Census Bureau also has a robust database of existing partner organizations, and is developing a partnership engagement platform which will provide a wide range of toolkits and models that will support the program.

**In the hearing, you testified that the draft communication plan had finally been released four days prior to the hearing—five months behind schedule.**

**35. When will the Census Bureau release its final comprehensive communications plans?**

The Census Bureau released the initial version of the Communications Plan last Fall. It can be found here: [https://www.census.gov/programs-surveys/decennial-census/2020-census/planning-management/planning-docs/integrated\\_com\\_plan.html](https://www.census.gov/programs-surveys/decennial-census/2020-census/planning-management/planning-docs/integrated_com_plan.html). The next iteration of the Communications Plan will be completed in the summer of 2019.

**36. What role, if any, do the partnership specialists have in drafting the communication plan?**

Partnership specialists, and staff with extensive partnership program experience were consulted in the development of the initial draft of the plan. They will continue to be involved as the plan further develops.

**37. How does the Census Bureau intend to reach a variety of audiences?**

The Census Bureau is planning a robust communications and partnership program. It will advertise in multiple languages, and work with the trusted voices in communities across the nation. Digital media will allow Census to reach hard-to-count populations. Census partners include national organizations, churches and other faith-based organizations, health clinics, legal aid centers, and other support organizations. The Census Bureau also will provide support and response options, including Internet and telephone response options for 12 languages. All mail materials and paper questionnaires will be in both English and Spanish. In addition, Census enumerators will provide support in multiple languages.

### 38. How will the Census Bureau engage with state and local officials to promote and encourage self-response efforts?

State and local governments play a key partnership role in educating and motivating residents to participate in the 2020 Census. When community members are informed they are more likely to respond to the census. Evaluations of the last two decennial census communications programs show a direct correlation between increased awareness and increased census participation. State and local officials are key to increasing awareness by engaging with their constituents about the importance of responding to the census. The Census Bureau has been meeting with state and local governments to discuss forming Complete Count Committees, which were instrumental in the success of the 2000 and 2010 Censuses. Complete Count Committees are comprised of a broad spectrum of government and community leaders from education, business, healthcare and other community organizations. These state and local trusted voices develop and implement 2020 Census awareness campaigns in coordination with the Census Bureau.

### **Census High Risks Status: Open GAO Recommendations**

In February, GAO placed the 2020 Census on the 2017 High Risk List because the cost of the census has been escalating for the last few decades. The 2010 Census cost approximately \$12.3 billion, and resulted in several billion dollars in cost overruns. GAO has made 84 recommendations in 23 reports to the Department of Commerce and the Census Bureau regarding 2020 Census preparations. Though the Census Bureau agreed with these recommendations, to date, it has not implemented 36 of these recommendations.

### 39. When will the Census Bureau implement these recommendations?

#### 2020 Census GAO Recommendations

Topics	Total Recommendations	Closed Recommendations	Open Recommendations	Recommendations with Action Plan Due Date in Future
Life Cycle Cost Estimate	14	10	4	-
Schedule	12	6	6	-
IT & IT Security	23	18	5	-
Field Training, Workforce & Recruitment/ Integrated Partnership and Communications	18	5	13	4
Other*	17	14	3	
TOTAL	84	53	31	4

\*Other includes the following topics: Project Management, Oversight, United States Postal Service, Nonresponse Follow-up, Address Canvassing, and Census Coverage Measurement.

GAO has made 84 recommendations since 2007 about the 2020 Census. Action plans are in place for all recommendations.

- 53 Have been closed by GAO.
- 4 Have due dates in the future (4 in 2018).
- 14 Relate to ongoing audits on the Lifecycle Cost Estimate, the Schedule and our efforts to enumerate Hard-to-Count populations. GAO will not close these until the ongoing audits are complete.
- 12 Artifacts have been provided to GAO, and we are working with GAO to identify the additional documentation they need to close these out. We expect progress on these in the near future.
- 1 This recommendation GAO is likely to close as “Not Fully Implemented” because, while artifacts have been provided, discussions with GAO clearly indicate our efforts to date, or planned, will not fulfill the recommendation.

#### **40. How will the Census Bureau work with GAO to make sure that the remaining recommendations are implemented before Census Day 2020?**

The Census Bureau’s 2020 Census communications staff meets with GAO weekly to review the status of open recommendations and the progress being made to address them. The 2020 Executive leadership meets with GAO bi-weekly to address ongoing audits and issues of concern to both the Census Bureau and GAO. Open recommendations are periodically addressed in this meeting as well. Ron Jarmin and Enrique Lamas, performing the non-exclusive duties of the Director and Deputy Director respectively, meet with GAO regularly as well. Additionally, Under Secretary Kelley closely monitors the Census Bureau’s work to address all GAO recommendations, and she updates me regularly on the progress the Census Bureau is making to address them.

#### **From Senator Kamala Harris**

#### **Sexual Orientation and Gender Identity**

**On May 22, Sen. Carper and I sent a letter asking for information about why the Census Bureau decided not to include a question about sexual orientation or gender identity.**

#### **41. What is the status of the response to that letter?**

A response to your letter was transmitted via email on Thursday, February 22, 2018, and a hard copy was hand delivered to your office on Friday, February 23, 2018.



**42. You stated on October 12 before the House Oversight and Government Reform Committee that a question area around sexual orientation and gender identity would not be included on the 2020 Census because “it was concluded that that particular set of questions did not meet the requirements for being put in.” How specifically did this question area not meet the requirements to be included?**

Federal agencies routinely request additional questions to be considered in the American Community Survey (ACS), and Census considers them pursuant to a longstanding process that involves the Office of Management and Budget (OMB). The Census Bureau received requests from the Department of Justice (DOJ), Environmental Protection Agency (EPA), the Department of Housing and Urban Development (HUD), and the Department of Health and Human Services (HHS) to consider a new question in the 2020 ACS that would collect sexual orientation and gender identity (SOGI) data. The Census Bureau and the Department evaluated the requests, working with the requesting agencies and OMB.

On March 7, 2017, DOJ withdrew its SOGI data request before the Department completed its analysis of the need for the content and the Census Bureau concluded that there was no independent basis to alter or amend the current content.

**43. You also said that, “one of the problems with adding questions is it reduces response rates.” However, the Federal Interagency Working Group on Improving Measurement of Sexual Orientation and Gender Identity in Federal Surveys found that “most surveys incorporating SOGI (sexual orientation and gender identity) items have not found higher nonresponse rates than other ‘sensitive’ questions, such as personal or household income.” Please provide the data related to sexual orientation and gender identity on which your statement is based.**

It is our understanding that the statement by the Federal Interagency Working Group has been quoted out of context. That statement does not reflect the views of the Census Bureau, and it was not used by the Census Bureau as the basis in making policy decisions.

As previously explained, following the Department of Justice's decision to withdraw its SOGI data request, the Census Bureau concluded that the topics to be included in the 2020 Census and the ACS should be unchanged from the 2010 Census. The proposal, which was delivered to the Congress on March 28, 2017, did not include sexual orientation or gender identity.

### **Partnership Program**

**During the hearing you testified that the Census will be hiring 1,000 partnership specialists. You noted that the Census hired “some fairly junior people” to support partnership specialists in 2010, and indicated that a decision has been made “to instead increase qualified people from 800 to 1,000” for 2020 efforts.**

**44. Please provide me with the metrics the Census Bureau used to determine the current workforce modeling for partnership program staff, including position descriptions, and**

**any cost benefit analysis and comparison related to a reduction in the partnership positions hired in 2010.**

The Census Bureau's approach to developing the Partnership Program staff is driven by past experience. In the 2010 Census it initially planned for a total of 680 partnership specialists. Additional funding received in FY2009 allowed the Census Bureau to invest an additional \$120 million in the Partnership Program. This primarily was used to increase partnership specialists to 786, and to add an additional 1,750 partnership assistants. These staff were added late in the process, and looking back the Census Bureau felt that the partnership assistants, in particular, were not as effective as the more seasoned partnership specialists. For the 2020 Census, the Census Bureau has increased the number of partnership specialists to 1,000, which is a significant increase relative to the base funding for the 2010 Census. The Census Bureau believes that this will allow for a strong Partnership Program. The position descriptions you requested are attached.

### **2020 Census Advisory Committee**

**The previous Census Director was moving forward with the creation of a 2020 Census Advisory Committee to ensure stronger partnerships with stakeholders, greater transparency, and greater accountability. This effort stopped under this Administration.**

#### **45. Please explain why.**

The Census Bureau believes that it can successfully accomplish the goals of reviewing and evaluating 2020 Census operations and programs (i.e. partnerships), and receive timely recommendations through the existing Census-focused advisory committees: the Census Bureau National Advisory Committee on Racial, Ethnic, and Other Populations and the Bureau of the Census Scientific Advisory Committee.

### **Combined Hispanic Origin and Ethnicity Question**

**The previous Census questionnaire had one question about whether the respondent was of Hispanic origin and another question about race. Following thorough testing, the Census has been moving forward to combine these questions to increase Latino response rates and ensure a more accurate count.**

#### **46. Is this still the case and is the Census still waiting on OMB review? If so, when does the Census expect an OMB determination?**

On January 26, 2018, the Census Bureau announced the 2020 Census Program decision to continue to use the two separate question format for collecting data on race and ethnicity in the 2018 End-to-End Census Test and the 2020 Census.

The Census Bureau adheres to the Office of Management and Budget's *Standards for Maintaining, Collecting, and Presenting Federal Data on Race and Ethnicity*, last revised in 1997, providing a minimum standard for maintaining, collecting, and presenting data on race and

ethnicity for all Federal reporting purposes. (<https://www.gpo.gov/fdsys/pkg/FR-1997-10-30/pdf/97-28653.pdf>)

**47. During the FAQ portion of the last 2020 Census Quarterly Program Management Review, a Census Bureau representative said, while responding to a question, that if the Office of Budget and Management (OMB) did not approve the combined Hispanic Origin-Ethnicity question, that the 2020 Census Bureau would default to having two questions, as was done in during the 2010 Census. After the extensive testing that the Census Bureau has done on combining these two questions, why would the 2020 Census default to separate questions absent an adverse position or statement from OMB?**

The Census Bureau adheres to the Office of Management and Budget's *Standards for Maintaining, Collecting, and Presenting Federal Data on Race and Ethnicity*, last revised in 1997, providing a minimum standard for maintaining, collecting, and presenting data on race and ethnicity for all Federal reporting purposes. In keeping with these standards, the planned race and ethnicity questions for the 2020 Census will follow a two-question format for capturing race and ethnicity for both the 2018 End-to-End Census Test and the 2020 Census.

A similar question was raised at the January 2018 Program Management Review (<https://www.census.gov/programs-surveys/decennial-census/2020-census/planning-management/program-briefings/2018-01-26-pmr.html>).

### **Census Bureau Staffing**

**48. How many unfilled positions are at the Census Bureau?**

There are approximately 600 appropriated vacant positions at the Census Bureau. We are working to fill these vacancies as quickly as possible and expect all vacancies to be filled prior to the 2020 Census.

**49. What is the timeline for filling these positions?**

The Census Bureau is prioritizing vacancies for the 2020 Census in line with the needs of the program, and they are working to fill the high priority positions as soon as possible. It also maintains continuous postings on USAJOBS for Survey Statisticians, Program Managers and IT Specialists, the most important positions for the 2020 Census Program, which helps with this process. We are seeking to fill all of the positions allocated to the 2020 Program by the end of FY 2019 so that the program will be fully staffed for the 2020 Census.

**50. We have a tighter labor market than we did the last time the Census was done, what are the plans to recruit and hire the roughly 500,000 temporary workers for 2020?**

**a. How will the census ensure that they have a diverse and culturally competent workforce?**

The Census Bureau will rely on innovative approaches and time-proven techniques to attract a skilled and diverse workforce throughout the nation.

An important consideration to recruiting is establishing a competitive and attractive pay rate. Through ongoing work with labor economists at the Census Bureau's Center for Economic Studies using wage data from the Bureau of Labor Statistics, the Census Bureau is developing a variable pay structure that reflects the local labor market in counties across the United States. It is also incorporating a strategy to quickly adjust pay rates, including considering increasing pay rates, to ensure that pay does not become an impediment to recruiting workers.

In addition, the Census Bureau is making it simpler for applicants to apply for jobs. Unlike the 2010 Census—where applicants completed onerous paper applications and took proctored tests in a classroom-like setting—the Census Bureau is using an online application and assessment system for the 2020 Census. Those interested can apply at their convenience.

Similarly, the Census Bureau is planning to promote the availability of Census jobs through a variety of means, including traditional advertising and social media. It also plans to engage partners and their established networks to communicate job opportunities. This will help the Census Bureau reach applicants from groups with special required competencies, including language skills and experience working with hard-to-count populations and groups, such as students, veterans, and seniors.

Fundamental to the recruiting and hiring effort will be an effort to “hire locally.” The Census Bureau wants Census takers to be familiar with the neighborhoods where they work and it wants the people living in those neighborhoods to be comfortable with the person that comes to their door. To enhance its ability to hire locally and to meet its recruiting targets, the Census Bureau will incorporate technology into its recruiting efforts for the 2020 Census. Automated tools will help closely monitoring recruiting at very small geographic levels. In late 2019 and early 2020, thousands of recruiting staff across the Nation will use mobile devices to assess and respond to any local recruiting challenges in their communities.

### **Communications Efforts**

**An effective communications plan is critical to ensure an accurate census through reaching hard-to-count populations such as African-Americans, Latinos, Asian-Americans, Native-Americans, and those in rural areas.**

**51. In 2010, much of the communications budget was dedicated to hard-to-count populations. What portion of your communications budget will go to these efforts?**

The goal of the IPC is to reach everyone and encourage them to self-respond (see pages 22-24 of the 2020 Census Integrated Communications plan which can be found here:

[https://www.census.gov/programs-surveys/decennial-census/2020-census/planning-management/planning-docs/integrated\\_com\\_plan.html](https://www.census.gov/programs-surveys/decennial-census/2020-census/planning-management/planning-docs/integrated_com_plan.html)). The Census Bureau is currently revising its lifecycle budget to be in line with the increase in funds allocated to the communications contract. While the lifecycle budget will include an estimated amount for paid media in general, it will not contain details around allocations to specific media channels (tv, radio, print, digital) or for specific audiences, including those considered hard-to-count. This

level of detail is dependent upon research currently in progress, predictive modeling, and segmentation. These inputs will help define the target audiences on which we will focus, and the audiences will drive the media channels that will be used. The Census Bureau does not anticipate having this level of detail until later in FY19.

**52. Minority and rural communities have less access to affordable broadband Internet connectivity, but have higher rates of participation on social media- particularly among millennials of color. How much of the communications budget will be focused on digital communications and is there a plan to reach these groups in particular?**

See answer to question #51.

**53. Using ethnic and local media is critical to reaching minority communities. How much of your budget will be focused on this area?**

See answer to question #51.

**54. Will you commit to providing me a detailed communications plan for hard-to-count populations within the next month?**

The 2020 Census Integrated Communications Plan can be found here:

[https://www.census.gov/programs-surveys/decennial-census/2020-census/planning-management/planning-docs/integrated\\_com\\_plan.html](https://www.census.gov/programs-surveys/decennial-census/2020-census/planning-management/planning-docs/integrated_com_plan.html).

### **Cybersecurity**

**The Census involves collecting personal information from hundreds of millions of Americans. In order to get an accurate census, respondents need reasonable assurances that the information they submit will not be accessed through illegal intrusions. Studies by the GAO in August and November 2016 highlighted a number of cybersecurity challenges associated with the upcoming Census, including properly handling millions of web responses and hundreds of thousands of mobile devices. More recent work by the GAO warned that the Census Bureau is still building the IT systems that will be used for the 2020 Census, which is just 30 months from now.**

**55. What steps is the Census Bureau taking to address the legitimate concerns that the GAO has raised, and will those steps be implemented and validated in the 2018 End-to-End Test?**

Cybersecurity is a paramount concern for the Census Bureau. The Census Bureau has protected personal information for previous decennial censuses and although data collection using an Internet Response mechanism is new, the Bureau is taking several steps to protect the information collected. The Census Bureau intentionally designed publicly facing systems, such as the Internet Self Response website, with many layers and levels of isolation to isolate data and systems from each other in the infrastructure, with monitoring that enables the Census Bureau to respond immediately to contain an issue if and when a threat is identified or detected. The

Census Bureau's approach has specific steps to detect and contain an issue before it becomes a breach. The Census Bureau's publicly facing systems for Internet Self Response have been tested by independent contractors and reviewed by our federal intelligence partners and no weaknesses have been identified. DHS conducted systems testing in February 2018 to further test portions of the Census Bureau's publicly facing systems and also found no significant issues. The Census Bureau's non-publicly facing systems are within data centers and cloud-provided infrastructure already secured through strict network and access controls (firewalls, routers, security software etc.) and continuously managed and maintained through the Federal Authority to Operate process ensure their security.

For additional information, please see the attached slides.

**56. How many Census Bureau employees and contractors are working full-time on cybersecurity for the 2020 Census?**

The Census Bureau's OIS has approximately eight government full-time employees (FTEs) and 39 support contractors working full time on cybersecurity for the 2020 Census.

In addition, the 2020 Census Program Technical Contract will have a total of 68 FTEs in the cybersecurity organization. Here is the breakdown based on the different groups.

<b>Team</b>	<b>Filled</b>	<b>Open</b>	<b>Total</b>
Security Operations Center (SOC)/Active Cyber Defense (ACD)	13	11	24
Security Engineering and Architecture	10	5	15
Risk Management (RMF) and Compliance	17	4	21
Security Testing	2	0	2
Governance and Management	5	1	6
<b>Total</b>	<b>47</b>	<b>21</b>	<b>68</b>

**57. Which executive on your management team is responsible for the cybersecurity aspects of the Census data collection?**

Rod Turk, the Acting Chief Information Officer (CIO) at the Department of Commerce, is responsible for the cybersecurity portion of the Census Bureau's data collection activities. Mr. Turk has years of experience in this field; prior to being named Acting CIO, he was the Chief Information Security Officer (CISO) and Deputy Chief Information Officer, responsible for the Department's compliance with the Federal Information Security Management Act (FISMA) and implementation of IT security best practices. Before his tenure at the Department of Commerce, he was the Associate Chief Information Officer for Cybersecurity at the Department of Energy.

**58. Please provide auditing plans for every system that will handle personal information for the 2020 Census?**

The Census Bureau takes the integrity of data and systems seriously. It has implemented checks on its database schemas, service bus, applications, etc., that would trigger events indicating data inconsistencies in relation to the responses. It also has these checks at various levels, such as client side, middleware, and backend components and is ensuring compliance with the Risk Management Framework with the objective of data integrity in relation to response data. Security scans are run regularly on all appropriate components of our systems. Additionally, the Census Bureau is implementing a fraudulent response detection system and operation center.

Audits of all information systems follow the Census Bureau ITSPP policy, which is in alignment with the NIST 800-37 Risk Management Framework and is performed through continuous monitoring to ensure that appropriate security controls are being followed during system production operations. Security controls include areas such as ensuring systems have up to date configurations including, “patching,” and are addressing known vulnerabilities.

**59. Has the Census Bureau implemented a vulnerability reporting policy or a “bug bounty” program to enable independent security testing of the Bureau’s systems?**

The Census Bureau is in the process of identifying the requirements necessary to implement a “bug bounty” system. It is working closely with OMB in this process. OMB recently collaborated with the Department of Defense to establish the appropriate procedures for implementing this approach in the Federal Government, and DOD is advising the Census Bureau as it explores the options for adapting this approach to the 2020 Census Program.

**From Senator Maggie Hassan**

**60. At the Committee’s hearing on October 31<sup>st</sup>, you stated that you had no knowledge of any transactions Paul Manafort made through the Bank of Cyprus. A few days later on November 3<sup>rd</sup>, Bloomberg reported Mr. Manafort and his associate Rick Gates had at least 15 accounts with the Bank of Cyprus and a bank it acquired in 2013, the Cyprus Popular Bank. This information was provided by the Government of Cyprus in response to a June 7<sup>th</sup> request from investigators in the Office of Special Counsel Robert Mueller. Can you confirm that during your time as Vice Chairman of the Bank of Cyprus from September 2014 to March 2017 you were unaware of Mr. Manafort’s transactions with the Bank?**

As I stated during the hearing, I was not aware of any of Mr. Manafort’s transactions with the Bank of Cyprus.

**61. Several Democratic Senators wrote you various letters earlier this year regarding your involvement in the Bank of Cyprus, including possible ties to Russian investors and executives in the bank. Do you plan on providing timely written responses to these letters?**

I have answered questions regarding my involvement in the Bank of Cyprus on multiple occasions. As I have previously stated, the Russians who invested in the Bank of Cyprus were

not my partners. The Bank of Cyprus is a publicly traded company listed on the London Stock Exchange. I had never had dealings with any of them prior to my investment in the Bank.

### **From Senator Heitkamp**

**62. In the 2010 census, on reservation American Indians were undercounted by 4.88%. This is after experiencing an over-count of 0.88% in the 2000 census. In preparation for 2020, former Director Thompson took steps to ensure accurate counts in Indian Country. This work was set to culminate with the 2017 tests at the Standing Rock Reservation and the Colville Indian Reservation and Off-Reservation Trust Land, which were cancelled for budgetary reasons. These tests would have examined the promoted tribal enrolment and self-identification questions, as well as the systems for the Update Enumerate operation.**

**a. The final questions that will appear on the 2020 Census are due to Congress in less than six months. How can you be sure that any new language utilized on census forms will not do more harm than good without substantial testing?**

For the 2020 Census, the response category for American Indian or Alaska Native will not change. The only difference for 2020 is that the Census Bureau will list examples of tribes that can be entered on the questionnaire. The addition of examples and the wording of the question has been tested throughout the decade, including in the 2015 National Content Test.

In response to findings from the 2007 American Indian and Alaska Native Tribal Consultations and a 2014 request from the Department of Housing and Urban Development (which was subsequently rescinded), the Census Bureau explored the feasibility of collecting data on tribal enrollment in a Census environment. The Census Bureau received valuable input from the tribes at the tribal consultations both in favor and against collecting tribal enrollment data. However, a large majority of the tribes opposed the use of collecting tribal enrollment data and stated it was not the responsibility of the Federal Government. Some tribes expressed concern that collecting this information would tread on their tribal sovereignty.

During the 2016 National Congress of American Indian's (NCAI) midyear conference in Spokane, Washington, NCAI released a resolution opposing the use of a question on tribal enrollment in the 2020 Census or in the American Community Survey. Before it ended the 2020 Census tribal consultation meetings, the Census Bureau decided not to add a tribal enrollment question to the 2020 Census or in the American Community Survey, and this was conveyed during a few of the last meetings conducted in 2016.

Accordingly, there will be no changes to the language concerning response options available to the American Indian Alaskan Native populations.

**b. As stated above, not only would these Indian country tests examine language choices, but they would have provided a useful opportunity to practice enumerating hard to count populations with unique characteristics. The Census' own materials recognize the lack of reliable Internet connectivity in Indian country. Now however, the ability to encounter and trouble shoot this issue is gone. What is the Census Bureau's plan to combat this**



**technological challenge, and will the provided alternative be tested before being put into the field in 2020?**

The Census Bureau announced on July 1, 2015, that it would seek input from tribal leaders for the 2020 Census. The Census Bureau conducted 18 tribal consultation meetings that started two years earlier than those conducted for the 2010 Census. These meetings requested input on topics like geography, data collection operations, and tribal enrollment. Connectivity issues were discussed in these meetings, and the Census Bureau continues to explore ways to ensure that it has measures in place to address them. This includes opening up tribal offices, schools, and health facilities, all of which have designated computer areas with strong Internet connectivity that will allow for self-response, as well as working with designated tribal government liaisons. The Census Bureau also plans to partner with federal agencies, such as the Bureau of Indian Affairs and the Indian Health Service, to have a designated computer available to assist tribal citizens in filling out their questionnaire during their visits to those agency facilities.

However, it is important to stress that the Census Bureau works with officials from each tribe to implement the operation best suited to their situations, as it has done in previous censuses. In many cases, the Census Bureau will use the Update Leave Operation as it will do in rural areas across the country. Census questionnaires will be delivered directly to households in this operation, while the address list is checked and updated in the process. Households that do not respond will be included in the NRFU Operation. In other areas an Update Enumerate Operation will be used during which each household is interviewed directly.

The Census Bureau is sensitive to the fact that many households being contacted and encouraged to respond via mail do not have good Internet connectivity. Those households will receive a paper questionnaire on the first mailing. All nonresponding households will receive a paper questionnaire on the fourth mailing as well.

**63. The public's general distrust of the government worries me. When the federal government's historic mistreatment of American Indians is taken into account, it is no wonder that Indian country suffers from undercounts. A program promoted during the Tribal Consultations was the Tribal Government Liaison. The Census Bureau has recognized that this position had been vital and has encouraged all tribal governments to designate a liaison to serve as a representative. In light of cost overruns and underfunding, will these liaisons remain a Census Bureau priority? What steps are being taken to effectively support these positions?**

The tribal government liaison program will be continued for the 2020 Census and was promoted during the tribal consultation meetings in 2015/2016. Each region is conducting one-on-one meetings with the tribal leaders to update them on the 2020 Census, and how they can help with recruiting and other field operation programs, discussing tribal geography programs, discussing setting up a Tribal Complete Count Committee, and requesting that a tribal liaison be selected. If a tribal liaison is not identified by July 1, 2018, a letter will be sent by the regional director.

**64. In your statements during the hearing, you noted the efforts of the Census Bureau to work in partnership with the United States Postal Service to improve response rates during the 2020 Census. Considering that postal carriers are members of the communities in which they work, and are not perceived through the same lens of most government employees, this is a novel concept worthy of consideration. However, there are many obstacles that must be overcome prior to moving forward with such a complex plan.**

**a. This would require considerable coordination and cooperation between the Census Bureau, the United States Postal Service, employee unions and the Office of Personnel Management. What types of actions are currently under way to assess the feasibility of such a program?**

The Census Bureau and the U.S. Postal Service (USPS) already have established a partnership and have been actively working together to explore ways to increase efficiency. For example, there is the USPS-Census Bureau enterprise partnership that was established in November of 2016.

The USPS-Census Bureau enterprise partnership currently benefits from a permanent institutional structure and governance processes to ensure that it functions as a source of ongoing coordination and cooperation for both organizations. A central Coordination Team that is staffed by USPS and Census Bureau employees and contractors has been established for the key partnership. This Coordination Team is tasked with implementing and monitoring the new institutional structure and governance to ensure ongoing collaboration. In addition to the Coordination Team, five subject-matter themed Working Groups, co-chaired by Postal Service and Census Bureau staff, are regularly meeting and serving as permanent, visible forums for communication.

The Census Bureau looked into the feasibility of using postal carriers to assist with 2020 Census enumeration. The Bureau and DOC have requested a dual employment waiver from OPM in preparation for the 2020 Census. This waiver would allow current or retired USPS employees to perform work for the Census Bureau. In addition, we also worked with USPS to assess the feasibility of a pilot test of Postal Carriers as Census Enumerators, but there are legal obstacles that make this untenable at this time.

Title 13, United States Code, (Title 13) requires the Census Bureau to keep confidential all information collected from or on behalf of respondents. Specifically, 13 U.S.C. § 8(b) provides that the Secretary may only release statistical materials which “do not disclose the information reported by or on behalf of any particular respondent.” Under 13 U.S.C. § 9, no official or employee of the Department of Commerce (“Department”) may: (1) use the information furnished under the provision of Title 13 for any purpose other than the statistical purposes for which it is supplied; (2) make any publication whereby the data furnished by any particular establishment or individual under this title can be identified; or (3) permit anyone other than the sworn officers or employees of the Department or (or its bureaus and agencies) to examine the individual reports. Section 9 further states that census information is immune from legal process. 13 U.S.C. § 9(a). Finally, Title 13 provides that the information collected may not be used to the

detriment of any respondent or other person to whom such information relates, except in the prosecution of alleged violations of Title 13. 13 U.S.C. § 8(c).

In *Baldrige v. Shapiro*,<sup>3</sup> the United States Supreme Court directly addressed the confidentiality provisions of Title 13. The Court held that respondent names and addresses, from whatever source obtained or compiled, are part of the raw census data intended by Congress to be protected from disclosure under Title 13.<sup>4</sup> The Court also found that information not commonly considered to be traditional “responses,” such as vacancy status, are also confidential.<sup>5</sup> The Court also held that the Census Bureau has no discretion to decide whether to disclose confidential data.<sup>6</sup> Rather, data becomes confidential at collection by operation of law.<sup>7</sup> If the Census Bureau acquires information from or on behalf of a respondent and makes that information available to an individual that is not sworn to uphold the confidentiality provisions of Title 13, such as a U.S. Postal worker, then that release is a wrongful disclosure under 13 U.S.C. § 214. Violations of 13 U.S.C. § 214 are punishable by criminal fine and imprisonment. In order to participate in the collection of data under Title 13, an individual must be either a Census Bureau employee or a temporary employee with Special Sworn Status (“SSS”). Specifically, 13 U.S.C. § 23(c) states:

The Secretary may utilize temporary staff, including employees of Federal, State, or local agencies or instrumentalities or employees of private organizations to assist the Bureau in performing the work authorized by this title, *but only if such temporary staff is sworn to observe the limitations imposed by section 9 of this title.* (Emphasis added).

Therefore, the Census Bureau can only engage postal carriers to assist the Census Bureau in conducting the End-to End test authorized by Title 13 if those postal carriers obtain SSS pursuant to 13 U.S.C. § 23(c). To do so, the postal carriers must take an oath of nondisclosure to protect the information they collect and to comply with the requirements set forth in Title 13.

While USPS did not object to the concept of participating postal carriers obtaining SSS, it became clear during the course of the Census Bureau’s discussions with USPS that its carriers would be unable to comply with that oath. USPS advised that participating postal carriers would remain USPS employees and therefore be required to comply with all USPS policies, even when the carriers were conducting enumeration activities for the Secretary of Commerce under Title 13. We understand that these USPS policies, which may be incorporated into USPS collective bargaining agreements, would require postal carriers to disclose name, address, and other information about census respondents in instances and for purposes determined by USPS, including law enforcement. These uses would be non-statistical and would advance activities unrelated to Title 13 and would therefore violate Title 13. The Department defers to USPS to provide any additional information about the specific policies at issue.

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<sup>3</sup> 455 U.S. 345 (1982).

<sup>4</sup> *Id.* at 355.

<sup>5</sup> *Id.* at 349.

<sup>6</sup> *Id.* at 355.

<sup>7</sup> 13 U.S.C. § 9.

Nonetheless, the Census Bureau and USPS are actively partnering in a number of ways to save money and increase efficiency as part of the 2018 End-to-End Census Test and 2020 Census. This includes:

1. Delivery of the USPS Delivery Sequence File to the Census Bureau, which adds 500,000 new addresses to the Census address list each year.
2. Delivery of the USPS “Undeliverable as Addressed” file to the Census Bureau, which allows questionnaires addressed to these undeliverable residences to be removed from the Nonresponse Followup workload.
3. Exploration of the installation of Internet kiosks within Post Office retail spaces to enable self-response.
4. Exploration of the use of the USPS Informed Delivery technology to increase and accelerate Internet self-response.
5. Installation of census messaging and advertisements within Post Office retail spaces.
6. Automation of census mail tracking through use of the USPS Informed Visibility technology.

**b. Census field workers are, by nature, temporary employees of the federal government. Thus, their compensation and workplace protections are not commensurate with those of vested federal employees. What feedback have you received from the employee unions regarding expectations of carriers, as well as willingness of members, to sign up to take on these additional responsibilities?**

Early USPS management conversations with leadership from the National Letter Carriers Association and National Rural Letter Carriers Association indicated that there will be significant interest from their members in volunteering for this Census work. The Census Bureau is open to hiring them as census enumerators as it has in the past. However, the Census Bureau is no longer exploring a pilot test of the feasibility of having postal carriers work as census enumerators in their capacity as USPS employees because there are legal obstacles that make this untenable at this time.

**c. While I see a pathway for success in communities with door-to-door service, I am curious how much help such a plan would provide in areas where door-to-door service does not exist – such as on rural routes -- and where postal workers would have less direct interaction with people. Why does the Census Bureau believe a partnership with the Postal Service in such areas will improve non-response follow up? In these areas, will it make a difference if the person employed by the Census Bureau is a postal worker?**

The Census Bureau always tries to hire people familiar with the areas where they are conducting field activities. In many areas, even where door-to-door service does not exist, retired postal workers can be very helpful.

**d. The 2018 End-to-End test's address canvassing has already been completed, and the only testing remaining will take place in Rhode Island. How will you be able to test this proposition in a rural setting before 2020?**

As mentioned above in question 12, the 2018 End-to-End Census Test began in August 2017 in Pierce County, Washington; Providence County, Rhode Island; and the Bluefield-Beckley-Oak Hill, West Virginia area with the implementation of an address canvassing operation. Address canvassing allowed the Census Bureau to test systems in areas without internet connectivity and hone the critical address list development operations in a wide range of geographical situations, including rural areas. The Census Bureau will continue to develop and conduct small scale testing of systems to ensure they function effectively in rural areas.

**e. The option of outreach to retired postal employees was also discussed. Again, such an effort would require significant preparation. Ensuring the annuity offset rule is waived, was mentioned by Mr. Dodaro during the hearing is an impediment to this plan. While this is just one example, what other burdens would need to be addressed in order to ensure that retired carriers are not subject to potentially punitive measures?**

The Census Bureau will engage with USPS human resource staff to identify what potentially punitive measures would need to be mitigated as part of an effort to recruit USPS retired annuitants as census enumerators.

**From Senator Rand Paul**

**65. Secretary Ross, in March 2017, I wrote to you in support of the proposed changes to Rule 13(f) of the Residence Rules and Residence Situations that was originally published on June 30, 2016. As you are aware, Rule 13(f) would count deployed services members "at the U.S. residence where they live and sleep most of the time."**

**This rule change is very important to my constituents that live in the region surrounding Fort Campbell, Kentucky, and other military bases that have large amounts of deployable service members.**

**My constituents understand this first hand because starting in late 2009 and continuing through 2010, members of the 1st, 2nd, 3rd, and 4th Brigade Combat Teams of the 101st, the 101st Sustainment Brigade, the 159th and 101st Combat Aviation Brigades were all deployed to sustain the military "surge" in Afghanistan. It is estimated that at least 10,000 service members were deployed at the collection time of the 2010 Census. Those service members then returned to Fort Campbell at the end of their deployment, yet we counted in other regions of the country.**

**Will you be issuing the final rule and implement the proposed changes to Rule 13(f) of the "2020 Residence Rules and Residence Situations" as drafted?**

## **Will you commit to having the rule finalized by Jan. 2018?**

The Census Final 2020 Census Residency Criteria and Residence Situations Notice published on February 8, 2018 (83 R.F. 5525, <https://www.gpo.gov/fdsys/pkg/FR-2018-02-08/pdf/2018-02370.pdf>). Military personnel deployed overseas will be counted where they were living before they deployed.

### **From Senator Gary C. Peters**

#### **Census Bureau Funding**

**66. Secretary Ross: A few weeks ago, you told the House Oversight & Government Reform Committee that you now estimate that the decennial effort will cost \$15.6 billion — \$3.3 billion more than earlier estimates of the lifecycle cost by the Census Bureau. From my understanding, you have the ability to reprogram funding from other agencies in the Department of Commerce for the Census Bureau. Can you tell me where you plan that increase in funding to come from? Will it be reprogrammed within the Commerce Department budget from other agencies or will it come from Congress?**

The additional funding requested and needed to support the 2020 Census in FY 2018 came from a mixture of offsets to other Commerce Department agencies and through the regular process of preparing the President's Budget. The Department's request for an adjustment to the FY 2018 President's Budget of \$187 million will provide funding particularly for large technology contracts that the Census Bureau needs this fiscal year to maintain critical path activities this year, all of which is offset by proposed reductions within the Commerce Department. The FY 2018 Omnibus P.L. 115-141 that was passed March 23, 2018 provides the funding that the Census Bureau needs for the 2020 Census. The report language accompanying the Omnibus describes the intended uses for this funding. To ensure that the Census Bureau has the necessary resources to immediately address any issues discovered during the 2018 End-to-End Census test and to provide a smoother transition between FY 2018 and FY 2019, the agreement provides half of the amount needed for those two years and includes the \$50 million contingency requested by the Secretary in FY 2018.

#### **Cybersecurity and Information Protection**

**67. Secretary Ross: Over the last several years, we have seen an unprecedented level of cyberattacks and compromises targeting the nation's critical infrastructure, federal networks, and private companies. And because this is the first decennial census where the Internet will be leveraged on a large scale for the self-response option, ensuring adequate cybersecurity is of paramount importance. The 2016 Australian census, which was largely conducted online, experienced major denial-of-service attacks targeting the online form and was made unavailable for over 40 hours. If a similarly, highly-coordinated attack was perpetrated against our 2020 Census, it could have wide-ranging disrupting effects, not the least of which include the legal and constitutional deadlines associated with the Census. With the Bureau expecting to receive tens of millions of online responses beginning in just a**

**few days, can you tell me how the Bureau plans to ensure an uninterrupted Internet response period?**

The Census Bureau has been in close contact with IT and program managers in Australia, Canada, and other countries that have moved to Internet Self-Response for their censuses and surveys. It has gained valuable information about the issues they faced, which included public concerns about privacy and phishing, and the problems they had to overcome, including denial of service attacks. Census also learned a great deal from the solutions they developed, particularly in Australia. The Census Bureau's IT experts are working closely with other federal government experts and private sector experts to ensure that the Internet Self-Response system is as resilient as possible to prolonged outages. Census is testing the self-response platform in numerous ways, including during the 2018 End-to-End test in Providence County, Rhode Island. It is performing load tests based on demand models on the self-response platform. It also is implementing enough redundancy to ensure continuity of operations (for example, every cluster of hardware in the system is duplicated and placed in different locations, and AWS maintains two data centers). The Census Bureau also has contingency plans in place should a prolonged outage occur including expanding NRFU or directing more responses to Census Questionnaire Assistance. If the Internet Self-Response platform becomes unavailable for a prolonged period, Census can add up to six surge call centers to allow for additional telephone response, and the paper data capture centers also can add shifts to process more paper questionnaires. Additionally, the Census Bureau can increase the staff conducting interviews during the nonresponse follow-up operation, and the operation itself can be extended to absorb a greater workload.

### **Local Offices**

**68. Secretary Ross: It is my understanding that the Census Bureau may not be opening as many local census offices for the 2020 Census as it has done historically for previous decennial censuses. Can you tell me the Census Bureau's plan for opening local census offices in Michigan and across the country for the 2020 Census? How many do you plan to open?**

The Census Bureau will open an Area Census Office in Detroit and four additional ones in Michigan to support data collection and outreach efforts for the 2020 Census. Similar to the 2010 Census, these offices will be the primary management centers for most field data collection activities on the 2020 Census. The efficiencies gained with automation and the reduction in paper-based activities will allow us to reduce our footprint to support the work of census enumerators. The Census Bureau still plans to hire staff locally and in sufficient numbers to ensure it counts everyone.

### **Detroit Regional Office**

**69. Secretary Ross: After the 2010 Census, the Census Bureau closed its Detroit Regional Office, which played a critical role in improving participation in censuses and surveys, especially in some of historically undercounted populations that we have in southeast Michigan. However, I am concerned that with the closure of the Detroit office, many of these successful census partnership programs will cease and there will be an undercount in**

**communities in Southeast Michigan and across Michigan. Can you tell me how you plan to build-up a presence in states like Michigan that have reduced offices to ensure a full and accurate count?**

The Census Bureau will open and operate an Area Census Office in Detroit. Regional offices serve primarily as administrative centers for the local offices that conduct data collection. Just as it will in cities across the nation, operational support and oversight of field data collection and outreach activities in Detroit will continue to come from local staff. With respect to operational oversight, the Census Bureau will adopt the same approach to managing staff as it has done in the past. Census enumerators will work in the neighborhoods where they live and are familiar with, providing a critical element of local knowledge that increases cooperation and response. The direct supervision of these enumerators is administered by Field Supervisors who also live in these communities and work from home. These supervisors will report to managers located in the five offices located throughout Michigan, which will report to the Regional Census Center located in Chicago, IL.

The Census Bureau has begun its outreach efforts earlier in the decade. For the 2020 Census, the Census Bureau began hiring partnership staff in Fiscal Year 2016—a full year earlier than it did for the 2010 Census. These staff have already begun engaging officials throughout Michigan on early planning activities for the 2020 Census, with a particular focus on participation in the LUCA program. The Census Bureau plans to hire a similar number of outreach staff overall for the 2020 Census as was planned for the 2010 Census.

#### **From Senator Jon Tester**

**We always talk about leveraging existing government resources wherever we can in order to save money and increase efficiency. One of the efficiencies the Census Bureau could further utilize is the U.S. Postal Service. While Americans may be distrustful of other Federal government agencies, a majority of Americans trust their local letter carrier. Moreover, this labor force is already experienced and knowledgeable of the people they are delivering to. As I understand, the Census Bureau already utilizes Postal Service data.**

**70. What other ways is the Census Bureau looking to partner with the Postal Service to save money and increase efficiency?**

See answer to Question #64.

**When it comes to the Census, folks in rural states like Montana get concerned about not being counted. This kind of thing happens with limited access to rural broadband. Especially among Native American communities in my State.**

**71. What has the Census Bureau done to improve its outreach to Native American communities in the U.S. since you became Secretary?**

The Census Bureau has partnership staff working directly with tribes, and it plans to expand this staff next year. The communications contractor, Young and Rubicam (Y&R), provides



extensive experience reaching American Indian and Alaska Native populations, and Census has increased funding for this contract in its lifecycle cost estimate.

**72. Has this outreach improved since the 2010 Census? Do you still have concerns?**

The Census Bureau announced on July 1, 2015, that it would seek input from tribal leaders for the 2020 Census. The Census Bureau conducted 18 tribal consultation meetings that started two years earlier than last decade. These meetings requested input on topics like geography, data collection operations, and tribal enrollment. This is an important priority and the Census Bureau has a robust program in place to ensure outreach to the American Indian populations.

To ensure continued dialogue following the tribal consultations, Census Bureau regions have been meeting with tribes individually and continue to conduct one-on-one tribal consultation meetings at the request of the tribe within their region. Our tribal partnership specialists have been keeping tribes apprised of programs that require input and participation such as the Local Update of Census Addresses and Type of Enumeration Area to be conducted for 2020.

We currently have 52 tribal government liaisons identified. These liaisons are the point of contact that work with our tribal partnership specialists. We are planning a number of activities in each state and would be happy to come brief your office on what we are doing for your constituents.

**Post-Hearing Questions for the Record  
Submitted to the Honorable John H. Thompson  
From Senator Heidi Heitkamp**

**“High Risk: Government Operations Susceptible to Waste, Fraud, and Mismanagement”**

**February 15, 2017**

1. On October 18, 2016, U.S. Census Bureau issued a 2020 Census Program Memorandum stating that, “[i]n order to mitigate funding uncertainty risk, and ensure readiness for the 2018 End-to-End Census Test, the Census Bureau will stop FY 2017 field testing operation in...Puerto Rico and Standing Rock Reservation in North and South Dakota and Colville Reservation and Off-Reservation Trust Land in Washington.” When the Census Bureau speaks of “funding uncertainty,” was that uncertainty caused by Congress’s failure to pass an Appropriations Bill?

**No, the uncertainty was not the result of the Continuing Resolution, but rather was the difference between the levels proposed in the FY 2017 President’s Budget and the House and Senate proposed funding levels. The House and Senate marks from the spring of 2016 required the Census Bureau to prioritize 2020 Census activities in 2017. After this prioritization, the field component of the FY 2017 Census test was not afforded under either the House or Senate funding scenario because funds were needed to develop the systems and infrastructure needed to ensure a successful 2020 Census. Because neither Congressional funding report provided resources to conduct the Congressional priority and the field component, the Census Bureau thought it unwise to proceed with an expenditure that appeared not to be supported.**

2. In the same October 18<sup>th</sup> memo, it stated that the Census Bureau will “consider” moving these field sites to be a part of the 2018 End-to-End Census test. Has the Bureau decided whether these field tests will be a part of the 2018 End-to-End test or not?

**We are still considering whether to include the field test sites de-scoped from the 2017 Census Test in the 2018 End-to-End Census Test.<sup>1</sup> The 2018 End-to-End Census Test begins with the address canvassing activity in FY 2017. When we made the decision to descope the Field Tests from the 2017 Test, we also decided not to include them in the early operations of the 2018 Test, such as address canvassing, which is scheduled to begin in August 2017.**

3. I appreciate the investments the Census Bureau has made in technology, and moving the Decennial into the 21<sup>st</sup> Century. However, I am still concerned that even with the latest

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<sup>1</sup> The FY 2018 President’s Budget released in May 2017 proposes conducting the 2018 End-to-End Test at only one location (Providence, Rhode Island). The de-scoped field test sites from the 2017 Census Test are not included in the FY 2018 President’s Budget proposal for the 2018 End-to-End Test.

**\*Note: Mr. Thompson retired effective June 30, 2017. These responses are submitted by the Census Bureau.**

technologies; there is still a great chance of underrepresented populations falling through the cracks if there is not a plan in place to ensure that every citizen is counted in rural America and on Indian Reservations. How will the Census Bureau make sure that Native Americans and the other underrepresented populations, who do have access to internet and technology, will be properly counted in the 2018 End-to-End Census Test?

**The Census Bureau is deeply committed to ensuring a complete and accurate count of everyone living in the country whether or not they have access to the Internet. Households will be able to respond via telephone and mail in addition to the Internet. Census Bureau mailings will explain how to do so and how to request a paper questionnaire. In addition, households identified as unlikely to be connected to the Internet or unlikely to use the Internet to respond to the 2020 Census will be proactively mailed a paper questionnaire with the first Census mailing; these households account for approximately 20 percent of all households in the country. And any household that has not responded after three mailings will also be sent or re-sent a paper questionnaire.**

**Furthermore, through our Partnership Program, we are working closely with national, state, local, and tribal stakeholders that people trust to help communities understand the importance of responding to the Census. Census partners are major organizations, like the National Congress of American Indians, the National Association of Latino Elected Officials, and the National Urban League and community-based organizations like churches or other religions organizations, health clinics, and legal offices. Hundreds of thousands of Census partners join together during the Census to help people understand the importance of being included in the final counts. Working with groups representing American Indians and all other populations that are difficult to count is a high priority for the Census Bureau.**

**In addition, we plan to launch a robust advertising and promotion campaign in late 2019 specifically targeted to hard-to-count populations. These partnership and communications efforts were an important part of our discussions during the 18 Tribal consultations we conducted over the past year. We also plan to have a strong on-the-ground presence to follow up with households that do not respond to the Census during the Nonresponse Followup (NRFU) Operation. The location of the on-the-ground workforce is based upon our anticipated workload and our knowledge of geographic areas that have a large number of hard-to-count populations. Our strategy is to hire locally, so that our interviewers understand the communities where they work. Throughout 2020 Census operations we will be closely monitoring self-response rates and completion rates during NRFU to ensure our workforce is deployed appropriately, and that our data in all areas, including rural America and on Indian Reservations, is complete and accurate.**

**Post-Hearing Questions for the Record  
Submitted to Hon. John Thompson\*  
From Senator James Lankford**

\*Note: Mr. Thompson retired effective June 30, 2017. These responses are submitted by the Census Bureau.

**“High Risk: Government Operations Susceptible to Waste, Fraud, and Mismanagement”**

**February 15, 2017**

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During the hearing, I raised a question about the possibility of integrating filing the decennial census with individual tax returns, which contain similar information and are often processed online.

- 1) Has the Census communicated with the IRS in any capacity related to collection efforts?
- 2) Has the Census communicated with the IRS about integrating the processes of filing the Census with the individual tax returns?
- 3) Would the integration of these processes be feasible? What efficiencies could be gained and what challenges would you face?
- 4) Are there any statutory or other impediments to integrating these processes?

**The Census Bureau and the Internal Revenue Service (IRS) have been working closely throughout the decade to understand and operationalize the many ways that IRS data can be helpful in Decennial Census operations. We are exploring the possibility of using IRS data to shorten the American Community Survey, particularly with respect to the questions about household income. For the 2020 Census we already have operations in place to use IRS data to help us reduce the Nonresponse Followup (NRFU) workload. We have not looked into the possibility of directly linking responses to the Census to the tax returns required by the IRS, and we expect that there would be statutory and data quality challenges that we would need to overcome in order to do this. We will explore this with the IRS to understand the challenges that we would have to address in order to integrate self-response to the Decennial Census with the filing of individual tax returns. We also would be happy to meet with you and your staff to discuss your ideas.**

**Post-Hearing Questions for the Record  
Submitted to the Honorable John H. Thompson\*  
From Senator Claire McCaskill**

**“High Risk: Government Operations Susceptible to Waste, Fraud, and Mismanagement”**

**February 15, 2017**

Census: Counting Populations

In October 2016, the Bureau announced plans to stop two field tests for FY 2017 to mitigate risks from funding uncertainty. Two field tests, one which would have been conducted in tribal lands of Washington, North Dakota, and South Dakota, and the other in Puerto Rico, were cancelled. These planned field operations were to test the Bureau’s mail out strategy and Nonresponse Followup (NRFU) and the Spanish versions of software and systems, respectively.

\*Note: Mr. Thompson retired effective June 30, 2017. These responses are submitted by the Census Bureau.

1. In light of these cancellations, does the Bureau have a plan in place that will protect these vulnerable populations from being undercounted in the 2020 Census?

**The Census Bureau is deeply committed to ensuring a complete and accurate count of everyone living in the country. We have carefully selected our test sites since 2013 to ensure that they include hard to count populations so that we could thoroughly test our language program and ensure that households that speak languages other than English, including Spanish, are effectively enumerated in the self-response and Nonresponse Followup (NRFU) Operations. In the 2020 Census households will be able to respond via telephone and mail in addition to the Internet, and we will be testing these operations in the 2018 End-to-End Census Test. Households identified as unlikely to be connected to the Internet or unlikely to use the Internet to respond to the 2020 Census will be proactively mailed a paper questionnaire with the first Census mailing; these households account for approximately 20 percent of all households in the country. And any household that has not responded after three mailings will also be sent or re-sent a paper questionnaire.**

**Furthermore, through our Partnership Program we are working closely with national, state, local, and tribal stakeholders that people trust to help communities understand the importance of responding to the Census. Census partners are major organizations, like the National Congress of American Indians, the National Association of Latino Elected Officials, and the National Urban League and community-based organizations like churches or other religions organizations, health clinics, and legal offices. Hundreds of thousands of Census partners join together during the census to help people understand the importance of being included in the final counts. Working with groups representing populations that are difficult to count is a high priority for the Census Bureau.**

**In addition, we plan to launch a robust advertising and promotion campaign in late 2019 specifically targeted to hard-to-count populations. We also plan to have a strong on-the-ground presence to follow up with households that do not respond to the Census during the NRFU Operation. The location of the on-the-ground workforce is based upon our anticipated workload and our knowledge of geographic areas that have a large number of hard-to-count populations. Our strategy is to hire locally, so that our interviewers understand the communities where they work. Throughout 2020 Census operations we will be closely monitoring self-response rates and completion rates during NRFU to ensure our workforce is deployed appropriately, and that our data in all areas, including rural America and on Indian Reservations, is as complete and accurate.**

#### Census: Contracts

In the lead up to the 2010 count, the Bureau experienced significant challenges with a contract that was critical to the success of the 2010 Census. Shortly before the count began, the Bureau's plan for acquiring handheld devices had to be scrapped, and the Bureau reverted back to a paper and pen operation, costing taxpayers millions of dollars. In August 2016, the Census

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Bureau awarded a large technical integration contract (\$887 million) to T-Rex Corporation.

2. Does the Bureau have Contracting Officer Representatives in place at contracting sites to provide management and oversight of contracts and to make certain that contractors are meeting deadlines and goals?
  - a. If so, how many are currently working at these sites?

**Yes. There are a total of 25 Contracting Officer Representatives (COR) working on the 2020 Program at this time. We have one COR on site at the facility managing the T-Rex Technical Integration Contract, and one COR on site for the General Dynamics Information Technology Census Questionnaire Assistance Contract. The remaining 22 CORs work at Census Headquarters assisting the Decennial Contract Execution Office with the management of all of our Decennial contracts.**

**We also have two Contracting Officers (CO) dedicated to the major IT contracts, and we work closely with another 5 COs and 10 Contract Specialists in our Acquisitions Division who assist us with the management of our other Decennial contracts.**

Census: Open GAO Recommendations

GAO placed the 2020 Decennial Census on the High Risk List for 2017 because the cost of the Census has been escalating. The 2010 Census cost approximately \$12.3 billion and resulted in several billion dollars in cost overruns. While the Bureau is planning innovative changes to help save \$5 billion compared to the 2010 Census, these new technologies come with added risks. GAO has made 30 recommendations in this area, but reports that only 6 have been implemented by the Bureau.

3. What progress has the Bureau made to close out the remaining open recommendations?
4. Will these recommendations be closed before the 2018 End-to-End Test?

**We have action plans in place to address each of the recommendations we have received from GAO. While we have closed six of the 30 recommendations they have made in this area, we have completed the action plans for an additional 14 recommendations. GAO is currently reviewing each of these, and we are working with GAO to understand if there are additional steps that we need to take to close them out. We have determined that three of the 30 recommendations are duplicates. Of the remaining seven recommendations, action plans have not been completed for three, and the remaining four have action plans that are scheduled for completion between now and the end of 2018, after the 2018 end-to-end Census Test is complete.**

\*Note: Mr. Thompson retired effective June 30, 2017. These responses are submitted by the Census Bureau.

**Post-Hearing Questions for the Record  
Submitted to the Honorable Wilbur Ross  
“2020 Census: Examining Cost Overruns, Information Security, and Accuracy”  
October 31, 2017**

**From Senator Claire McCaskill**

**Potential Risks and Their Costs**

**The recent disasters in Puerto Rico, Texas, Florida, and California could significantly impact and cause serious complications for the 2020 Census.**

**1. Please describe actions that the Census Bureau is taking to account for these complications in its revised 2020 Census Lifecycle Cost estimate.**

The Department of Commerce’s revised lifecycle cost estimate of \$15.6 billion includes \$1.2 billion in unallocated contingency funding above the independence cost estimate of \$14.1 billion to address unknown risks. These unknown risks include the Census Bureau’s ability to respond to unforeseen circumstances such as impacts of natural disasters. The Census Bureau already is planning to conduct an additional round of in-office address canvassing in areas affected by recent natural disasters. The Census Bureau also will increase in-field address canvassing in those areas when necessary. Following Hurricanes Rita and Katrina, the Census Bureau increased some field operations for the 2010 Census.

The Census Bureau is conducting a complete address canvassing operation that covers the entire country. The important difference in the 2020 Census is that the Bureau is continually updating the address list and maps based on data from multiple sources, using a combination of aerial imagery, and administrative and programmatic data to help understand where change is occurring. This in-office address canvassing work allows the Census Bureau to reduce the amount of in-field address canvassing needed to ensure an accurate address list.

The Census Bureau has been updating its address list for Puerto Rico for the past decade as well. Nonetheless, because of the devastating impact of Hurricane Maria on the island, the Census Bureau has determined that it is in Puerto Rico’s best interest for the Census Bureau to conduct what they call “Update Leave” across the entire Commonwealth. As part of this “Update Leave” process, the complete inventory of addresses will be validated and updated where appropriate by Census Bureau staff walking every road and checking every housing unit. Census Bureau staff will leave a questionnaire package on every doorstep, and occupants will have the opportunity to respond via paper questionnaire, via telephone, or via Internet just like respondents across the country. Households that do not respond will be included in the nonresponse follow-up operation (“NRFU”).

## **2. How will the Census Bureau ensure accuracy in places where there has been significant displacement and devastation of homes?**

On November 8, 2017, the Census Bureau extended the registration deadline for the Local Update of Census Addresses (LUCA) program to January 31, 2018 for governments that have experienced natural disasters, including the hurricane impacted areas of Puerto Rico and the Gulf/Atlantic coasts, as well as the wild fire areas. The Bureau is working closely with these communities throughout the LUCA program to ensure that the address list and spatial database in these areas are as accurate as possible.

LUCA offers an opportunity to tribal, state, and local governments to review and comment on the U.S. Census Bureau's residential address list for their jurisdiction prior to the 2020 Census. The Census Bureau relies on a complete and accurate address list to reach every living quarters and associated population for inclusion in the census. The Census Bureau is required by the Census Address List Improvement Act of 1994 (Public Law 103-430) to allow governments the opportunity to review the Census Bureau's address list prior to the Census and the LUCA operation is how we implement that directive.

As the 2020 Census approaches, the Census Bureau will work with these communities, and others impacted by natural disasters, to make operational adjustments, such as increasing field operations like Update Leave.

**The revised 2020 Census Lifecycle Cost Estimate assumes a lower self-response rate than originally projected. Self-response is now estimated to be 55%, whereas the original projection was 63.5%.**

## **3. Please explain why the new projection for self-response is significantly lower than the original estimate.**

The Census Bureau reduced the estimated self-response rate for the 2020 Census from 63.5% to 60.5% due to two changes made to increase the security of the online instrument and provide stronger privacy protections for the confidential data of all respondents. Stronger privacy protections create extra steps that may dissuade some respondents from responding online. It is a tradeoff that the Census Bureau considered to be worthwhile. One specific change is the potential for additional authentication steps at the point of log-in into the Internet instrument. The second change is the removal of the save and log-out functionality, meaning that respondents cannot save a partial response and return to complete it later. This latter factor could have a particular impact on large households.

The recent upper bound lifecycle cost estimate includes funding to address the risk that the response rate could be as low as 55%. The 2020 Census Program continues to project, and manage to, an estimated self-response rate of 60.5%, but now has contingency funding in place should it be needed.



**4. How does the 55% breakdown by mode of response: Internet, telephone, and paper questionnaire?**

As stated above, the Census Bureau is managing to the current projected self-response rate of 60.5%. We estimate that 45.0% will respond via the Internet, 11.2% by returning a paper questionnaire, and 4.3% by phone.

**5. Has a further estimate been conducted that lowers the projected self-response rate? If so, please provide additional information on the downgrade of projected self-response rate and the reasons underpinning this revision.**

See answer to Question #3.

**The Bureau decided to reduce the number of regional offices from 13 to 6, in large part because it was expected that the new technology would reduce the need for regional office support.**

**6. Given the estimated decrease in self-response rates, should the Census Bureau consider opening additional regional offices?**

The Census Bureau does not believe that opening additional regional offices is necessary. The Regional Census Centers serve primarily as administrative centers for the local offices that conduct data collection. Operational support and oversight of field data collection and outreach activities continue to come from local offices. With respect to operational oversight, the Census Bureau will adopt the same approach to managing staff as in past censuses. Census enumerators will work in the communities where they live, providing critical local knowledge that increases cooperation and response. Field Supervisors who also reside in these communities and work from home will directly supervise the enumerators.

**a. Should the Census Bureau consider an increase in address canvassing, and hiring more enumerators for non-response follow up? Why or why not?**

The Census Bureau is conducting a complete address canvassing operation that covers the entire country. The important difference in the 2020 Census is that the Census Bureau is continually updating the addresses list and maps based on data from multiple sources, such as: USPS Delivery Sequence File; state, county, local, and tribal government partner files, through the Census Bureau's Geographic Support System program; LUCA participants; and imagery files from National Geospatial-Intelligence Agency (NGA) and the United States Department of Agriculture. It also is using a combination of aerial imagery and administrative and programmatic data to help understand where change is occurring. This in-office address canvassing allows the Census Bureau to reduce the amount of in-field address canvassing needed while ensuring an accurate address list. In areas of the country that are experiencing change, the

Census Bureau still intends to hire field staff to check and add addresses as necessary. It currently estimates that this will be required for 30% of addresses in the country, and the Bureau intends to hire the staff necessary to accomplish this.

With respect to the Nonresponse Followup Operation, the Census Bureau intends to hire the staff necessary to conduct field operations, in particular interviewing nonresponding households, to ensure a complete and accurate census. As in past decennial censuses, the Census Bureau will recruit and train up to three times the number of enumerators that we plan to deploy in order to expand the workforce as necessary should self-response rates be lower than anticipated, and additional households need to be interviewed after the self-response phase of the census.

**b. What additional costs would be incurred should the Census Bureau need to open additional field offices?**

The Census Bureau's current estimate is that each additional Local Census Office (LCO) would cost \$4 million.

**It was raised in the course of the hearing that a position of the Director of the Census is vacant and the Government Program is operating with 60% vacancy rate.**

**7. How is the Commerce Department addressing any issues arising from the understaffing at the Government Program Office?**

The Department sent a budget adjustment request to the Appropriations Committee that includes the resources necessary to expand the program management staff so that it has the capacity and the skills required to effectively manage a program of this size and complexity and it was included in the omnibus spending bill P.L. 115-141 that the President signed into law on March 23, 2018.

**8. Please explain the responsibilities of the four outside consultants you discussed in your testimony and provide information on their relevant experience.**

The team of experts from outside the Census Bureau identified and accounted for major potential risks and cost drivers beyond the assumptions in the 2020 Census program's original cost estimate. The team identified potential risks and associated challenges for the 2020 Census, which include declining self-response rates, cybersecurity concerns, recruitment size and wage rate, and field management staffing ratios.

The Independent Cost Estimation (ICE) team was comprised of financial management experts from the Department of Commerce and the Office of Management and Budget. The outside consultants who provided program management expertise and analysis on program integration, major contracts, and the budget included former Census employees, two former technology executives with experience in rolling out complex systems, and other experts with extensive private sector experience.

## **Arnold Jackson**

Arnold Jackson is CEO of AJ Management Consulting LLC, Silver Spring Maryland. Prior to founding AJ Management Consulting, Arnold was Associate Director for Decennial Census at the U.S. Census Bureau serving as the Chief Operating Officer for the 2010 Decennial Census at the U.S. Department of Commerce, Bureau of the Census. In that role, he exercised full oversight of the \$14 billion budget as he directed the management and administration of all decennial census and geographic support plans and operations of the 2010 Census. Arnold served on the Director's executive staff and on the newly established executive steering committee for the 2020 Decennial Census. After completing the operations of the 2010 Census, he contributed to emerging Bureau executive bodies for Diversity, Data Quality, and Internal Operating Efficiencies.

Previously, he was the President and a member of the Board of Directors of James Martin Government Intelligence (1998-2002), an information management consultancy that worked primarily with defense and civilian intelligence agencies. His work there included strategic planning, enterprise architecture, technology strategies and process reengineering. He implemented programs and practices in support of the Clinger-Cohen Act; a 1996 law that was designed to improve the way the federal government acquires and manages information technology. During an earlier tenure at the Census, he was the first Associate Director and Chief Information Officer (1991-1997) to serve on the Director's executive staff at the U.S. Census Bureau, where he was also the Chief of the former U.S. Census Bureau Decennial Operations Division (1984-1991). Arnold pioneered the use of highly distributed information-technology solutions and strategic outsourcing for the decennial census by executing nationwide support for the 1990 Census. He returned to private management consulting following that experience, becoming partner and director at Ferguson-Bryan and Associates, a minority-owned business consulting firm in Washington, DC (1980--1984).

Arnold is presently serving as a Special Advisor to the Secretary of Commerce and his immediate staff. As a seasoned executive with vast experience in all phases of Decennial Censuses he is advising the Secretary on a range of risk reduction, operational and organizational matters for the 2020 Census.

Arnold is a winner of a Hammer Award for leading the team that launched the Census Bureau website in the mid-1990s. The Hammer Award is presented to teams of federal employees who have made significant contributions in support of reinventing government principles. His senior management team was awarded the Department of Commerce Gold Medal in 2011 for their widely acclaimed contributions to a most successful 2010 Decennial Census. Arnold is a graduate of Hampton University, the Harvard Business School, and the Federal Executive's Institute. He is a frequent speaker on topics including program management, management of information technology projects, performance management, and large scale data collection and analysis.

## **Dave Abel**

David Abel served as Vice President and managing partner for public sector systems integration at IBM's global business services organization, where he oversaw the development of solutions and systems for federal, state, local, healthcare and education customers. Before that position, Mr. Abel led the company's projects with the departments of Homeland Security, Justice and State; and state, local and education clients in the eastern U.S. In that role, he addressed some of government's toughest mission challenges by deploying emerging technologies to protect and prevent threats, enhance cybersecurity, improve program outcomes, and engage citizens.

Mr. Abel has successfully managed large scale implementation programs worldwide, including North America, Africa, Asia, and Europe. Some of the programs Mr. Abel led included Customs and Border Protection's modernization and automated customs environment, a transformation program for U.S. Citizenship and Immigration Services, and software development and platform management for the Federal Emergency Management Agency's flood mapping program. He also oversaw programs involving airport operations at the Raleigh-Durham and Indianapolis airports, the Transportation Security Administration's application support and information services, financial management system deployment at the Justice Department, and programs for the New York City police and fire departments.

Prior to IBM, Mr. Abel served as a partner with PricewaterhouseCoopers, where he focused on commercial and public sector transportation, airport safety and operations planning and the banking and finance industries. He also worked on the development and deployment of automated fingerprint identification systems for law enforcement agencies.

Mr. Abel holds a bachelor's degree from the University of Virginia's McIntire School of Commerce and is a graduate of the University of Virginia's McIntire School of Commerce. He has been a guest speaker at The University of North Carolina's Keenan School of Business and Witwatersrand University in Johannesburg, SA, and also co-hosted "The Business of Government Hour." Mr. Abel sits on the Advisory Board for American University Kogod School of Business and is a former member of the board of directors of the Homeland Security and Defense Business Council.

### **Johnny Barnes**

Mr. Barnes is a retired IBM Vice President with more than four decades of experience as one of the company's top executives. He was appointed to several IBM corporate staff positions, including several critical strategy, product, and manufacturing task forces that established the foundation of IBM's current business and technical direction. He was a critical high-level manager and leader of IBM's mid-range and high performance RISC-based products which reestablished IBM's industry leadership, and led the re-engineering of IBM's internal hardware development, global computing and telephony environments. He also grew IBM's Manufacturing, Financial, Communication and Public Sector services businesses, serving as Director of Common Tools, Vice President of Global IT Infrastructure, and Vice President and Deputy CIO. Mr. Barnes' management responsibilities included business management, strategy, architecture, design, development and deployment of both IBM and customer business solutions utilizing advance technologies and standards.

Mr. Barnes' professional experience includes several years of business and technical management of products, customer solution contracts, and IBM worldwide organizations. He was responsible for the definition of IBM's Manufacturing Industries' Worldwide Technical Strategy and the development of key components of the strategy. As the Vice President and CTO of IBM's Public Sector, Mr. Barnes was responsible for successful recovery of a troubled strategic government agency infrastructure program and integration of advanced technology solutions into multiple agencies. Mr. Barnes is recognized worldwide as an accomplished executive leader and technologist. During his IBM career, he received eight patents, three IBM invention achievement awards, and an array of IBM awards for his technical and management contributions. Mr. Barnes also has numerous publications on a wide variety of technical areas. He was recognized nationally by DOD Continuous Acquisition and Life-cycle Support (CALs), the National Eagle Leadership Institute (NELI) and National Society of Black Engineers (NSBE). NSBE awarded Mr. Barnes the Black Engineer of the Year award in 2011. In addition, he was a director on the board of SCRA Advance Technology International and is on the board of STEM Premier (Chairman).

Mr. Barnes holds a B.S. in Electrical Engineering from the University of Houston and attended graduate school at the University of Texas concentrating on software engineering and manufacturing automation. He is Project Management (PMP®) and IT Infrastructure Library (ITIL®) V3 certified. In addition, Mr. Barnes has a TS/SCI CI polygraph clearance level with the federal government. Currently, as the owner of an IT consulting and services company, Mr. Barnes provides leadership and consulting to companies and government agencies globally.

### **A. Mark Neuman**

In addition to the three paid consultants, I have continued to seek advice from my advisor on Census issues during the presidential transition, A. Mark Neuman, who has worked on 1990, 2000, and 2010 Decennial Censuses.

Neuman also advised previous Secretaries of Commerce on Census issues, including Secretary Mosbacher, Secretary Daley, and Secretary Evans. Neuman also worked on the Census Executive Staff during the 1990 Decennial Census and worked closely with seven different directors of the Census. Neuman has worked with most of the stakeholders in the Decennial Census: The Bureau, the Department of Commerce, Congressional Oversight and Appropriations Committees, GAO, NAS, the Census Advisory Committees, and numerous other stakeholders including NALEO, MALDEF, and the Leadership Conference on Civil Rights.

Neuman has extensive experience in strategies to effectively count hard-to-count populations (including Spanish and other non-English speaking populations, as well as American Indians living on Reservations). He is focused on the need to further reduce and eliminate the blackwhite differential undercount and ensure that we count every person living in America one time and at the correct address.

Neuman's advisory capacity is modeled on the previous advisory role performed by John Thompson for Secretary Carlos Gutierrez during President George W. Bush's second term.

### **Revised 2020 Census Lifecycle Costs**

**The Commerce Department recently revised the 2020 Census Lifecycle Cost Estimate because of ineffective planning and problematic management that created significant cost overruns. The Department now estimates the costs will total \$15.6 billion, which is \$3 billion more than originally estimated. The Department is also requesting a \$187 million increased in funding for FY 2018.**

#### **9. What steps will the Census Bureau take to control any further cost growth?**

My staff and I are closely involved with the planning and execution of the 2020 Census. We meet regularly with the Census Bureau team and their contract partners to bring oversight and accountability into the Decennial operation. These meetings help me ensure that we are on track, on time, and on budget.

My staff also conducts weekly 2020 Census oversight reviews, which include tracking metrics and program execution status on a real-time basis. In addition, they hold monthly meetings with the Office of Management and Budget, Census program managers, and Commerce's 2020 leadership team, headed by Under Secretary Karen Dunn Kelley, who is also performing the nonexclusive duties of the Deputy Secretary of Commerce, to review issues related to the programs budget, scope, schedule, and risks. These management meetings include detailed reviews of the evolving budget and lifecycle cost estimate for the 2020 Census. The results of these meetings are reported directly to me by Under Secretary Kelley and her staff so that I can personally oversee the progress of the Decennial Census.

#### **10. What specific 2020 Census programs will benefit from the \$187 million in additional funding for FY 2017? Is the \$187 million sufficient to cover the expense of 2020 Census program requirements?**

The additional \$187 million will be allocated to the critical activities necessary to keep the Census Bureau on track for a successful 2020 Census. The funding is primarily allocated to the major IT contracts, including the Technical Integrator contract and the Census Questionnaire Assistance contract, and program management, systems engineering and operational development. These funds allow us to make a significant course correction to keep crucial programs on track and provide much-needed financial oversight and better management at the Census Bureau. The Census Bureau and the Department of Commerce are accountable to manage the 2020 Census efficiently.

#### **11. Please identify and list the qualifications of the experts who participated in the process to revise the 2020 Census Lifecycle cost estimate.**

Several teams were involved in the process to revise the 2020 Lifecycle cost estimate. Each team was led by an individual who has decades of experience in the relevant fields, including acquisitions, management, cost analysis, engineering, public policy, and major systems development. Members included the Senior Procurement Executive and Director of Acquisition Management at the Office of Acquisition Management of the Department of Commerce, the Deputy Director for Acquisition, Grant and Risk Program Management at the Office of Acquisition Management of the Department of Commerce, the Senior Leader, Director for Cost Analysis at the Office of Acquisition Management of the Department of Commerce, and a Detailee and Presidential Management Fellow at the Office of Acquisition Management of the Department of Commerce.

### **Cancelled Tests**

**Earlier this year, the Census Bureau cancelled three important 2017 field tests—a Spanish language test in Puerto Rico, a test on the Colville Indian Reservation and Off-Reservation Trust Land in Washington State, and a test on Standing Rock Reservation in North and South Dakota. These tests would have provided data and best information for obtaining a more accurate count in important, historically undercounted minority, rural, and tribal communities.**

**12. Has the Census Bureau done an analysis to see if it could possibly restore funding for these cancelled tests to ensure that these populations and systems are tested prior to 2020? If not, why?**

There are no plans to conduct testing in Puerto Rico. Systems that are critical to the 2020 Census, both in Puerto Rico and nationwide, are being tested in the 2018 End-to-End Test, including the Update Leave and Group Quarters operations. The Spanish language Internet SelfResponse instrument is currently deployed for the peak operations in Providence, Rhode Island, where 19% of the population speaks Spanish. The Census Bureau has determined the results of the Providence End-to-End test of the Internet Self-Response instrument will be sufficient to understand any issues that arise. In addition, field staff in the End-To-End test will be using data collection instruments with both English and Spanish language functionality. The 2018 End-to-End Census Test began in August 2017 in Pierce County, Washington; Providence County, Rhode Island; and the Bluefield-Beckley-Oak Hill, West Virginia area with the implementation of an address canvassing operation. This operation allowed the Census Bureau to test systems in areas without internet connectivity and hone the critical address list development operations in a wide range of geographical situations similar to those in Puerto Rico and tribal areas. In addition, the Census Bureau was able to test management systems in areas without internet connectivity, which will be very important in rural and tribal areas. Census field staff were able to receive their assignments and submit their payroll and operational data at the

beginning or end of their shifts when they could connect to the Internet, but they did not require Internet access while they were actually doing their work.

Finally, the Census Bureau selected Providence County, Rhode Island, for peak operations of the 2018 End-to-End Test for a multitude of factors, but primarily because its diverse population presents unique challenges that the Census Bureau will face in 2020. Providence County's demographics mirror those of the nation and therefore offer a microcosm of the 2020 Census experience. Its population of over 600,000 (626,667) includes historically hard-to-count populations, more than a quarter-million housing units (264,048) and 110,734 Spanish speakers.

**13. If restoring funding to these cancelled tests is not feasible, what efforts will the Census Bureau make to mitigate this issue to ensure that these hard-to-count populations are fairly and accurately counted in the 2020 Census?**

The Census Bureau is planning a robust communications and partnership program to help reach the hard-to-count populations for the 2020 census. Efforts include advertising in multiple languages and working with trusted voices in communities across the nation to encourage responses to the 2020 Census. Census partners include national organizations, churches and other faith-based organizations, health clinics, legal aid centers, and other support organizations that traditionally undercounted populations rely on. The Census Bureau will also provide support and response options, including Internet and telephone response options, in up to 12 languages. All mail materials and paper questionnaires will be in both English and Spanish. In addition, Census enumerators will be well trained and provide support in multiple languages.

**Contract Oversight: 43 IT Systems Integration**

**The redesign of the 2020 Census principally depends on the effectiveness of the Census Bureau plans to integrate new and legacy information technology (IT) systems and infrastructure. GAO has warned that the development of these systems is woefully behind schedule and that not all of the systems will be fully operational by for the 2018 End-to-End Census Test. According to GAO, development and testing is behind schedule for 39 of the 43 IT systems that must be in place for the 2020 Census.<sup>2</sup>**

**14. How confident are you that these systems will be completed and fully tested before they are needed for the test? What actions are you taking to ensure that they are ready in time?**

The Census Bureau has developed a robust schedule for developing and integrating the key systems for the 2018 End-to-End Census Test. Each system has its own well-defined scope, requirements, schedule, and costs, and each system is overseen by experienced project management teams. As they enter the peak operations of the Test, 40 out of the 44 systems

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<sup>2</sup> Government Accountability Office, *Continued Management Attention Needed to Oversee Innovations, Develop and Secure IT Systems, and Improve Cost Estimation* (GAO-18-141T) (Oct. 2017).



supporting the test have been deployed, and a majority of them have completed integration testing. No system will be released without completing the necessary integration testing, and all 44 are on track to be fully integrated and deployed when they are needed to support the applicable operations.

GAO and the Census Bureau have been working closely together to ensure that they have a consistent understanding of the status of systems readiness, and they are monitoring final development and testing of the remaining systems needed for the 2018 End-to-End Test. They also are looking closely at the developmental work needed for the 2020 Census. Based on GAO's recommendations the Census Bureau has taken a closer look at operations that could reuse existing systems instead of developing new ones, such as the field component of the Post Enumeration Survey, where the decision has been made to use systems that are already supporting existing Census Bureau current survey operations.

My staff and I are in constant communication with both the Census Bureau and GAO. In fact, Under Secretary Karen Dunn Kelley (who is performing the duties of the Deputy Secretary) has met with both teams and encouraged them to work together to ensure that GAO best practices are being implemented by the Census Bureau.

#### **15. How is the Census Bureau holding contractors accountable for these delays?**

Decennial Senior Leadership conducts a weekly contract review meeting to assess the contractors' performance against the technical and schedule milestones of each contract.

#### **16. GAO reported that, during the 2017 Test, the Census Bureau assumed increased risk when systems were deployed before security assessments could be completed as planned. What is the status of the authorizations to operate for the 43 systems being used in the 2018 End-to-End Test given that 33 of them contain personally identifiable information?**

The Census Bureau is following its Authority to Operate (ATO) process for systems involved in the 2018 End to End test, and the status of the authorizations as of March 23, 2018 is 86% (38 systems) complete with 14% (6 systems) in progress to obtaining an ATO. The Census Bureau is on schedule to ensure that all systems used in the 2018 End-to-End test are authorized prior to use. The authorizing officials are made aware of any risks identified in the ATO process and systems with ATOs will have their cybersecurity maintained through continuous monitoring.

#### **Contract Oversight: Mobile Devices and Bid Protest**

**The Government Accountability Office (GAO) recently issued its decision on a bid protest of the \$283 million contract for mobile devices for the 2018 End-to-End test and the 2020 Census. GAO found that the Census Bureau, "conducted unequal and misleading discussions, and failed to adequately document its evaluation and selection decision." GAO**

**recommended the Census Bureau reopen the competition, conduct discussion, accept and evaluate revised proposals, and make a new decision.**

**17. What is the status of the bid protest on the device-as-a-service contract? Does the Census Bureau still plan to test the devices in that contract during the 2018 End-to-End Test? If not, what plans do you have in place to test them prior to 2020?**

GAO's October 5, 2017, decision sustaining the protest of the Decennial Device as a Service (dDaaS) contract award included recommendations for corrective action. The Census Bureau takes GAO's recommendations seriously and immediately began examining all potential paths forward to enable the Census Bureau to proceed with this important program without endangering the critical path for the 2020 Decennial Census. As part of that process, the Census Bureau began developing an action plan to implement GAO's recommended corrective action. The Census Bureau also convened a meeting with the awardee and the protestor to describe the steps it was taking and to facilitate a dialogue between the two. On November 7, the awardee notified the Census Bureau that it and the protestor had executed a subcontracting agreement. On November 8, the Census Bureau provided notice to GAO that, in light of the subcontracting agreement, the Census Bureau intended to lift the stop work order on the contract that had been in place since August. On November 9, the Census Bureau authorized the contractor to resume performance of the dDaaS contract. Work is underway and on track to successfully provide dDaaS services for the 2018 End-to-End Test and the 2020 Decennial Census, including testing the devices during the 2018 End-to-End Census Test.

### **Internet Response: Users**

**18. For the first time this census count will heavily rely on Internet self-responses. The Census Bureau's goal is that 55% of the response rate will come from the Internet and budgeted based on that number. How will the Census Bureau meet the 55% Internet-self response rate goal?**

Although the Census Bureau has estimated the cost of a potential 55% self-response rate as a lower-bound estimate, the Census Bureau continues to project, and manages to, an estimated self-response rate of 60.5%. It estimates that 45.0% will respond via the Internet, 11.2% by returning a paper questionnaire, and 4.3% by phone. These projections are based on the tests the Census Bureau has been conducting throughout the decade and on self-response rates in the 2010 Census, the American Community Survey, and other surveys.

Every household will receive multiple mailings from the Census Bureau encouraging response via the Internet. Households in areas without an Internet connection, or those that are not likely to respond via the Internet, will also receive a paper questionnaire in the first mailing. All households that do not initially respond to the Census will receive a paper questionnaire. The Census Bureau is prepared to expand paper processing and telephone response capacity if Internet response rates are lower than projected.

In addition, the Internet Self Response (ISR) operation works to make the application content accessible to a wide range of people with disabilities, including blindness and low vision, deafness and hearing loss, learning disabilities, cognitive limitations, limited movement, photosensitivity, and combinations of these. To maximize accessibility, the ISR application is being developed following Web Content Accessibility Guidelines 2.0 with a “AA” level of success. Each page of the application is assessed for conformance to the applicable guidelines.

The Census Bureau is committed to making all of its electronic and information technology accessible to all individuals. They leverage the knowledge and expertise of their Section 508 Coordination Council, the General Services Administration (GSA) Refresh Toolkit, and interagency best practices. All application systems, especially those supporting the 2020 Census, will be in compliance with the Section 508 standards. The 2020 Census Program has allocated Section 508 requirements to systems and continuously certifies and validates compliance through testing.

On January 18, 2018, revised Section 508 standards went into effect. The 2020 decennial census performed an analysis of these revised standards and is integrating them with the prior Section 508 guidance. This integration includes an assessment of each application system’s level of compliance with the revised standards. Revised requirements will be allocated to each application system as applicable.

**19. The federal government has a mixed record with developing and debuting online platforms. Please discuss whether the Census Bureau has conducted any testing to ensure that the site will be able to handle heavy response traffic.**

The Census Bureau issued a technical directive to the Technical Integrator to perform scalability testing on the Internet Self Response (ISR) System that is built on the Pega Platform. The test results showed successful scaling of the ISR System, in the Cloud, to meet the number of concurrent users requirement defined by the external demand models. Based on the results, the Census Bureau believes that the ISR solution will be able to handle heavy response traffic. In addition, the Census Bureau’s IT experts are working closely with other federal government experts and private sector experts to ensure that the Internet Self-Response system is as resilient as possible. The Census Bureau is testing the Internet self-response platform in numerous ways. It was successfully deployed in the 2017 Census Test, and it is now being utilized during the peak operations of the 2018 End-to-End test in Providence County, Rhode Island. The Census Bureau will continue to perform load tests based on demand models on the Internet self-response platform. They also are implementing enough redundancy to ensure continuity of operations (for example, every cluster of hardware in the system is duplicated and placed in two availability zones).

**20. Please describe the contingency plans the Bureau has adopted, or intends to adopt in the event that the online system does not perform as intended.**

The Census Bureau is designing all of its systems with failover capabilities to provide seamless operational readiness. By establishing multiple modes for the public to respond, the Census Bureau is creating a backup in case there are problems with any one particular response option. Self-response will be available by Internet, telephone, or paper. If problems arise in the Internet response option, the Census Questionnaire Assistance contract allows for collection of interviews via telephone. The Census Bureau also has the capability to scale up call centers and staff operations to meet increased demand. Finally, there is redundancy in the paper questionnaire self-response capabilities so that work can be shifted between the Census Bureau's two facilities, allowing the Census Bureau to accommodate a much higher volume of paper responses. In addition, if aggregate response rates are lower than expected, the Census Bureau can increase the staff conducting interviews with nonresponding households and extend the duration of the Nonresponse Follow-up operations as it has done in the past.

**21. Will the online version require people to complete the questionnaire in one sitting or will it allow people to stop in the middle and come back to it? How will it account for “break-off,” which is when people start filling something out but don’t complete it?**

Because the Census Bureau has increased the security of the online instrument to provide stronger privacy protections on the confidential data of all respondents, the Internet self-response system will not allow people to save a partial response and return to it at a later time. The Census Bureau expects and is planning an increase in telephone response.

**22. How will the online platform accommodate non-English speakers?**

The Census Bureau is planning to offer Internet response options in 12 languages covering over 80% of limited English speaking households.

**Internet Response: Cybersecurity**

**23. What preventative measures is the Census Bureau taking to ensure that Americans do not fall victim to phishing attacks from emails and websites that appear authentic but instead are malicious when filling responding to the 2020 Census survey?**

Phishing attacks are one example of the many cybersecurity threats facing the Census Bureau that target consumers. To help provide services to resolve these external threats, the Census Bureau plans to partner with industry and other federal agencies. Additionally, the Census Bureau will use proactive public communications to educate and reinforce typical cybersecurity measures (virus protection, keyloggers, phishing etc.) to protect respondent's own data and increase their confidence that they are using the websites and tools from the Census Bureau. In addition, the Census Bureau will proactively monitor for websites impersonating the Census Bureau and will not send emails directly to respondents.

**24. Given the significant reduction in field operations for the 2018 End-to-End Census Test, what IT capabilities have been cut from the test? When will these capabilities be tested? For example, what fraud detection capabilities were originally planned for the 2018 End-to-End Test and what will actually be delivered?**

The reduction from three sites to one site for the peak operations of the 2018 End-to-End Census Test did not have a significant impact on the IT capabilities being tested to support the operations. The planned fraud detection capabilities have not changed, except for the Post Enumeration Survey and the Integrated Partnership and Communications Program. The systems supporting these operations will be tested in late 2018 and 2019.

**25. To date, has the Census Bureau developed a formal cybersecurity policy or plan to ensure the security of the system? If so, please provide. If not, when will the Census Bureau develop a formal cybersecurity policy or plan?**

The Census Bureau has a formal cybersecurity policy to ensure Census systems are developed with the appropriate security requirements. The Bureau of Census Information Security Program and Policy (BOC ITSP) specifies the mandatory requirements for the Census Bureau IT security Program that implement Federal Requirements as outlined by FISMA. The policy also addresses the security requirements for authorization of information systems in accordance with federal best practices as outlined by DOC's National Institutes of Standards and Technology (NIST) in its NIST SP 800-37, Guide for Applying the Risk Management Framework to Federal Information Systems.

For the 2020 Census Program, the Technical Integrator (TI) contractors have developed an overall 2020 Census System of Systems Security Plan (current version 4.0) ensuring confidentiality, integrity and availability of 2020 Census system boundaries (On-Premise, Cloud and Field) in accordance with the TD-008 security requirements and BOC ITSSP. The OnPremise, Cloud and Field references the various infrastructure that is supported by the 2020 Census System of Systems Security Plan. The On-Premise infrastructure is hardware/software and telecommunications that the Census Bureau purchased for the physical data center in the Bowie Computer Center. The Cloud refers to the Amazon GovCloud service that the Bureau procured. The Field infrastructure refers to equipment that was purchased and housed in the Regional Census Centers. TI will be developing NIST 800-53 Rev 4 based System Security Plan (SSPs) for each infrastructure/security component and specific security plans such as Incident Response Plan, Disaster Recovery Plan, Contingency Plan and Vulnerability Management Plan as part of the ATO process.

The Bureau's Office of Information Security (OIS) manages the ATO process within the Bureau, including contractor operated systems. The Census Bureau uses the same process for all systems; Decennial and non-Decennial systems follow this process.

**26. Will the Census Bureau conduct risk-limiting audits to ensure that census responses are being accurately recorded and the system is maintaining its integrity? Please explain.**

The Census Bureau takes the integrity of data and systems seriously. It has implemented checks on database schemas, service bus, applications, etc., that would trigger events indicating data inconsistencies in relation to the responses. It has these checks at various levels, such as client side, middleware, and backend components, and it is ensuring compliance with Risk Management Framework with the objective of data integrity in relation to response data. It also runs security scans regularly on all appropriate components of their systems.

Additionally, the Bureau is implementing a fraudulent response detection system and operation center. This system will be responsible for determining whether fraudulent returns have been submitted from internet self-response, telephone interviews conducted by Census Questionnaire Assistance staff, and paper self-response. In addition to establishing criteria and thresholds to identify potentially fraudulent responses, the operation is responsible for determining the appropriate follow-up action for investigating and resolving cases of suspected fraud.

Fraud detection will identify:

- Individual Fraud: A single person submits a small number of fraudulent responses
- Targeted Fraud: An individual or group submits a large number of fraudulent responses in a particular state or locality in an attempt to fraudulently inflate Census counts in a particular area
- Widespread Fraud: An individual or organization submits a large number of fraudulent responses—potentially by automated hacking techniques, and not concentrated in a particular locality—in an effort to affect the overall counts

Fraud detection components will include:

- Modeling/algorithms – a statistical approach to ferret out potential fraud, including individual response scoring, outlier detection, and trend analysis
- Spatial analysis – examination of the geographic distribution of responses as a component determining suspected fraud cases
- Social media monitoring strategy – analytics to identify suspicious patterns which will be ranked, sorted, and displayed on a dashboard to inform the analytical work
- Case management – a system to create workloads for analysts and potential follow-up
- Business intelligence (BI)/visualization strategy - approach for condensing the data points from the multiple fraud analysis modes into relevant key performance indicators (KPIs)
- Feedback loop activities – continuous improvement in the Fraud Detection System

Resolution of suspected fraudulent responses will include:

- Investigation by fraud detection analysts to determine whether suspected cases identified through automated detection methods can be deemed acceptable by the analyst based on established rules, or require field follow-up to determine final disposition.

For cases referred by fraud detection analysts, field follow-up will occur as a component of Nonresponse Follow-up work. In work similar to the quality control efforts for enumerators, the respondent will be asked a series of questions to determine the level of consistency between the original response data and their current response. If necessary (e.g., significant differences are noted in the initial questions, such as household count), a complete interview (i.e., all questions on the census questionnaire) can be conducted to ensure accuracy of the response data for a household.

**27. Does the Census Bureau have dedicated cybersecurity staff in place, if so, what are their specific roles and responsibilities?**

Yes, the Census Bureau has dedicated cybersecurity staff in place. The Office of Information Security is responsible for ensuring the IT/Cybersecurity posture of the Census Bureau in accordance with the Federal Information Security Management Act (FISMA) and is directly responsible for six areas:

- 1) Policy and Compliance
- 2) Security Engineering
- 3) Security Assessment and Continuous Monitoring
- 4) Providing Information System Security Officer (ISSO) support
- 5) Situational Awareness/Security Operations Center
- 6) Cybersecurity incident handling

Within the Census Bureau, IT system owners and business authorizing officials can be located in the program areas and outside of the IT Directorate. OIS works closely with those program areas to make sure they understand security requirements and that they are trained for the roles in which they operate.

**28. Securing people's personally identifiable information (PII) is essential as the Census Bureau moves to modernize the census.**

**a. Please discuss the federal partners the Census Bureau working with to ensure that its systems will be secure and ready to accept large amounts of data. Is the Census Bureau working with the Department of Homeland Security or any other executive agencies to monitor efforts to interfere with or undermine the Bureau's data collection efforts?**

The Census Bureau has been working closely with the National Institute of Standards and Technology (NIST) and the Department of Homeland Security (DHS). With NIST, the Census Bureau has been collaborating on the following topics: Cloud Computing Architectures, IT security risk management framework, and the Derived Credential initiative allowing the Bureau to use HSPD-12 required authentication for its general field force. With DHS, the Census Bureau has been working on the following initiatives: 2020 Census System Architecture review, Strengthening Incident Management Capabilities: Federal Incident Response Evaluation (FIRE) assessment (Completed 11/2017); 2020 Census System Penetration testing (Planned first quarter

CY 2018); and Obtaining classified threat information (First report planned for First Quarter CY 2018).

The Census Bureau is also working with DHS to coordinate a table top exercise that simulates a Census-related cyber incident. This exercise will give Census the opportunity to walk through their cyber incident response procedures as well as better understand what resources are available across government to assist in their response.

The Census Bureau will continue to work with DHS and the Office of Management and Budget (OMB), which were engaged through the Federal Cyberstat Process, to determine what additional federal cybersecurity assistance the Census Bureau can receive.

**b. Please describe whether the Census Bureau’s public education campaign will demonstrate to Americans that they can be confident their information will be collected and stored securely.**

The Census Bureau has official messaging on this topic and plans to share it with the 2020 Census communications contractor, Young & Rubicam, NY (Y&R), to ensure that the messaging being used demonstrates to everyone in the United States and its territories (including Puerto Rico, American Samoa, the Commonwealth of Northern Mariana Islands, Guam, and the US Virgin Islands) that their information will be securely collected and stored. Additionally, the Census Bureau continues to directly communicate this to the public. Its extended network of trusted voices (e.g. State Data Centers (SDCs), Census Information Centers (CICs), Advisory Committee Members, etc.) also play an invaluable role in communicating these key messages to their audiences to help ensure public awareness. Under Secretary Kelley and I are also working very closely with the Census Bureau to leverage additional communications opportunities.

**29. In the event of a data breach, what are the Census Bureau’s data breach notification requirements?**

The Census Bureau implements incident response within its environment following guidelines established by the United States Computer Emergency Readiness Team (US CERT), the NIST Computer Security Incident Handling Guide (NIST SP 800 – 61 rev. 2), DOC’s Breach Response and Notification Plan, and supporting directives from OMB. These directives allow the Census Bureau to create an incident response policy, incident response plan, a response committee (the Census Bureau Data Breach Response Committee), and incident response procedures applicable to its environment. At the Census Bureau, the policy is reviewed and approved by the Data Stewardship Executive Policy Committee (DSEP) and signed by the DSEP Chair. Incidents follow an incident response framework, which includes preparation, detection, analysis, containment, eradication, recovery and post-incident activity. The Remedy Case Management (RCM) system is used for tracking and documenting incidents at the Census Bureau. Broadcast messages enterprise-wide from OIS are used when appropriate to notify all Census employees of potential security impacts. In addition, notification of security alerts to program areas are made through their respective Information System Security Officers (ISSOs). The Technical Security Staff collaborates with US CERT and the DOC Enterprise Security



Operations Center (ESOC) and Computer Incident Response Team (CIRT) and its sub agencies commonly called FEDCIRT. Vendors supporting the Census Bureau are required to report incidents to the Bureau of Census Computer Incident Response Team (BOC CIRT) following procedures in the incident response policy and plan.

For Cybersecurity incidents and breaches that meet the criteria of a major incident, the Census Bureau, like all federal agencies, must notify the appropriate congressional committee and its Office of Inspector General (OIG) no later than seven days after the agency has reasonably concluded that a major incident has occurred. Pursuant to Presidential Policy Directive-41 (PPD-41), if an incident is a major incident, it is also a "significant cyber incident", which will trigger the interagency coordination mechanisms outlined in PPD-41 and potentially require participation and actions from a Cyber Unified Coordination Group. Privacy incidents are included in these procedures for responding to a data breach, including a breach of personally identifiable information (PII). In addition, in the event of a Federal Tax Information data breach, reporting requirements will be guided by the Internal Revenue Service (IRS) 1075, Tax Information Security Guidelines.

### **Administrative Records**

**In 2020, the Census Bureau plans to rely heavily on administrative records and third party data to reduce costs and to obtain missing information about unresponsive households in order to minimize field-canvassing operations.**

**30. Please discuss the specific administrative records and third party data the Census Bureau will use.**

Throughout the decade, the Census Bureau has been planning and testing the use of administrative records for the enumeration of occupied nonresponding households. Administrative records include data from the IRS, the Social Security Administration (SSA), Medicare and Medicaid, the Indian Health Service, and other data sources. Administrative records also include data from prior Decennial Censuses and the American Community Survey (ACS). The Secretary has also directed the Census Bureau to obtain as many additional Federal and state administrative records as possible to provide more comprehensive information for the population. Additionally, the Census Bureau uses private sector data, where applicable.

**31. Also, please discuss the contingency plans the Census Bureau has to ensure that traditionally undercounted populations, who may not have the same body or quality of administrative records and third-party data as other groups, are counted in the 2020 Census.**

Throughout the decade, the Census Bureau has been planning and testing the use of administrative records for the identification of vacant housing units and the enumeration of occupied nonresponding households. Administrative records include data from the IRS, the Social Security Administration (SSA), Medicare and Medicaid, the Indian Health Service, and other data sources. Administrative records also include data from prior Decennial Censuses and

the American Community Survey (ACS). Additionally, the Census Bureau uses state, local and private sector data for well-defined purposes, such as establishing census block boundaries and supporting address list compilation. The Secretary has also directed the Census Bureau to obtain as many additional Federal and state administrative records as possible to provide more comprehensive information for the population.

In the case of households that do not respond after our repeated efforts, the Census Bureau expects to be able to enumerate up to six million households in the 2020 Decennial Census entirely with federal administrative records. This will be done only when the Census Bureau has a high level of confidence that the federal administrative records are of high quality, can corroborate the information with other high-quality records, and when the information can be accurately applied to the addresses and persons in question. One type of household that could be enumerated using administrative records is that of an elderly couple who have lived at the same address for many years, who file their taxes regularly, and who have signed up for Medicare. Where it does not have high quality and high confidence in the data, such as when the data in the federal administrative records is inconsistent or missing, the household will become part of the Census Bureau's Nonresponse Follow-up operation (NRFU) for a direct follow up by census enumerators. Moreover, to ensure the success of the NRFU Operation, the Census Bureau intends to support this operation through the Integrated Partnerships and Communications Program to reach those who do not self-respond and cannot be enumerated through federal administrative records.

### **Integrated Partnership and Communications Program**

**Earlier this year, the Census Bureau paused crucial advertising and partnership campaigns. Civil rights advocacy organizations have warned that the Census Bureau's decision to pause this campaign and delay the publishing of a comprehensive communication plan will adversely affect public outreach efforts, particularly with respect to the hard-to-count populations. Moreover, this could cause self-response rates to decrease and potentially lead to increased costs.**

### **32. What is the status of the advertising and partnership campaign effort?**

The Census Bureau's approach to developing the Partnership Program staff is driven by their past experience. The 2010 Census initially planned for a total of 680 partnership specialists. When it received funding from the American Reinvestment and Recovery Act they invested an additional \$120 million in the Partnership Program. This primarily was used to increase partnership specialists to 786, and to add an additional 1,750 partnership assistants. These additional staff were added late in the process, and looking back the Census Bureau felt that the partnership assistants, in particular, were not as effective as the more seasoned partnership specialists. For the 2020 Census, the Census Bureau has increased the number of partnership specialists planned to 1,000, which is a significant increase relative to the base funding for the 2010 Census. The Census Bureau believes that this will allow for a strong Partnership Program.

The 2020 Partnership Program began in 2015 with eight partnership specialists to support the 18 tribal consultations and 2016 Census Test. This is the earliest the Census Bureau has started the partnership program. The 2010 Census did not begin to hire partnership specialists until 2008. Currently, there are over 40 Partnership Specialists across the country. The staff are now working with tribal, state and local governments to form State Complete Count Commissions and Complete Count Committees. These are formal partnerships with tribal, state and local governments that the Census Bureau can leverage the local trusted voices and expertise to extend the partnership staff reach to the hard-to-count populations.

The Census Bureau plans to ramp up to 1,000 Partnership Specialists beginning in October 2018.

An extensive communications and advertising campaign will also be launched, as was done in the prior two decennials. The 2020 Census Integrated Communications plan can be found here: [https://www.census.gov/programs-surveys/decennial-census/2020-census/planningmanagement/planning-docs/integrated\\_com\\_plan.html](https://www.census.gov/programs-surveys/decennial-census/2020-census/planningmanagement/planning-docs/integrated_com_plan.html).

**There were nearly 3,000 partnership specialists for the 2010 Census, however, the Census Bureau only plans to hire 1,000 partnership specialists for the 2020 Census. According to a 2010 GAO report, “[t]he Bureau better positioned itself to reach out to and enumerate HTC populations in 2010 in part by . . . significantly expand[ing] the partnership program by hiring about 2,800 partnership staff in 2010 compared to around 600 in 2000. As a result, staff were not spread as thin. Also, the number of languages they spoke increased from 35 in 2000 to 145 for the 2010 Census.”<sup>3</sup>**

**33. What steps will the Census Bureau take to ensure that the 1,000 partnership specialists will be able to replicate the broad outreach to hard-to-count populations that the partnership specialists achieved in 2010?**

See answer to Question #32.

**34. What additional resources will be available to the decreased number of partnership specialists?**

The Census Bureau will be working closely with its communications contractor, Young and Rubicam, and its sub-contractors, collectively referred to as Team Y&R (TYR), to develop materials and tools for the partnership specialists. This will be based on TYR’s research, including the Census Barriers, Attitudes and Motivators Survey (CBAMS). CBAMS will inform the messaging and support materials that partnership specialists will use in their work. TYR will also be launching an extensive advertising campaign, including online and targeted advertising. The Census Bureau also has a robust database of existing partner organizations, and is

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<sup>3</sup> Government Accountability Office, *Key Efforts to Include Hard-to-Count Populations Went Generally as Planned; Improvements Could Make the Efforts More Effective for Next Census* (GAO-11-45 2010) (Dec. 2010).

developing a partnership engagement platform which will provide a wide range of toolkits and models that will support the program.

**In the hearing, you testified that the draft communication plan had finally been released four days prior to the hearing—five months behind schedule.**

**35. When will the Census Bureau release its final comprehensive communications plans?**

The Census Bureau released the initial version of the Communications Plan last Fall. It can be found here: [https://www.census.gov/programs-surveys/decennial-census/2020-census/planning-management/planning-docs/integrated\\_com\\_plan.html](https://www.census.gov/programs-surveys/decennial-census/2020-census/planning-management/planning-docs/integrated_com_plan.html). The next iteration of the Communications Plan will be completed in the summer of 2019.

**36. What role, if any, do the partnership specialists have in drafting the communication plan?**

Partnership specialists, and staff with extensive partnership program experience were consulted in the development of the initial draft of the plan. They will continue to be involved as the plan further develops.

**37. How does the Census Bureau intend to reach a variety of audiences?**

The Census Bureau is planning a robust communications and partnership program. It will advertise in multiple languages, and work with the trusted voices in communities across the nation. Digital media will allow Census to reach hard-to-count populations. Census partners include national organizations, churches and other faith-based organizations, health clinics, legal aid centers, and other support organizations. The Census Bureau also will provide support and response options, including Internet and telephone response options for 12 languages. All mail materials and paper questionnaires will be in both English and Spanish. In addition, Census enumerators will provide support in multiple languages.

### 38. How will the Census Bureau engage with state and local officials to promote and encourage self-response efforts?

State and local governments play a key partnership role in educating and motivating residents to participate in the 2020 Census. When community members are informed they are more likely to respond to the census. Evaluations of the last two decennial census communications programs show a direct correlation between increased awareness and increased census participation. State and local officials are key to increasing awareness by engaging with their constituents about the importance of responding to the census. The Census Bureau has been meeting with state and local governments to discuss forming Complete Count Committees, which were instrumental in the success of the 2000 and 2010 Censuses. Complete Count Committees are comprised of a broad spectrum of government and community leaders from education, business, healthcare and other community organizations. These state and local trusted voices develop and implement 2020 Census awareness campaigns in coordination with the Census Bureau.

### **Census High Risks Status: Open GAO Recommendations**

In February, GAO placed the 2020 Census on the 2017 High Risk List because the cost of the census has been escalating for the last few decades. The 2010 Census cost approximately \$12.3 billion, and resulted in several billion dollars in cost overruns. GAO has made 84 recommendations in 23 reports to the Department of Commerce and the Census Bureau regarding 2020 Census preparations. Though the Census Bureau agreed with these recommendations, to date, it has not implemented 36 of these recommendations.

### 39. When will the Census Bureau implement these recommendations?

#### 2020 Census GAO Recommendations

Topics	Total Recommendations	Closed Recommendations	Open Recommendations	Recommendations with Action Plan Due Date in Future
Life Cycle Cost Estimate	14	10	4	-
Schedule	12	6	6	-
IT & IT Security	23	18	5	-
Field Training, Workforce & Recruitment/ Integrated Partnership and Communications	18	5	13	4
Other*	17	14	3	
TOTAL	84	53	31	4

\*Other includes the following topics: Project Management, Oversight, United States Postal Service, Nonresponse Follow-up, Address Canvassing, and Census Coverage Measurement.

GAO has made 84 recommendations since 2007 about the 2020 Census. Action plans are in place for all recommendations.

- 53 Have been closed by GAO.
- 4 Have due dates in the future (4 in 2018).
- 14 Relate to ongoing audits on the Lifecycle Cost Estimate, the Schedule and our efforts to enumerate Hard-to-Count populations. GAO will not close these until the ongoing audits are complete.
- 12 Artifacts have been provided to GAO, and we are working with GAO to identify the additional documentation they need to close these out. We expect progress on these in the near future.
- 1 This recommendation GAO is likely to close as “Not Fully Implemented” because, while artifacts have been provided, discussions with GAO clearly indicate our efforts to date, or planned, will not fulfill the recommendation.

#### **40. How will the Census Bureau work with GAO to make sure that the remaining recommendations are implemented before Census Day 2020?**

The Census Bureau’s 2020 Census communications staff meets with GAO weekly to review the status of open recommendations and the progress being made to address them. The 2020 Executive leadership meets with GAO bi-weekly to address ongoing audits and issues of concern to both the Census Bureau and GAO. Open recommendations are periodically addressed in this meeting as well. Ron Jarmin and Enrique Lamas, performing the non-exclusive duties of the Director and Deputy Director respectively, meet with GAO regularly as well. Additionally, Under Secretary Kelley closely monitors the Census Bureau’s work to address all GAO recommendations, and she updates me regularly on the progress the Census Bureau is making to address them.

#### **From Senator Kamala Harris**

#### **Sexual Orientation and Gender Identity**

**On May 22, Sen. Carper and I sent a letter asking for information about why the Census Bureau decided not to include a question about sexual orientation or gender identity.**

#### **41. What is the status of the response to that letter?**

A response to your letter was transmitted via email on Thursday, February 22, 2018, and a hard copy was hand delivered to your office on Friday, February 23, 2018.

**42. You stated on October 12 before the House Oversight and Government Reform Committee that a question area around sexual orientation and gender identity would not be included on the 2020 Census because “it was concluded that that particular set of questions did not meet the requirements for being put in.” How specifically did this question area not meet the requirements to be included?**

Federal agencies routinely request additional questions to be considered in the American Community Survey (ACS), and Census considers them pursuant to a longstanding process that involves the Office of Management and Budget (OMB). The Census Bureau received requests from the Department of Justice (DOJ), Environmental Protection Agency (EPA), the Department of Housing and Urban Development (HUD), and the Department of Health and Human Services (HHS) to consider a new question in the 2020 ACS that would collect sexual orientation and gender identity (SOGI) data. The Census Bureau and the Department evaluated the requests, working with the requesting agencies and OMB.

On March 7, 2017, DOJ withdrew its SOGI data request before the Department completed its analysis of the need for the content and the Census Bureau concluded that there was no independent basis to alter or amend the current content.

**43. You also said that, “one of the problems with adding questions is it reduces response rates.” However, the Federal Interagency Working Group on Improving Measurement of Sexual Orientation and Gender Identity in Federal Surveys found that “most surveys incorporating SOGI (sexual orientation and gender identity) items have not found higher nonresponse rates than other ‘sensitive’ questions, such as personal or household income.” Please provide the data related to sexual orientation and gender identity on which your statement is based.**

It is our understanding that the statement by the Federal Interagency Working Group has been quoted out of context. That statement does not reflect the views of the Census Bureau, and it was not used by the Census Bureau as the basis in making policy decisions.

As previously explained, following the Department of Justice's decision to withdraw its SOGI data request, the Census Bureau concluded that the topics to be included in the 2020 Census and the ACS should be unchanged from the 2010 Census. The proposal, which was delivered to the Congress on March 28, 2017, did not include sexual orientation or gender identity.

### **Partnership Program**

**During the hearing you testified that the Census will be hiring 1,000 partnership specialists. You noted that the Census hired “some fairly junior people” to support partnership specialists in 2010, and indicated that a decision has been made “to instead increase qualified people from 800 to 1,000” for 2020 efforts.**

**44. Please provide me with the metrics the Census Bureau used to determine the current workforce modeling for partnership program staff, including position descriptions, and any cost benefit analysis and comparison related to a reduction in the partnership positions hired in 2010.**

The Census Bureau's approach to developing the Partnership Program staff is driven by past experience. In the 2010 Census it initially planned for a total of 680 partnership specialists. Additional funding received in FY2009 allowed the Census Bureau to invest an additional \$120 million in the Partnership Program. This primarily was used to increase partnership specialists to 786, and to add an additional 1,750 partnership assistants. These staff were added late in the process, and looking back the Census Bureau felt that the partnership assistants, in particular, were not as effective as the more seasoned partnership specialists. For the 2020 Census, the Census Bureau has increased the number of partnership specialists to 1,000, which is a significant increase relative to the base funding for the 2010 Census. The Census Bureau believes that this will allow for a strong Partnership Program. The position descriptions you requested are attached.

**2020 Census Advisory Committee**

**The previous Census Director was moving forward with the creation of a 2020 Census Advisory Committee to ensure stronger partnerships with stakeholders, greater transparency, and greater accountability. This effort stopped under this Administration.**

**45. Please explain why.**

The Census Bureau believes that it can successfully accomplish the goals of reviewing and evaluating 2020 Census operations and programs (i.e. partnerships), and receive timely recommendations through the existing Census-focused advisory committees: the Census Bureau National Advisory Committee on Racial, Ethnic, and Other Populations and the Bureau of the Census Scientific Advisory Committee.

**Combined Hispanic Origin and Ethnicity Question**

**The previous Census questionnaire had one question about whether the respondent was of Hispanic origin and another question about race. Following thorough testing, the Census has been moving forward to combine these questions to increase Latino response rates and ensure a more accurate count.**

**46. Is this still the case and is the Census still waiting on OMB review? If so, when does the Census expect an OMB determination?**

On January 26, 2018, the Census Bureau announced the 2020 Census Program decision to continue to use the two separate question format for collecting data on race and ethnicity in the 2018 End-to-End Census Test and the 2020 Census.



The Census Bureau adheres to the Office of Management and Budget's *Standards for Maintaining, Collecting, and Presenting Federal Data on Race and Ethnicity*, last revised in 1997, providing a minimum standard for maintaining, collecting, and presenting data on race and ethnicity for all Federal reporting purposes. (<https://www.gpo.gov/fdsys/pkg/FR-1997-1030/pdf/97-28653.pdf>)

**47. During the FAQ portion of the last 2020 Census Quarterly Program Management Review, a Census Bureau representative said, while responding to a question, that if the Office of Budget and Management (OMB) did not approve the combined Hispanic Origin-Ethnicity question, that the 2020 Census Bureau would default to having two questions, as was done in during the 2010 Census. After the extensive testing that the Census Bureau has done on combining these two questions, why would the 2020 Census default to separate questions absent an adverse position or statement from OMB?**

The Census Bureau adheres to the Office of Management and Budget's *Standards for Maintaining, Collecting, and Presenting Federal Data on Race and Ethnicity*, last revised in 1997, providing a minimum standard for maintaining, collecting, and presenting data on race and ethnicity for all Federal reporting purposes. In keeping with these standards, the planned race and ethnicity questions for the 2020 Census will follow a two-question format for capturing race and ethnicity for both the 2018 End-to-End Census Test and the 2020 Census.

A similar question was raised at the January 2018 Program Management Review (<https://www.census.gov/programs-surveys/decennial-census/2020-census/planningmanagement/program-briefings/2018-01-26-pmr.html>).

### **Census Bureau Staffing**

**48. How many unfilled positions are at the Census Bureau?**

There are approximately 600 appropriated vacant positions at the Census Bureau. We are working to fill these vacancies as quickly as possible and expect all vacancies to be filled prior to the 2020 Census.

**49. What is the timeline for filling these positions?**

The Census Bureau is prioritizing vacancies for the 2020 Census in line with the needs of the program, and they are working to fill the high priority positions as soon as possible. It also maintains continuous postings on USAJOBS for Survey Statisticians, Program Managers and IT Specialists, the most important positions for the 2020 Census Program, which helps with this process. We are seeking to fill all of the positions allocated to the 2020 Program by the end of FY 2019 so that the program will be fully staffed for the 2020 Census.

**50. We have a tighter labor market than we did the last time the Census was done, what are the plans to recruit and hire the roughly 500,000 temporary workers for 2020?**

**a. How will the census ensure that they have a diverse and culturally competent workforce?**

The Census Bureau will rely on innovative approaches and time-proven techniques to attract a skilled and diverse workforce throughout the nation.

An important consideration to recruiting is establishing a competitive and attractive pay rate. Through ongoing work with labor economists at the Census Bureau's Center for Economic Studies using wage data from the Bureau of Labor Statistics, the Census Bureau is developing a variable pay structure that reflects the local labor market in counties across the United States. It is also incorporating a strategy to quickly adjust pay rates, including considering increasing pay rates, to ensure that pay does not become an impediment to recruiting workers.

In addition, the Census Bureau is making it simpler for applicants to apply for jobs. Unlike the 2010 Census—where applicants completed onerous paper applications and took proctored tests in a classroom-like setting—the Census Bureau is using an online application and assessment system for the 2020 Census. Those interested can apply at their convenience.

Similarly, the Census Bureau is planning to promote the availability of Census jobs through a variety of means, including traditional advertising and social media. It also plans to engage partners and their established networks to communicate job opportunities. This will help the Census Bureau reach applicants from groups with special required competencies, including language skills and experience working with hard-to-count populations and groups, such as students, veterans, and seniors.

Fundamental to the recruiting and hiring effort will be an effort to “hire locally.” The Census Bureau wants Census takers to be familiar with the neighborhoods where they work and it wants the people living in those neighborhoods to be comfortable with the person that comes to their door. To enhance its ability to hire locally and to meet its recruiting targets, the Census Bureau will incorporate technology into its recruiting efforts for the 2020 Census. Automated tools will help closely monitoring recruiting at very small geographic levels. In late 2019 and early 2020, thousands of recruiting staff across the Nation will use mobile devices to assess and respond to any local recruiting challenges in their communities.

### **Communications Efforts**

**An effective communications plan is critical to ensure an accurate census through reaching hard-to-count populations such as African-Americans, Latinos, Asian-Americans, NativeAmericans, and those in rural areas.**

**51. In 2010, much of the communications budget was dedicated to hard-to-count populations. What portion of your communications budget will go to these efforts?**

The goal of the IPC is to reach everyone and encourage them to self-respond (see pages 22-24 of the 2020 Census Integrated Communications plan which can be found here: [https://www.census.gov/programs-surveys/decennial-census/2020-census/planningmanagement/planning-docs/integrated\\_com\\_plan.html](https://www.census.gov/programs-surveys/decennial-census/2020-census/planningmanagement/planning-docs/integrated_com_plan.html)). The Census Bureau is currently revising its lifecycle budget to be in line with the increase in funds allocated to the communications contract. While the lifecycle budget will include an estimated amount for paid media in general, it will not contain details around allocations to specific media channels (tv, radio, print, digital) or for specific audiences, including those considered hard-to-count. This level of detail is dependent upon research currently in progress, predictive modeling, and segmentation. These inputs will help define the target audiences on which we will focus, and the audiences will drive the media channels that will be used. The Census Bureau does not anticipate having this level of detail until later in FY19.

**52. Minority and rural communities have less access to affordable broadband Internet connectivity, but have higher rates of participation on social media- particularly among millennials of color. How much of the communications budget will be focused on digital communications and is there a plan to reach these groups in particular?**

See answer to question #51.

**53. Using ethnic and local media is critical to reaching minority communities. How much of your budget will be focused on this area?**

See answer to question #51.

**54. Will you commit to providing me a detailed communications plan for hard-to-count populations within the next month?**

The 2020 Census Integrated Communications Plan can be found here: [https://www.census.gov/programs-surveys/decennial-census/2020-census/planningmanagement/planning-docs/integrated\\_com\\_plan.html](https://www.census.gov/programs-surveys/decennial-census/2020-census/planningmanagement/planning-docs/integrated_com_plan.html).

### **Cybersecurity**

**The Census involves collecting personal information from hundreds of millions of Americans. In order to get an accurate census, respondents need reasonable assurances that the information they submit will not be accessed through illegal intrusions. Studies by the GAO in August and November 2016 highlighted a number of cybersecurity challenges associated with the upcoming Census, including properly handling millions of web responses and hundreds of thousands of mobile devices. More recent work by the GAO warned that the Census Bureau is still building the IT systems that will be used for the 2020 Census, which is just 30 months from now.**

**55. What steps is the Census Bureau taking to address the legitimate concerns that the GAO has raised, and will those steps be implemented and validated in the 2018 End-to-End Test?**

Cybersecurity is a paramount concern for the Census Bureau. The Census Bureau has protected personal information for previous decennial censuses and although data collection using an Internet Response mechanism is new, the Bureau is taking several steps to protect the information collected. The Census Bureau intentionally designed publicly facing systems, such as the Internet Self Response website, with many layers and levels of isolation to isolate data and systems from each other in the infrastructure, with monitoring that enables the Census Bureau to respond immediately to contain an issue if and when a threat is identified or detected. The Census Bureau's approach has specific steps to detect and contain an issue before it becomes a breach. The Census Bureau's publicly facing systems for Internet Self Response have been tested by independent contractors and reviewed by our federal intelligence partners and no weaknesses have been identified. DHS conducted systems testing in February 2018 to further test portions of the Census Bureau's publicly facing systems and also found no significant issues. The Census Bureau's non-publicly facing systems are within data centers and cloud-provided infrastructure already secured through strict network and access controls (firewalls, routers, security software etc.) and continuously managed and maintained through the Federal Authority to Operate process ensure their security.

For additional information, please see the attached slides.

**56. How many Census Bureau employees and contractors are working full-time on cybersecurity for the 2020 Census?**

The Census Bureau's OIS has approximately eight government full-time employees (FTEs) and 39 support contractors working full time on cybersecurity for the 2020 Census.

In addition, the 2020 Census Program Technical Contract will have a total of 68 FTEs in the cybersecurity organization. Here is the breakdown based on the different groups.

<b>Team</b>	<b>Filled</b>	<b>Open</b>	<b>Total</b>
Security Operations Center (SOC)/Active Cyber Defense (ACD)	13	11	24
Security Engineering and Architecture	10	5	15
Risk Management (RMF) and Compliance	17	4	21
Security Testing	2	0	2
Governance and Management	5	1	6
<b>Total</b>	<b>47</b>	<b>21</b>	<b>68</b>

**57. Which executive on your management team is responsible for the cybersecurity aspects of the Census data collection?**

Rod Turk, the Acting Chief Information Officer (CIO) at the Department of Commerce, is responsible for the cybersecurity portion of the Census Bureau's data collection activities. Mr. Turk has years of experience in this field; prior to being named Acting CIO, he was the Chief Information Security Officer (CISO) and Deputy Chief Information Officer, responsible for the Department's compliance with the Federal Information Security Management Act (FISMA) and implementation of IT security best practices. Before his tenure at the Department of Commerce, he was the Associate Chief Information Officer for Cybersecurity at the Department of Energy.

**58. Please provide auditing plans for every system that will handle personal information for the 2020 Census?**

The Census Bureau takes the integrity of data and systems seriously. It has implemented checks on its database schemas, service bus, applications, etc., that would trigger events indicating data inconsistencies in relation to the responses. It also has these checks at various levels, such as client side, middleware, and backend components and is ensuring compliance with the Risk Management Framework with the objective of data integrity in relation to response data. Security scans are run regularly on all appropriate components of our systems. Additionally, the Census Bureau is implementing a fraudulent response detection system and operation center.

Audits of all information systems follow the Census Bureau ITSP policy, which is in alignment with the NIST 800-37 Risk Management Framework and is performed through continuous monitoring to ensure that appropriate security controls are being followed during system production operations. Security controls include areas such as ensuring systems have up to date configurations including, "patching," and are addressing known vulnerabilities.

**59. Has the Census Bureau implemented a vulnerability reporting policy or a "bug bounty" program to enable independent security testing of the Bureau's systems?**

The Census Bureau is in the process of identifying the requirements necessary to implement a "bug bounty" system. It is working closely with OMB in this process. OMB recently collaborated with the Department of Defense to establish the appropriate procedures for implementing this approach in the Federal Government, and DOD is advising the Census Bureau as it explores the options for adapting this approach to the 2020 Census Program.

**From Senator Maggie Hassan**

**60. At the Committee's hearing on October 31<sup>st</sup>, you stated that you had no knowledge of any transactions Paul Manafort made through the Bank of Cyprus. A few days later on November 3<sup>rd</sup>, Bloomberg reported Mr. Manafort and his associate Rick Gates had at least 15 accounts with the Bank of Cyprus and a bank it acquired in 2013, the Cyprus Popular Bank. This information was provided by the Government of Cyprus in response to a June 7<sup>th</sup> request from investigators in the Office of Special Counsel Robert Mueller. Can you confirm that during your time as Vice Chairman of the Bank of Cyprus from September 2014 to March 2017 you were unaware of Mr. Manafort's transactions with the Bank?**

As I stated during the hearing, I was not aware of any of Mr. Manafort's transactions with the Bank of Cyprus.

**61. Several Democratic Senators wrote you various letters earlier this year regarding your involvement in the Bank of Cyprus, including possible ties to Russian investors and executives in the bank. Do you plan on providing timely written responses to these letters?**

I have answered questions regarding my involvement in the Bank of Cyprus on multiple occasions. As I have previously stated, the Russians who invested in the Bank of Cyprus were not my partners. The Bank of Cyprus is a publicly traded company listed on the London Stock Exchange. I had never had dealings with any of them prior to my investment in the Bank.

**From Senator Heitkamp**

**62. In the 2010 census, on reservation American Indians were undercounted by 4.88%. This is after experiencing an over-count of 0.88% in the 2000 census. In preparation for 2020, former Director Thompson took steps to ensure accurate counts in Indian Country. This work was set to culminate with the 2017 tests at the Standing Rock Reservation and the Colville Indian Reservation and Off-Reservation Trust Land, which were cancelled for budgetary reasons. These tests would have examined the promoted tribal enrolment and self-identification questions, as well as the systems for the Update Enumerate operation.**

**a. The final questions that will appear on the 2020 Census are due to Congress in less than six months. How can you be sure that any new language utilized on census forms will not do more harm than good without substantial testing?**

For the 2020 Census, the response category for American Indian or Alaska Native will not change. The only difference for 2020 is that the Census Bureau will list examples of tribes that can be entered on the questionnaire. The addition of examples and the wording of the question has been tested throughout the decade, including in the 2015 National Content Test.

In response to findings from the 2007 American Indian and Alaska Native Tribal Consultations and a 2014 request from the Department of Housing and Urban Development (which was subsequently rescinded), the Census Bureau explored the feasibility of collecting data on tribal enrollment in a Census environment. The Census Bureau received valuable input from the tribes

at the tribal consultations both in favor and against collecting tribal enrollment data. However, a large majority of the tribes opposed the use of collecting tribal enrollment data and stated it was not the responsibility of the Federal Government. Some tribes expressed concern that collecting this information would tread on their tribal sovereignty.

During the 2016 National Congress of American Indian's (NCAI) midyear conference in Spokane, Washington, NCAI released a resolution opposing the use of a question on tribal enrollment in the 2020 Census or in the American Community Survey. Before it ended the 2020 Census tribal consultation meetings, the Census Bureau decided not to add a tribal enrollment question to the 2020 Census or in the American Community Survey, and this was conveyed during a few of the last meetings conducted in 2016.

Accordingly, there will be no changes to the language concerning response options available to the American Indian Alaskan Native populations.

**b. As stated above, not only would these Indian country tests examine language choices, but they would have provided a useful opportunity to practice enumerating hard to count populations with unique characteristics. The Census' own materials recognize the lack of reliable Internet connectivity in Indian country. Now however, the ability to encounter and trouble shoot this issue is gone. What is the Census Bureau's plan to combat this technological challenge, and will the provided alternative be tested before being put into the field in 2020?**

The Census Bureau announced on July 1, 2015, that it would seek input from tribal leaders for the 2020 Census. The Census Bureau conducted 18 tribal consultation meetings that started two years earlier than those conducted for the 2010 Census. These meetings requested input on topics like geography, data collection operations, and tribal enrollment. Connectivity issues were discussed in these meetings, and the Census Bureau continues to explore ways to ensure that it has measures in place to address them. This includes opening up tribal offices, schools, and health facilities, all of which have designated computer areas with strong Internet connectivity that will allow for self-response, as well as working with designated tribal government liaisons. The Census Bureau also plans to partner with federal agencies, such as the Bureau of Indian Affairs and the Indian Health Service, to have a designated computer available to assist tribal citizens in filling out their questionnaire during their visits to those agency facilities.

However, it is important to stress that the Census Bureau works with officials from each tribe to implement the operation best suited to their situations, as it has done in previous censuses. In many cases, the Census Bureau will use the Update Leave Operation as it will do in rural areas across the country. Census questionnaires will be delivered directly to households in this operation, while the address list is checked and updated in the process. Households that do not respond will be included in the NRFU Operation. In other areas an Update Enumerate Operation will be used during which each household is interviewed directly.

The Census Bureau is sensitive to the fact that many households being contacted and encouraged to respond via mail do not have good Internet connectivity. Those households will receive a paper questionnaire on the first mailing. All nonresponding households will receive a paper questionnaire on the fourth mailing as well.

**63. The public's general distrust of the government worries me. When the federal government's historic mistreatment of American Indians is taken into account, it is no wonder that Indian country suffers from undercounts. A program promoted during the Tribal Consultations was the Tribal Government Liaison. The Census Bureau has recognized that this position had been vital and has encouraged all tribal governments to designate a liaison to serve as a representative. In light of cost overruns and underfunding, will these liaisons remain a Census Bureau priority? What steps are being taken to effectively support these positions?**

The tribal government liaison program will be continued for the 2020 Census and was promoted during the tribal consultation meetings in 2015/2016. Each region is conducting one-on-one meetings with the tribal leaders to update them on the 2020 Census, and how they can help with recruiting and other field operation programs, discussing tribal geography programs, discussing setting up a Tribal Complete Count Committee, and requesting that a tribal liaison be selected. If a tribal liaison is not identified by July 1, 2018, a letter will be sent by the regional director.

**64. In your statements during the hearing, you noted the efforts of the Census Bureau to work in partnership with the United States Postal Service to improve response rates during the 2020 Census. Considering that postal carriers are members of the communities in which they work, and are not perceived through the same lens of most government employees, this is a novel concept worthy of consideration. However, there are many obstacles that must be overcome prior to moving forward with such a complex plan.**

**a. This would require considerable coordination and cooperation between the Census Bureau, the United States Postal Service, employee unions and the Office of Personnel Management. What types of actions are currently under way to assess the feasibility of such a program?**

The Census Bureau and the U.S. Postal Service (USPS) already have established a partnership and have been actively working together to explore ways to increase efficiency. For example, there is the USPS-Census Bureau enterprise partnership that was established in November of 2016.

The USPS-Census Bureau enterprise partnership currently benefits from a permanent institutional structure and governance processes to ensure that it functions as a source of ongoing coordination and cooperation for both organizations. A central Coordination Team that is staffed by USPS and Census Bureau employees and contractors has been established for the key partnership. This Coordination Team is tasked with implementing and monitoring the new institutional structure and governance to ensure ongoing collaboration. In addition to the Coordination Team, five subject-matter themed Working Groups, co-chaired by Postal Service



and Census Bureau staff, are regularly meeting and serving as permanent, visible forums for communication.

The Census Bureau looked into the feasibility of using postal carriers to assist with 2020 Census enumeration. The Bureau and DOC have requested a dual employment waiver from OPM in preparation for the 2020 Census. This waiver would allow current or retired USPS employees to perform work for the Census Bureau. In addition, we also worked with USPS to assess the feasibility of a pilot test of Postal Carriers as Census Enumerators, but there are legal obstacles that make this untenable at this time.

Title 13, United States Code, (Title 13) requires the Census Bureau to keep confidential all information collected from or on behalf of respondents. Specifically, 13 U.S.C. § 8(b) provides that the Secretary may only release statistical materials which “do not disclose the information reported by or on behalf of any particular respondent.” Under 13 U.S.C. § 9, no official or employee of the Department of Commerce (“Department”) may: (1) use the information furnished under the provision of Title 13 for any purpose other than the statistical purposes for which it is supplied; (2) make any publication whereby the data furnished by any particular establishment or individual under this title can be identified; or (3) permit anyone other than the sworn officers or employees of the Department or (or its bureaus and agencies) to examine the individual reports. Section 9 further states that census information is immune from legal process. 13 U.S.C. § 9(a). Finally, Title 13 provides that the information collected may not be used to the detriment of any respondent or other person to whom such information relates, except in the <sup>4</sup>prosecution of alleged violations of Title 13. 13 U.S.C. § 8(c).

In *Baldrige v. Shapiro*,<sup>3</sup> the United States Supreme Court directly addressed the confidentiality provisions of Title 13. The Court held that respondent names and addresses, from whatever source obtained or compiled, are part of the raw census data intended by Congress to be protected from disclosure under Title 13.<sup>5</sup> The Court also found that information not commonly considered to be traditional “responses,” such as vacancy status, are also confidential.<sup>6</sup> The Court also held that the Census Bureau has no discretion to decide whether to disclose confidential data.<sup>78</sup> Rather, data becomes confidential at collection by operation of law.<sup>7</sup> If the Census Bureau acquires information from or on behalf of a respondent and makes that information available to an individual that is not sworn to uphold the confidentiality provisions of Title 13, such as a U.S. Postal worker, then that release is a wrongful disclosure under 13 U.S.C. § 214. Violations of 13 U.S.C. § 214 are punishable by criminal fine and imprisonment. In order to participate in the collection of data under Title 13, an individual must be either a Census Bureau employee or a temporary employee with Special Sworn Status (“SSS”). Specifically, 13 U.S.C. § 23(c) states:

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<sup>4</sup> U.S. 345 (1982).

<sup>5</sup> *Id.* at 355.

<sup>6</sup> *Id.* at 349.

<sup>7</sup> *Id.* at 355.

<sup>8</sup> U.S.C. § 9.

The Secretary may utilize temporary staff, including employees of Federal, State, or local agencies or instrumentalities or employees of private organizations to assist the Bureau in performing the work authorized by this title, *but only if such temporary staff is sworn to observe the limitations imposed by section 9 of this title.* (Emphasis added).

Therefore, the Census Bureau can only engage postal carriers to assist the Census Bureau in conducting the End-to-End test authorized by Title 13 if those postal carriers obtain SSS pursuant to 13 U.S.C. § 23(c). To do so, the postal carriers must take an oath of nondisclosure to protect the information they collect and to comply with the requirements set forth in Title 13.

While USPS did not object to the concept of participating postal carriers obtaining SSS, it became clear during the course of the Census Bureau's discussions with USPS that its carriers would be unable to comply with that oath. USPS advised that participating postal carriers would remain USPS employees and therefore be required to comply with all USPS policies, even when the carriers were conducting enumeration activities for the Secretary of Commerce under Title 13. We understand that these USPS policies, which may be incorporated into USPS collective bargaining agreements, would require postal carriers to disclose name, address, and other information about census respondents in instances and for purposes determined by USPS, including law enforcement. These uses would be non-statistical and would advance activities unrelated to Title 13 and would therefore violate Title 13. The Department defers to USPS to provide any additional information about the specific policies at issue.

Nonetheless, the Census Bureau and USPS are actively partnering in a number of ways to save money and increase efficiency as part of the 2018 End-to-End Census Test and 2020 Census. This includes:

1. Delivery of the USPS Delivery Sequence File to the Census Bureau, which adds 500,000 new addresses to the Census address list each year.
2. Delivery of the USPS "Undeliverable as Addressed" file to the Census Bureau, which allows questionnaires addressed to these undeliverable residences to be removed from the Nonresponse Followup workload.
3. Exploration of the installation of Internet kiosks within Post Office retail spaces to enable self-response.
4. Exploration of the use of the USPS Informed Delivery technology to increase and accelerate Internet self-response.
5. Installation of census messaging and advertisements within Post Office retail spaces.
6. Automation of census mail tracking through use of the USPS Informed Visibility technology.

**b. Census field workers are, by nature, temporary employees of the federal government. Thus, their compensation and workplace protections are not commensurate with those of vested federal employees. What feedback have you received from the employee unions regarding expectations of carriers, as well as willingness of members, to sign up to take on these additional responsibilities?**

Early USPS management conversations with leadership from the National Letter Carriers Association and National Rural Letter Carriers Association indicated that there will be significant interest from their members in volunteering for this Census work. The Census Bureau is open to hiring them as census enumerators as it has in the past. However, the Census Bureau is no longer exploring a pilot test of the feasibility of having postal carriers work as census enumerators in their capacity as USPS employees because there are legal obstacles that make this untenable at this time.

**c. While I see a pathway for success in communities with door-to-door service, I am curious how much help such a plan would provide in areas where door-to-door service does not exist – such as on rural routes -- and where postal workers would have less direct interaction with people. Why does the Census Bureau believe a partnership with the Postal Service in such areas will improve non-response follow up? In these areas, will it make a difference if the person employed by the Census Bureau is a postal worker?**

The Census Bureau always tries to hire people familiar with the areas where they are conducting field activities. In many areas, even where door-to-door service does not exist, retired postal workers can be very helpful.

**d. The 2018 End-to-End test's address canvassing has already been completed, and the only testing remaining will take place in Rhode Island. How will you be able to test this proposition in a rural setting before 2020?**

As mentioned above in question 12, the 2018 End-to-End Census Test began in August 2017 in Pierce County, Washington; Providence County, Rhode Island; and the Bluefield-Beckley-Oak Hill, West Virginia area with the implementation of an address canvassing operation. Address canvassing allowed the Census Bureau to test systems in areas without internet connectivity and hone the critical address list development operations in a wide range of geographical situations, including rural areas. The Census Bureau will continue to develop and conduct small scale testing of systems to ensure they function effectively in rural areas.

**e. The option of outreach to retired postal employees was also discussed. Again, such an effort would require significant preparation. Ensuring the annuity offset rule is waived, was mentioned by Mr. Dodaro during the hearing is an impediment to this plan. While this is just one example, what other burdens would need to be addressed in order to ensure that retired carriers are not subject to potentially punitive measures?**

The Census Bureau will engage with USPS human resource staff to identify what potentially punitive measures would need to be mitigated as part of an effort to recruit USPS retired annuitants as census enumerators.

**From Senator Rand Paul**

**65. Secretary Ross, in March 2017, I wrote to you in support of the proposed changes to Rule 13(f) of the Residence Rules and Residence Situations that was originally published on June 30, 2016. As you are aware, Rule 13(f) would count deployed services members “at the U.S. residence where they live and sleep most of the time.”**

**This rule change is very important to my constituents that live in the region surrounding Fort Campbell, Kentucky, and other military bases that have large amounts of deployable service members.**

**My constituents understand this first hand because starting in late 2009 and continuing through 2010, members of the 1st, 2nd, 3rd, and 4th Brigade Combat Teams of the 101st, the 101st Sustainment Brigade, the 159th and 101st Combat Aviation Brigades were all deployed to sustain the military “surge” in Afghanistan. It is estimated that at least 10,000 service members were deployed at the collection time of the 2010 Census. Those service members then returned to Fort Campbell at the end of their deployment, yet we counted in other regions of the country.**

**Will you be issuing the final rule and implement the proposed changes to Rule 13(f) of the “2020 Residence Rules and Residence Situations” as drafted?**

**Will you commit to having the rule finalized by Jan. 2018?**

The Census Final 2020 Census Residency Criteria and Residence Situations Notice published on February 8, 2018 (83 R.F. 5525, <https://www.gpo.gov/fdsys/pkg/FR-2018-02-08/pdf/201802370.pdf>). Military personnel deployed overseas will be counted where they were living before they deployed.

**From Senator Gary C. Peters**

**Census Bureau Funding**

**66. Secretary Ross: A few weeks ago, you told the House Oversight & Government Reform Committee that you now estimate that the decennial effort will cost \$15.6 billion — \$3.3 billion more than earlier estimates of the lifecycle cost by the Census Bureau. From my understanding, you have the ability to reprogram funding from other agencies in the Department of Commerce for the Census Bureau. Can you tell me where you plan that increase in funding to come from? Will it be reprogrammed within the Commerce Department budget from other agencies or will it come from Congress?**

The additional funding requested and needed to support the 2020 Census in FY 2018 came from a mixture of offsets to other Commerce Department agencies and through the regular process of preparing the President's Budget. The Department's request for an adjustment to the FY 2018 President's Budget of \$187 million will provide funding particularly for large technology contracts that the Census Bureau needs this fiscal year to maintain critical path activities this year, all of which is offset by proposed reductions within the Commerce Department. The FY 2018 Omnibus P.L. 115-141 that was passed March 23, 2018 provides the funding that the Census Bureau needs for the 2020 Census. The report language accompanying the Omnibus describes the intended uses for this funding. To ensure that the Census Bureau has the necessary resources to immediately address any issues discovered during the 2018 End-to-End Census test and to provide a smoother transition between FY 2018 and FY 2019, the agreement provides half of the amount needed for those two years and includes the \$50 million contingency requested by the Secretary in FY 2018.

### **Cybersecurity and Information Protection**

**67. Secretary Ross: Over the last several years, we have seen an unprecedented level of cyberattacks and compromises targeting the nation's critical infrastructure, federal networks, and private companies. And because this is the first decennial census where the Internet will be leveraged on a large scale for the self-response option, ensuring adequate cybersecurity is of paramount importance. The 2016 Australian census, which was largely conducted online, experienced major denial-of-service attacks targeting the online form and was made unavailable for over 40 hours. If a similarly, highly-coordinated attack was perpetrated against our 2020 Census, it could have wide-ranging disrupting effects, not the least of which include the legal and constitutional deadlines associated with the Census. With the Bureau expecting to receive tens of millions of online responses beginning in just a few days, can you tell me how the Bureau plans to ensure an uninterrupted Internet response period?**

The Census Bureau has been in close contact with IT and program managers in Australia, Canada, and other countries that have moved to Internet Self-Response for their censuses and surveys. It has gained valuable information about the issues they faced, which included public concerns about privacy and phishing, and the problems they had to overcome, including denial of service attacks. Census also learned a great deal from the solutions they developed, particularly in Australia. The Census Bureau's IT experts are working closely with other federal government experts and private sector experts to ensure that the Internet Self-Response system is as resilient as possible to prolonged outages. Census is testing the self-response platform in numerous ways, including during the 2018 End-to-End test in Providence County, Rhode Island. It is performing load tests based on demand models on the self-response platform. It also is implementing enough redundancy to ensure continuity of operations (for example, every cluster of hardware in the system is duplicated and placed in different locations, and AWS maintains two data centers). The Census Bureau also has contingency plans in place should a prolonged outage occur including expanding NRFU or directing more responses to Census Questionnaire Assistance. If the Internet Self-Response platform becomes unavailable for a prolonged period, Census can add

up to six surge call centers to allow for additional telephone response, and the paper data capture centers also can add shifts to process more paper questionnaires. Additionally, the Census Bureau can increase the staff conducting interviews during the nonresponse follow-up operation, and the operation itself can be extended to absorb a greater workload.

### **Local Offices**

**68. Secretary Ross: It is my understanding that the Census Bureau may not be opening as many local census offices for the 2020 Census as it has done historically for previous decennial censuses. Can you tell me the Census Bureau's plan for opening local census offices in Michigan and across the country for the 2020 Census? How many do you plan to open?**

The Census Bureau will open an Area Census Office in Detroit and four additional ones in Michigan to support data collection and outreach efforts for the 2020 Census. Similar to the 2010 Census, these offices will be the primary management centers for most field data collection activities on the 2020 Census. The efficiencies gained with automation and the reduction in paper-based activities will allow us to reduce our footprint to support the work of census enumerators. The Census Bureau still plans to hire staff locally and in sufficient numbers to ensure it counts everyone.

### **Detroit Regional Office**

**69. Secretary Ross: After the 2010 Census, the Census Bureau closed its Detroit Regional Office, which played a critical role in improving participation in censuses and surveys, especially in some of historically undercounted populations that we have in southeast Michigan. However, I am concerned that with the closure of the Detroit office, many of these successful census partnership programs will cease and there will be an undercount in communities in Southeast Michigan and across Michigan. Can you tell me how you plan to build-up a presence in states like Michigan that have reduced offices to ensure a full and accurate count?**

The Census Bureau will open and operate an Area Census Office in Detroit. Regional offices serve primarily as administrative centers for the local offices that conduct data collection. Just as it will in cities across the nation, operational support and oversight of field data collection and outreach activities in Detroit will continue to come from local staff. With respect to operational oversight, the Census Bureau will adopt the same approach to managing staff as it has done in the past. Census enumerators will work in the neighborhoods where they live and are familiar with, providing a critical element of local knowledge that increases cooperation and response. The direct supervision of these enumerators is administered by Field Supervisors who also live in these communities and work from home. These supervisors will report to managers located in the five offices located throughout Michigan, which will report to the Regional Census Center located in Chicago, IL.

The Census Bureau has begun its outreach efforts earlier in the decade. For the 2020 Census, the Census Bureau began hiring partnership staff in Fiscal Year 2016—a full year earlier than it did for the 2010 Census. These staff have already begun engaging officials throughout Michigan on early planning activities for the 2020 Census, with a particular focus on participation in the LUCA program. The Census Bureau plans to hire a similar number of outreach staff overall for the 2020 Census as was planned for the 2010 Census.

**From Senator Jon Tester**

**We always talk about leveraging existing government resources wherever we can in order to save money and increase efficiency. One of the efficiencies the Census Bureau could further utilize is the U.S. Postal Service. While Americans may be distrustful of other Federal government agencies, a majority of Americans trust their local letter carrier. Moreover, this labor force is already experienced and knowledgeable of the people they are delivering to. As I understand, the Census Bureau already utilizes Postal Service data.**

**70. What other ways is the Census Bureau looking to partner with the Postal Service to save money and increase efficiency?**

See answer to Question #64.

**When it comes to the Census, folks in rural states like Montana get concerned about not being counted. This kind of thing happens with limited access to rural broadband. Especially among Native American communities in my State.**

**71. What has the Census Bureau done to improve its outreach to Native American communities in the U.S. since you became Secretary?**

The Census Bureau has partnership staff working directly with tribes, and it plans to expand this staff next year. The communications contractor, Young and Rubicam (Y&R), provides extensive experience reaching American Indian and Alaska Native populations, and Census has increased funding for this contract in its lifecycle cost estimate.

**72. Has this outreach improved since the 2010 Census? Do you still have concerns?**

The Census Bureau announced on July 1, 2015, that it would seek input from tribal leaders for the 2020 Census. The Census Bureau conducted 18 tribal consultation meetings that started two years earlier than last decade. These meetings requested input on topics like geography, data collection operations, and tribal enrollment. This is an important priority and the Census Bureau has a robust program in place to ensure outreach to the American Indian populations.

To ensure continued dialogue following the tribal consultations, Census Bureau regions have been meeting with tribes individually and continue to conduct one-on-one tribal consultation meetings at the request of the tribe within their region. Our tribal partnership specialists have

been keeping tribes apprised of programs that require input and participation such as the Local Update of Census Addresses and Type of Enumeration Area to be conducted for 2020.

We currently have 52 tribal government liaisons identified. These liaisons are the point of contact that work with our tribal partnership specialists. We are planning a number of activities in each state and would be happy to come brief your office on what we are doing for your constituents.



**House Oversight and Government Reform Hearing  
QFRs to Secretary Wilbur Ross  
Hearing Date: October 12, 2017**

**Majority Members**

- 1) **The Bureau is planning to use multiple methods to get individuals to respond to the Census without having to conduct nonresponse follow-up operations. What is the resultant savings for the Bureau for each one percent increase in self-response rates?**
  - a. **What is the potential savings that result from a one percent increase in self-response by the internet?**
  - b. **What is the potential savings for a one percent increase in call in self-response rates?**
  - c. **What is the potential savings that result for a one percent increase in mail-in self-response rates?**
  - d. **What can the Bureau do to increase that number and capture those savings?**

The Census Bureau estimates that the cost of the 2020 Census is reduced by \$55 million for every percentage point increase in the self-response rate. The Census Bureau has not broken this out by mode. It currently projects a 60.5 percent self-response rate, with 45 percent responding via the internet, 4.3 percent by phone, and 11.2 percent returning a paper questionnaire.

The Census Bureau is committed to maximizing self-response rates across all demographic and socio-economic groups in the 2020 Census, particularly for traditionally hard-to-count populations. Their top priority is to have a complete and accurate count of everyone. At the same time, the innovative adaptive design approach they have planned and tested has the potential to achieve costs savings through increased self-response rates and reduced field work.

- The mail contact strategy will include up to six mailings to each housing unit. This contact strategy has been designed based on our findings from the 2020 research and testing program and best practices in survey methodology. About 80 percent of U.S. households will receive a mailing that encourages them to respond online. The Census Bureau calls this the Internet First strategy.
- Approximately 20 percent of the country will receive the Internet Choice strategy, in which we will include a paper questionnaire in the first mailing. These households are located in areas that we have identified as less likely to use the internet or with historically low response rates.
- All households that do not respond after the third mailing will receive a paper questionnaire in the fourth mailing.
- In addition to responding by mail or the internet, all households have the option to respond by telephone through our Census Questionnaire Assistance centers. The centers

will also be available to assist people with any questions about the decennial census. Telephone assistance will be available in multiple languages.

- Further, the online self-response option will be in 12 languages, and will allow responses with or without a unique Census ID, to make it easy to respond anytime and anywhere.
- Finally, the 2020 Census will have a robust integrated partnerships and communications program that will include extensive outreach and promotion to generate awareness about the Census and motivate people to respond. This will include broad partnership support at local levels through trusted voices in each community.

**2) The most recent Australian Census experienced a prolonged shutdown of its internet based self-response platform. What contingency plans has the Bureau put in place in the event the internet self-response platform becomes unavailable for a prolonged period of time?**

The Census Bureau has been in close contact with IT and program managers in Australia, Canada, and other countries that have moved to Internet Self-Response for their censuses and surveys. It has gained valuable information about the issues they faced, which included public concerns about privacy and phishing, and the problems they had to overcome, including denial of service attacks. Census also learned a great deal from the solutions they developed, particularly in Australia. The Census Bureau's IT experts are working closely with other federal government experts and private sector experts to ensure that the Internet Self-Response system is as resilient as possible to prolonged outages. Census is testing the self-response platform in numerous ways, including during the peak operations of the 2018 End-to-End test in Providence County, Rhode Island. It is performing load tests based on demand models on the self-response platform. It also is implementing enough redundancy to ensure continuity of operations (for example, every cluster of hardware in the system is duplicated and placed in different locations, and AWS maintains two data centers). The Census Bureau also has contingency plans in place should a prolonged outage occur including expanding NRFU or directing more responses to Census Questionnaire Assistance. If the Internet Self-Response platform becomes unavailable for a prolonged period, Census can add up to six surge call centers to allow for additional telephone response, and the paper data capture centers also can add shifts to process more paper questionnaires. Additionally, the Census Bureau can increase the staff conducting interviews during the nonresponse follow-up operation, and the operation itself can be extended to absorb a greater workload.

**3) Please explain the Bureau's plans for the use of cloud based services for the 2018 end-to-end testing?**

The Census Bureau is hosting selected systems supporting the 2018 End-to-End Census on AWS FedRAMP-certified commercial cloud services. These include the Operational Control Systems and the Internet Self Response System. Additionally, the Census Bureau's recruitment and Assessment System is a cloud-based service, and it is currently operational for the 2018 End-to-End Census Test.

**a. What is the status of delivery of cloud based IT services for the 2018 end-to-end testing?**

The Census Bureau has developed and utilized cloud-based IT services for the In-Field Address Canvassing and Recruiting production operations of the 2018 End-to-End Census Test.

2018 End-to-End Census Test Systems currently hosted in the FedRAMP-certified AWS GovCloud include:

- Enterprise Census and Survey Enabling Operational Control System (ECaSE OCS)
- ECaSE Field OCS
- Service-Oriented Architecture
- Geospatial Services.

**b. Are there any systems that may remain untested following the completion of the 2018 end-to-end testing? If so, what additional testing is the Bureau planning for the systems not tested during the end-to-end testing?**

Systems supporting the 2020 Census Operations that are outside the scope of the 2018 End-to-End Census Test will not be tested during the 2018 End-to-End Census Test. There are a total of 35 operations in the 2020 Census. 24 of these are being deployed and tested for the 2018 End-to-End Census Test. These are the key operations and systems needed to conduct the census. Those operations of scope for the test include the Post-Enumeration Survey, Archiving, the Census in Island Areas, and several others. The Census Bureau will be testing these remaining systems for functionality, scalability, and security separately in a way that is comparably rigorous to testing in the 2018 End-to-End Census Test. The Census Bureau will use simulated data and workloads based on demand models for that purpose. Also, after the 2018 End-to-End Census Test and much in advance of the 2020 production operations, the Census Bureau will conduct integration and testing for all of the systems supporting the 2020 Census, including those that will not be tested in the 2018 End-to-End test, according to the Census Bureau's established release schedule, which is consistent with when the operations begin. This will start with recruiting and hiring, which begins in Summer of 2018. This integration will ensure that the systems will be deployed in time for the operations they support.

**4) Many of the Bureau's IT systems appear to have scheduled delivery dates that are either after the scheduled start of testing, or scheduled for delivery shortly before in-field testing is to begin. Why did the Bureau agree to scheduled delivery dates that leave little room for delay?**

The 2020 Census Integration and Implementation plan (which includes the 2018 End-to-End Census Test details) provides time for systems development, testing, and delivery before 2020 operations begin.

Forty-four systems are being deployed in the 2018 End-to-End Census Test. Forty out of 44 systems have been deployed in support of operations to date, and the remaining four systems are

scheduled to deliver functionality beginning April 2018 to support activities starting July 2018. This leaves sufficient time for the Census Bureau to make any necessary modifications to the systems prior to deployment. No system will be released without completing the necessary integration testing.

**a. In the event the delivery of these systems is delayed, what are the Bureau's plans for the 2018 end-to-end testing?**

The team responsible for testing systems routinely communicates with and updates senior Census Bureau leadership and Undersecretary of Economic Affairs, Karen Dunn Kelley, who is also performing the non-exclusive duties of the Deputy Secretary, on all issues related to the 2018 End-to-End test. Any issues identified during the course of testing are escalated and addressed daily and solutions are implemented in a timely manner.

The Census Bureau is proactively working with the development, test teams and program management teams, and monitoring progress on a daily basis. It has ensured that the requirements are baselined and stable for the peak operations of the 2018 End-to-End Census Test, and that there are sufficient resources for the completion of the work. It also is engaged with the contractors, engineers, and architects to ensure the delivery scope and timelines are well understood and to establish clear accountability. The Census Bureau has a high level of confidence that the systems will be delivered on time for the peak operations of the 2018 End-to-End Census Test. A majority of the systems for the peak operations of the 2018 End-to-End Census Test have already been part of earlier Census tests and worked successfully.

If there are unforeseen circumstances that lead to any delay, we have alternate strategies that can help conduct thread testing at a faster pace with added resources and overtime. We would make the necessary arrangements with the contracted technical integrator solution to implement these strategies.

**5) The Bureau recently announced that it would be placing the Census Enterprise Data Collection and Processing (CEDCaP) program under the Decennial Programs Directorate. Please explain what the Bureau hopes this move will achieve.**

**a. What is the effect of this move on integration and cybersecurity development?**

The CEDCaP Program's technical, operational management, and integration functions into the Decennial Programs Directorate will ensure that the 2020 Census Program has command and control of all key 2020 Census systems implementation. This move eliminates duplicative and competing work among the Decennial Programs Directorate and the Information Technology (IT) Directorate. Merging experienced CEDCaP staff into the 2020 Census functional areas will help address staffing and knowledge challenges faced by both the 2020 Census Program and the CEDCaP program, technical integration, and operations integration, and it will allow the Census Bureau to better integrate risks, schedule, change control, performance metrics, and contract and systems status between CEDCaP and non-CEDCaP IT systems. This has the added benefit of

increasing visibility into CEDCaP cost, scope, and schedule while fully integrating the work into the delivery of the 2020 Census.

Cybersecurity is essential to a successful 2020 Census, and it is an extension of the Census Bureau's strong commitment to protecting all of the data, including personally identifiable information, it collects from the public. With respect to cybersecurity, all 2020 systems, including CEDCaP systems, follow the enterprise risk management framework for cybersecurity. CEDCaP solutions are currently under an Authorization to Operate (ATO). CEDCaP had already been working in close partnership with the Chief Information Officer (CIO), the Office of Information Security (OIS) and the 2020 Program, placing great emphasis on cybersecurity. Cybersecurity has always been an important aspect of the 2020 Census, and this is a focus of the CIO for the whole of the Census Bureau regardless of what part of the organization is developing a specific system. The security engineers working on CEDCaP and the 2020 Program are overseen by the OIS under the CIO. They work closely with cybersecurity experts from across the Department of Commerce, and in the Department of Homeland Security as well as other agencies within the federal intelligence community. The Census Bureau is also reaching out to private sector experts to benefit from their expertise as well.

OIS, under the direction of the CIO, manages the ATO process for CEDCaP systems, as with all 2020 Census systems, and the ATO process itself has not changed. Because CEDCaP is now under the 2020 Program, the business authorizing official and system owner for the CEDCaP systems changes to the 2020 program. The CIO is the technical authorizing official for all Census technology, and with the day to day management of CEDCaP moving from IT to Decennial, the CIO is able to focus more energy on cybersecurity.

- 6) The Bureau's mobile device contract was subject to a bid protest on August 10, 2017, which was sustained on October 5, 2017. Please explain what steps the Bureau is taking to ensure that the mobile device contract bid protest does not prevent or otherwise negatively affect the Bureau's ability to test and secure the 2020 Census nonresponse follow-up operations.**

GAO's October 5, 2017, decision sustaining the protest of the Decennial Device as a Service (dDaas) contract award included recommendations for corrective action. Census takes GAO's recommendations seriously and immediately began examining all potential paths forward to enable Census to proceed with this important program without endangering the critical path for the 2020 Decennial Census. As part of that process, the Census Bureau began developing an action plan to implement GAO's recommended corrective action. Census also convened a meeting with the awardee and the protestor to describe the steps Census was taking and to facilitate a dialogue between the two. On November 7, the awardee notified Census that it and the protestor had executed a subcontracting agreement. On November 8, Census provided notice to GAO that, in light of the subcontracting agreement, Census intended to lift the stop work order on the contract that had been in place since August. On November 9, Census authorized the contractor to resume performance of the dDaas contract.

### **Representative Paul Mitchell**

**7) I am concerned about how the Bureau will use statistical imputation to account for non-responses. Can you detail how the Census Bureau will use this method to arrive at final counts?**

**a. Specifically, I would like to know:**

- i. How these formulas will be crafted and how the final numbers will be calculated?**
- ii. How the Bureau intends to verify the accuracy of their adjustments?**
- iii. In which instances and to what extent the Bureau will resort to using imputation in place of actual enumeration?**

There's a difference between enumeration and statistical imputation. "Enumeration" is the actual count of the people living in each household. "Imputation" is a statistical method that the Census Bureau uses for filling in missing data for a particular household (as described in Question 7 above), based on a partial set of data that they did provide in combination with data the Census Bureau has including past census and survey responses and administrative records.

"Imputation" is a process generally used when households in a census or survey have responded, but have not answered all the questions. For these situations, the missing information is filled in (imputed) using a combination of data the household did supply, data the Census Bureau already has (including past census and survey responses from the household), and data from other households with similar characteristics. Administrative records also are used in the imputation process. Normally, the Census Bureau has collected complete information from nearly all households, and imputation is used on only a small subset. Imputation will only occur after all planned collection activities are complete and the needed information has not been collected for some addresses, households, or people.

Most imputation in the Decennial Census is "characteristic imputation." This is used in cases where households have responded, but did not answer all questions or provided inconsistent answers. The Census Bureau's characteristic imputation approach in 2020 will closely mimic what it used for the 2010 Census. This is described in more detail in the "2010 CENSUS PLANNING MEMORANDA SERIES #173, 2010 Census Item Nonresponse and Imputation Assessment Report."

[https://www.census.gov/2010census/pdf/2010\\_Census\\_INR\\_Imputation\\_Assessment.pdf](https://www.census.gov/2010census/pdf/2010_Census_INR_Imputation_Assessment.pdf)

The Census Bureau intends to complete its specifications for the 2020 count imputation in Summer 2019, and any necessary documentation supporting any changes from the 2010 methodology will be released then.

In 2010, the Census Bureau used a methodology called "count imputation" to enumerate a very small number of non-resolved housing units as a last resort. In the 2010 Census, the count imputation rate was 0.39 percent of the population. For the 2020 Census, the Census Bureau

plans to utilize administrative records in addition to in person visits to enumerate those household that do not self-respond. This includes enumerating households with administrative records when they have a high level of confidence that records are of high quality, can corroborate the information with other high-quality records, and when the information can be accurately applied to the addresses and persons in question. This effort to expand the use of high quality administrative records goes beyond what the Census Bureau has done in previous censuses and should reduce the need for count imputation even further. The count imputation formulas the Census Bureau will use for the 2020 Census counts are based on those used for the 2010 Census. These formulas used in 2010 are explained in the enclosed paper, “DSSD 2010 DECENNIAL CENSUS MEMORANDUM SERIES #J-06, Census 2010: High Level Overview of Count Imputation.”

**8) From the perspective of the Census Bureau and the Department of Commerce, how are Census tallies used to determine the apportionment of representatives and the allocation of federal dollars from federal agencies?**

The Decennial Census provides the population numbers necessary for apportioning the 435 seats in the U.S. House of Representatives among the 50 states. The apportionment calculation is based upon the total resident population of the 50 states. In the 2010 Census, the apportionment population also included U.S. Armed Forces personnel and federal civilian employees stationed outside the United States (and their dependents living with them) that could be allocated, based on administrative records, back to a home state. Prescribed by Congress in 1941, the current method for apportionment is the "Method of Equal Proportions." A report outlining the process implemented in the 2010 Census is available at <https://www.census.gov/prod/cen2010/briefs/c2010br-08.pdf>.

The allocation of federal funds using data from the Census Bureau is determined by Congress or the federal agencies disbursing the funds. While the Census Bureau produces data from the Decennial Census that is used to determine fund allocation, they do not participate in or direct any allocation procedures.

**9) As the Census Bureau discusses their use of other administrative and third party commercial data to account for non-responses, what measures are being taken to ensure that these plans do not result in improperly counted individuals, fraud, or abuse?**

As noted in the response to question 7, “enumeration” and “imputation” have different meanings. The Census Bureau has long used administrative records to impute data. In the 2020 Decennial, the Census Bureau plans to broaden the use of administrative records.

Throughout the decade, the Census Bureau has been planning and testing the use of administrative records for the identification of vacant housing units and the enumeration of occupied nonresponding households. Administrative records include data from the IRS, the

Social Security Administration (SSA), Medicare and Medicaid, the Indian Health Service, and other data sources. Administrative records also include data from prior Decennial Censuses and the American Community Survey (ACS). Additionally, the Census Bureau uses state, local and private sector data for well-defined purposes, such as establishing census block boundaries and supporting address list compilation.

In the case of households that do not respond after our repeated efforts, the Census Bureau expects to be able to enumerate up to six million households in the 2020 Decennial Census entirely with federal administrative records. This will be done only when the Census Bureau has a high level of confidence that the federal administrative records are of high quality, can corroborate the information with other high-quality records, and when the information can be accurately applied to the addresses and persons in question. One type of household that could be enumerated using administrative records is that of an elderly couple who have lived at the same address for many years, who file their taxes regularly, and who have signed up for Medicare.

Where it does not have high quality and high confidence in the data, such as when the data in the federal administrative records is inconsistent or missing, the household will become part of the Census Bureau's Nonresponse Follow-up operation (NRFU) for a direct follow up by census enumerators. Moreover, to ensure the success of the NRFU Operation, the Census Bureau intends to support this operation through the Integrated Partnerships and Communications Program to reach those who do not self-respond and cannot be enumerated through federal administrative records.

**10) How are self-responses being verified, including those made through the mail, interviews, and online? Does the Bureau cross-check this data or otherwise verify that self-responses are accurate and not resulting in improperly counted individuals, fraud, or abuse?**

During the 2010 Census, the Census Bureau launched an operation called "Invalid Return Detection," which was focused on duplicate questionnaires received from households primarily from the "Be Counted" operation. That operation provided respondents with additional forms beyond those that were delivered directly to people who were concerned that they may not have been included in the census. For the 2020 Decennial Census, the Census Bureau's fraud detection efforts encompass all self-responses. This is due to the enhanced risks associated with the internet responses, which will for the first time compose the majority of responses received. Consequently, the Census Bureau needs to expand its quality assurance efforts to mitigate this enhanced risk.

The 2020 Census Fraud Detection operation is not limited to internet self-response; rather, in addition, it's also tasked with determining whether fraudulent returns have been submitted from internet self-response, telephone interviews conducted by Census Questionnaire Assistance staff, and paper self-response. In addition to establishing criteria and thresholds to identify potentially fraudulent responses, the operation is responsible for determining the appropriate follow-up action for investigating and resolving cases of suspected fraud.



Fraud detection will identify:

- Individual Fraud: A single person submits a small number of fraudulent responses
- Targeted Fraud: An individual or group submits a large number of fraudulent responses in a particular state or locality in an attempt to fraudulently inflate Census counts in a particular area
- Widespread Fraud: An individual or organization submits a large number of fraudulent responses—potentially by automated hacking techniques, and not concentrated in a particular locality—in an effort to affect the overall counts

Fraud detection components will include:

- Modeling/algorithms – a statistical approach to ferret out potential fraud, including individual response scoring, outlier detection, and trend analysis
- Spatial analysis – examination of the geographic distribution of responses as a component determining suspected fraud cases
- Social media monitoring strategy – analytics to identify suspicious patterns which will be ranked, sorted, and displayed on a dashboard to inform the analytical work
- Case management – a system to create workloads for analysts and potential follow-up
- Business intelligence (BI)/visualization strategy - approach for condensing the data points from the multiple fraud analysis modes into relevant key performance indicators (KPIs)
- Feedback loop activities – continuous improvement in the Fraud Detection System

Resolution of suspected fraudulent responses will include:

- Investigation by fraud detection analysts to determine whether suspected cases identified through automated detection methods can be deemed acceptable by the analyst based on established rules, or require field follow-up to determine final disposition.

For cases referred by fraud detection analysts, field follow-up will occur as a component of Nonresponse Follow-up work. In work similar to the quality control efforts for enumerators, the respondent will be asked a series of questions to determine the level of consistency between the original response data and their current response. If necessary (e.g., significant differences are noted in the initial questions, such as household count), a complete interview (i.e., all questions on the census questionnaire) can be conducted to ensure accuracy of the response data for a household.

**11) When it comes to enumerating non-citizens or illegal immigrants, how can the Bureau verify the accuracy of these counts? Presumably, someone who is in the country illegally is not going to have many government or private records that could verify a self-response.**

Since the passage of the Census Act of 1790, the Decennial Census has been based on self-response. We use fraud detection regardless of whether we collect responses through the

internet, by mail, over the telephone, or in an interview with a Census enumerator, and regardless of the citizenship status of a respondent.

**12) In many ways the counting of undocumented immigrants is a constitutional and policy question. However, surely the Census Bureau has considered the practical implications of doing so. Can you highlight what the Bureau sees as the advantages and disadvantages of count non-citizen and illegal immigrants?**

As directed by the Constitution, the Census Bureau counts every person residing in the country. As noted above, since the passage of the Census Act of 1790, the Decennial Census has been based on self-response.

### **Representative Brenda L. Lawrence**

**13) Detroit housing stock and administrative data.**

**For the 2020 Census, the Census Bureau is planning to use government administrative records and third-party commercial data to identify vacant housing units from among the universe of addresses that do not self-respond in the first phase of the census. “Vacant” units would receive one additional mailer, in an effort to confirm that no one is, in fact, living in the dwelling. In Detroit, and in many cities across the country, abandoned or seemingly vacant housing units are home to people without another usual place of residence. I am concerned that these residents will be overlooked and not counted if census takers do not make at least one personal visit to the address, as they have done in all previous self-response censuses. What steps will the Census Bureau take to ensure that people living in seemingly vacant homes will be counted in the 2020 Census? Are there any plans to modify the Nonresponse Follow-up plans in areas that have experienced significant economic decline, and therefore may be at risk of an undercount? How have the recent deficits in funding, and therefore testing, affected your confidence in your ability to use administrative records in the Nonresponse Follow-up phase of the operation?**

The Census Bureau is keenly aware of this problem and is working to ensure that everyone is included in the 2020 Census wherever they live on Census Day — or where they are staying on Census Day if they have no permanent place to live.

One way of reaching this population is through an operation called “Service-Based Enumeration.” In this operation, the Census Bureau works with state, local, and tribal governments nationwide to update contact and address information for service-based locations (including shelters, soup kitchens, and regularly scheduled mobile food vans) and count people at those locations. It will also work with local groups to identify outdoor locations where people are known to sleep, such as under bridges and in tent camps. The Census Bureau will look for and count people at these locations at the end of March 2020 (on March 27, 30, and 31).

The Census Bureau also works closely with the National Advisory Committee, a panel that includes experts on reaching historically hard-to-count populations. They will help the Census Bureau refine its procedures, locations and methods for identifying and counting this population for the 2020 Census.

All of these efforts will include identifying vacant units where people may be living, and the Census Bureau will adjust the nonresponse operation to address areas where census partners or government officials alert it to. In addition, the Census Bureau's Geography Division works with administrative data, including data from the U.S. Postal Service, to identify vacant units where people may be living. The Census Bureau is currently examining the address canvassing and nonresponse follow-up operations to determine other steps it can take to address the situation you describe.

The Providence, RI, test site also provides ample opportunity for the testing necessary to finalize the operations that utilize administrative records. The Census Bureau looks forward to examining results from that site test.

#### **14) Regional Census Offices**

**a. This will be the first census in modern history for which there will be six Regional Census Centers, half the number in prior decades. Detroit was the site of a Regional Census Office and Regional Census Center for many decades until the field reorganization earlier this decade. In addition, the Census Bureau plans roughly half the number of local census offices (now called Area Census Offices) for the 2020 Census, compared to the 2010 Census. Further, there will be far fewer census enumerators and less than a third the number of Partnership Specialists than in 2010.**

The Census Bureau will open an Area Census Office in Detroit - and four additional offices in the State of Michigan - to support data collection and outreach efforts for the 2020 Census. Similar to the 2010 Census, these offices will be the primary management centers for most field data collection activities on the 2020 Census. The efficiencies gained with automation and the reduction in paper-based activities allows the Census Bureau to significantly reduce the brick and mortar footprint to support the work of census enumerators. It does not reduce the ability of the Census Bureau to conduct a complete and accurate count. The Census Bureau still plans to hire staff locally and in sufficient numbers to ensure that everyone is counted. The Regional Office serves primarily as an administrative center for the local offices that conduct data collection. Operational support and oversight of field data collection and outreach activities in Detroit will continue to come from local staff.

**b. I am deeply concerned that this significantly smaller "footprint" in the field will make it harder for regional and area office officials to become sufficiently familiar with all of the communities within their broad jurisdiction to facilitate thorough operations, including pre-census address canvassing, effective partnerships, and accurate Nonresponse Follow-**

**up visits. What steps will the Census Bureau take to overcome the challenge of “distance” between census field officials and staff, and the broad, diverse geographic areas they must oversee for the 2020 Census? How will the Bureau ramp up its state-level presence in states like Michigan with reduced offices, and how will that be coordinated with activities already operating locally?**

The Census Bureau shares this concern, and has started outreach efforts sooner compared to past decennials. For the 2020 Census, the Census Bureau began hiring partnership staff in Fiscal Year 2016 – a full year earlier than for the 2010 Census. These staff have already begun engaging officials throughout Michigan on early planning activities for the 2020 Census with a particular focus on participation in the Local Update of Census Addresses program. The Census Bureau plans to hire 1,000 Partnership Specialists, which is 25 percent more than the approximately 800 hired during the 2010 Census.

As far as operational oversight, the Census Bureau will adopt the same approach to managing staff as it has done in the past. Census enumerators will work in the neighborhoods where they live, providing a critical element of local knowledge that increases cooperation and response. The direct supervision of these enumerators is by Field Supervisors who also live in these communities and work from home. These supervisors will report to managers located in the five offices located throughout Michigan. The five offices – as noted above – will report to the Regional Census Center located in Chicago, IL.

## **15) Community outreach and MENA**

**a. In my district, Michigan’s 14th Congressional district, Arab-Americans, or people of Middle Eastern and North African descent, are a significant portion of the population. For decades, community leaders have been working to explore the question of adding a “Middle Eastern or North African” (MENA) ethnicity category to the Census. The 2015 National Content Test (NCT) tested a separate Middle Eastern or North African category and found it elicited higher quality data to understand communities. The Census Bureau’s 2018 End-to-End Test is supposed to include a dedicated MENA response category. What are the Census Bureau’s current plans for including the MENA category in the 2018 End-to-End Test and the 2020 Census? In its deliberations, is the Bureau incorporating written and other comments provided by community stakeholders in 2017? Do reduced resources for the 2018 test affect this process?**

The Census Bureau has been conducting research into the viability of including a Middle Eastern or North African (MENA) ethnicity category in the Census and the American Community Survey. This research will continue. However, the Census Bureau adheres to the Office of Management and Budget’s *Standards for Maintaining, Collecting, and Presenting Federal Data on Race and Ethnicity*, last revised in 1997, providing a minimum standard for maintaining, collecting, and presenting data on race and ethnicity for all Federal reporting purposes. In keeping with these standards, the planned race and ethnicity questions will follow a two-question

format for capturing race and ethnicity for both the 2018 End-to-End Census Test and the 2020 Census, and will not include a MENA ethnicity category.

**b. Community participation is also essential to an accurate census count. Does the Bureau have sufficient resources to coordinate with and reach out to Arab-American community groups to the extent it has in the past, and on a similar timeline relative to the 2020 Census?**

Yes, they do. The current Lifecycle Cost Estimate includes funding to support 1,000 Partnership Specialists, which is an increase of 25 percent relative to the approximately 800 Partnership Specialists hired during the 2010 Census. Currently, the Census Bureau has just over 40 Partnership Specialists in place. They will start ramping up to 1,000 beginning in October 2018, and they will be fully staffed by June 2019, a full 10 months before Census Day. Many of these specialists will focus on outreach to our Arab-American communities.

**c. In order to accurately count the MENA population and include it in government processes, the Office of Management and Budget (OMB) would also have to add an ethnicity category for Arabs and Middle Easterners to its minimum collection standards. The Bureau has stated that regardless of the Bureau's categories in the 2018 tests and 2020 Census, "it will ultimately be up to OMB to determine if the MENA category will be a minimum reporting category that is distinct from the White category. OMB is currently conducting a review of these standards." How are you coordinating with OMB on this matter? What data or information have you provided OMB since the 2015 NCT, and what data do you intend to provide OMB through 2020, to assist in its review of the standards?**

As stated above, the Census Bureau adheres to the Office of Management and Budget's *Standards for Maintaining, Collecting, and Presenting Federal Data on Race and Ethnicity*, last revised in 1997, providing a minimum standard for maintaining, collecting, and presenting data on race and ethnicity for all Federal reporting purposes. In keeping with these standards, the planned race and ethnicity questions will follow a two-question format for capturing race and ethnicity for both the 2018 End-to-End Census Test and the 2020 Census, and will not include a MENA ethnicity category.

## **16) Online response methods**

**a. The shift of the response method to one that emphasizes online response represents a convenience for many, but also a cost shift for some, especially those who exist at the economic margins. Are there plans to lessen the impact of those cost shifts in areas where they may prevent someone from responding through the preferred method?**

While the Census Bureau is encouraging people to respond to the 2020 Census via the internet, people can also respond by telephone or by sending in a paper questionnaire. The Census Bureau recognizes that the internet is not accessible to all residents and has identified 20 percent of the population as living in areas with low internet connectivity or for whom it has data

indicating that they are unlikely to use the internet. Therefore, the Census Bureau is including a paper questionnaire in the first mailing to those households. Furthermore, all nonresponding households will receive a paper questionnaire on the fourth mailing. The Census Bureau also implements specific operations tailored to rural areas of the country. Beginning a few weeks after Census Day, the Census Bureau will conduct the nonresponse follow-up operation to ensure that all households are included in the final census counts.

In addition, the Internet Self Response (ISR) operation works to make the application content accessible to a wide range of people with disabilities, including blindness and low vision, deafness and hearing loss, learning disabilities, cognitive limitations, limited movement, photosensitivity, and combinations of these. To maximize accessibility, the ISR application is being developed following Web Content Accessibility Guidelines 2.0 with a “AA” level of success. Each page of the application is assessed for conformance to the applicable guidelines.

The Census Bureau is committed to making all of its electronic and information technology accessible to all individuals. They leverage the knowledge and expertise of their Section 508 Coordination Council, the General Services Administration (GSA) Refresh Toolkit, and interagency best practices. All application systems, especially those supporting the 2020 Census, will be in compliance with the Section 508 standards. The 2020 Census Program has allocated Section 508 requirements to systems and continuously certifies and validates compliance through testing.

On January 18, 2018, revised Section 508 standards went into effect for the Federal Government. The 2020 performed an analysis of these revised standards and is integrating them with the prior Section 508 guidance. This integration includes an assessment of each application system’s level of compliance with the revised standards. Revised requirements will be allocated to each application system as applicable.

### **Representative Carolyn Maloney**

#### **17) Mr. Secretary, please provide documentation to support your testimony on total communications spending in 2010 compared to 2020, including a line-by-line or operation-by-operation direct comparison.**

As I testified, the lifecycle cost estimate includes \$520 million for the communications contract. An operation-by-operation comparison with the 2010 communications program is not possible at this time. Throughout FY 2018, the Census Bureau will be working with Young and Rubicam (Y&R) to build the research foundation for the campaign, and to develop the optimal levels of funding for each component of the program. The resulting spend plan will not be finalized until later in the year. We will share that information with you once it is ready.

**18) Please provide details on actual spending allocations that have been made against the Y&R contract since it was awarded through this month.**

The following shows the amounts obligated and paid by task order as of March 16, 2018.

	<u>Total Obligated</u>	<u>Total Paid to Date</u>
Order 1 – Initial Activities	\$333,580	\$333,580
Order 2 – Travel	\$376,559	\$196,987
Order 3 – Program Management (FY 2016)	\$3,052,599	\$3,052,599
Order 4 – 2018 E-2-E Test	\$345,700	\$345,700
Order 5 – Planning Preliminary Research	\$8,831,987	\$8,831,987
Order 6 – Program Management (FY 2018)	\$3,799,890	\$1,266,651
Order 7 – Research	\$7,202,677	\$525,000
Order 8 – Recruitment	\$1,330,290	\$82,336
Order 9 – Strategic Planning	\$2,237,934	\$0,000
Order 10 – Modelling and Segmentation	\$1,675,000	\$14,895,526
Total	\$29,186,216	\$14,895,526

**19) Please provide a list of activities that the Bureau has directed Y&R to initiate to date.**

The list of activities the Census Bureau has directed Y&R to initiate to date are:

- Kick-Off Meeting – *August 2016*
- Census 101 – *September 2016*
- Attendance at various stakeholder engagements including:
  - Regional Director Introductory Meeting – *September 2016*
  - State Data Center/Census Information Centers (SDC/CIC) Joint Steering Committee Meeting – *October 2016*
  - Decennial Program Management Review (PMR) – *October 2016, July 2017, October 2017*
  - 2020 Census Integrated Communications Contract Quarterly Executive PMR – *May 2017, August 2017*
  - Regional Office Visits “Listening Tour” Sessions – *November 2016 – January 2017*
  - National Advisory Committee (NAC) Meeting – *November 2016, 2017*
  - Data Dissemination Program Meeting – *November 2016*
  - Tribal Consultations – *October – November 2016*
  - Census Funder’s Initiative – *January & March 2017*
  - Children’s Leadership Council – *April 2017*

- Research Activities (CBAMS and Propensity Modeling) – Ongoing
- Meetings/briefings with bureau and department staff – Ongoing
- Deliverables
  - Communications Plan version 1.0 – *June 2017*
  - Research Roadmap - *May 2017*
  - 2020 Census Barrier, Attitudes and Motivators Study – *February – April (planned)*

**20) What, if any, is the approved spending ceiling on the Y&R contract?**

The contract is a requirements type contract. As such it includes an estimated total amount. As I testified, the current lifecycle cost estimate for the Decennial includes \$520 million for the communications contract.

**21) Please provide the Committee with a detailed schedule of all planned outreach, partnership, advertising and promotion activities in your new Life Cycle plan, including the start and end date of those operations and total budgeted allocation for each operation.**

The Census Bureau is in the process of developing the detailed schedules for the outreach, promotion, partnership, and advertising activities.

The research is scheduled for October 2017 – November 2019. Media planning and purchasing will occur between October 2018 – November 2019. The creative development for the advertising and promotional materials will take place between September 2018 – January 2020. Detailed schedules for the other components of the communications program will be provided to the Congress as they are developed and refined.

There are currently just over 40 Partnership Specialists already in place around the country. They are focused on the development of Complete Count Committees and key 2020 Census Stakeholders. The Census Bureau will ramp up to 1,000 Partnership Specialists beginning in October 2018. Detailed schedules for the Partnership Program will be provided as they are developed and refined as well.

**22) How is the additional \$187 million requested for FY 18 divvied up by category/type of activity?**

- a. In particular, how many more partnership specialists does the Census Bureau plan to hire in FY 18 with the additional money? (The Secretary said there are 40 now on board, and the President's FY 18 request didn't include money for any.)
- b. What's the total number of partnership specialists that the Census Bureau plans to hire for the 2020 Census? (The Secretary said his "goal" was 800.)



The additional \$187 million will be allocated to the critical activities necessary to keep the Census Bureau on track for a successful 2020 Census. The funding is primarily allocated to the major IT contracts, including the Technical Integrator contract and the Census Questionnaire Assistance contract as well as program management, systems engineering and operational development. We did not identify a need to hire additional Partnership Specialists with this funding. There are currently just over 40 Partnership Specialists working around the country and the Census Bureau seeks to ramp up to 1,000 Partnership Specialists.

**23) Is there a timetable to get the communications activities for 2020 back on schedule?**

Communications activities for the 2020 Census are on track as described above.

**24) Are there any plans to do a focused test in rural areas to replace the ones that were cancelled?**

The 2018 End-to-End Census Test began in August 2017 in Pierce County, Washington; Providence County, Rhode Island; and the Bluefield-Beckley-Oak Hill, West Virginia area with the implementation of an in-field address canvassing operation. In-field address canvassing allowed the Census Bureau to test systems in a disconnected state and hone the critical address list development operations in a wide range of geographical situations, including rural areas. The Census Bureau will continue to develop and conduct small scale testing of systems to ensure they function effectively in rural areas.

**a. Will the communications and partnership effort be restored for the 2018 dress rehearsal (end-to-end test)? If so, how much will be allocated for it? And is it too late to restore the two additional sites in the original end-to-end test?**

The Census Bureau has not restored the communications and partnership efforts originally planned for the Providence, RI, site. It is too late to restore the two additional test sites originally included in the test.

**b. Did you discuss with OMB Director Mulvaney the FY 2019 figure in the lifecycle cost estimate, that is, the need for \$3.45 billion, which includes a \$314-million contingency?**

The Census Bureau worked closely with the Office of Management and Budget (OMB) in the development of the revised 2020 Census Lifecycle, and it is currently developing the 2019 Budget with OMB as well.

**c. Have you discussed the new lifecycle cost estimate with the President?**

No.

**d. Is there any plan to make up for the canceled Spanish language test?**

No, but testing throughout the decade, including the peak operations of the 2018 End-to-End Census Test, will allow the Census Bureau to refine the Spanish language Internet Self-Response instrument.

**25) Multiple Federal agencies have asked the Census Bureau to include sexual orientation and gender identity in national surveys. But when the Census report was submitted to Congress, LGBTQ questions were nowhere to be found. Give that the Commerce Department directs the Census Bureau, can you explain why LGBTQ questions were not included?**

Federal agencies routinely request additional questions to be considered in the American Community Survey (ACS), and Census considers them pursuant to a longstanding process that involves the Office of Management and Budget (OMB). The Census Bureau received requests from the Department of Justice (DOJ), Environmental Protection Agency (EPA), the Department of Housing and Urban Development (HUD), and the Department of Health and Human Services (HHS) to consider a new question in the 2020 ACS that would collect sexual orientation and gender identity (SOGI) data. The Census Bureau and the Department evaluated the requests, working with the requesting agencies and OMB.

On March 7, 2017, DOJ withdrew its SOGI data request before the Department completed its analysis of the need for the content and the Census Bureau concluded that there was no independent basis to alter or amend the current content.

**The Honorable John A. Culberson**  
**Subcommittee on Commerce, Justice, Science, and Related Agencies**  
**Questions for the Record from May 2017**  
**Oversight of the 2020 Census**

**Question 1:** What are your backup preparations in case the bureau's IT plans do not go as expected?

**Response 1:**

The contingency strategy for the 2020 Census is to build redundancy into our operations so that we do not have any single point of failure.

The 2020 Census will be the first Decennial Census to incorporate innovative methods and technologies into our work. After the 2010 Decennial, modernizing technology across all Decennial Census operations was made a priority. These changes include decisions to introduce and promote Internet responses; introduce telephone call centers as an additional mode of response; use aerial imagery to conduct in-office address canvassing; automate hiring, payroll and mileage reimbursements; use administrative records to increase accuracy; automate field operation procedures with mobile devices; and use routing algorithms to improve enumerator efficiency.

We are designing all of our systems with failover capabilities to provide seamless operational readiness. By establishing multiple modes for the public to respond, we are creating a backup should there be problems with any one particular response option. Self-response will be available by Internet, telephone, or paper. If problems arise in the Internet response option, our Census Questionnaire Assistance contract allows for collection of interviews via telephone and we have the capability to scale up to meet increased demand. We also have redundancy in our paper questionnaire self-response capabilities so that work can be shifted between our two facilities and we can accommodate a much higher volume of paper responses. If in-office address canvassing is unsuccessful, we can increase the amount of in-field address canvassing. If internet response is lower than expected, we can expand the telephone centers and process more paper forms. If automation is less productive than expected, or our plans for administrative records are not successful, we can add additional staff and perform more interviews. The revised Lifecycle Cost Estimate that I submitted to Congress last fall includes contingency funding to address these risks.

We have flexibility in our in-person nonresponse operations. We plan to complete our major operations in late July 2020. If necessary, this timeframe can be extended for several weeks to allow for completion of an increased workload. In addition, we are designing our operational control systems, which assign and track field data collection work, such that the Area Census

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Offices can use manual intervention and control if needed as a back-up because of issues with our automated control systems.

Completing the planned 2018 End-to-End Census Test is critical to ensuring we integrate all our systems. We expect the test to identify issues for improvement and reveal findings and lessons to correct prior to production for the 2020 Census.

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**The Honorable John A. Culberson**  
**Subcommittee on Commerce, Justice, Science, and Related Agencies**  
**Questions for the Record**  
**Oversight of the 2020 Census**

**Question 2:** What are the Census Bureau's current plans regarding the use of administrative records?

**Response 2:**

Throughout the decade, the Census Bureau has been planning and testing the use of administrative records for the identification of vacant housing units and the enumeration of occupied nonresponding households. Administrative records include data from the IRS, the Social Security Administration (SSA), Medicare and Medicaid, the Indian Health Service, and other data sources. Administrative records also include data from prior Decennial Censuses and the American Community Survey (ACS). Additionally, the Census Bureau uses state, local and private sector data for well-defined purposes, such as establishing census block boundaries and supporting address list compilation.

In the case of households that do not respond after our repeated efforts, the Census Bureau expects to be able to enumerate up to six million households in the 2020 Decennial Census entirely with federal administrative records. This will be done only when the Census Bureau has a high level of confidence that the federal administrative records are of high quality, can corroborate the information with other high-quality records, and when the information can be accurately applied to the addresses and persons in question. One type of household that could be enumerated using administrative records is that of an elderly couple who have lived at the same address for many years, who file their taxes regularly, and who have signed up for Medicare.

Where it does not have high quality and high confidence in the data, such as when the data in the federal administrative records is inconsistent or missing, the household will become part of the Census Bureau's Nonresponse Follow-up operation (NRFU) for a direct follow up by census enumerators. Moreover, to ensure the success of the NRFU Operation, the Census Bureau intends to support this operation through the Integrated Partnerships and Communications Program to reach those who do not self-respond and cannot be enumerated through federal administrative records.

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**The Honorable John A. Culberson**  
**Subcommittee on Commerce, Justice, Science, and Related Agencies**  
**Questions for the Record**  
**Oversight of the 2020 Census**

**Question 3:** Will administrative records be used for enumeration purposes to a greater extent than in the 2010 Census?

**Response 3:**

In the 2010 Census, the Census Bureau used administrative records as an input when updating the address list and also to enumerate the overseas military populations and to assist in enumerating some populations in Group Quarters, such as prisons. In the 2020 Census, we plan to maintain the 2010 Census uses of administrative data and look to add the uses described in response to your previous question. Using administrative data to identify vacant housing units, and in well-defined circumstances—and only when multiple, corroborating, high-quality federal agency records are available—to enumerate households that do not respond, can help the Census Bureau achieve a complete and accurate count while respecting taxpayers' investment in a high-quality 2020 Census.

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**The Honorable John A. Culberson**  
**Subcommittee on Commerce, Justice, Science, and Related Agencies**  
**Questions for the Record**  
**Oversight of the 2020 Census**

**Question 4:** What is the status of the “residence rule”?

**Response 4:**

The Census Final 2020 Census Residency Criteria and Residence Situations Notice published on February 8, 2018 (83 R.F. 5525, <https://www.gpo.gov/fdsys/pkg/FR-2018-02-08/pdf/2018-02370.pdf>).

**The Honorable Robert Aderholt**  
**Subcommittee on Commerce, Justice, Science, and Related Agencies**  
**Questions for the Record**  
**Oversight of the 2020 Census**

**Question 1:** In October 2016, the Bureau chose to stop two of the field tests scheduled to be done in Fiscal Year 2017. However, you decided to move forward with several others. How did you decide that these two tests were expendable? What are the implications of shutting down these field tests?

**Response 1:**

The Department of Commerce is fully committed to a complete and accurate 2020 Census. The modernization effort allows the Census Bureau to prioritize its resources to focus on the parts of the country with higher degrees of nonresponding households to ensure they are counted. The Department’s FY 2018 budget request supports this commitment.

The continuing resolution funding levels required the Census Bureau to prioritize planned FY 2017 activities. In the prioritization adopted by the Census Bureau, readiness for the 2018 End-to-End Census Test, including systems and operations readiness, was placed above the field component of the FY 2017 Census Test. The Census Bureau was concerned it would expend resources to prepare for the FY 2017 field tests, only to receive insufficient resources in FY 2017 to conduct them. This was a risk the Bureau was unwilling to take, as it would have directly threatened the readiness for the 2018 End-to-End Census Test. The Census Bureau made the decision to limit the scope of the 2017 testing before significant funds were obligated for field planning and hiring to mitigate funding risk to the program and ensure readiness for a successful 2018 End-to-End Census Test.

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The implications of eliminating the field component of the FY 2017 test are limited because of the extensive testing that the Census Bureau has conducted throughout the decade. There were major field tests of various operations in 2014, 2015, 2016, and 2017, and the final major field test, the 2018 End-to-End Census Test, is underway. Lessons learned throughout the decade have guided the current Operational Plan.

For the 2018 End-to-End Census Test, the Census Bureau has made decisions that will prioritize the readiness and testing of its integrated system-of-systems in the field in a Census-like environment. The lessons learned from how these systems interact with each other, with the operations being tested, and, where relevant, with the field staff and residents in the test sites, will be invaluable to finalizing the operational plan and putting the finishing refinements on the systems in advance of the 2020 Census.

The 2018 End-to-End Census Test began in August 2017 with the address canvassing operation. This portion of the Test included three sites: Bluefield-Beckley-Oak Hill, West Virginia; Providence County, Rhode Island; and Pierce County, Washington. Collectively these three diverse sites helped the Census Bureau gain invaluable experience in conducting the challenging process of building the address list across a wide area of physical geography, housing structures, and residence types. The Census Bureau also learned valuable lessons regarding the use of its management and data collection systems in areas with low Internet connectivity.

The Census is now proceeding with the remaining operations in scope for the 2018 End-to-End Census Test in Providence County, Rhode Island. Peak operations commenced in March 2018. The 2018 End-to-End Census Test will test the systems that support the 24 key operations that must be assessed in a field test prior to the 2020 Census. The systems supporting 11 operations that are not included in the 2018 End-to-End Census Test will be thoroughly tested in FY 2018 and FY 2019 prior to their deployment. While the 2018 end-to-end test is the last major field test, the Census Bureau will continue with additional testing to address necessary refinements to the system during the lead up to the 2020 Decennial.

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**The Honorable Robert Aderholt**  
**Subcommittee on Commerce, Justice, Science, and Related Agencies**  
**Questions for the Record**  
**Oversight of the 2020 Census**

**Question 2:** I understand that because many of the systems that will be a part of the 2018 End-to-End Test have not yet been fully developed, that some of the needed controls have not yet been finalized and assessed. What specifically is being done to mitigate this situation and how will the Bureau ensure that the security assessments are finalized?

**Response 2:**

As the Census Bureau approaches peak operations of the 2018 End-to-End Census Test, it is rigorously tracking the status of the systems, each with its own well-defined scope, requirements, schedule, and costs, and overseen by experienced project management teams. They continue to make significant progress in the development and integration of the various systems designed to handle the collection, processing, tabulation, and other operational functions for a successful count in the 2020 Census. 44 systems are being deployed in the 2018 End-to-End Census Test. As of February 15, 2018, 40 of those 44 systems have been delivered, and the remaining four systems are scheduled to be delivered beginning April 2018, to support activities starting July 2018. In addition, of the delivered 40 systems, 30 require no further enhancements for future operation. Integration testing is currently being conducted for the remaining systems and will be completed for those systems before the 2018 End-to-End Test begins. No system will be released without completing the necessary integration testing.

The Census Bureau is also implementing enhanced security architecture and technology based on the Department of Homeland Security's Continuous Diagnostic and Mitigation program to protect the confidentiality, integrity, and availability of the 2020 Census data, processes, and systems. This includes securing internal Census Bureau systems, securing field data collection on mobile devices and on the mobile network, securing the self-response mode for paper with physical and technical security at processing sites and systems, and securing self-response modes for public-facing Internet data collection (using cloud-based security and performance) and Census Questionnaire Assistance.

The Census Bureau also has a robust governance process with three major internal governing bodies that work together to ensure that all 2020 Census contracts, including those covering the major IT systems, meet business requirements on time. These governing bodies are the Contracts Review Board, the Program Lifecycle Review Board, and the Program Lifecycle Investment Review Board. Additionally, during this past year, the Census Bureau has brought in

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expert help from a team of private sector IT experts to aid with the integration of the systems. Having fully integrated systems for use with the 2018 End-to-End Census Test is key to 2020 Census systems readiness. Finally, senior leadership of the Census Bureau and Under Secretary Karen Dunn Kelly, who is performing the non-exclusive duties of the Deputy Secretary, meet regularly to ensure that the Secretary is personally briefed on any issues that arise.

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**The Honorable Robert Aderholt**  
**Subcommittee on Commerce, Justice, Science, and Related Agencies**  
**Questions for the Record**  
**Oversight of the 2020 Census**

**Question 3:** Given the large number of design changes being made to the Census, does the 2018 End-to-End Census Test give the Bureau enough time to fix any potential problems?

**Response 3:**

The Census Bureau began the 2018 End-to-End Census Test in August 2017, with the start of the in-field Address Canvassing operation. While the official Census Day for the 2018 End-to-End Census Test will occur on April 1, 2018, a great number of our operations and systems will be finalized and kicked off before that date. Our schedule provides the time needed to incorporate final lessons learned and validate that both systems and operations are ready for the 2020 Census.

By design, the 2018 End-to-End Census Test will not be the first or only opportunity for the Census Bureau to test major components of the redesigned 2020 Census. Thanks to the support of Congress, we have been able to develop and field test many proof of concept solutions as part of our series of Census Tests from 2012 through 2017. Using prototype systems initially, then transforming to the initial versions of the 2020 solutions, we strengthened and stabilized our requirements and thus validated the scope of our systems development with every test.

In the 2017 Census Test, we deployed our public-facing suite of systems for self-response in the field and in a cloud environment, both for the first time. They were also integrated with our Census Questionnaire Assistance and Non-ID Processing operations. In the 2020 Census, we are allowing people to respond to the Census without an identification code provided to them ahead of time. We call this “Non-ID Processing.” This means that when people log onto the Internet, or call our telephone centers, we can collect their data by using a system that allows us to verify the address they provide to us against our address database in real time. This is an innovation that will be particularly helpful in our efforts to reach traditionally undercounted populations. This test was a major step in our readiness for the 2018 End-to-End Census Test and the 2020 Census. Almost the entire 2020 system-of-systems, including the core CEDCaP systems, will be fielded as part of the 2018 End-to-End Census Test.

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**The Honorable Robert Aderholt**  
**Subcommittee on Commerce, Justice, Science, and Related Agencies**  
**Questions for the Record**  
**Oversight of the 2020 Census**

**Question 4:** With the addition of online responses being allowed for the 2020 Census, what is being done to ensure the highest levels of security of that data? People already have deep concerns with sharing their personal information with the federal government – I can only imagine that responding to the Census online will only add to those concerns.

**Response 4:**

The Census Bureau places a high priority on cybersecurity for the 2020 Census. We have an unprecedented level of engagement with the best resources in the Federal Government. We have incorporated the cybersecurity framework developed by the Department's National Institute of Standards and Technology (NIST) and are working closely with the Department of Homeland Security (DHS) to review technology architecture, perform penetration testing to ensure the website is safe and secure, and utilize its set of federal cybersecurity services effectively in the cloud. We are also working with the other agencies from the federal intelligence community through the Cybersecurity Unified Coordination Group, which includes the Central Intelligence Agency, the Federal Bureau of Investigation, and other agencies including the Department of Homeland Security.

Cyber risks may be external, on the perimeter, and/or internal to the Census Bureau's systems. The Bureau is working closely with our industry contractors to detect and resolve internal and perimeter risks that are within the Bureau's control, but must rely on other federal agencies which are tasked with, and have authority to take actions to resolve, external threats.

The Census Bureau has the ability to take direct actions to prevent and resolve risks that are on the perimeter or are directed at the Census Bureau's internal systems, such as data breaches, compromising Census user devices, and disrupting the Internet Self Response website. The Census Bureau has intentionally designed systems with many layers and levels of isolation to apply the right balance of security and performance for each area.

With this approach the Census Bureau will use very high levels of security in publicly facing systems like Internet Self Response, which will allow the Census Bureau to remove bad actors early on in the process without affecting respondents' ability to move through the system and fill out their surveys. It will give us the best opportunity to prevent, detect, respond and recover from possible cyber threats.

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As noted above, the Census Bureau is taking advantage of the expertise available across multiple federal agencies, most prominently DHS, to provide assistance in reviewing the design and security architecture for the 2020 Census. The Department of Commerce Office of Security is providing risk analysis and related counter-terrorism assistance. The Census Bureau also works with the Information Technology Laboratory at the NIST on a number of security initiatives. The Census Bureau has developed and implemented a Risk Management Framework in close collaboration with NIST and has also worked with NIST on the Derived Credential initiative, which will allow Census to use Homeland Security Presidential Directive 12 required authentication for our general field force.

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**The Honorable Robert Aderholt**  
**Subcommittee on Commerce, Justice, Science, and Related Agencies**  
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**Oversight of the 2020 Census**

**Question 5:** Could you describe the religious self-identification portion of the 2010 Census and what the expected questions will be for the 2020 Census? Is this a portion of the main decennial Census or one of the other questionnaires?

**Response 5:**

The Census Bureau did not ask respondents to identify religious beliefs or membership in the 2010 Census or in the American Community Survey, and there are no plans to do so in 2020. The United States Census Bureau has not collected data on personal religious beliefs or membership in any previous decennial census. Title 13, United States Code, Section 221, prohibits the Census Bureau from asking questions on religious beliefs or membership on a mandatory basis.

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**The Honorable José E. Serrano**  
**Subcommittee on Commerce, Justice, Science, and Related Agencies**  
**Questions for the Record**  
**Oversight of the 2020 Census**

**Question 1:** The Census Bureau has said that it would consider incorporating the canceled field elements from the 2017 Census Test into the 2018 End-to-End Test. One of the canceled 2017 tests was the Puerto Rico Census Test, which was originally aimed at testing address canvassing, as well as how internet self-response integrates with other methods of collecting responses. It was also aimed at testing data collection modes in Spanish to ensure efficient and effective data collection operations. Is the Census Bureau considering doing a Puerto Rico Census Test as part of the 2018 End-to-End test?

**Response 1:**

There are no plans to conduct testing in Puerto Rico. Systems that are critical to the 2020 Census, both in Puerto Rico and nationwide, are being tested in the 2018 End-to-End Test, including the Update Leave and Group Quarters operations. The Spanish language Internet Self-Response instrument is currently deployed for the peak operations in Providence, Rhode Island. In addition, field staff will be using data collection instruments with both English and Spanish language functionality.

Providence County has a population of over 600,000 (626,667) and more than a quarter-million housing units (264,048). It includes historically hard-to-count populations and skews Hispanic. In fact, 19.9% of the population in Providence is Hispanic, which is slightly higher than the national average of 17.8%.

The Census Bureau successfully implemented its management systems in areas without Internet connectivity in the address canvassing phase of the test in the Bluefield-Beckley-Oak Hill areas of West Virginia and Pierce County, Washington. Census field staff were able to receive their assignments and submit their payroll and operational data at the beginning or end of their shifts when they could connect to the Internet, but they did not require Internet access while they were actually doing their work. This is important to the Commonwealth of Puerto Rico, which includes areas with sporadic Internet connectivity particularly in the aftermath of Hurricane Maria.

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**The Honorable José E. Serrano**  
**Subcommittee on Commerce, Justice, Science, and Related Agencies**  
**Questions for the Record**  
**Oversight of the 2020 Census**

**Question 2:** Please explain the ways in which the Census Bureau's integrated partnership and communications efforts for the 2020 Census will differ from the efforts that preceded the 2010 Census. In what ways does the Census Bureau anticipate these efforts will be more effective than before? Does the Census Bureau believe that these efforts will be developed and implemented earlier in the cycle than was the case with the last decennial census, in order to maximize the effectiveness of these efforts, as recommended by the official summary evaluation of the 2010 Advertising campaign?

**Response 2:**

The Census Bureau's approach to developing the Partnership Program staff is driven by their past experience. In the 2010 Census, the Bureau initially planned for a total of 680 partnership specialists. When the Bureau received funding from the American Reinvestment and Recovery Act, an additional \$120 million was invested in the Partnership Program. This primarily was used to increase the number of partnership specialists to 786, and to add an additional 1,750 partnership assistants. These additional staff were added late in the process, and looking back the Census Bureau felt that the partnership assistants, in particular, were not as effective as the more seasoned partnership specialists. For the 2020 Census, the Census Bureau has increased the number of partnership specialists to 1,000, which is a significant increase relative to the base funding for the 2010 Census. The Census Bureau believes that this will allow for a strong Partnership Program.

The 2020 Partnership Program began in 2015 with eight partnership specialists to support the 18 tribal consultations and 2016 Census Test. This is the earliest the Census Bureau has started the partnership program. The 2010 Census did not begin to hire partnership specialists until 2008. Currently, there are 41 Partnership Specialists across the country. The staff are now working with tribal, state and local governments to form State Complete Count Commissions and Complete Count Committees. These are formal partnerships with tribal, state and local governments through which the Census Bureau can leverage local trusted voices and expertise to extend the partnership staff reach to hard-to-count populations.

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The Census Bureau plans to ramp up hiring of Partnership Specialists beginning in October 2018, and expects to reach the full complement of 1,000 Partnership Specialists by June of 2019, a full nine months before Census Day.

An extensive communications and advertising campaign will also be launched, as was done in the prior two decennials. The 2020 Census Integrated Communications plan can be found here: [https://www.census.gov/programs-surveys/decennial-census/2020-census/planning-management/planning-docs/integrated\\_com\\_plan.html](https://www.census.gov/programs-surveys/decennial-census/2020-census/planning-management/planning-docs/integrated_com_plan.html).

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**Question 3:** In anticipation of technological improvements, the Census Bureau announced plans to reduce its decennial census footprint from 12 regional census centers and almost 500 area census offices in 2010, down to just 6 regional census centers and no more than 250 area census offices for the 2020 decennial census. However, at the most recent Program Management Review, the Bureau identified a new risk—“Increased Workload for the Address Canvassing Operation.” What, if any, impact will this risk have on the projected \$900 million cost avoidance associated with more efficient address canvassing? What insights did the Bureau gain from the 2016 Address Canvassing test? Based on the research and testing that the Census Bureau has conducted thus far, is the Bureau still confident that it will be able to achieve its projected cost reduction in the decennial census field infrastructure, compared to continuing the practices of previous decennial censuses?

**Response 3:**

During the present continuing resolution, in order to fully fund all the highest priority mission critical systems development, systems integrations, testing, and infrastructure for the 2018 End-to-End Census Test throughout the fiscal year regardless of the final appropriation amount, the Census Bureau made a number of design changes to other parts of the 2020 Census. This plan allowed the Census Bureau to remain on track by prioritizing and preserving the most critical funding investments for systems development and field infrastructure build-out ahead of the 2018 End-to-End Census Test, as well as for executing the testing needed to ensure system interoperability.

In the 2010 Census, the Census Bureau conducted 100% In-Field Address Canvassing. For the 2020 Census, the Census Bureau has developed, tested, and will look to implement a combination of In-Office and In-Field Address Canvassing.

Our plan for In-Office Address Canvassing consisted of two phases: Interactive Review (IR) and Active Block Resolution. During Interactive Review, staff assessed the stability of the housing unit inventory at the census block level using satellite imagery and housing unit counts from the Census Bureau’s Master Address File. Census blocks that had not experienced change were designated as “stable.” Census blocks that had experienced change were designated as “active” and moved to the Active Block Resolution phase. This constituted a deeper dive into the blocks that Interactive Review found to be “active” and required further resolution.

At the beginning of FY 2017, the Census Bureau decided to suspend Active Block Resolution due the funding constraints and because the methodology had flaws. This decision meant that

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the assumption for In-Field Address Canvassing workload would increase from 25 to 30% of all blocks nationally. The additional cost associated with greater In-Field Address Canvassing was included in the revised Lifecycle Cost Estimate Secretary Ross submitted to Congress last fall.

Based on our research, testing, and operational experiences, we can canvass approximately 70% of the Nation's blocks through Interactive Review. We will be further testing the redesigned address canvassing operation in our 2018 End-to-End Census Test in Providence County, Rhode Island and look forward to reviewing those results.

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**Question 4:** Are there any other focus areas in which the Census Bureau originally expected to reduce ultimate decennial census costs but that were subsequently shown not to be viable cost savers?

**Response 4:**

The Census Bureau faces challenges that have evolved over a long period of time, such as an increase in the diversity of our population, the complexity of living arrangements, the mobility of people in the United States, and a steady decline in self-response rates across all surveys. In addition, there are less predictable challenges, such as potential cyber security attacks or natural disasters.

The 2020 Census will be the first Decennial Census to incorporate innovative technologies like Internet Self-Response, use of federal administrative records for enumeration, and use of electronic devices by census takers. After the 2010 Decennial, modernizing technology across all Decennial Census operations was made a priority. These changes include decisions to promote Internet responses; introduce telephone call centers as an additional mode of response; use aerial imagery to conduct in-office address canvassing; automate hiring, payroll, and mileage reimbursements; use administrative records to increase accuracy; automate field procedures with mobile devices; and use algorithms to improve enumerator efficiency. We are keenly aware of the challenges, risks, and costs associated with this new approach. However, these innovations are promising and can serve as a foundation for future decennial censuses.

The revised 2020 Census lifecycle cost estimate is now \$15.6 billion, which was informed by an independent cost estimate of \$14.1 billion conducted this summer. This estimate is the product of a rigorous deep dive by independent cost estimation and management experts, as well as a thorough review of Census programming and management.

The revised lifecycle cost estimate of \$15.6 billion includes additional, unallocated contingency funding of \$1.2 billion to address additional potential unknown risks and associated challenges such as natural disasters, significantly lower self-response rates, and the complexity of multiple, integrated information technology innovations. This \$1.2 billion funding—a contingency of 10% on top of the independent cost estimate that also includes allocated risk dollars—will be managed at the secretarial level and used only if unforeseen developments cause significant changes to Decennial operations.

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**Question 5:** To what extent are pay differentials between public sector and private sector information technology experts impeding any of the Census Bureau's work? Please provide information on the Census Bureau's efforts to ensure it attracts and retains talented information technology personnel.

**Response 5:**

There are specific IT skills, such as highly experienced network engineers and cyber security professionals who are skilled at threat protection and deterrence, for which private sector companies are able to pay a premium. These pay differentials can make it difficult for the Census Bureau to directly hire staff with critical IT skill sets. The Census Bureau is using training and mentoring opportunities, as well as pay setting based on Superior Qualifications to compete with private industry salaries for some positions. The Census Bureau also incorporates in its IT contracting plans requirements to obtain staff with the appropriate IT skills and talent to support its programs. Innovation programs, such as 18F and U.S. Digital Service, have also been helpful in this effort.

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Subcommittee on Civil Rights and Civil Liberties Hearing  
“Beyond the Citizenship Question: Repairing the Damage and Preparing to Count ‘We the People’ in 2020.”  
July 24, 2019

Questions from Chairman Jamie Raskin

1. For what purpose does the Bureau intend to use the citizenship question field test currently in the field?

**ANSWER:** The Census Bureau began planning this test in 2018, and mailings began on June 13, 2019. The 2019 test was designed to measure self-response rates and the possible operational impacts of a citizenship question on the 2020 Census, such as how many census takers might be needed and how to better communicate and follow-up with households that do not self-respond. Although the 2020 Census questionnaire will not include a citizenship question, the Census Bureau has ongoing surveys that ask a citizenship question. Results from this test may help inform operational decisions for those surveys, as well as future censuses and surveys.

The Bureau has published an article, *2019 Census Test Preliminary Results*, by Victoria A. Velkoff, Associate Director for Demographic Programs, available at

[https://www.census.gov/newsroom/blogs/random-samplings/2019/10/2019\\_census\\_testpre.html](https://www.census.gov/newsroom/blogs/random-samplings/2019/10/2019_census_testpre.html), in which the Bureau explains that its nationally representative randomized field experiment’s “major finding ... was that there was no difference in self-response rates between forms with and forms without a citizenship question.”

2. The Bureau’s website has a Frequently Asked Questions page for foreign-born respondents that includes the following question and answer:

Q: Does the Does the Census Bureau collect immigration data?

A: No. The U.S. Census Bureau collects and publishes survey data on the characteristics of foreign-born residents of the United States, such as country of birth, U.S citizenship status, and year of entry into the United States. By comparison, the Department of Homeland Security Office of Immigration Statistics publishes statistics and reports based on administrative data, such as the numbers of persons obtaining legal permanent resident status, refugees and asylees, naturalizations, nonimmigrant admissions, and enforcement actions.

Is that answer still accurate? Will the implementation of the Executive Order change that answer?

**ANSWER:** The website has been updated to reflect the implementation of the Executive Order. The updated text is found at <https://www.census.gov/topics/population/foreign->

[born/about/faq.html](https://www.census.gov/topics/population/foreign-born/about/faq.html). All data at the Census Bureau, whether obtained from surveys or records from other agencies, are protected from disclosure and kept confidential under the law.

3. The Bureau's website has a Frequently Asked Questions page for foreign-born respondents that includes the following question and answer:

Q: Does the Census Bureau collect data on the legal status of the foreign born?

A: No. The Census Bureau does not collect data on the legal status of the foreign born. The Department of Homeland Security Office of Immigration Statistics publishes statistics and reports based on administrative data, such as the numbers of persons obtaining legal permanent resident status, refugees and asylees, naturalizations, nonimmigrant admissions, and enforcement actions. It also provides estimates of the unauthorized immigrant population in the United States.

Is that answer still accurate? Will the implementation of the Executive Order change that answer?

**ANSWER: The website has been updated to reflect the implementation of the Executive Order. The updated text is found at <https://www.census.gov/topics/population/foreign-born/about/faq.html>. All data at the Census Bureau, whether obtained from surveys or records from other agencies, are protected from disclosure and kept confidential under the law.**

4. The Bureau's website includes the following statement regarding the 2020 Census: "No law enforcement agency (not the DHS, ICE, FBI, or CIA) can access or use your personal information at any time." Is that still the case? Will the implementation of the Executive Order change that answer?

**ANSWER: In accordance with Title 13, no personal information will be shared by the Census Bureau. Executive Order 13880 reaffirms the President's strong commitment to ensure the confidentiality of personal information collected by the Census Bureau. The President in the Executive Order clearly states: "Under my Administration, the data confidentiality protections in Title 13 shall be fully respected."**

5. What is the Bureau's communication plan to counteract the negative impact of the citizenship question?

**ANSWER: The decennial census questionnaire does not include a citizenship question.**

This includes, for example:

a. What specific messaging is the Bureau doing in immigrant and minority communities that are afraid of responding due to the citizenship question?

**ANSWER: The decennial census questionnaire does not include a citizenship question.**

b. How will the Census ensure that its staffers are not confused with Immigrations and Customs Enforcement or other law enforcement?

**ANSWER: The Census Bureau will be advertising extensively through our communications contract and by working with partners to ensure that people are aware that Census workers are in the field. Census workers will carry identification and materials that clearly identify them as working on the 2020 Census. The Bureau will also work with law enforcement agencies to make them aware of Census workers in their jurisdictions and how to identify a Census employee. Our partners and advertising campaign will ensure that residents feel safe and secure in responding to the Census.**

c. What will Census workers say if a respondent asks about the citizenship question?

**ANSWER: The decennial Census questionnaire does not include a citizenship question, and the Census Bureau will ensure that census materials clearly explain the content and purpose of the decennial census.**

d. What will Census workers say if a respondent asks whether the Bureau is collecting information on their citizenship or legal status?

**ANSWER: Our census workers are trained to clearly explain the content and purpose of the decennial census information-gathering effort.**

e. What will Census workers say if a respondent says they are afraid to respond?

**ANSWER: They will remind the respondent that responses to Census Bureau surveys are safe, secure, and required by federal law to be kept strictly confidential. Census Bureau employees take an oath to protect this personal information for life. Responses can only be used to produce statistics. Individuals' responses cannot be used for law enforcement purposes or any other purpose that would reveal their identity or how an individual responded to a question.**

f. What will Census workers say if a respondent asks if they can refuse to answer?

**ANSWER: Census workers will acknowledge and address such concerns by emphasizing the personal and community benefits of the Census and that answering is a civic responsibility. They will convey how responding benefits respondents'**



community, specifically, how Census results affect their voice in government, how much funding their community receives, and how their community plans for the future. The census workers are also trained to emphasize that responses are confidential.

g. What will Census workers say if a respondent asks what the penalty is for not answering?

**ANSWER:** They will remind the respondent that responses to Census Bureau surveys are safe, secure, and required by federal law to be kept strictly confidential. Census Bureau employees take an oath to protect this personal information for life. Responses can only be used to produce statistics. Individuals' responses cannot be used for law enforcement purposes or any other purpose that would reveal their identity or how an individual responded to a question.

Additionally, our research shows that most people will respond when they understand the importance of the questions we ask (<https://www.census.gov/content/dam/Census/newsroom/press-kits/2018/why-we-ask-fact-sheet.pdf>) and how the information benefits their community. Accordingly, the enumerators will remind respondents that Census results affect their voice in government, how much funding their community receives, and how their community plans for the future. For example, census data guide how billions (<https://www.census.gov/library/working-papers/2017/decennial/census-data-federal-funds.html>) in federal funding is distributed to states and communities each year. Census data also help their community create jobs, provide housing, prepare for emergencies, and build schools, roads and hospitals.

h. What will Census workers say if a respondent asks if they will be prosecuted or fined for not answering?

**ANSWER:** Please see the answer above.

6. The Bureau has an information sharing agreement with the Department of Homeland Security.

a. What is the purpose of that agreement?

**ANSWER:** The purposes of collecting data from DHS are set forth in EO 13880.

b. What specific data will DHS be sharing with the Bureau, and what will the Bureau use it for?

**ANSWER:** The data sets the Census Bureau is requesting from DHS and the purposes of collecting data from DHS are set forth in EO 13880.

c. Will DHS be providing citizenship or immigration status data to the Bureau? If so, will that data be anonymized such that the Bureau will not be able to identify the citizenship or immigration status of any individuals or households?

**ANSWER:** The data sets the Census Bureau is requesting from DHS and the purposes of collecting data from DHS are set forth in EO 13880. Also, all of the information the Bureau collects, including the information it is collecting pursuant to the Executive Order, remains subject to the strong confidentiality protections and use restrictions set forth in Title 13 of the U.S. Code. EO 13880 is clear regarding the commitment to confidentiality of administrative records collected by the Census Bureau.

Questions from Congressman Wm. Lacy Clay

7. What are the names of the minority-owned subcontractors and minority-owned suppliers participating in the Census 2020 marketing and advertising efforts for African Americans? For each subcontractor or supplier, please identify:

**ANSWER:** Carol H. Williams Advertising is the subcontractor hired by the prime contractor, Valentine, McCormick, Ligibel, Young and Rubicam (VMLY&R), for the portion of the campaign designed to reach the Black/African American audience.

- a. The areas of the country they are responsible for covering;

**ANSWER:** Carol H. Williams Advertising is responsible for marketing and advertising to the Black/African American audience across the entire country.

- b. The value of their contracts;

**ANSWER:** The government has a contract with VMLY&R only. VMLY&R contracts directly with each of its subcontractors. The government is not privy to contract details between VMLY&R and their subcontractors; therefore, we are unable to provide information related to the value of any of their contracts.

- c. When each contract was executed and when they expire; and

**ANSWER:** The government is not privy to contract details between VMLY&R and their subcontractors; therefore, we are unable to provide information related to when each of these contracts were executed or when they expire.

- d. How each contractor was selected.

**ANSWER:** When VMLY&R submitted their proposal in response to the Request for Proposals for the Integrated Communications Contract, it included the subcontractors they had chosen to fulfill the requirements of the contract. The government is not privy to contract details between VMLY&R and their

**subcontractors; therefore, we are unable to provide information related to how each subcontractor was selected.**

8. How much money is Census Bureau allocating for African American media advertising, and how that compares to the overall advertising budget.

**ANSWER: The plan for the 2020 Census advertising allocates \$37.9 million to reach African American audiences, 15.8 percent of the \$240 million allocated for the media buy.**

Questions from Congresswoman Debbie Wasserman Schultz

9. The Bureau currently plans to carry over \$1 billion in funding to 2020. Will the Bureau commit to using some of those funds to open Questionnaire Assistance Centers?

**ANSWER: While we appreciate your interest in Questionnaire Assistance Centers (QACs), we cannot commit to using carryover funding to open QACs. The FY 2020 budget request for the 2020 Census program was \$6.3 billion, of which \$1.02 billion would be derived from previously appropriated funds in FY 2018 and FY 2019. Therefore, the carryover funds represent an integral portion of the total FY 2020 operating needs estimated in the 2020 Census Lifecycle Cost Estimate, which did not include the estimated cost of QACs. The Census Bureau has been planning an alternative operation, Mobile Questionnaire Assistance Centers (M-QACs), that it believes will be effective in reaching potential respondents, particularly those from populations that have historically been hard to count. The Census Bureau will implement this operation in the 2020 Census.**

10. If the Bureau will not open Questionnaire Assistance Centers, will it commit to assigning Census staffers in hard-to-count communities to stationary locations at predictable times during hours most likely to get foot traffic from the communities?

**ANSWER: The Census Bureau would work with partners to identify key locations with prominent visibility where self-response rates may be low. Initially, the M-QAC locations will be where data models, such as the Response Outreach Area Mapper, help predict low self-response rates, or where community priorities are identified. As households submit responses, real-time self-response rates will drive where M-QACs will be. Because this effort is not tied to specific physical locations, the M-QACs could be deployed dynamically where they are most needed. M-QAC staff will go to where respondents are, to markets, festivals, events, and other high-traffic venues in hard-to-count areas. Rather than waiting for respondents to come to them, this staff will be highly mobile with the ability to go to multiple hard-to-count areas to generate increased awareness and facilitate self-response.**

Questions from Congressman Jimmy Gomez

11. Which neighborhoods are receiving a paper questionnaire form in the initial mailing, and which will be receiving a post-card directing them online?

**ANSWER:** The areas that will receive paper questionnaires in the first mailing are available here: <https://www.census.gov/newsroom/press-releases/2019/contact-strategies-viewer.html>. Areas less likely to respond online, approximately 21.8% of households, will receive a paper questionnaire along with the invitation to respond online or over the phone. Areas assigned to receive a paper questionnaire first have a low self-response rate to the Census Bureau's ongoing American Community Survey (ACS), and have either low internet response rates, high population over age 65, or low rate of internet subscriptions. Regardless of whether or not a household receives a paper questionnaire in the first mailing, all households that have not responded after a few weeks will receive a paper questionnaire in the fourth mailing.

Questions from Congresswoman Ayanna Pressley

12. Will citizenship data collected pursuant to President Trump's July 11, 2019 Executive Order on the Census be used in the Bureau's redistricting file?

**ANSWER:** Citizenship data collected under the Executive Order will be used, to the extent feasible, in tabulating public Citizen Voting Age Population data. This data will be supplied as an additional product, according to a methodology that has not been finalized.

- a. Will it be included automatically in the files given to all states?

**ANSWER:**  
Please see the answer to number 12(a), above.

- b. Will states who do not want to use citizenship data in redistricting be able to obtain a redistricting file that does not include that data?

**ANSWER:** States decide which data to use for redistricting, not the Census Bureau.

13. Will the Bureau's redistricting file include breakdowns by Citizen Voting Age Population (CVAP)?

**ANSWER:** The public Citizen Voting Age Population data will be supplied as an additional product, according to a methodology that has not been finalized.

- a. Will it be included automatically in the files given to all states?

**ANSWER:** Please see the answer to number 12(a), above.

b. Will states who do not want to use citizenship data in redistricting be able to obtain a redistricting file that does not include that data?

**ANSWER: States decide which data to use for redistricting, not the Census Bureau.**

14. Has anyone in the Administration indicated to you that block-level data produced by the Bureau may be used to identify neighborhoods for immigration enforcement?

**ANSWER: No. The Executive Order is clear on this point: “To be clear, generating accurate data concerning the total number of citizens, non-citizens, and illegal aliens in the country has nothing to do with enforcing immigration laws against particular individuals. It is important, instead, for making broad policy determinations. Information obtained by the Department in connection with the census through requests for administrative records under 13 U.S.C. 6 shall be used solely to produce statistics and is subject to confidentiality protections under Title 13 of the United States Code. Information subject to confidentiality protections under Title 13 may not, and shall not, be used to bring immigration enforcement actions against particular individuals. Under my Administration, the data confidentiality protections in Title 13 shall be fully respected.”**

15. Will citizenship data collected pursuant to the Executive Order be used in the Bureau’s congressional apportionment counts? In a statement sent to Congresswoman Pressley on August 9, 2019, the Bureau stated:

“The issue you asked about is currently in litigation and we do not comment on ongoing litigation, but the Census Bureau will fulfill its constitutional mandate to conduct a complete and accurate 2020 Census and enumerate all persons living in the United States of America.”

As the Bureau is aware, the Supreme Court has clearly and repeatedly ruled that parallel litigation does not preclude Congress from investigating an issue and is not a valid reason to withhold information from Congress. Please clearly state whether citizenship data will be used in the Bureau’s congressional apportionment counts.

**ANSWER: The Census Bureau will produce apportionment counts consistent with its legal obligations.**

16. How should a member of the public report something they suspect is a fraudulent Census document? Is there a number, email, website, or social media account people can contact right now?

**ANSWER: Anyone who suspects fraud should call 800-923-8282 to speak with a local Census Bureau representative. If it is determined that a visitor to a home does not work for the Census Bureau, the residents should contact the local police department.**

**A common way the public reaches Census to report issues is via social media. The Bureau has a robust social media presence and quickly responds to questions or concerns. Other ways of alerting us about issues include sending emails through the Census Bureau’s “Frequently Asked Questions” site ([ask.census.gov](https://ask.census.gov)) or calling our Respondent Advocate (1-888-609-0563).**

17. How can someone contact the Bureau to determine if something is a legitimate document or contact from the 2020 Census? Is there a mechanism in place that people can contact right now?

**ANSWER: To help protect people from phishing and other scams, respondents should know that the U.S. Census Bureau will never ask for your Social Security number, your bank account or credit card numbers, money, or donations.**

**If someone visits a home to collect a response for the 2020 Census, there are steps the respondent can take to verify their identity:**

- First, check to make sure that they have a valid ID badge, with their photograph, a Department of Commerce watermark, and an expiration date.**
- Note that they may be carrying a Census Bureau phone or a laptop, plus a bag with a Census Bureau logo.**
- If there are still questions, the person should call 800-923-8282 to speak with a Census Bureau representative.**

**If someone suspects fraud, the person should call 800-923-8282 to speak with a Census Bureau representative. If it is determined that the visitor who came to the door does not work for the Census Bureau, the person should contact the local police department.**

Question from Congresswoman Carolyn Maloney

18. What is the Bureau’s detailed plan to improve its background check process and ensure its hiring for the 2020 Census stays on schedule?

**ANSWER: The Census Bureau has worked with outside experts over the past two years to develop a simple, fair and expeditious background check process that ensures that the American public can feel safe when a decennial employee knocks on their door. Every Census employee will undergo a background check prior to entering into the community to collect Census data. To complete this background check, the Census Bureau will collect the fingerprints of every applicant who is tentatively selected to work during the Decennial and run those fingerprints through the FBI criminal database. After receiving the results of this background check, the Census Bureau will apply criteria scientifically developed in conjunction with outside experts to determine whether or not there is anything in the selectee’s criminal background that would make the selectee unsuitable for employment.**

**We are working to add resources to our security team to ensure clearances are completed within the timeframe to bring people on board. In the past few months, we have assigned over 200 full-time employees and are currently implementing substantial contract resources to facilitate the clearance and onboarding process for the thousands of temporary census workers.**

Questions from Congresswoman Carol Miller

19. According to Census Bureau data, 51 percent of my district in southern West Virginia is considered “hard to count.” How does the Census Bureau plan to count rural hard-to-count communities?

**ANSWER: About 20 percent of households in mailout areas will receive a paper questionnaire in the first mailing. Many of these areas are largely rural. Extensive data-driven research was undertaken to identify areas that should receive the paper questionnaire upfront. These areas included those with expected lower Internet usage, lower self-response rates, relatively higher concentrations of people age 65 or more, and areas with low Internet subscribership. All households in mailout areas that have not responded to the 2020 Census after a few weeks will receive a paper questionnaire in the mail in April 2020.**

**While most households will receive their invitation in the mail, almost 5 percent will receive their invitation when a census taker drops it off. Again, these areas are largely rural. In the latter areas, the majority of households may not receive mail at their home’s physical location, like households that use P.O. boxes or areas affected by natural disasters. These areas may also have non-city-style addresses, such a rural route numbers. If an area is very remote, such as the case in remote Alaska and less than one percent of households in the nation, we will send a census taker to obtain responses in person. Regardless of how a household receives an invitation, they can respond via the internet or phone without the unique census ID included in the invitation. Just like all across the nation, in rural areas, if people do not response online, over the phone, or by mail, we will send a census taker to follow up with them in person.**

- a. How has the 2020 Census rural hard-to-count strategy changed since the 2010 Census?

**ANSWER: We changed our mailing strategy from 2010 to 2020, and we believe the new strategy will reach rural respondents more effectively. In 2020, about 20 percent of households in mailout areas will receive a paper questionnaire in the first mailing. Extensive data-driven research was undertaken to identify areas that should receive the paper questionnaire upfront. These areas included those with expected lower Internet usage, lower self-response rates, relatively higher concentrations of people age 65 or more, and areas with low Internet subscribership. All households in mailout areas that have not yet responded will receive paper questionnaires in April 2020.**

Furthermore, the Census Bureau has developed the Response Outreach Area Mapper (ROAM) tool. ROAM combines a metric for locating hard-to-count areas – the Low Response Score – with an interactive mapping platform allowing users to identify hard-to-count areas, and to better understand these populations for the purposes of 2020 Census outreach and promotion. Identifying areas that need extra attention can help make the most of time and limited resources when devising a communication and outreach strategy. The partnership coordinators and specialists are targeting areas that are deemed “hard to count” to enlist community organizations to help with outreach to those areas. ROAM is an invaluable tool for the various 2020 Census partnership programs, the partnership coordinators and specialists, and the 2020 Census communications contractor.

b. What steps is the Census Bureau taking to ensure an accurate enumeration in WV-03?

Our partnership specialists are working hard throughout the U.S. to ensure an accurate enumeration. Specifically, in WV-03, we have been in contact with your office to discuss partnership opportunities. Also, the Beckley Area Census Office is in WV-03. We worked with your office to recruit the staff for that office. We were also in coordination with Governor Justice when he announced the membership of the West Virginia Complete Count Committee. The Census Bureau is committed to an accurate enumeration, and we are highly engaged in West Virginia.

20. Rural children under five years old are particularly difficult to count. How does plan to increase awareness to accurately count rural children?

**ANSWER:** In April 2017, the Census Bureau established an implementation team to oversee activities and operational changes to improve the count of young children in the 2020 Census. Some of the changes included updating the wording of various census materials to reinforce the idea that the census counts everyone in the household, regardless of age or relationship to the householder. The Census Bureau also updated census taker and telephone assistance operator training materials to emphasize the importance of including young children. The Census Bureau is ensuring the messaging in our outreach to respondents and communities underscores the importance of an accurate count of young children. Census takers have received training in detail to ask follow up questions ensuring respondents are aware that they need to count children living in the household.

The implementation team engaged with external groups, including the National Advisory Committee, the Partnership for America’s Children, and the Census Information Centers to discuss outreach strategies and ideas for achieving a complete and accurate count for the 2020 Census. This message has been included on paid advertising, promotional materials, social media entries, and the Census Bureau website. Additionally, the Census Bureau is working on specific initiatives through the partnerships and Statistics in Schools efforts to target this problem. The Census Bureau even has a task force in the agency developing specific materials for this effort.



21. My district also has low internet connectivity. How does the Census Bureau plan to reach those in my district without reliable internet access?

**ANSWER:** All households can choose to respond online, over the phone, or by mailing the paper questionnaire. The areas that will receive paper questionnaires in the first mailing are available here: <https://www.census.gov/newsroom/press-releases/2019/contact-strategies-viewer.html>. Areas less likely to respond online, approximately 21.8% of households, will receive a paper questionnaire along with the invitation to respond online or over the phone. Areas assigned to receive a paper questionnaire first have a low self-response rate to the Census Bureau's ongoing American Community Survey (ACS), and have either low internet response rates, high population over age 65, or low rate of internet subscriptions. Regardless of whether or not a household receives a paper questionnaire in the first mailing, all households that have not responded after a few weeks will receive a paper questionnaire in the fourth mailing.

22. What portion of the integrated communications contract is allocated to rural media, partnership and outreach?

**ANSWER:** At this time, Team Y&R, our communications contractor, does not track media, partnership, and outreach funding by the rural category. However, the communications campaign will speak to rural communities through the media that they consume. In addition, the National Partnership staff has a team specifically focused on reaching rural communities through the Partnership Program. Reaching rural areas is an important priority for our outreach and promotional work.

23. How many partnership specialists will be hired in West Virginia, including WV-3?

**ANSWER:** We have 10 partnership specialists on board in West Virginia; four will be working directly in WV-3.

24. Address canvassing in the 2018 Test revealed device connectivity issues in very rural areas. What changes has the Census Bureau made in response to these problems in the 2018 Test?

**ANSWER:** In the 2018 Test, the Census Bureau learned important lessons for the Address Canvassing operation with regard to addressing connectivity issues, particularly with respect to the business rules that define the work our field staff are doing when they are not connected to the Internet, and we are making operational adjustments to address them. Specifically, there were some instances where address listers in the West Virginia site encountered problems accessing cellular connectivity. This was expected and one of the reasons that we selected the West Virginia test site; we wanted to see what happened in areas with low connectivity.

During the test, we used one national carrier to provide cellular connectivity. During the 2020 Census, the Device-as-a-Service contract will provide access to multiple national carriers and regional carriers, as well as possible roaming arrangements to

**ensure strong cellular connectivity during our operations. It is important to note that it is not a requirement for census takers to have cellular connectivity to do their jobs (by this we mean, the census takers can work seamlessly in a disconnected state). They only need to reach an area with connectivity to receive their work assignments, transmit completed work, and transmit payroll or administrative data. Devices worked well, both when disconnected and connected, as designed, during the Address Canvassing operation.**

**Questions for the record for Dr. Steven Dillingham, Director, Bureau of the Census  
regarding the hearing: "Oversight Hearing: 2020 Census Preparation"**

**The Honorable José E. Serrano  
Subcommittee on Commerce, Justice, Science, and Related Agencies  
Questions for the Record**

1. **Assuming the citizenship question is ultimately included in the 2020 Census, will Census count individual(s) who self-respond, but elect to not answer the citizenship question on the 2020 Census form?**

**Answer:** The 2020 Census will not include a citizenship question. A complete and accurate census depends on the collection of quality data for every household. We will encourage all respondents to respond to every question on the 2020 Census. However, we recognize that with any survey or census, item non-response may occur. For the online questionnaire, we will include prompts if the respondent has failed to answer a question. Also, failure to answer questions on the census increases the likelihood of a follow-up visit by a census enumerator. After the total person counts have been established, missing item data will be imputed pursuant to well-established methods and procedures.

2. **The Census Bureau last published a 2020 Census life cycle cost estimate in December 2017. Does the Bureau intend to submit an updated life cycle cost estimate or an update on where the cost variances are since your last estimate? If so, when might we expect that?**

**Answer:** The Census Bureau has completed a revised 2020 Census Lifecycle Cost Estimate. The public-facing document, called the Executive Summary, Version 2.0, was released on June 10, 2019 and is posted on the Census Bureau's website at <https://www.census.gov/programs-surveys/decennial-census/2020-census/planning-management/planning-docs/cost-estimate.html>.

3. **Does the Census FY 2020 budget request provide for a best or worst case scenario? In other words – is there sufficient cushion in the budget for things that might go wrong?**

**Answer:**

The funding request for FY 2020 reflects the cost of conducting and achieving a complete and accurate 2020 Census. It includes approximately \$1.1 billion in contingency funding.

The prior Administration significantly underestimated the cost of successfully conducting the 2020 Census. Upon taking office Secretary Ross undertook a thorough analysis with Census Bureau and Department of Commerce staff to determine an

accurate budget for conducting a complete and accurate 2020 Census. That deep dive analysis led Secretary Ross to support the \$15.6 billion 2020 Census Life Cycle Cost Estimate (LCE), which was presented to Congress in 2017. The President's FY 2020 Budget Request is consistent with the 2020 Census LCE, with the exception that it does not include the unknown-unknown contingency funding related to a sensitivity analysis around a few major assumptions that are in the \$15.6 billion estimate. The FY 2020 Budget Request does, however, support the full \$14.1 billion estimated cost of the operations of the 2020 Census in the LCE, which itself includes approximately \$1.1 billion in contingency funding for known risks. The Census Bureau is confident the \$14.1 billion estimate will support a complete and accurate 2020 Census.

The Census Bureau will work closely with Department leadership and appropriations committees to continually track and assess the 2020 Census program's progress and needs. Secretary Ross has previously stated that should any unknown unknowns become known then he would work with the Administration and Congress to seek any additional funds needed at that time.

4. **How does Commerce intend to use the data provided by the Department of Homeland Security (DHS) for its Decennial operation?**

**Answer:** Title 13 of the United States Code instructs the Census Bureau to obtain administrative records to the maximum extent possible and when consistent with the statistics required. The use of the administrative records will result in producing citizen and non-citizen estimates for the voting age population at the block level. The Census Bureau is seeking data from DHS to supplement its existing administrative records and provide additional information on citizenship. The format of the data product is in development and is planned to be released by March 31, 2021.

In accordance with Title 13, all information obtained about individuals through administrative records will be used only to produce statistics and will be subject to the confidentiality provisions of Title 13. As a result, the Census Bureau is restricted from providing information to any entity that identifies an individual or otherwise violates Title 13 confidentiality provisions. Protecting confidentiality is not only a legal requirement, but also part of the culture of the Census Bureau. All employees take a strict lifetime oath of confidentiality. Anyone who violates that oath is subject to five years in prison and up to \$250,000 in fines, or both.

5. **Doesn't gathering citizenship information from DHS eliminate Commerce's need for a citizenship question on the 2020 Census form altogether?**

**Answer:** The 2020 Census will not include a citizenship question. Pursuant to Executive Order 13880, the Census Bureau will obtain citizenship information for the 2020 Decennial Census via administrative records.

6. **Have you engaged in previous partnerships with the Department of Homeland Security since January 2017? If so can you please detail them? Additionally, can you confirm in writing that information generated from the use of these records will not be shared with DHS or any other federal agency?**

**Answer:** The Census Bureau has worked with DHS to enhance the cybersecurity posture of its IT systems and to share security threat intelligence. This partnership with DHS on security is completely separate from requests to obtain data. DHS does not have access to any information protected by Title 13—including individual census questionnaire responses—through its collaboration with the Census Bureau on cybersecurity or through any other means.

Following the Secretary’s decision on March 26, 2018, the Census Bureau reached out to officials within the DHS to obtain citizenship data, and that work continues under the Executive Order 13880. Throughout these negotiations, both the Census Bureau and DHS have underscored their shared commitment to ensuring that privacy and confidentiality is protected, and the Administration’s overall commitment to adhere to Title 13 protections was clearly reiterated in the Executive Order. No information that identifies an individual or otherwise is inconsistent with Title 13 confidentiality provisions will be shared with DHS or any other federal agency. All information obtained from any agency or respondents will be used only to produce statistics. Protecting confidentiality is not only a legal requirement, but also part of the culture of the Census Bureau. All employees take a strict lifetime oath of confidentiality. Anyone who violates that oath is subject to five years in prison and up to \$250,000 in fines, or both.

7. **It appears as if Commerce is prioritizing Justice’s request for block-level data over the Census Bureau’s Constitutional responsibility to enumerate “all persons”, despite Justice not illustrating a true issue with non-citizens showing up at the polls. What is Census doing to maximize participation within all minority groups, especially those who may have been undercounted in 2010?**

**Answer:** The 2020 Census Community Partnership and Engagement Program will focus the efforts of approximately 1,500 partnership specialists to increase self-response and participation in communities that, for any reason, are hesitant to respond or will not respond. Partnership specialists will use existing networks, resources, and “trusted voices” to increase census participation in low response communities. Stakeholder Communication and Engagement activities include 2020 Census Program Management Reviews, National Advisory Committee (NAC) Meetings, NAC working groups that focus on 2020 operations for hard-to-count populations, Census Scientific Advisory Committee Meetings, and congressional briefings.

The Census Bureau also conducted a series of tribal consultations with federally and state-recognized tribes. In addition, the Census Bureau’s many presentations to various audiences about the 2020 Census Operational Design often lead to feedback, and recommendations pertaining to hard-to-count populations.

Furthermore, the 2020 Census will enable limited English-speaking individuals to respond to the census by providing response options and assistance in multiple languages. This represents a significant expansion compared to the 2010 Census. The 2020 Census will feature the most robust language program built for any census.

The language program for the 2020 Census can reach more than 99 percent of the population. In 2010, the Census Bureau provided the questionnaire and telephone assistance in five non-English languages. In 2020, we are expanding this support to cover 12 non-English languages for online and phone response. Printed and video language guides and glossaries are being produced in 59 non-English languages. In addition, the Census Bureau will provide templates of the language guides and glossaries so that partners in communities and from organizations representing those who speak languages not covered by the 59 languages will be able to create guides in additional languages. Also, we are recruiting aggressively to hire field staff with language skills. Of our more than 550,000 applicants so far, nearly 20 percent can speak a language other than English, representing more than 400 languages and dialects.

8. **What steps is the Bureau taking to ensure that the 2020 Census does not experience a high rate of non-interviews after its follow-up on non-responders is completed?**

**Answer:** To minimize non-interviews, the 2020 Nonresponse Followup operation will include an improved contact strategy. The contact strategy will cover the procedural and business rule changes for the entirety of the Nonresponse Followup operation, including case assignment and all phases of the operation from beginning to end. The contact strategy will involve three phases – Phase 1 (fully automated routing and assignment of cases with emphasis on making contact with all households early in the operation), Phase 2 (restricting assignments to high performing interviewers with an emphasis on successfully completing interviews with all households), and Phase 3, closeout (focusing on getting minimal information for households to achieve an orderly completion of the operation). With each of these three phases, we will implement more controls and restrictions on case assignments and management to ensure effective and efficient completion of the operation.

9. **How prepared is the Census to face a tight labor market next year in 2020 when it needs to ramp up its hiring to hundreds of thousands of temporary workers? How are you changing your recruitment and hiring strategies to adapt from what Census did in 2010?**

**Answer:** The emphasis will be on competitive and attractive pay rates, as well as an easy application process. It takes 30 minutes or less to apply online compared to an average two-hour application process in 2010. Job offers will be contingent upon applicants passing a background check (including fingerprinting).

The Census Bureau is employing multiple hiring strategies, such as developing partnerships with local organizations that can get the word out about census jobs and encouraging media covering census events to mention 2020 Census jobs. Census recruiters will attend community meetings and will set up recruiting booths at public events like job fairs, county fairs, bazaars, tribal pow wows and other public events. The Census Bureau will place public service announcements, in addition to paid job advertising, in regional and local mainstream and ethnic media, including social media. The Census Bureau is also leveraging traditional social media without public service announcements by posting about census jobs on Facebook, Instagram, and Twitter. At the same time, the Census Bureau is also recruiting through traditional communication methods like issuing national and local news releases announcing census jobs as well as distributing posters, flyers, and other promotional materials.

10. **Is Census looking to expand its hiring to legal permanent residents? And does the U.S. Census currently hire LPRs who qualify for employment as specified under current law?**

**Answer:** Yes, the Census Bureau anticipates there may be a need to hire non-citizens to serve as translators in limited circumstances. The Census Bureau has established a “translator” position for the 2020 Census to acquire the specific languages skills needed to facilitate enumeration and the Census Bureau. Consistent with existing employment and appropriations law, and as the translator position is a temporary, excepted service position, which exists solely for the purposes of conducting the 2020 Census, the Census Bureau may hire non-U.S. citizens for these positions. As a point of reference, during the 2010 Census, the Census Bureau hired approximately 3,500 non-citizens out of a total workforce of more than 700,000 temporary employees to assist with enumeration activities, representing less than 0.5% of the total temporary census workforce. The Census Bureau anticipates a similar percentage of non-citizens could be hired as translators during the 2020 Census.

11. **With all the different types of communities across the country, and with not everybody getting mail delivered to their house or having internet access, how can people be assured that in their neighborhood, the right 2020 Census strategy is being used, and how can they know that they won't be missed in the enumeration?**

**Answer:** Every household will have the option of responding online, by phone, or by mail. Nearly every household will receive an invitation to participate in the 2020 Census from either a postal worker or a census worker: 95 percent of households will receive their invitation in the mail and almost 5 percent will receive their invitation when a census taker drops it off. In the latter areas, the majority of households may not receive mail at their home's physical location, like households that use PO boxes or areas recently affected by natural disasters. Regardless of whether households receive an invitation or not, they can respond via the internet or phone without the unique census ID included in the invitation.

All households that have not yet responded after the third mailing will receive a paper questionnaire in the fourth mailing (approximately April 8 – April 16). About 20 percent of households in mailout areas will receive a paper questionnaire in the first mailing (the "Internet choice" mail cohort). Extensive data-driven research was undertaken to identify areas that should receive the paper questionnaire upfront. These areas included those with expected lower Internet usage, which would be more likely to benefit from an earlier paper questionnaire. The primary factor in this delineation was census tracts that have lower self-response rates, including lower Internet response, to the American Community Survey. Secondary factors are tracts that have relatively higher concentrations of people aged 65 or older, and tracts with low Internet subscribership. The Census Bureau plans to release this information (which areas will receive paper questionnaires upfront) publicly this fall so that local governments, partners, and other stakeholders can plan accordingly.

12. **We understand that for the 2020 Census, the Bureau is working with the Department of Homeland Security, among other Federal and industry partners, on cybersecurity issues. How is the Bureau working to incorporate DHS recommendations for the cybersecurity of its 52 systems? Is the Bureau doing everything the Department is recommending or suggesting related to the 2020 Census cybersecurity efforts? What remains to be done between now and the Census day?**

**Answer:** The Census Bureau is collaborating on a variety of efforts with DHS and industry partners to optimize the security posture of the Census Bureau for the 2020 Census. DHS has provided a variety of recommendations, as well as advice on best practices for the Bureau to consider in preparing for the 2020 Census. The Bureau has completed about 80% of the recommendations and continues work on remaining recommendations where feasible. The remaining work will help to enhance our network security posture and incident response capabilities.



13. **What is (are) the Bureau’s contingency plan(s) if the systems have to be offline because of performance or scalability issues, data breaches, or natural disasters? Do these plans address how long a system can be down without affecting Census operations? What is the backup plan if the key technologies (internet and mobile devices, for example) do not work during the 2020 Census?**

**Answer:** The Census Bureau is confident that our systems are able to handle user demand and remain resilient against cyber threats. The Bureau is deploying a variety of measures to mitigate the risk of a disruption of service for both off and on-premise systems. These measures address natural disaster scenarios, as well as any major data center disruptions. We are implementing redundancy into our systems architecture to ensure continuity of operations. Multiple cloud availability zones are located in different geographic areas. Additionally, the systems are designed to take advantage of dynamic scalability solutions provided by cloud vendors. Our operations continuity plan also ensures that the self-response modes of paper, telephone, and internet are able to serve as alternate means to collect survey data.

14. **Last August, GAO reported that the Bureau’s timeframe to perform security assessments for systems, in some instances, went from at least 6-8 weeks to about 5-8 days during the 2018 End-to-End Test. According to the GAO report, this resulted in systems being deployed before the security of all systems components were assessed. Given that there will be a total of 52 systems, what is the Bureau’s plan for completing security assessments for each system in a timely manner to successfully carry out the 2020 Census operations?**

**Answer:** All systems used in the 2018 End-to-End Test were thoroughly tested and received an Authority to Operate by the Chief Information Officer and the “business owner” in the program in advance of being used in the test. Fifty-two systems have been identified to be used to conduct the 2020 Census. Forty-three systems have received an authorization to operate. Three have a current authorization to operate but may require reauthorization before being used in the 2020 Census. One system does not require an authority to operate. And, five systems do not have authorization to operate, but will be authorized prior to being used in the 2020 Census.

15. **GAO recently reported that the Bureau had identified nearly 1,100 system security weaknesses that needed to be addressed. What is the status of the Bureau's efforts to address these weaknesses? What steps is the Bureau taking to ensure that these are addressed in a timely manner?**

**Answer:** Since GAO issued its report, the Census Bureau has addressed and closed most of the findings. The Census Bureau continuously monitors its security posture to stay ahead of cyber threats. Each month the security team scans systems for more than 100,000 potential vulnerabilities, with new items added each month. The Census Bureau prioritizes remediation of any high-risk findings within strict timelines to most effectively reduce threats and improve the security of the systems. Unlike most Federal organizations, the Census Bureau intentionally tracks more findings at a detailed level to better show progress and increase visibility for our own operational purposes and our oversight bodies.

16. **GAO has reported that the Bureau deployed systems during its 2018 End-to-End Test before the security of all system components were assessed. Given that the Bureau collects personal information on hundreds of millions of people in the United States, what concrete steps is the Bureau taking to ensure that these assessments are completed before systems are deployed, and that corrective actions are adequately addressed?**

**Answer:** The Census Bureau follows a risk management framework that requires all Census Bureau information systems to be assessed for their security and receive authorization prior to deployment. All systems used in the 2018 End-to-End Test were thoroughly tested and received an Authority to Operate in advance of being used in the test.

Complementing the Census Bureau's Risk Management Framework, an Operational Delivery (OD) framework structures and tracks the development, testing, security assessment, and deployment of all 2020 Census systems. This OD framework includes a schedule that integrates and staggers system deployment to efficiently and effectively deliver systems on time. The Census Bureau has embedded security assessments for all 2020 Census systems within the overall framework's schedule to ensure that systems are fully tested and meet all requirements for deployment in compliance with their scheduled OD. The Census Bureau is currently on track to meet this schedule. As the program works through the system development lifecycle, staff identifies system weaknesses early in the process, proactively address these weaknesses to reduce residual risk to a minimum, and tracks and remediates these risks through plans of action and milestones (POAM) documents.

17. **What is the Bureau’s approach to making sure that cybersecurity risks related to systems are at an acceptable level before they are deployed? Does the Bureau have a risk threshold for 2020 Census systems? If not, why not? How does the Bureau determine the security corrective actions (i.e. plans of actions and milestones or POAMs) that will be accepted rather than addressed? What is the reason (e.g., schedule, cost, etc.) that these risks are accepted rather than addressed?**

**Answer:** As part of the Census Bureau’s Risk Management Framework Methodology, the Census Bureau embeds security engineers early in the secure development lifecycle to support programs in the identification and implementation of security controls to improve the security posture of information systems prior to deployment. The Census Bureau conducts manual and automated assessments to determine the security and privacy risks of information systems and documents those risks in a risk evaluation memorandum which includes quantitative (e.g. risk scores) and qualitative information. The qualitative impact value in the memorandum represents the potential impact resulting from a compromise of the confidentiality, integrity, or availability of an information system, expressed as a value of low, moderate or high. This information is used by the authorizing official to determine if the level of risk is acceptable based on mission, business, and operational needs. The Census Bureau makes risk-informed authorization decisions by considering a range of quantitative and qualitative security information. Further, the decision to accept risk associated with a security control is made by authorizing officials and is based on a variety of factors, including but not limited to, financial cost, vendor or technical limitations, schedule constraints, and operational needs.

**The Honorable Charlie Crist**  
**Subcommittee on Commerce, Justice, Science, and Related Agencies**  
**Questions for the Record**  
*Oversight Hearing: 2020 Census Preparation*  
April 30, 2019

- 1. Since disability is not asked on the census form, how will the Census Bureau conduct its outreach efforts to people with disabilities? And will studies be conducted to ensure that people with disabilities are not undercounted in the 2020 Census?**

**Answer:** The 2020 Census Community Partnership and Engagement Program is gearing up with a goal of signing up hundreds of thousands grass-roots organizations across the country to educate people about the census, motivate people to self-response to the census, and foster cooperation with census takers. This will include outreach to people with disabilities. Through creative components from the communications campaign—such as those in paid advertising, promotional materials, and Statistics in Schools—people living with a disability will be able to see themselves as part of a diverse population. The 2020 Census National Partnership Program will reach people with disabilities on a national scale.

The 2020 Census communications contractor, VMLY&R (also known as Team Y&R), has about a dozen subcontractors that specialize in various areas of communications or outreach with various segments of the population, including people with disabilities. For example, one of the subcontractors is the District Communications Group, which lends its expertise in outreach to disabled service members and veterans. The Census Bureau is working to ensure that the 2020 Census provides an equivalent experience for everyone regardless of needs or disabilities. Reaching hard-to-count communities, including people with disabilities, is woven into the entire design of the 2020 Census. The partnership program has reached out to the American Association of People with Disabilities, Disabled American Veterans, Paralyzed Veterans of America, the National Association of the Deaf, and many others to encourage support for the 2020 Census. The Census Bureau is also leveraging other organizations and Federal agencies to conduct outreach to people with disabilities. Furthermore, the 2020 Census is developed to conform to Web Content Accessibility Guidelines (which includes compliance with Section 508 of the Rehabilitation Act). Additionally, 59 video and print language guides will be available online, including in American Sign Language, braille, and large print. Census Questionnaire Assistance will include a telecommunication device for the deaf.

2. **Given the Administration’s decision to include a question regarding citizenship in the 2020 Census, the ongoing Supreme Court case, and increasing concern from minority and immigrant populations about being compromised by participating in the Census process, how much has the Census spent and how much does it plan to spend on media and outreach to educate and help further engage non-English speaking populations heading into the 2020 Census?**

**Answer: :** The 2020 Census will not include a citizenship question. Pursuant to Executive Order 13880, the Census Bureau will obtain citizenship information for the 2020 Decennial Census via administrative records. Regarding efforts to educate and further engage non-English speaking populations, the focus of the communications contract is to educate and motivate the public to self-respond, preferably via the internet, with special emphasis on reaching and motivating the hard-to-count audiences to respond. This includes not only paid media, but also local/national partnerships, the Statistics in Schools program, earned media, social media, and events. The Census Bureau awarded the 2020 Census Integrated Communications Contract, with a ceiling of \$518 million and current value based on a budget of \$498 million, to VMLY&R. Team Y&R has 15 subcontractors that specialize in communications with various segments of the population, including non-English speaking populations. Some of the subcontractors include Culture ONE World, which has expertise in the Hispanic market, and TDW+Co, which has expertise in the Asian-American market. The Census Bureau is also investing about \$500 million in its national and local partnerships program and other communications efforts led internally by Census Bureau staff.

In addition, the Census Bureau and Team Y&R will be making timely, data-driven adjustments during the 2020 Census communications campaign execution. This process involves using feedback and data to shift advertising spending levels, message content, media venues, partnership efforts, and other components of the communications campaign to focus on geographies or audience segments with lower-than-expected response rates, and adjusting resources expended on areas with high response rates, thereby gaining efficiencies.

Furthermore, the 2020 Census will enable limited English-speaking individuals to respond to the census by providing response options as well as assistance in multiple languages. This represents a significant expansion compared to the 2010 Census. The 2020 Census will feature the most robust language program built for any census, with the ability to reach more than 99 percent of the population. In 2010, the Census Bureau provided the questionnaire and telephone assistance in five non-English languages. In 2020, we are expanding this support to cover 12 non-English languages for online and phone response. Advertising, partnership, and promotional materials, at a minimum, will be in the languages covered by the 12 response options. Printed and video language guides and glossaries are being produced in 59 non-English languages. In addition, the Census Bureau will provide templates of the language guides and glossaries so that partners in communities and from organizations representing those who speak languages not covered by the 59 languages will be able to create guides in additional languages.

**The Honorable Marcy Kaptur**  
**Subcommittee on Commerce, Justice, Science, and Related Agencies**  
**Questions for the Record**  
**2020 Census Preparation**

- 1. Non-response follow-up—I am concerned that a shift in focus to online data collection will leave out lower income and elderly communities in urban areas with lack of access to internet services. In my own district, we send our constituent correspondence in paper form as we know this is the preferred means of communications for my constituents.**

**According to the GAO report, these new procedures and technologies have not been used extensively in earlier decennials and have not been fully tested. What extra steps is the Census Bureau taking to ensure thorough non-response follow up among already marginalized communities?**

**Answer:** Every household will have the option of responding on a paper questionnaire by mail, over the phone, or online. About 20 percent of households in mailout areas will receive a paper questionnaire in the first mailing. Extensive data-driven research was undertaken to identify areas that should receive the paper questionnaire upfront. These areas included those with expected lower Internet usage, lower self-response rates, relatively higher concentrations of people age 65 or more, and areas with low Internet subscribership. All households in mailout areas that have not yet responded will receive paper questionnaires between April 8 and April 16, 2020.

The 2020 Census Community Partnership and Engagement Program will focus the efforts of approximately 1,500 partnership specialists to increase self-response and participation in communities who are hesitant to respond or who will not respond. Partnership specialists will use existing networks, resources, and “trusted voices” to increase census participation in low response communities. While most nonresponse follow-up cases receive a maximum of six attempts, cases in hard-to-count areas may receive more than six attempts to achieve a consistent response rate for all geographic areas. When a language barrier is encountered, efforts will be made to identify an enumerator who speaks the language of the respondents. The overarching strategy for hiring enumerators is to hire people who will work in the communities in which they live.

- 2. I am concerned that Census response rates have consecutively decreased from 78% in 1970 to 63% in 2010. Indeed, the U.S. populace is becoming larger and more diverse. Meanwhile people of low economic means are very transient and experience more difficult in being counted. Greater outreach is desperately needed.**
  - a. How is the Census Bureau engaging Congressional offices to leverage their extensive relationships to increase Census turnout? How can Congressional offices assist in strengthening these efforts?**

**Answer:** As Dr. Dillingham noted in his testimony, Congressional offices are essential partners for encouraging 2020 Census participation. Congressional offices can reinforce the Census Bureau’s messages about the importance of responding to the 2020 Census and about the safety of providing responses and the confidentiality of the data.

Dr. Dillingham also noted that the Census Bureau distributed a 2020 Census toolkit for congressional offices, which is available at <https://www2.census.gov/about/ocia/2020-census-congressional-toolkit.pdf>. This toolkit describes ways that congressional offices may collaborate with Census Bureau headquarters- and field-based staff on outreach and communications. The toolkit includes suggestions on how to launch state and local campaigns to raise awareness about the 2020 Census, information on hard-to-count populations, sample messages for public and media engagement, resources to help congressional offices respond to constituent inquiries, and fact sheets on topics of interest to Congress and the public. We will continue soliciting feedback from congressional staff to inform an updated version of the toolkit to help ensure congressional offices have the information needed to support a complete and accurate count of the nation.

**3. Counting children—In my state of Ohio, 106,000 children live in an area the U.S. Census Bureau considers “hard to count.” Only nine other states have more young children at risk of being uncaptured. How steps with the Census Bureau take to count young children?**

**Answer:** The Census Bureau is ensuring the messaging in our outreach to respondents and communities underscores the importance of an accurate count of young children. Some of the changes included updating the wording of various census materials to reinforce the message that the census counts everyone in the household, regardless of age or relationship to the householder. The Census Bureau also updated census taker and telephone assistance operator training materials to emphasize the importance of including young children.

The implementation team engaged with external groups, including the National Advisory Committee, the Partnership for America’s Children, and the Census Information Centers to discuss outreach strategies and ideas for achieving a complete and accurate count for the 2020 Census. The message that the census counts everyone, including young children, has been included on paid advertising, promotional materials, social media entries, and the Census Bureau website. Additionally, the Census Bureau is working on specific initiatives through the partnerships and Statistics in Schools efforts to target this problem. The Census Bureau also has a task force in the agency developing specific materials for counting young children.

4. **Cybersecurity concerns—The Census is a vital democratic pillar, which allows Congress and the U.S. government to shape policies that fully reflect the population. According to the GAO report, the Census has not fully tested key IT platforms, and experiences delays in corrective actions associate with “high risk” and “very high-risk” vulnerabilities. I am troubled that foreign adversaries will use malicious disinformation tactics to undermine the population’s faith in the Census, as well as to suppress turnout.**
- a. **Similarly, I am troubled that malign actors would hack into Census databanks to steal the population’s sensitive data. What is the Census’ plans to strengthen Cyber protections?**

**Answer:**

Cybersecurity is a top priority for the Census Bureau. The Census Bureau has instituted a number of cybersecurity measures that will both protect and monitor the technology and data for the 2020 Census. The Department of Homeland Security, the Federal Intelligence Community, and industry partners have committed to provide the Census Bureau with specific support for the 2020 Census operations. This support will enhance the Bureau’s ability to be proactive and contain or stop a threat. Throughout 2019, the Census Bureau will work closely with these Federal and industry partners to develop and deploy the specific support capabilities needed for 2020 Census operations.

The Census Bureau has a comprehensive approach to cybersecurity. First, we have developed processes and procedures to ensure the systems are securely designed, built, and managed. The Census Bureau incorporates defensive layering and advanced tools into systems to identify, detect, and protect against threats. The team of cyber experts uses leading tools and methods to continuously monitor and analyze activity on the systems for threats. The team is trained to respond and recover from any identified threat, determine the source of the threat, and to take immediate action to minimize potential impact to data or systems. To complement the cyber team, the communications team is standing up a team to ensure the Census Bureau clearly communicates with partners and the public on the impact of any threat.

- b. **What are the current vulnerabilities in the system, and how do you plan on mitigating them?**

**Answer:** To ensure the highest level of security, the Census Bureau does not disclose our security posture to the public. The Census Bureau continuously monitors its security posture to stay ahead of cyber threats. Each month the security team scans systems for more than 100,000 potential vulnerabilities, with new items added each month. The Census Bureau prioritizes remediation of any high-risk findings within strict timelines to most effectively reduce threats and improve the security of the systems. Unlike most Federal organizations, the Census Bureau intentionally tracks more findings at a detailed level to better show progress and increase visibility for our own operational purposes and our oversight bodies. Also, the Bureau has contingency



and mitigation plans in place for its systems, which complies to the Census Risk Management Framework and security policies.

**c. Does the Census Bureau FY 20 budget provide sufficient funds to allow for a robust cybersecurity protections?**

**Answer:** Yes, the Census Bureau believes that the FY20 budget provides sufficient funds to deliver the cybersecurity protections to ensure a safe and secure 2020 Census.

- 5. In my own district, civil society organizations tell me that they are difficulty convincing people with Spanish-speaking abilities and of Hispanic heritage to apply for Census jobs. If people don't trust the Census to apply for jobs, how can we expect them to take the Census?**

**Answer:** Under Title 13, individual responses cannot be shared for any reason. There are no exceptions. The Census Bureau will not share respondent information with immigration or law enforcement agencies. Responses are confidential and will not affect respondent work authorization nor will they affect the ability to reside in the United States.

The Census Bureau and its contractors have conducted extensive research in how to convey these bedrock messages to the Hispanic community in impactful ways. Research shows that many in the Hispanic community do not want an enumerator to visit their home so messages that stress the ease and confidentiality of self-response are particularly effective. Messages that reinforce that individual Census data are strictly confidential and not released and that the census is non-partisan have tested well. To ensure the Census Bureau hires a diverse workforce, recruiting materials both in print and online are available in Spanish and feature Census Bureau employees of Hispanic origin promoting 2020 Census jobs. The Census Bureau has made it easy for organizations to share recruiting information in Spanish on social media.

**The Honorable Robert B. Aderholt**  
**Subcommittee on Commerce, Justice, Science, and Related Agencies**  
**Questions for the Record**

**Address Canvassing Efforts**

- 1. How are or were your address canvassing efforts aligned with the specific populations identified in the Response Outreach Area Mapper (ROAM) – i.e. remote, rural, low internet use areas?**

**Answer:** The Response Outreach Area Mapper (ROAM) tool helps quickly show areas that traditionally have a low response rate to censuses and surveys along with characteristics of those areas, rather than help us conduct address canvassing. The partnership coordinators and specialists are targeting areas that are deemed “hard to count” to enlist community organizations to help with outreach to those areas. With regard to Address Canvassing efforts, the Census Bureau will conduct a 100-percent review and update of the nation’s address list. We rely on the U.S. Postal Service’s Delivery Sequence File as the primary source for updating and maintaining the Master Address File (MAF). Additionally, this decade we have employed a suite of ongoing processes to acquire new addresses, and maintain and update information about addresses that were already in the MAF. We were able to verify about 66 percent of the nation’s housing units using our imagery-based, in-office portion of address canvassing, completed at the end of March 2019; the results informed where we would need to canvass in the field. The in-field portion began on August 18, 2019, when we sent census workers to areas that the in-office operations could not verify; we will need to verify around 34 percent of the addresses in the country. The in-field portion will include going to some of the areas identified by the ROAM tool, including some remote and rural areas.

In addition, we have acquired address information from tribal, state, and local governments through our Geographic Support System Program. Our Un-geocoded Resolution Project began in 2017 and has geocoded over a million addresses to census blocks. We conduct the Boundary and Annexation Survey annually, to collect information about selected legally defined geographic areas to ensure that all addresses are geocoded to the correct legal jurisdiction. The Local Update of Census Addresses (LUCA) Program process provides an opportunity for tribal, state, and local governments to review the Census Bureau’s address list for their respective jurisdictions. Our New Construction Program is available to local governments to provide addresses for housing units built after LUCA and ready for occupancy by Census Day. Each of these programs and processes serves to validate addresses in the MAF, correct address locations and provide addresses that may not be included in any other address datasets. Consequently, the MAF is more complete and accurate than it has ever been.

**2. What did your 2017 Address Canvassing operation reveal about your systems and operations needs?**

**Answer:** The 2017 Census Test allowed the Census Bureau to research new methods and advanced technologies to improve data collection during the 2020 Census and was not used to test the Address Canvassing operation. We did, however, test Address Canvassing operations in portions of Washington, West Virginia, and Rhode Island during our 2018 End-to-End Census Test.

In this last test, the Census Bureau learned important lessons for the Address Canvassing operation with regard to addressing connectivity issues, particularly with respect to the business rules that define the work our field staff are doing when they are not connected to the Internet, and we are making operational adjustments to address them. Specifically, there were some instances where address listers in the West Virginia site encountered problems accessing cellular connectivity; this was expected and one of the reasons that we selected the West Virginia test site (we wanted to see what happened in areas with low connectivity). During the test, we used one national carrier to provide cellular connectivity; during the 2020 Census, the Device-as-a-Service contract will provide access to multiple national carriers and regional carriers, as well as possible roaming arrangements to ensure strong cellular connectivity during our listing operations. It is important to note that it is not a requirement for a lister to have cellular connectivity to conduct listing, which means a lister can work seamlessly in a disconnected state. The lister only needs connectivity to receive their work assignments, transmit the completed listing, and transmit payroll/administrative data.

**3. How has the Census Bureau utilized the data from the ROAM with respect to its communication and partnership campaign? How has the data from the ROAM informed your estimates of field resource needs?**

**Answer:** The Response Outreach Area Mapper is an invaluable tool for the various 2020 Census partnership programs, the partnership coordinators and specialists, and the 2020 Census communications contractor VMLY&R (Team Y&R). Team Y&R is making use of the ROAM tool in working with its subcontractors that specialize in communications with various segments of the population that are considered “hard to count.” This process involves using the ROAM, response rates, and other data to shift advertising spending levels, message content, media venues, partnership efforts, and other components of the communications campaign to focus on geographies or audience segments with lower-than-expected response rates, and adjusting resources expended on areas with high response rates, thereby gaining efficiencies.

The ROAM is one of many tools and resources that partnership specialists will leverage to help identify people living in areas that traditionally have lower response rates, such as rural areas. Partnership Program staff use Census Bureau data and research to identify the demographic characteristics of hard-to-count groups. The Census Bureau will distribute this information to partners and the general public to use when shaping their outreach efforts. In addition, regional census centers will use this information when developing

and implementing partnership activities to illustrate types of partner organizations and where, geographically, to conduct events within each region. The Census Bureau has already partnered with close to 250 national organizations across many sectors and audiences served. For example, there are currently 26 organizations serving rural audiences. Partnership specialists work closely with partner organizations; state data centers; census information centers; governmental planning offices; and tribal, federal and state organizations in addition to community leaders and organizations to inform where populations who are traditionally undercounted are and to ascertain the best outreach strategies

#### **Preserving and Recouping the Substantial 2020 Census IT Investment**

- 4. The United States' predominant investment in the 2020 Census is the massive integration effort associated with the modern, Internet-based enumeration. With the 2020 Census IT systems migrated to the Cloud, integrated, tested, scaled and secure for the 2020 Census, what are the Census Bureau's plans to preserve this investment to reduce the cost for the 2030 Census?**

**Answer:** As the Census Bureau transitions from 2020 Census operations, the agency will look to leverage the 2020 IT investments for use to support enterprise survey operations. While the 2020 Census is unique from a scale and operational perspective, certain capabilities are applicable to all survey operations. For IT investments that support capabilities that are common across other survey operations, these investments will be assessed for application for the remainder of the enterprise. Decisions related to system expansion, modification, or decommissioning will be informed by future data collection, processing, and dissemination approaches that are influenced by external environmental factors, strategic planning, cost/benefit analysis, and risks associated with these alternatives. For example, looking to the future and more reliance on administrative and third party sources of data to improve and optimize collecting data and producing statistics will guide architectural decisions and accompanying systems for ongoing survey operations and planning for the 2030 Census. The Census Bureau already has begun these assessments, which will continue through FY 2020 to ensure that by FY 2021 the organization is well-positioned to begin transitioning relevant capabilities to survey operations and planning for the 2030 Census.

#### **Cybersecurity (For the Census Bureau)**

- 5. What are the greatest cyber security risks involved with the 2020 Census?**

**Answer:** Risks external to our systems such as social engineering, respondent device flaws, and invalid respondent data are the greatest cyber security risks to the 2020 Census. The Census Bureau, like other organizations, cannot prevent against unknown external threat to respondent devices or vulnerabilities in respondent networks. The Bureau is partnering with industry and government organizations to promote knowledge, understanding, and awareness of these types of threats for secure response submission.

- 6. Will you describe your efforts to learn from the experience of social media companies about combatting the kinds of threats that could undermine participation and the accuracy of the count?**

**Answer:** The Census Bureau has an extensive social media monitoring and listening strategy in place. By partnering with industry-leading technology companies and using their lessons learned from worldwide elections, the Census Bureau is training staff and contractors to identify different types of potentially malicious social media that spread misinformation. Additionally, the Census Bureau is sharing social media threat intelligence with Federal partners.

- 7. How will the Census Bureau maintain confidentiality with respect to the personal information of respondents?**

**Answer:** Systems and processes, employed for Census operations comply with requirements for collecting and storing confidential data, as mandated by Census Bureau and Department of Commerce policy and procedure. Anyone working on Census operations must abide by the Title 13 and Title 26 confidentiality requirements. Because every response is confidential, access is controlled to such information through strict procedures and policies. Violation of the confidentiality requirements of Titles 13 and 26 are punishable by fines and imprisonment. Census Bureau staff are trained annually and pass a test to ensure they are up to date with the policies and access the data on a business need basis. Additionally, the systems protect the data through means, such as encryption at rest and access controls, and are assessed independently by the Census Bureau's Office of Information Security and the Census Bureau's Privacy Office before being approved for deployment.

### **Integrated Communications Contract**

**Under the Integrated Communications Contract, the prime contractor, Young and Rubicam, has partnered with six other firms and subcontracted with 10 additional vendors with expertise in reaching select audiences.**

- 8. Which, if any, of these subcontractors has expertise in communicating with rural communities?**

**Answer:** The 2020 Census Integrated Communications Campaign contractor Team Y&R has extensive expertise reaching rural communities. Team Y&R is supported by subcontractor DCG communications, which focuses on veteran communities everywhere, including rural areas. All subcontractors have been instructed to ensure that their creative content, where appropriate, takes rural communities into account.

**9. What is being done to ensure this and other Census efforts are free of political influence?**

**Answer:** The energetic leadership of Secretary Ross and other Department of Commerce and Census Bureau political leadership has helped ensure the Bureau is adequately funded to fulfill its constitutional mandate. Close collaboration with and the support provided by Commerce political leadership for conducting a complete and accurate census have enabled the Census Bureau, an agency comprised almost entirely of career federal statisticians, survey methodologists, and economists, to do their jobs better. Political and career staff members collaborate effectively on all aspects of the 2020 Census, including working alongside our in-house and Team Y&R communications specialists on our advertising campaign. Together, they have been developing the research foundation that will inform the development of the media plan and the messaging. To bolster the reach of our advertising campaign, we are enlisting partners, spanning the political spectrum and representing diverse groups across the nation in both rural and urban areas, to help get out the message that the 2020 Census is easy, safe, and important. The Census Bureau, under the leadership and with the full support of the Commerce Department, will conduct a complete and accurate decennial census.

Questions for the Record for Ron S. Jarmin, Ph.D.  
Acting Director  
U.S. Census Bureau  
Department of Commerce

Submitted by The Honorable Jody Hice  
Committee on Oversight and Government Reform

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- The Census Bureau knows that some plurality of the citizenry will refuse to respond to any online or mailing efforts. My understanding is that after six attempts at contact the Census Bureau will begin consulting state and/or local records as well as checking credit bureau data.
  - Is that correct?
  - Which credit bureau will be accessed?
  - Which credit bureau records are checked?
  - What authorization does the U.S. Government have to access this personal data (possibly financial in nature) when an individual has neither given access to such information nor applied for a line of credit?
  - Considering the mess we had last summer with Equifax, and that government agencies like DHS, OPM, and the VA – among others – have had major data breaches, what assurances do the American people have that their personal credit bureau records are not at risk by the U.S. Government accessing and storing that data?

**Answer:** For the 2020 Census, “administrative records” and “third-party data” are terms used to describe micro data records contained in files collected and maintained by federal, state, and local government agencies (“administrative records”) for administering public programs and commercial entities (“third-party data”) providing commercial services. The Census Bureau has not used and will not use credit bureau or any other “third-party data” sources to enumerate households that do not self-respond to the census or to impute occupied housing units with characteristics.

For many decades, the Census Bureau has successfully and securely used administrative records and third-party data for statistical purposes. The Census Bureau obtains administrative records and third-party data under Section 6 of Title 13 of the U.S. Code, and Section 9 protects the confidentiality of these data, which by law the Census Bureau protects with the same rigor as data collected directly from respondents, employing a wide-range of policy, procedural, information technology, and methodological



safeguards. The Census Bureau uses administrative records to impute information for invalid, inconsistent, or missing responses. The Census Bureau uses third-party data sources, such as CoreLogic, to identify vacant or non-existing households, and to identify the best time to contact households in the Non-Response Follow-up (NRFU) operation and will continue to do so in 2020.

While the Census Bureau has obtained information from a wide-range of third-party data sources, the last credit bureau data received was a 2011 Experian data file. That data file contained only person and address identifiers; the Census Bureau did not receive credit rating/history data. These data were used for a research program following the 2010 Census, which was the 2010 Census Match Study. This study sought to determine how federal administrative records and commercial third-party data could enhance decennial census operations. The 2010 Census Match Study evaluated third party data coverage of population counts and persons at addresses for completeness and correctness compared to Census Bureau data. There are no credit bureau data acquisition efforts underway to support the 2020 Census.

For the purposes of enumeration, based on the current operational plan, each nonresponding household will receive multiple communications consisting of six mailings, including a paper questionnaire on the fourth mailing, and at least one in-person visit from a Census Bureau enumerator. If the enumerator is unable to contact a resident, the enumerator will leave a notice on the door encouraging the household to self-respond.

The Census Bureau estimates that up to 6.5 million households that do not respond to the NRFU enumerator will be enumerated using Federal administrative records, as noted in Federal Register Notice 2018-12365 at page 26646 (published on June 8, 2018). These cases, which represent less than five percent of the approximately 145 million addresses in the Census master address file, are part of the approximately 60 million addresses that constitute the expected NRFU workload for the 2020 Census. Administrative record enumeration will only occur in a well-defined set of circumstances when multiple contacts, including a visit, have not resulted in a completed questionnaire and where the Census Bureau is confident that the Federal administrative record data are reliable.

The Census Bureau has not yet made the final determination on whether the use of state administrative data, such as program data from the Supplemental Nutrition Assistance Program or Temporary Assistance to Needy Families, will be feasible. This determination is expected later this year. The Census Bureau does not and will not utilize or consult third-party data sources for enumeration purposes.

Questions for the Record for Earl Comstock, Director, Office of Policy and Strategic Planning, Department of Commerce; and Ron S. Jarmin, Ph.D., Acting Director, U.S. Census Bureau, Department of Commerce

Submitted by The Honorable Jimmy Gomez  
Committee on Oversight and Government Reform

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### **Administrative Records**

In his March 26, 2018 decision memo, Secretary Ross said the Census bureau today matches citizenship data of 88.6% of the US population. He also said that the Census Bureau will use the next two years to enhance its citizenship record sets.

To Dr. Jarmin:

*The Census Bureau has previously used Social Security Administration data for citizenship, do you plan to utilize Department of Homeland Security data as well? What other data sets are you seeking? Have you begun discussions with DHS/CIS about sharing their citizenship data?*

*By how much can the Census Bureau increase its citizenship data matching between now and 2020?*

*Why is DHS data not sufficient to close the remaining 11.4% gap in records?*

**Answer:** As directed by the Secretary, the Census Bureau is working to obtain as many additional Federal and state administrative records as possible to provide more complete, accurate and comprehensive information for the population. These records will be used in conjunction with the Census Bureau's existing data sets for various purposes for the 2020 Census, including providing information on citizenship. In addition to obtaining data from the Social Security Administration, the Census Bureau has initiated discussions with the U.S. Citizenship and Immigration Services, U.S. Customs and Border Protection, and the State Department for additional administrative records. The Census Bureau is still developing the methodology to integrate administrative data on citizenship in the 2020 Census. We are committed to sharing this methodology with stakeholders and the public as soon as it is ready.

### **Citizenship Question Procedure**

Section 141(f) of the Census Act requires the Department of Commerce submit the subjects to be included in the next census to Congress 3 years before the census date. The Census Act also requires you to submit census questions to Congress no later than 2 years before the census date.

To Dr. Jarmin:

*When you presented the subjects last year to Congress, did Congress direct you to add a Citizenship Question?*

**Answer:** No, Congress did not, at that time, ask the Census Bureau to add a citizenship question. In making both submissions, the Secretary of Commerce properly exercised his authority and discretion under Title 13 of the U.S. Code to determine the content of the decennial census.

The Census Bureau periodically conducts content reviews to ensure that the information collected through the decennial census is required or needed by federal agencies to carry out programs.

To Dr. Jarmin:

*When was the last content review completed and at that point did DOJ request the need for a citizenship question?*

**Answer:** The last content review was conducted in 2016, and the Department of Justice had not requested the citizenship question at that point. The request from the Department of Justice was received in December 2017.

*What changed between the time you provided subjects to Congress in 2017 and when the questions were due this past March that caused such a drastic change in DOJ's position to add a question?*

**Answer:** The Census Bureau lacks the knowledge to answer this question and respectfully defers to the Department of Justice.

### **Lack of Testing**

The Census Bureau's End-to-End test in Providence, R.I., is still ongoing. This is Census' final dress rehearsal and culmination of years of research and preparations to ensure all of its systems, operations and procedures are integrated and ready to go for 2020.

To Dr. Jarmin:

*The questionnaire that is currently in the field in Providence does not include the citizenship question. What is the impact of not testing a question before it goes live in the 2020 questionnaire? How will you know if the Citizenship question will have an impact on response rates and data quality if you are not testing it?*

**Answer:** The Secretary informed the Census Bureau of his decision, and submitted his decision to Congress, after the 2018 End-to-End Census Test in Rhode Island (2018 Test) was already underway. The systems for the 2018 Test had already been set up, and the paper questionnaires and other materials had already been printed. It is important to note that the critical focus for the 2018 Test and any other end-to-end test is to ensure that the key systems and operations are functioning effectively, not to test the content of questions.

The citizenship question that will appear on the 2020 Census contains identical wording to the question that has appeared on the American Community Survey (ACS) since 2005. The citizenship question underwent cognitive testing prior to being placed on the ACS and, as of the end of 2017, the Census Bureau has sent the ACS questionnaire to 42

million households and 2.5 million group quarters locations. The current citizenship question has been answered by 61 million respondents. In contrast, the 2015 National Census Content Test, which evaluated and compared different census questionnaire content, including the race and Hispanic origin questions, was sent to a far smaller sample of only 1.2 million households.

No question is tested by sending it to every U.S. household. One of the Census Bureau's goals of testing a question and options for responses is to ensure that all populations can cognitively understand the concepts associated with the question and can accurately respond within the options provided. This goal of cognitive understanding and the ability of respondents to accurately respond to the citizenship question has been met through its many years of use on the ACS.

To Dr. Jarmin and Mr. Comstock:

*What empirical data and evidence does Secretary Ross have that shows accuracy and response rates will not be at risk by the addition of an untested citizenship question?*

**Answer:**

In support of the Secretary's decision, the Census Bureau considered whether inclusion of the citizenship question would impact self-response, thereby increasing Non-Response Follow-Up (NRFU) operations. There was limited data to determine the potential impact to response rates, but the Census Bureau was able to evaluate information from the 2000 decennial census short and long form and the American Community Survey programs. Ultimately, the Census Bureau estimated that the NRFU workload could potentially increase by approximately 630,000 households, or 0.5 percent, as discussed in the Secretary's March 26 decision memo. The Census Bureau continued its analysis and published revisions in August of this year. See, J. David Brown & Misty L. Heggeness & Suzanne M. Dorinski & Lawrence Warren & Moises Yi, 2018. "**Understanding the Quality of Alternative Citizenship Data Sources for the 2020 Census**," Working Papers 18-38, Center for Economic Studies, U.S. Census Bureau, found at [<https://ideas.repec.org/p/cen/wpaper/18-38.html>].

To encourage self-response to the 2020 Census and facilitate NRFU, the Census Bureau plans to conduct a robust communications and partnership program working with trusted leaders in communities across the nation, with a particular focus on hard-to-count populations. Partners will include national organizations, local businesses, churches and other faith-based organizations, health clinics, legal aid centers, and other support organizations. The advertising and partnership programs will include materials and messaging in multiple languages, as well. Specifically, the \$480 million advertising contract supports the creation of advertising material in multiple languages; these materials will reassure all respondents that it is safe to respond to the 2020 Census because their responses are protected by law and cannot be shared with the public or any government agency.

The citizenship question that will appear on the 2020 Census went through cognitive testing before being placed on the ACS. The citizenship question being used for the 2020 Census contains identical wording to the question that is currently used on the ACS and

has appeared on the ACS since 2005. As of the end of 2017, the Census Bureau has sent the ACS questionnaire to 42 million households and 2.5 million group quarters locations. The current citizenship question has been answered by 61 million respondents. In contrast, the 2015 National Census Content Test, which evaluated and compared different census questionnaire content, including the race and Hispanic origin questions, was sent to a far smaller sample of only 1.2 million households. Finally, the Census Bureau is planning to conduct a randomized controlled trial test next summer to better plan for nonresponse follow-up operations, including hiring, and communications strategies for the 2020 Census. The randomized control trial test plans to ask a nationally representative sample of households to answer the planned 2020 Census questions -- the number of people, tenure, sex, age, date of birth, Hispanic origin, race, citizenship, relationship and coverage questions. The test will be designed to measure the operational effect of including a citizenship question on self response rates.

### **Outreach to Immigrant Communities**

It's my understanding that Census Bureau research<sup>1</sup> during its 2018 End-to-End test found a growing concern from respondents about the confidentiality of their information. Census researchers, in a memo dated September 20, 2017 found new concerns "...about topics like the 'Muslim ban,' ...discomfort 'registering' other household members ... repeated references to Immigration and Customs Enforcement (ICE), etc." Additionally, Census researchers found that this new phenomenon was especially prevalent among immigrant communities. This research was reported all even before the Administration requested the addition of a Citizenship question. I think it is safe to say that the addition of the Citizenship question will exacerbate these respondent fears. It's clear to me that whatever plan you had in place for immigrant communities needs to be reevaluated.

#### **To Dr. Jarmin:**

*Are you familiar with this research? How will the Census Bureau change or supplement their current outreach plans in the already hard-to-count immigrant communities in light of the new proposed Citizenship question?*

#### **Answer:**

In response to a GAO report that raised concerns about the prior Administration's funding and preparation for the 2020 Census, Secretary Ross directed the Census Bureau and Department of Commerce staff to conduct a thorough review of the budget for the 2020 Census and identified funding shortfalls and management changes that were needed to ensure a complete and accurate count in 2020. This review resulted in the Secretary's revised lifecycle cost estimate of \$15.6 billion for the 2020 Decennial Census program, which includes \$1.5 billion in contingency funding above the Department's independent cost estimate of \$14.1 billion to account for potential changes in assumptions and address unknown risks.

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<sup>1</sup> <https://www2.census.gov/cac/nac/meetings/2017-11/Memo-Regarding-Respondent-Confidentiality-Concerns.pdf>

In support of the 2020 Census Integrated Partnership and Communications Program, foundational research was conducted through the Census Barriers, Attitudes, and Motivators Survey (CBAMS) earlier this year. The results identified apathy and efficacy, concerns about data privacy and confidentiality, fear of repercussions, and distrust in government as challenges that the Census Bureau must overcome. We are incorporating the lessons learned from those efforts to craft the messaging in our advertising and partnership efforts to maximize self-response.

Specifically, the Census Bureau plans to conduct a robust communications and partnership program working with trusted leaders in communities across the nation, with a particular focus on hard-to-count populations. Partners will include national organizations, local businesses, churches and other faith-based organizations, health clinics, legal aid centers, and other support organizations. For the first time the Census Bureau will provide three methods – through the Internet, by phone and by mail – to make it easier for people to respond. The Internet Self-Response Instrument and phone operators will be available in 12 non-English languages. These 12 languages cover more than 87 percent of all households with limited English proficiency. English and the 12 languages cover more than 99 percent of all households in the United States. The paper questionnaire and mailing materials will all be in English and Spanish. There will be additional support materials in 59 non-English languages. The advertising and partnership programs will include materials and messaging in multiple languages, as well. Specifically, the \$480 million advertising contract supports the creation of advertising material in multiple languages; these materials will reassure respondents that it is safe to respond to the 2020 Census because their responses are protected by law and cannot be shared with the public or any government agency.

The FY 2018 Omnibus that Congress enacted has allowed us the flexibility and funding we need to hit the ground running in FY 2019. The Omnibus provided an additional \$1.056 billion beyond the program's estimate for 2018 (including contingency funds) to help provide financial certainty to the program as we transition from FY 2018 to FY 2019, and represent a downpayment for FY 2019 activity in FY 2018. We accelerated some activity from FY 2019 to FY 2018 to reduce overall risk to the program, including partnership and communications. These funds have allowed us to hire partnership specialists sooner and accelerate the planning for the communications campaign so we can quickly implement the communications strategies in FY2019.

A high-quality 2020 Census depends on reaching all segments of our population to motivate self-response and encourage people to open their door and engage when an enumerator follows up. An effective paid advertising campaign and partnerships that harness trusted voices in communities will motivate the public throughout the country to respond and this campaign will address confidentiality as well as the importance of the census for communities. Beyond these efforts, we are also encouraging all public officials to assist in assuring the public that their census responses are protected by law and cannot be shared with any government agency so everyone should participate to ensure a complete and accurate count.

## **Census Confidentiality**

The Census Act protects the confidentiality of respondent data so that it is only used for statistical purposes. In 2010, the Department of Justice confirmed in an opinion memo<sup>2</sup> that even the PATRIOT Act cannot compel the Census Bureau or the Department of Commerce to disclose names, addresses, or any other census data to federal law enforcement or national security officers.

To Dr. Jarmin and Mr. Comstock:

*Why are the Census Act's confidentiality assurances important?*

*Does the Department of Justice still believe no current law supersedes Title 13 protections? And can you confirm that the Census Bureau and the Department do not have plans, nor have you discussed any plans with the Administration, to hand over any citizenship data to federal law enforcement?*

**Answer:** The Department of Commerce is not in a position to respond for the Department of Justice.

The Census Bureau and Department of Commerce take the confidentiality assurances in the Census Act very seriously. No one should be afraid to answer the decennial census or any Census Bureau survey. The law is clear – the answers a person provides on a census form may not be used for law enforcement or any purpose that would reveal their identity or how an individual responded to a question. The Census Bureau is committed to protecting the privacy of respondents and the confidentiality of the census information, and does not share respondent information. Anyone who handles census data swears an oath to keep those data confidential for life. Under Title 13, using census responses for any other reason than to produce statistics is punishable by fines and up to five years in prison.

As set forth in sections 8 and 9 of title 13, United States Code, the Secretary, the Department and the Census Bureau are generally prohibited from disclosing individual census responses to anyone other than the respondent or from sharing census responses with any other government agency. We can confirm that the Census Bureau and the Department of Commerce do not have plans, nor have discussed any plans with the Administration, to share or provide federal law enforcement, or any other agency, census data that would identify any individual or how an individual responded to any question on the decennial census or any other Census Bureau survey.

## **Puerto Rico**

Citing budget uncertainty in late 2016, the Census Bureau announced it was cancelling plans to test field operations in Puerto Rico. The Bureau also said it would consider adding Puerto Rico to the 2018 End-to-End test. That turned out to not be the case. The purpose of the Puerto Rico

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<sup>2</sup> <https://www.justice.gov/sites/default/files/olc/opinions/attachments/2016/03/18/2010-01-04-census-confidentiality.pdf>

operation was to test Spanish language systems and non-traditional addressing in Puerto Rico. Failure to conduct these tests poses a risk to an accurate and complete 2020 Census in Puerto Rico, particularly in light of the aftermath of Hurricane Maria's devastation of the island.

To Dr. Jarmin and Mr. Comstock:

*What is Census doing to address both the lack of testing and the aftermath of the disasters in Puerto Rico?*

**Answer:** In areas hit hard by natural disasters, such as Puerto Rico, the Census Bureau converts operations to the Update/Leave operation. The Update/Leave operations is an on-the-ground listing effort close to Census Day, which ensures that shifting or evolving living situations are captured so that questionnaire packages are delivered effectively, and that housing units are accurately included in the Non-Response Follow-up operation. The Census Bureau did this in the areas affected by Hurricanes Rita and Katrina prior to the 2010 Census, and the Census Bureau has made the decision to enumerate the entire Commonwealth of Puerto Rico with the Update/Leave operation for the 2020 Census. We are working closely with the Government of Puerto Rico and will make additional operational adjustments as necessary.

Additionally, through the 2018 End-to-End Test, we tested systems that are critical to the 2020 Census, both in Puerto Rico and nationwide, including the Update Leave and Group Quarters operations. The Spanish language Internet Self-Response instrument was used during peak operations in Providence, Rhode Island, which was selected in part because it has a significant Spanish language speaking population. The Nonresponse Follow-up operations tested the Spanish language instrument that will be used in 2020.

The early operations of the 2018 End-to-End Census Test took place in three locations that included the very rural areas of the Bluefield-Beckley-Oakhill region of West Virginia, and in Pierce County, Washington. The Census Bureau gained valuable experience in implementing census operations in areas with no Internet connectivity, and we are currently adjusting our systems and operations based on what we learned. The Census Bureau successfully implemented its management systems in these areas, and field staff were able to receive their assignments and submit their payroll and operational data at the beginning or end of their shifts when they could connect to the Internet, but they did not require Internet access while they were actually doing their work. This is important to the Commonwealth of Puerto Rico, which includes areas with sporadic Internet connectivity, particularly in the aftermath of Hurricanes Maria and Irma.

*Hundreds of thousands of Puerto Ricans have moved to Florida. How are you dealing with the migration to Florida and communities in other states by Puerto Ricans?*

**Answer:** The Census Bureau will tabulate 2020 Census responses based on where people report that they are living most of the time as of April 1, 2020. If people have moved from Puerto Rico to Florida (or another state), they will be counted in Florida (or another state). Each year, the Census Bureau issues population estimates that update the decennial census counts for all states and municipalities based on births, deaths, or



migration. If people who moved out of Puerto Rico return after the 2020 Census, subsequent population estimates will reflect their return.

**Post-Hearing Questions for the Record  
Submitted to Hon. Steven Dillingham, Ph.D.  
From Ranking Member Gary C. Peters  
“2020 Census: Conducting a Secure and Accurate Count”  
U.S. Senate Committee on Homeland Security and Governmental Affairs  
July 16, 2019**

1. New technology will form the backbone of the 2020 Census, with IT systems for online self-response, community outreach, collecting responses door-to-door, managing employees, and more. The Bureau must ensure all these systems are fully secure. Many systems still have to complete multiple rounds of testing in 2019, where the Bureau will identify vulnerabilities and determine corrective actions. DHS cyber experts are also helping the Bureau conduct tests, and recommending security improvements. At GAO’s recommendation, the Bureau is currently implementing a tracking system to ensure it addresses DHS’s recommendations in a timely fashion. Please provide the Committee with a description of the tracking system for addressing DHS recommendations. By what date will the Bureau fully implement this tracking system?

**Answer: The Census Bureau CIO has fully implemented GAO’s recommendation to establish a formal recommendation management process. The process is now actively managed by a dedicated team member in the Office of the Deputy CIO. The process formally links five steps: 1) assign recommendation ownership, 2) analyze and categorize each recommendation, 3) define and execute the work, 4) track and report on the status, and 5) validate implementation and close out the recommendation when it is complete. The CIO leadership will monitor where each recommendation is in the five-step process and ensure that documentation is collected to demonstrate progress. Once each of the current recommendations have been reviewed, the Census Bureau will submit documentation to close GAO’s recommendation.**

- a. Has the Bureau considered any additional process improvements, to ensure it is tracking all system vulnerabilities and remediating them as soon as possible?

**Answer: The Census Bureau has increased transparency and management oversight by introducing additional status reporting for our executives, our information security staff, and system owners. These additional reports and regular meetings build upon our existing risk management process to manage the IT security posture of the Census. Our IT Risk Management Program calls for initial and annual systems assessments, as well as continuous systems monitoring conducted several times a month, when we review systems for hundreds of thousands of possible systems issues. Through this process, we identify areas of concern in our process and technology and work aggressively on any issues that require additional consideration. When necessary, we establish a Plan of Action and Milestones (POA&M) to track an issue to closure against a defined timeline. All POA&Ms are tracked in a database, available to system owners. Our Security team actively manages and provides transparency into POA&MS through regularly scheduled weekly meetings, quarterly deep dives, and ad hoc briefings to leadership to discuss security posture of systems.**

2. Major natural disasters occur each year in many states and communities. In 2019, we have seen wildfires in California, flooding throughout the Midwest, hurricanes in Florida and the Carolinas, and tornadoes in the Great Plains. The Bureau is working to adjust enumeration for areas affected by disasters in 2019. However, if major natural disasters occur immediately before or during the census, they could significantly disrupt census operations and prevent people from being counted at home. What are the Census Bureau's plans for adjusting each operation in an affected area if a major natural disaster occurs in 2020, either before or during the census? Please describe or provide a copy of these plans.

**Answer: The Census Bureau is committed to conducting a complete and accurate enumeration for the entire country, including areas that experience disasters immediately prior to or during census operations. Should such a disaster occur, the Census Bureau would form a rapid-response team that will immediately assess the event and formulate an action plan to address the specific disaster. The team will consist of both headquarters and field staff, and it will consult with federal state, and local authorities as appropriate and necessary.**

**In forming an action plan, the Census Bureau will consider the facts relevant to the specific disaster, including the timing and geography of the disaster, the local conditions, and safety. Additionally, the response to some natural disasters could be to deploy Mobile Questionnaire Assistance Centers (M-QACs) to the affected area, if the FY 2020 appropriations funds that operation. Regardless of the plan to address a specific disaster, communication will be key, including promoting self-response, sharing updates on operations, and informing local leaders and the public of our action plan. While developing and implementing our plans to address a possible disaster, we will communicate with our field staff, as well as state, federal, and local officials and local partners.**

3. In a May 2019 report, GAO found the Census Bureau added "Major Disasters" to its risk registry in July 2016, but the Bureau had not developed the documented "contingency plan" that Bureau guidance requires for risks added to the register. The Bureau told GAO it is making preparations that are not documented in a contingency plan. Does the Bureau plan to create a contingency plan for Major Disasters? If not, why not?

**Answer: The Census Bureau has a contingency plan developed to address the addition of major disasters to our risk registry. When unexpected events occur, such as natural disasters, geographic areas and certain populations may become hard-to-count. How the Census Bureau reacts and how we approach the 2020 Census enumeration depends on the event. When an event occurs, the Census Bureau will form a rapid-response team to assess the impact of the event and develop a recommended plan to deal with the event. In forming a response plan, the Census Bureau will consider facts such as the timing of the event, the severity, the affected geographic area, access to the affected areas, and other environmental concerns.**

**Recently, the devastation resulting from Hurricane Maria that hit Puerto Rico in 2017 resulted in a change to conduct Update Leave in Puerto Rico. This operation will allow additional**

recovery time for the impacted area before we update locations and will result in Census Bureau staff hand delivering questionnaires to all locations where people are living in Puerto Rico. We are also conducting Update Leave in area of the Florida Panhandle affected by Hurricane Michael and areas of California affected by fires in 2018. The Census Bureau will face the challenges of any unexpected event and will take steps necessary to enumerate the population affected by any such event.

- a. If the Bureau does not have such a contingency plan, in what manner has it documented its plans for responding to natural disasters in 2020? Please describe or provide applicable documents.

**Answer: The Census Bureau approved a contingency plan for addressing major disasters on March 27, 2019. Most notably from the contingency plan is that once a major disaster has occurred, the Census Bureau will form a rapid response team within 24 to 48 hours. The team will immediately assess the event and formulate an action plan to address the specific disaster.**

4. The Bureau's 2017 Lifecycle Cost Estimate of \$15.6 billion included \$1.42 billion for calculable, anticipated risks (discrete risks and Monte Carlo uncertainty), as well as \$1.2 billion in contingency funding for less predictable "unknown-unknown risks" such as natural disasters. However, the Bureau's 2020 Budget request assumed a lifecycle cost of \$14.1 billion, including approximately \$1.1 billion to account for all possible risks. The Bureau has stated it would request additional emergency funding if the need arises. Exactly how much funding will the Bureau set aside for "unknown unknown" risks, as compared to the other categories of risk?

**Answer: The full \$15.6 billion estimated cost in the 2020 Census Life-Cycle Cost Estimate includes estimates of what could occur based on the 2020 Census portfolio risk register, natural variance in cost-driving assumptions, and unknown or uncontrollable events that could impact the cost of the 2020 Census. This is an estimate intended to include in one figure the entire spectrum of risks to 2020 Census costs. The \$14.1 billion point estimate includes a level of risk mitigation that is in line with GAO best practices as well as Census Bureau managers' reasonable expectation of the level of resources that will be sufficient to conduct the 2020 Census in the vast majority of predictable scenarios.**

**The 2020 Census program was appropriated \$50 million to cover unknown risks in the FY 2018 Omnibus Appropriation, and more than \$40 million of that amount remains available. In addition, the budgets through FY 2020, which are consistent with the \$14.1 billion-point estimate, include approximately \$1.1 billion in contingency estimated in the life cycle cost estimate, which may be used for known risks or natural disasters that actually arise during the execution of the 2020 Census, among other risks.**

5. GAO recently conducted an audit of the Census Bureau's 2017 Lifecycle Cost Estimate. In its audit, GAO found the Bureau didn't meet all the criteria of a reliable cost estimate. For example, GAO found the Bureau needed to provide more supporting documentation and implement a system to track and report variations between actual and estimated costs. What has the Bureau done to address these concerns and to better justify its reported costs in its June 2019 Lifecycle Cost Estimate?

**Answer:** In GAO’s audit on the 2017 Life-Cycle Cost Estimate (LCCE), the report acknowledged significant improvement in all four characteristics of a reliable cost estimate: credible, accurate, comprehensive, and well-documented. This included meeting or substantially meeting in the areas of credibility, accuracy, and comprehensiveness, while receiving a “partially met” grade for the documentation characteristic. Still, the 2020 Census LCCE leapfrogged nearly every other civilian program in GAO’s 2017 audit.

To build on this progress, the Census Bureau put an aggressive plan into place to address the remaining areas and expects the cost estimate will display additional sophistication across all four areas with the latest release of the 2019 LCCE. Some of the specific improvements since the 2017 LCCE include the following:

- Clearer and more consistent line of sight between assumptions, methodology, and results across the suite of documentation artifacts.
- Better alignment between the program’s work breakdown structure and how the program is actually managed.
- Clearer depiction of multi-dimensional relationships in two-dimensional forms.
- More detailed documentation of actual costs, changes in the cost estimate, and subject matter expert-defined funding levels.
- Refined methodology for estimation of risk and uncertainty.

We shared the updated full suite of documentation with GAO and look forward to continuing work with their team to understand the multitude of improvements since the 2017 LCCE.

6. The Census Bureau will rely heavily on trusted community partners to address public mistrust, increase confidence in the census, and achieve an accurate count. Census Bureau partnership specialists have been tasked with building over 300,000 partnerships. In your testimony, you cited partnership specialists’ key roles in obtaining an accurate count in areas with low internet access, tribal lands and areas with unreliable mailing addresses, communities with language minorities not covered by the Bureau’s language assistance operation, and complex hard-to-count communities such as those in Detroit. In addition, partnership specialists must complete clerical duties. The Bureau will hire 1,501 partnership specialists, roughly two per U.S. county. How did the Bureau determine this was an adequate number of specialists, based on the duties of each specialist and the specific goals they are expected to achieve (e.g. recruiting a number of partners, developing outreach strategies, and addressing the needs of each hard-to-count community within their assigned area)?

**Answer:** The staffing allocation for the 2010 Partnership and Data Services Program was originally 740 partnership staff members, based on the allocation used for Census 2000. As a direct result of funding received from the American Recovery and Reinvestment Act in FY 2009, the number of Census employees working in the Partnership Program increased to 3,800 by FY 2010. The vast majority of these positions were low-graded assistants, who functioned in a support role, such as staffing booths at fairs and festivals, distributing promotional materials and shuttling paper documents. For the 2020 Census, the Census Bureau doubled the number of specialists over the original 2010 figure. These specialists will be assigned to work directly with partners in hard-to-count communities across the nation. Staff are

**assigned based on a variety of factors, including low-response scores and demographic factors such as population size and density.**

- a. What type of evaluation process will the Bureau use during and after the 2020 Census to determine whether partnership specialist staffing is adequate?

**Answer: Performance management is critical to optimizing the effectiveness of the Partnership Program. It involves key activities such as tracking, monitoring, reporting, and decision-making about the progress and associated risks for the program. With a large staff at the Census Bureau headquarters and 1,501 partnership specialists in the regions, the Census Bureau must measure progress toward accomplishing its goals using a systematic and transparent approach.**

**The Census Bureau will use the following criteria to help determine effectiveness of the Community Partnership Engagement Program:**

- **Governments and local partners are aware and support the 2020 Census.**
- **Establish committed partnerships with 300,000 partners by March 2020.**
- **Establish partnerships with at least one organization in, or that serves, census tracts that the Census Bureau considers to be hard-to-count tracts by March 2020.**
- **Facilitate the formation of Complete Count Committees or similar efforts in all 50 States, the District of Columbia, Puerto Rico and cities with a population of 200,000 or more by January 2020.**
- **Provide supplemental language support for more than 100 languages either directly or via established partnerships by February 2020.**

**The Census Bureau has taken a strategic approach to building the partnership team across the country. The partnership team consists of a diverse group that resonates with the communities that they serve. The Census Bureau recruited partnership specialists based on several factors including, geography, language, and familiarity with communities. Also, the Census Bureau has recruited visual information specialists throughout the country to assist in developing develop materials that connect with local communities and local media specialists to address local media inquiries and raise awareness of local census events and milestones.**

**Using specific objectives ensures the Census Bureau has trusted voices engaged in reaching everyone to communicate that the census is coming, it is important, it is safe, and that everyone should participate for themselves, their family, and their community.**

7. According to GAO's testimony and reporting, the Bureau planned to hire 1,181 partnership specialists by May 1, 2019 and 1,501 partnership specialists by June 30, 2019. However, the Bureau missed its May 1 goal. As of June 22, the Bureau had hired 813 partnership specialists, with an additional 830 applicants awaiting background checks completion. Why was the Census Bureau unable to fully onboard sufficient partnership specialists by its stated deadline?

**Answer: The delay experienced was due in large part to the administrative process of clearing**

**and onboarding workers for the 2020 Census. The Bureau has taken aggressive steps to address this issue.**

- a. What is the Bureau's estimated date to complete the hiring process for all 1,501 partnership specialists?

**Answer: As of November 14, there are 1,685 people who have accepted partnership staff positions, and of those, 1,506 are working. We have deliberately set aggressive targets for recruitment and hiring, and our local partnership program is thriving. 2020 Census partnership jobs attract talented people with great community roots and amazing people skills. But these jobs are temporary, and that means in a strong economy these people often find other work which will last beyond the end of their current term. This natural turnover means levels will fluctuate for the remainder of the 2020 Census. We are well above our 2010 Census peak for partnership specialists, and we have a thriving program of recruiting and supporting trusted voices to encourage everyone to respond to the 2020 Census.**

8. The Bureau cited a robust economy and low unemployment rate, as well as background check timelines, for delays in hiring. What processes should be improved to ensure the Census Bureau meets its hiring goals for partnership specialists in future decennial censuses?

**Answer: We believe there are ways to balance the importance of having fully vetted candidates for these positions and a more simplified application and onboarding process, and we have already improved processes to streamline partnership specialist hiring and onboarding. These improvements include moving the background check/clearance process to trained staff in the six Regional Census Centers, along with hiring additional staff at Census headquarters to assist with the process. We are investigating options to use our delegated hiring authority to streamline the onboarding process for these temporary workers.**

9. Many individuals will be able to respond to the 2020 Census using the internet self-response form, a paper questionnaire, or over the phone. However, some individuals may need to seek assistance in person, either because they do not have access to a phone or computer, do not speak a language supported by the online or telephone response mechanisms, or simply wish to receive trusted in-person assistance from a Census Bureau official when filling out their census questionnaire. Has the Bureau estimated the number of people who may need in-person assistance? How did the Bureau determine it had an adequate plan for in-person assistance, based on this number?

**Answer: The Census Bureau has developed multiple avenues to provide assistance to respondents, including telephone centers and an informative website. The Census Bureau will be hiring and training between 320,000 and 500,000 people for peak operations, including the staff who will make in-person visits to people who do not choose to respond to the census through our online, telephone, or paper questionnaires. We will focus on recruiting people from local communities with appropriate language skills and familiarity with local customs to assist people in completing their census questionnaires in person.**

- a. How will the Bureau evaluate the adequacy of in-person assistance at the conclusion of the 2020 Census?

**Answer: The Census Bureau plans to assess all major operations after the census.**

10. The Census Bureau has chosen not to implement in-person Questionnaire Assistance Centers for the 2020 Census. In many locations, it will rely on community partners to provide in-person assistance and devices for self-response. Does the Bureau plan to provide any sworn Census Bureau employees at permanent community locations to assist with self-response or answer questions from partners?

**Answer: The Census Bureau developed a Mobile Questionnaire Assistance Centers (M-QACs) proposal in response to a request by appropriators. If the Mobile Response Initiative is funded beyond the current continuing resolution, the Census Bureau would work with partners to identify key locations with prominent visibility where self-response rates may be low. Initially, the M-QAC locations will be where data models, such as the Response Outreach Area Mapper, help predict low self-response rates, or where community priorities are identified. As households submit responses, real-time self-response rates will drive where M-QACs will be. Because this effort is not tied to specific physical locations, the M-QACs could be deployed dynamically where they are most needed. M-QAC staff will go to where respondents are, to markets, festivals, events, and other high-traffic venues in hard-to-count areas. Rather than waiting for respondents to come to them, this staff will be highly mobile with the ability to go to multiple hard-to-count areas to generate increased awareness and facilitate self-response.**

- a. What training and materials will the Bureau provide to partners to ensure they provide accurate in-person assistance?

**Answer: We are currently working on materials for partners to ensure they understand census basics and can appropriately assist respondents. These can be found at <https://2020census.gov/partners>.**

11. The Consolidated Appropriations Act of 2019 directed the Census Bureau to devote funding to explore opening local questionnaire assistance centers in hard-to-count communities. In April 2019, the Bureau proposed a \$90.5 million “Mobile Response Initiative,” in which census recruiting staff would be retained and re-trained to assist with self-response. The staff would move as a mobile unit to various community gathering places, such as outdoor markets, to answer questions and provide tablets for self-response. However, there would be no permanent locations for assistance. Given the proposed staffing level, how many low self-response census tracts would the Mobile Response Initiative reach?

**If the Mobile Response Initiative is funded beyond the current continuing resolution, the Census Bureau would work with partners to identify key locations with prominent visibility where self-response rates may be low. Initially, the M-QAC locations will be where data models, such as the Response Outreach Area Mapper, help predict low self-response rates, or where community priorities are identified. As households submit responses, real-time self-response rates will drive where M-QACs will be. Because this effort is not tied to specific physical locations, the M-QACs could be deployed dynamically where they are most needed.**



**M-QAC staff will go to where respondents are, to markets, festivals, events, and other high-traffic venues in hard-to-count areas. Rather than waiting for respondents to come to them, this staff will be highly mobile with the ability to go to multiple hard-to-count areas to generate increased awareness and facilitate self-response.**

- a. How would the Bureau advertise the locations of Mobile Response teams in a timely way to ensure individuals seeking assistance know where and when it will be available, and what other measures would the Bureau take to provide predictable assistance locations?

**Answer: If this operation is funded, we will ask local partners to post hours when M-QAC staff will be available. We are investigating other options to advertise availability of M-QAC staff to ensure that this initiative could serve respondents in hard-to-count areas.**

12. The Census Bureau must work to combat traditional fraud. For example, a senior citizen may receive a fake phone call from someone who pretends to be a census-taker, asking for personal information. Or someone may receive a phishing email that appears to be from the Census Bureau. Please further describe the Bureau's efforts to protect the public against these types of fraud in the census. What resources will the Bureau provide community partners to help them identify and combat fraud, and when will these be provided?

**Answer: In preparation for the 2020 Decennial, the Census Bureau recognizes the traditional and new digital-based threats that will likely target the public. Our plan focuses on identifying threats to enable rapid mitigation action by working with our partners in the U.S. Government, the private sector, and community-based organizations.**

**We have published information [census.gov](https://www.census.gov) and [2020census.gov](https://www.2020census.gov) informing the public on how to avoid fraudulent activity or scams and outlining the types of personal information the Bureau will never request, such as your full Social Security number or full bank or credit card account numbers. Also, the public can report instances of fraud by contacting the Census Bureau Customer Service Hotline at 1 (800) 923-8282, by submitting a tip to [ask.census.gov/support/case](https://ask.census.gov/support/case), and by engaging the Bureau on Twitter (@USCensusBureau) and Facebook (<https://www.facebook.com/uscensusbureau>).**

**We also have established strategic partnerships with technology companies, including Facebook and Twitter, to serve as an authentic source of information on the 2020 Census on their platforms. We constantly monitor traditional media, social media, dark web, and intelligence data for misinformation, disinformation, reputational threats, and other fraudulent activities. Later this year, we will have an updated frequently asked questions page with additional detailed information and resources related to identifying and reporting fraud.**

**Further, the Census Bureau has reached out to several law enforcement associations to establish communications channels for reporting fraud or safety-related issues. The Bureau has also established a point of contact with the FBI to alert them of any significant fraud or related issues in their jurisdiction.**

13. A key component of effective census outreach will be to familiarize people with the online self-response option in advance of the March 2020 mailings. While sharing specific information about the portal could invite bad actors to replicate the website, it will be also be important to educate partners and the public on how to use the portal, and how to identify fraudulent websites. When and how will the Census Bureau release information on the internet self-response portal for this purpose?

**Answer: The Census Bureau plans to develop video and print language guides to help respondents navigate through the internet self-response instrument or the paper questionnaire. These guides will be available in English and 59 non-English languages, and they will also be produced in American Sign Language and Braille and be made available in large print. The printed guides will be available by the end of 2019 and the video guides will be available early 2020.**

14. Is the Census Bureau considering a mechanism to allow the public to report bugs, vulnerabilities, or other problems they identify or experience with the internet self-response portal?

**Answer: A common way the public reaches Census to report issues is via social media. The Bureau has a robust social media presence and quickly responds to questions or concerns.**

**Other ways of alerting us about issues include sending emails through the Census Bureau's "Frequently Asked Questions" site ([ask.census.gov](https://ask.census.gov)), calling the main call center (1-800-923-8282), or calling our Respondent Advocate (1-888-609-0563). Also, the feedback tool on [census.gov](https://census.gov) and [2020census.gov](https://2020census.gov) allow users to rate pages and content, which provides the opportunity to submit comments.**

15. GAO testified that there is a significant public perception risk the Bureau must counteract in 2019. GAO testified the Census Bureau should they be taking action at an elevated level to counteract this risk, given confusion and rhetoric regarding the inclusion of a citizenship question and related citizenship data measures. Since June 2019, has the Census Bureau or its communications subcontractors made any adjustments to its outreach and communications operations, to account for continuing confusion or mistrust related to the citizenship question?

**ANSWER: The decennial Census questionnaire does not include a citizenship question. Moreover, please see *2019 Census Test Preliminary Results* by Victoria A. Velkoff, Associate Director for Demographic Programs, available at [https://www.census.gov/newsroom/blogs/random-samplings/2019/10/2019\\_census\\_testpre.html](https://www.census.gov/newsroom/blogs/random-samplings/2019/10/2019_census_testpre.html), in which the Bureau explains that its nationally representative randomized field experiment's "major finding ... was that there was no difference in self-response rates between forms with and forms without a citizenship question."**

**In our outreach, we will emphasize that there is no reason to fear participating in the census. The law is clear—no personal information can be shared. Under Title 13 of the U.S. Code, the Census Bureau cannot release any identifiable information about individuals, households, or businesses, even to law enforcement agencies. The information collected may only be used for statistical purposes. Census Bureau staff take a lifetime oath to protect this personal information, and any violation comes with a penalty of up to \$250,000 and/or up to five years in prison.**

16. On July 11, President Trump issued an Executive Order regarding the collection of citizenship data. The Order directs all agencies to “provide the [Commerce] Department the maximum assistance permissible, consistent with law, in determining the number of citizens and non-citizens in the country, including by providing any access that the Department may request to administrative records that may be useful in accomplishing that objective.” How would the Executive Order change the Bureau’s current efforts to collect administrative records? Please provide additional details about the Census Bureau’s analysis of this Executive Order to the Committee as soon as possible.

**Answer: The Executive Order will improve the availability of administrative records available for statistical purposes. In section 3, the Order directs that “all agencies shall promptly provide the Department the maximum assistance permissible, consistent with law, in determining the number of citizens, non-citizens, and illegal aliens in the country, including by providing any access that the Department may request to administrative records that may be useful in accomplishing that objective”**

17. The Census Bureau is currently conducting a survey to test the effects of a citizenship question, which it planned and implemented before the question was ultimately excluded from the 2020 Census. From June 13 to July 22, half of the 480,000 surveyed households received questionnaires that included the citizenship question. The test concludes on August 15 and results will be reported in October. What does the Census Bureau intend to do with the results of this survey, now what the question will not be on the 2020 Census?

**Answer: The Census Bureau began planning this test in 2018, and mailings began on June 13, 2019. The 2019 test was designed to measure self-response rates and the possible operational impacts of a citizenship question on the 2020 Census, such as how many census takers might be needed and how to better communicate and follow-up with households that do not self-respond. Although the 2020 Census questionnaire will not include a citizenship question, the Census Bureau has ongoing surveys that ask a citizenship question. Results from this test may help inform operational decisions for those surveys, as well as future censuses and surveys. The Bureau has published an article, *2019 Census Test Preliminary Results*, by Victoria A. Velkoff, Associate Director for Demographic Programs, available at [https://www.census.gov/newsroom/blogs/random-samplings/2019/10/2019\\_census\\_testpre.html](https://www.census.gov/newsroom/blogs/random-samplings/2019/10/2019_census_testpre.html), in which the Bureau explains that its nationally representative randomized field experiment’s “major finding ... was that there was no difference in self-response rates between forms with and forms without a citizenship question.”**

- a. Since July 11 when the citizenship question was withdrawn, has the Commerce Department directed the Census Bureau to take any additional action with regard to this test?

**Answer: No.**

18. The Census Bureau will provide the online questionnaire and call-center help in 12 non-English languages. The Bureau will also offer language assistance guides (video and paper) in 59 languages. However, 7 languages included in the last Census were not included in the 2020 Census one. Why did the Bureau make the decision to exclude these languages?

**Answer: The language program for the 2020 Census will support more than 99 percent of the population. The Census Bureau has been monitoring language trends throughout the decade and used a robust, data-driven process when determining the languages for the 2020 Census in order to reflect the current language need. In determining the languages, we used the 2016 ACS 5-year estimates to create tabulations of languages spoken by at least 2,000 limited-English-speaking households. This list was compared with regional and state level data to ensure that the languages with the largest need in each region and state were represented, and the analysis led to the final list of languages.**

**In 2010, the Census Bureau provided the questionnaire and telephone assistance in five non-English languages. In 2020, we are expanding this support to cover 12 non-English languages. The language guides and glossaries are being produced in 59 non-English languages that demonstrate the greatest need based on the 2016 ACS 5-year estimates. While some languages from 2010 may not be on the list for 2020, new languages were added to reflect the current language needs for the 2020 Census environment.**

- a. How will the Bureau verify that each individual who speaks an unsupported language receives adequate language assistance, such as a language guide or in-person assistance from a census partner?

**Answer: The Census Bureau will provide additional language support by hiring field enumerators and partnership specialists with bilingual abilities to assist limited-English-speaking households with responding to the census. We are recruiting aggressively to hire field staff with language skills. Of our applicants so far, nearly 20 percent can speak a language other than English, representing more than 400 languages and dialects. We will continue recruiting to fill language needs for field work during 2020 peak operations and working to identify community resources when special needs arise.**

**In addition, the Census Bureau will provide templates of the language guides and glossaries so that partners in communities and from organizations representing those who speak languages not covered by the 59 languages will be able to create guides in additional languages.**

19. The Census Bureau has applied to OPM for a waiver to be able to hire non-citizens in limited roles, such as translators and enumerators with critical language skills. When will this hiring authority be approved and go into effect?

**Answer: Working with OPM, it was determined that authority exists under current law to hire legal permanent residents in limited circumstances. Consistent with law, the Census Bureau will hire non-citizen translators who are legally entitled to work in the United States on an as-needed basis during 2020 peak field operations for the Nonresponse Follow-Up operation. Hiring for that operation begins in February 2020.**

- a. How will the Bureau disseminate information to its staff, including Regional Directors, on how non-citizens can be hired when necessary?

**Answer: We have briefed our regional staff, including the Regional Directors, on the use of translator positions. As we work to implement this option in our operational planning, we will continue to guide our staff through the appropriate implementation strategy to ensure we comply with appropriations and employment law.**

20. For the 2020 Census, the Bureau has adopted “differential privacy” measures which “inject noise” into census data to protect privacy and prevent re-identification of personal data. These measures also result in tradeoffs between privacy and data accuracy. The Census Bureau’s approach attempts to protect privacy while delivering maximum data accuracy for the Bureau, federal programs, and researchers who use census data to measure outcomes, such as environmental impacts or housing affordability. What process did the Census Bureau use to consult with the research community and incorporate their input, when developing its differential privacy measures?

**Answer: Disclosure avoidance is essential to upholding the confidential guarantees in Title 13 of the U.S. Code, and it has been applied to statistical products since before the law was enacted in 1954. All disclosure avoidance systems, including those used in recent decennial censuses, trade-off accuracy and privacy protection. The Census Bureau has conducted extensive outreach to our data users to inform decisions about the design of the 2020 Census data products and the development and parameters for the Disclosure Avoidance System. Census Bureau senior officials have regularly consulted with our advisory committees, our subject matter experts have participated in academic workshops and conferences, and we have had extensive formal and informal dialogue with interested stakeholders on the Disclosure Avoidance System and the impact of differential privacy on their intended data uses. In July 2018, we published a notice in the Federal Register seeking public comment on the 2020 Census data products, with a specific focus on how these products are used and how those uses might be impacted by the switch to differential privacy, to which we received approximately 1,200 comments. In June 2019, we released the source code from the 2018 End-to-End test so that interested data users and researchers could apply it with varying parameters to actual Census data from the 1940 Census.**

**This stakeholder engagement is ongoing, as a number of important decisions about the design of the 2020 Census data products and the implementation of the Disclosure Avoidance System still need to be made, and feedback from the data user community is critical to making**

**informed decisions on these matters. Over the coming months, we will be conducting additional outreach to the academic and demographer communities and redistricting experts, among others, and we have hosted webinars and held tribal consultations with the American Indian and Alaskan Native communities.**

- a. How will the Bureau consult with researchers after the 2020 Census and in the future to help ensure data are usable for various research outcomes?

**Answer: One of the advantages of differential privacy in general, and the Disclosure Avoidance System in particular, when compared to traditional disclosure avoidance methods, is the ability to be fully transparent about the impact that the privacy protections have on the usability of the data for various data uses. The Census Bureau is committed to engaging with the researcher and data user communities before, during, and after the 2020 Census about the Census data products' accuracy and usability for various research and statistical analysis purposes.**

21. Question 31 on the Census temporary employment application (and Question 13 on OPM Form OF-306) states, "Are you delinquent on any federal debt? (Include delinquencies arising from federal taxes, loans, overpayment of benefits, and other debts to the U.S. Government plus defaults on federally guaranteed or insured loans such as student and home mortgage loans.) If "YES," ...provide the type, length, and amount of the delinquency or default, and steps that you are taking to correct the error or repay the debt." Have any applicants for 2020 Decennial Census temporary positions been denied employment or automatically excluded from consideration because of their response to this question?

**Answer: To clarify, the Declaration for Federal Employment (OF-306) form is not completed during the application phase. It is completed by a selectee after a tentative job offer is made for a 2020 decennial office position (e.g., Recruiting Assistant, Office Operation Supervisor, and Clerk.)**

**None of the selectees for the 2020 Decennial Census temporary positions have been excluded from consideration because of their response to Question 31 on the Census temporary employment application.**

- a. If a "Yes" answer does not automatically exclude an individual from consideration, what review process is triggered by an affirmative response and what written or other guidance is provided for OPM employees to evaluate this question?

**Answer: The Census Bureau issues a letter of interrogatory to a selectee who has disclosed a delinquency on any federal debt but did not provide the type, length, and amount of the delinquency or default and steps that are being taken to correct the error or repay the debt. This includes delinquencies arising from federal taxes, loans, overpayment of benefits; other debts to the U.S. Government; and defaults on federally guaranteed or insured loans, such as student loans or home mortgage loans.**

**The Census Bureau does not make an unfavorable determination with respect to the suitability of a selectee for federal employment because the selectee is or was unemployed or has experienced or is experiencing financial difficulty through no fault of their own, provided the selectee has undertaken a good-faith effort to meet the financial obligations.**

**No written or other guidance is provided to the Office of Personnel Management from the Census Bureau to evaluate the case unless it is provided by the selectee to support their answer to Question 13. If the Census Bureau receives additional information or documentation from the selectee, it is submitted to OPM as an attachment to the selectee's OF-306 form.**

- b. Are applicants who are otherwise qualified given an opportunity to further explain the details of the delinquency?

**Answer: Yes, the selectee is allowed the opportunity to explain if there is a delinquency. This takes place after a selection is made, not during the application phase.**

**Post-Hearing Questions for the Record  
Submitted to Hon. Steven Dillingham, Ph.D.  
From Senator Kamala Harris**

**2020 Census: Conducting a Secure and Accurate Count  
Senate Homeland Security and Governmental Affairs Committee  
July 16, 2019**

**Countering a Climate of Fear**

Just a few days after the Supreme Court decision on the addition of a citizenship question to the 2020 Census, both the Department of Justice and Secretary of Commerce Wilbur Ross confirmed that the 2020 Decennial Census questionnaire would be printed without a citizenship question.

However, President Trump tweeted that those reports were “FAKE.” Afterwards, the Department of Justice announced that it would assign a new team of lawyers to the census cases, but a New York federal judge found that the request was insufficiently justified and rejected the request. President Trump then stated that the administration would no longer pursue the addition of a citizenship question to the 2020 Census and, instead, issued an executive order that directs the agencies to essentially acquire the same information through different means.

The administration has threatened nationwide raids targeting immigrant families, including families in my home state of California. People are reportedly so fearful that they are staying home from work. One mother called into a community hotline because her little girl wasn’t feeling well, but the mother was afraid to take her daughter to the doctor. I am concerned that the administration’s rhetoric regarding the inclusion of a citizenship question, coupled with its indiscriminate interior immigration enforcement efforts, has created a chilling effect in our immigrant communities.

1. What is the Census Bureau doing to ensure that the fear within immigrant communities created by this Administration does not impact the accuracy of the count?

**Answer: The Census Bureau notes that there are always concerns about responding for every census and for each of our surveys from a wide variety of people and from many different communities. However, we are pleased to provide details on our communications campaign. All of our messaging is based on comprehensive testing that demonstrated what messages worked for a variety of audiences.**

**We will emphasize that there is no reason to fear participating in the census. The law is clear—no personal information can be shared. Under Title 13 of the U.S. Code, the Census Bureau cannot release any identifiable information about individuals, households, or businesses, even to law enforcement agencies. The information collected may only be used for statistical purposes. Census Bureau staff take a lifetime oath to protect this personal information, and any violation comes with a penalty of up to \$250,000 and/or up to five years in prison.**



**We will also emphasize how important the census is to local communities for representation, allocation of funding, and more. A complete count requires a grassroots effort with local officials and respected leaders in communities working as partners. We will use traditional advertising, digital advertising, and social media to spread the word. If people do not want a visit by a census taker, they can avoid that by responding securely and confidentially online, by phone, or by mail. These messages will also be carried forward by our partners at both the national and the local level. 2020 Census partners, the trusted voices in the communities they serve, are often the most important and persuasive voices in the decennial census. It is critical for them to emphasize the importance and safety of responding to the census, along with the important fact that we include everyone regardless of their immigration status, and the partnership support materials we are providing to them will make this clear.**

2. If DHS conducts raids during the 2020 Census, and people are too scared to answer their doors, check the mail, or attend census-related events, what will you do to make sure people feel safe enough to be counted?

**Answer: We will emphasize that there is no reason to fear participating in the census. The law is clear—no personal information can be shared. Under Title 13 of the U.S. Code, the Census Bureau cannot release any identifiable information about individuals, households, or businesses, even to law enforcement agencies. The information collected may only be used for statistical purposes. Census Bureau staff take a lifetime oath to protect this personal information, and any violation comes with a penalty of up to \$250,000 and/or up to five years in prison.**

**Also, responding to the census will be easier than ever. Households will be able to respond to the census in multiple ways, and they do not need the preassigned census identification number that will come in the mailed materials. If households do not check their mail or do not have the materials, they can respond either at the secure website or by calling a toll-free phone number. Also, anyone can choose to mail back a paper questionnaire. If households self-respond, there will be no need for follow-up mailings and no need for a census taker to come to the door. Through our partnerships, communications, advertising campaigns, and outreach, we will amplify these messages. In addition, 2020 Census partners, the trusted voices in the communities they serve, are often the most important and persuasive voices in the decennial census. It is critical for them to emphasize the importance and safety of responding to the census, along with the important fact that we include everyone regardless of their immigration status, and the partnership support materials we are providing to them will make this clear.**

3. Will you commit to pursuing an agreement with DHS to ensure that immigration enforcement activities do not interfere with the 2020 Census?

**Answer: The Census Bureau will inform DHS, along with other federal, state, and local law enforcement officials, about our activities.**

4. Will you commit to pursuing an agreement with DHS to ensure that immigration enforcement does not take place at events that promote participation in the 2020 Census?

**Answer: The Census Bureau will inform DHS, along with other federal, state, and local law enforcement officials, about our activities. We will work with federal, state, local, corporate, and faith-based partners to remind the public about Title 13 protections.**

### **Countering a misinformation campaign**

It is illegal for the government to use individual-level Census data for any additional purpose. Yet, according to the Census Bureau's Census Barriers, Attitudes, and Motivators Study Survey Report (CBAMS), 10% of respondents believe the census is used to locate people living in the country without documentation and another 37% "did not know" if the census was used this way. Additionally, racial and ethnic minorities are more likely to be concerned than white Americans that the Census Bureau will share their answers with other government agencies.

According to a Reuters report, the Census Bureau has had discussions with researchers about efforts of "far-right actors and foreign governments" to use disinformation campaigns to discourage minorities from participating in the 2020 Census. The most recent version of the 2020 Census Operation Plan rated the risk exposure that public perception of confidentiality would affect 2020 Census operations as high.

5. What is the Census Bureau doing to counter misinformation about the confidentiality of census questionnaire responses?

**Answer: To combat inaccurate information about Census questionnaire confidentiality, the Bureau proactively monitors traditional and social media platforms for mis- and disinformation and reputational threats. We also coordinate with Federal and local community partners to help identify potential mis- and disinformation campaigns and possible fraudulent activity. We respond to identified threats by consistently updating Census website information and resources, partnering with technology companies to appropriately remove fraudulent information and actors, and engaging community partners to ensure updated information is available to local communities. In the event of questions, concerns, or suspected misinformation, we encourage the public to email our dedicated inbox, [rumors@census.gov](mailto:rumors@census.gov).**

**Our media campaign, based on the most extensive research ever for a census campaign, will have a key focus on confidentiality. Based on what we learned from Census Barriers, Attitudes, and Motivators Survey (CBAMS) and other research, we are planning aggressive messaging through many forms of media (television, online advertisements, social media, print, radio, local newspapers, and more) to reassure the public that responses to the census are confidential and cannot be shared with any other agency, including law enforcement. We encourage help from Congress, State, Local, and Tribal leaders to assure the public that responding to the census is safe and that responses will be**

**kept confidential. In addition, the questionnaire itself has a clear message at the top noting that answers are protected by law.**

6. Will you, as the head of the Census Bureau, ensure that census data is not being used for immigration or law enforcement purposes?

**Answer: The law is clear—no personal information can be shared. Under Title 13 of the U.S. Code, the Census Bureau cannot release any identifiable information about individuals, households, or businesses, even to law enforcement agencies. The information collected may only be used for statistical purposes. Census Bureau staff take a lifetime oath to protect this personal information, and any violation comes with a penalty of up to \$250,000 and/or up to five years in prison.**

### **Sexual Orientation and Gender Identity (SOGI) Question**

In your response to my Questions for the Record from your nomination hearing, you committed to meeting with representatives from LGBTQ groups about the importance of collecting SOGI data on the decennial census and the American Community Survey. The Census Bureau delivered a report to Congress on topics to be included in the 2020 Census and the American Community Survey. The report did not include the topic of sexual orientation and gender identity even though a previous draft of the report did. That is why I made this request.

7. Which LGBTQ groups have you personally met with about this topic?

**Answer: I am committed to meeting with many diverse groups that can provide insight into the need for data. I support the missions of the groups, and I welcome working collaboratively for mutual support. I have met with the following groups that have interest and expertise in this topic:**

- **The Leadership Conference on Civil and Human Rights, a coalition comprised of more than 200 national organizations to promote and protect the civil and human rights of all persons in the United States.**
- **The Census Project, a collaboration of business and industry associations; civil rights advocates; state and local governments; social service agencies; researchers and scientific societies; planners; foundations; and nonprofits focused on housing, child and family welfare, education, transportation, and other vital services.**
- **The Census Scientific Advisory Committee (CSAC), which addresses emerging census challenges including adaptive design; cyber infrastructure; demographic, economic and statistical research; and technical and operational priorities.**
- **The National Advisory Committee on Race and Ethnicity (NAC), which considers topics such as hard-to-reach populations, race and ethnicity, and other groups, including LGBTQ stakeholders.**

8. What were the dates of those meetings?

**Answer: The Leadership Conference on Civil and Human Rights: February 14, 2019; The Census Project: February 27, 2019; CSAC: March 28, 2019; NAC: May 2-3, 2019, and November 7-8, 2019.**

9. Will you commit to adding a sexual orientation and gender identity question to the American Community Survey?

**Answer: The Census Bureau will continue to research the best methods to produce statistics on sexual orientation and gender identity, and I will carefully consider the advice and expertise of career Census Bureau staff and external stakeholders.**

### **Census Bureau Staff Diversity**

In your response to my Questions for the Record from your nomination hearing, you committed to meeting with volunteer employee organizations that comprise the Census Bureau's Diversity Network on the topics of workforce diversity in supervisory and Senior Executive Service roles at the Census Bureau.

10. Which constituent groups of the Census Bureau's Diversity Network have you personally met with about diversity in supervisory and Senior Executive Service roles?

**Answer: I have met one-on-one with many of our dedicated and diverse employees as we continue working to ensure we have the best and most diverse workforce possible. I was pleased to meet with the Rainbow Alliance and participate in their annual ice cream social to celebrate LGBT Pride Month. I also joined the Census Bureau's Diversity and Inclusion Showcase and met with the participants. I spoke to the group, and I appreciate their ongoing and valued advice to me involving diversity and leadership.**

11. What were the dates of those meetings?

**Answer: Rainbow Alliance: June 4, 2019. Diversity and Inclusion Showcase: August 27, 2019, plus many more meetings with our diverse leadership and staff.**

I made this request because, according to publicly available data from the Office of Personnel Management, there are no reported Latino Americans, Asian Americans, or Native Americans in the Census Bureau's Senior Executive Service.

12. How will you ensure that the Census Bureau's workforce reflects America's diversity?

**Answer: Under my leadership, the Census Bureau remains committed to fair hiring practices. Goal 4 of the Census Bureau's FY 2019-2022 Strategic Plan is Talent Management with the summary statement "fosters a diverse workforce to meet current and emerging needs." I fully support this goal, and I support the offices within the Bureau that focus on diversity inclusion. The Diversity and Inclusion Office is committed to attracting, developing, and maintaining a diverse and inclusive workforce where people of all cultures, backgrounds, and experiences feel welcomed, respected, and valued. The**

**Reasonable Accommodation Office works to remove barriers to the employment of people of all abilities. Its staff participates in activities sponsored by community-based organizations, state, and the District of Columbia vocational rehabilitation offices to demystify the federal hiring process for persons with disabilities. Finally, the Section 508 Program Office works to increase the diversity of the Census Bureau's workforce enabled through inclusive technology and expanded access to the Census Bureau's digital services by persons with disabilities.**

**Additionally, the Census Bureau conducts a quarterly and annual review of its workforce, and the results are shared with the Census Bureau leadership to ensure awareness of workforce demographics and policies affecting hiring, specific actions needed to meet goals, and possible barriers to hiring. The Census Bureau works with the Department of Commerce to develop strategies and mechanisms to analyze applicant, exit, and retention data. The Census Bureau also participates on the Department of Commerce's quarterly Barrier Analysis Working Group to analyze the Hispanic, Disability and Senior Executive Service feeder pool data.**

**I will continue to emphasize the need for diversity and inclusion at Census Bureau Human Resource meetings and events.**

- 13. What changes are you going to make to improve the agency's hiring practices and attract a more diverse applicant pool?**

**Answer: I fully support the Census Bureau's initiatives to recruit and maintain a diverse workforce. Currently, the Bureau is working to build a stronger talent pipeline through sourcing and outreach. This will include deploying a recruitment marketing strategy that involves such steps as the following: crafting the ideal candidate experience; maintaining a talent community; developing Census brand ambassadors; creating career microsites for mission critical occupations; tracking sources and streamlining outreach using candidate relationship management; developing relationships with recommended universities; and leveraging job boards outside of USAJOBS to attract more candidates. Some of these outreach tools include a database of candidate resumes that is searchable by skillset, a website that provides a way to find strong job candidates, and professional networking organizations.**

### **Language Access Support, Cultural Competency and Census Hiring**

The Census Bureau reports that at least 350 languages are spoken across the United States. However, the paper census form will be provided in English and Spanish only. Individuals requiring any other language must complete the census form online.

- 14. How will the Census Bureau help people with limited-English-proficiency complete the census forms?**

**Answer: Respondents will be able to respond to the 2020 Census online and by telephone in the following 12 non-English languages: Spanish, Chinese, Vietnamese, Korean, Russian,**

Arabic, Tagalog, Polish, French, Haitian Creole, Portuguese, and Japanese. All mailing packages sent to households will include a language assistance sheet, providing instructions in 12 non-English languages on completing the questionnaire through the internet and Census Questionnaire Assistance. These instructions will explain how to access the non-English versions of the internet instrument and provide phone numbers that are dedicated to each non-English language. Our language program can reach more than 99 percent of all U.S. households.

The Census Bureau will provide additional language support by hiring field enumerators and partnership specialists with bilingual abilities to assist limited-English-speaking households with responding to the census. We are recruiting aggressively to hire field staff with language skills. Of our applicants so far, nearly 20 percent can speak a language other than English, representing more than 400 languages and dialects. We will continue recruiting to fill language needs for field work during 2020 peak operations.

In addition, the Census Bureau will provide templates of the language guides and glossaries so that partners in communities and from organizations representing those who speak languages not covered by the 59 languages will be able to create guides in additional languages.

15. How will you ensure that enumerators have the language skills and tools they need to conduct a complete count when they are collecting data in the field?

**Answer:** The Census Bureau's focus in our recruiting and hiring process is to make it local and representative of the diversity of the nation. We want enumerators who are comfortable and familiar with the neighborhoods where they work and live.

Also, we are recruiting aggressively to hire field staff with language skills. Of our applicants so far, nearly 20 percent can speak a language other than English, representing more than 400 languages and dialects. We will continue recruiting to fill language needs for field work during 2020 peak operations.

The enumerators will also have the enumeration instrument available in English and Spanish and will be able to toggle between the two languages. We also provide enumerators with a language identification card to help identify a language spoken by a household. When an enumerator encounters a language barrier at the door, they will be able to show the Language Identification Card that features a brief statement in 59 non-English languages so that we know how to better assist.

There are reports that the Census Bureau has had trouble hiring a sufficient number of employees to properly carry out the census. On June 7, CNN Business reported that "[i]n May 2009, the Census Bureau had 69,000 temporary workers on its payroll in the early stages of its ramp-up to a total of 564,000 workers a year later." According to the same report, "[l]ast month, according to the Bureau of Labor Statistics, the Census Bureau had only 2,000 temporary workers on staff, in a potentially troubling indicator of the agency's level of readiness for carrying out the Constitutionally-required enumeration."

16. What is the Census Bureau's plan for making sure it has hired enough staff to conduct a fair and accurate census?

**Answer:** We have incorporated the lessons learned from decades of conducting the Decennial Census to build the staffing models for the 2020 Census. These staffing models incorporate a wide array of factors – the nature of a temporary workforce, the local economic conditions, and the anticipated rates of public response to the Census – to build neighborhood level targets for staffing and selection. Our experience shows there are a variety of reasons people do not complete the hiring process. We plan to select multiple applicants per position. More than 1.3 million people have begun the process of applying for Census 2020 positions, as of November 14.

17. How will you ensure that census staff possess the appropriate language skills to educate communities with limited English proficiency? Will the Census Bureau hire non-citizens with key language skills to help with the enumeration?

**Answer:** We use the various Census Bureau's Planning Databases to determine geographic areas where residents speak a language other than English. We are hiring recruiting and partnership staff who have diverse language skills and communicating where there are needs for bi-lingual applicants. Our recruiters and partnership specialists work with local partners to spread the word and advertise jobs in a variety of ways in communities across the country to identify potential applicants. We advertise jobs in the appropriate non-English languages according to local needs.

The Census Bureau anticipates there may be a need to hire non-citizens to serve as translators in limited circumstances. The Census Bureau has established a "translator" position for the 2020 Census to acquire the specific languages skills needed to facilitate enumeration and the Census Bureau. Consistent with existing employment and appropriations law, and as the translator position is a temporary, excepted service position, which exists solely for the purposes of conducting the 2020 Census, upon receiving approval from OPM, the Census Bureau may hire non-U.S. citizens who are legally entitled to work in the United States for these positions. As a point of reference, during the 2010 Census, the Census Bureau hired approximately 3,500 non-citizens out of a total workforce of more than 700,000 temporary employees to assist with enumeration activities, representing less than 0.5 percent of the total temporary census workforce. The Census Bureau anticipates a similar percentage of non-citizens could be hired as translators during the 2020 Census.

There are a number of language assistance guides provided during the 2010 Census that will not be provided during the 2020 Census. Languages like Cebuano, Chamorro, Chuukese, Marshallese, Samoan, and Tongan were included in the 2010 list of languages for language assistance guides at the request of the Census Advisory Committee on the Asian Population or the Census Advisory Committee on the Native Hawaiian and Other Pacific Islander Population.

18. Why did the Census Bureau decide not to provide language assistance guides for these languages?

**Answer:** The language program for the 2020 Census can reach more than 99 percent of the population. The Census Bureau has been monitoring language trends throughout the decade and used a robust, data-driven process when determining the languages for the 2020 Census in order to reflect the current language need. In determining the languages, we used the 2016 American Community Survey (ACS) 5-year estimates to create tabulations of languages spoken by at least 2,000 limited-English-speaking households. This list was compared with regional and state level data to ensure that the languages with the largest need in each region and state were represented, and the analysis led to the final list of languages.

In 2010, the Census Bureau provided the questionnaire and telephone assistance in five non-English languages. In 2020, we are expanding this support to cover 12 non-English languages. The language guides and glossaries are being produced in 59 non-English languages that demonstrate the greatest need based on the 2016 ACS 5-year estimates. While some languages from 2010 may not be on the list for 2020, new languages were added to reflect the current language needs for the 2020 Census environment. For the languages spoken by smaller populations, we will work with partners to convey necessary information about the 2020 Census.

19. What is the Census Bureau doing to ensure that communities that speak these languages are not undercounted?

**Answer:** The Census Bureau will provide additional language support by hiring field enumerators and partnership specialists with bilingual abilities to assist limited-English-speaking households with responding to the census. We are recruiting aggressively to hire field staff with language skills. Of our applicants so far, nearly 20 percent can speak a language other than English, representing more than 400 languages and dialects. We will continue recruiting to fill language needs for field work during 2020 peak operations.

In addition, the Census Bureau will provide templates of the language guides and glossaries so that partners in communities and from organizations representing those who speak languages not covered by the 59 languages will be able to create guides in additional languages.

According to an April 7, 2018 San Francisco Chronicle article, during the 2010 Census “The Census Bureau’s Vietnamese translation of the census form said the U.S. was ‘investigating the population’ instead of tabulating it, which ... was reminiscent of the Vietnamese communist government’s effort to keep close watch on citizens’ political activities.”

20. What steps has the Census Bureau taken to produce accurate and culturally competent translation and materials for the 2020 Census?

**Answer:** The Census Bureau has established rigorous processes to ensure the translations for the 2020 Census questionnaires and associated materials are high quality, accurate, and culturally appropriate. In 2016, the Census Bureau created a translation office and hired



highly qualified professionals from the industry to provide translations for the 2020 Census. In creating the 2020 Census questionnaires and associated materials, we adhere to industry quality standards in translation, review, and quality assurance.

Once the materials have been translated, they are reviewed by language and survey methodology experts. Through pre-testing in the forms of expert reviews or cognitive interviews, we recruit test respondents who come from diverse household compositions and educational backgrounds, who differ by age and sex, and who speak various dialects to ensure the translations are easy to understand and meaningful to respondents. Pre-testing is applied to translations that appear in data collection instruments, mailing materials, language guides and glossaries, and field enumeration materials.

In addition, the Integrated Communications Contract (ICC) put in place by the Census Bureau to support the Integrated Partnership and Communications (IPC) operation stipulates that all advertising and promotional materials in languages other than English must be validated by a third-party firm with expertise in this area. VMLY&R, the prime contractor for the ICC, includes Hogarth Worldwide among their team of subcontractors. Hogarth is an established highly respected company with extensive experience in the production of advertising campaigns in languages other than English. All communication materials in languages other than English are validated by Hogarth prior to dissemination, and all paid advertisements have been rigorously tested in focus groups.

### **Census Bureau Support for Local Outreach Groups**

The 2020 operation plan heavily relies on partners and “trusted voices” to do the outreach for the 2020 Census. I have heard from county Complete Count Committees in California that the Census Bureau has not provided them with branded outreach materials like they did during the 2010 Census.

**21. What support is the Census Bureau going to provide to these organizations?**

**Answer:** The Census Bureau has downloadable printed promotional materials electronically available on our 2020census.gov Partner Resource Hub. This site will be continuously updated with new partner materials throughout the 2020 Census, and you can find it at <https://2020census.gov/en/partners/promotional-materials.html>. In addition to these resources, the Census Bureau has prepared a 2020 Census Congressional Toolkit, found at <https://www2.census.gov/about/ocia/2020-census-congressional-toolkit.pdf>, and a 2020 Census Toolkit for State and Local Offices, found at <https://www2.census.gov/programs-surveys/decennial/2020/resources/toolkits/toolkit-state-local-officials.pdf>. These guides provide a wealth of information regarding partnership opportunities and outreach activities.

**22. Will the Census Bureau provide mini-grants to partners like they did during the 2010 Census?**

**Answer:** No.

### **Census Hiring**

A number of job applications, including the job application for census takers (Form BC-170B) and census field representative (Form BC-170A), ask applicants whether they are delinquent on any federal debt (question #31 for Form BC-170B and #33 on Form BC-170A). Data from the Department of Education show that African Americans are more likely to borrow to pay for college than their peers.

- 23.** If an applicant answers that they are delinquent on federal debt, which includes student debt, are they automatically disqualified from being hired by the Census Bureau?

**Answer:** The Census Bureau issues a letter of interrogatory to a selectee who has disclosed a delinquency on any federal debt but did not provide the type, length, and amount of the delinquency or default and steps that are being taken to correct the error or repay the debt. This includes delinquencies arising from federal taxes, loans, overpayment of benefits; other debts to the U.S. Government; and defaults on federally guaranteed or insured loans, such as student loans or home mortgage loans.

The Census Bureau does not make an unfavorable determination with respect to the suitability of a selectee for federal employment because the selectee is or was unemployed or has experienced or is experiencing financial difficulty through no fault of their own, provided the selectee has undertaken a good-faith effort to meet the financial obligations.

None of the selectees for the 2020 Decennial Census temporary positions have been excluded from consideration because of their response to the debt question on the Census temporary employment application.

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**Post-Hearing Questions for the Record  
Submitted to the Honorable John H. Thompson  
From Senator Heidi Heitkamp**

**“High Risk: Government Operations Susceptible to Waste, Fraud, and Mismanagement”**

**February 15, 2017**

1. On October 18, 2016, U.S. Census Bureau issued a 2020 Census Program Memorandum stating that, “[i]n order to mitigate funding uncertainty risk, and ensure readiness for the 2018 End-to-End Census Test, the Census Bureau will stop FY 2017 field testing operation in...Puerto Rico and Standing Rock Reservation in North and South Dakota and Colville Reservation and Off-Reservation Trust Land in Washington.” When the Census Bureau speaks of “funding uncertainty,” was that uncertainty caused by Congress’s failure to pass an Appropriations Bill?

**No, the uncertainty was not the result of the Continuing Resolution, but rather was the difference between the levels proposed in the FY 2017 President’s Budget and the House and Senate proposed funding levels. The House and Senate marks from the spring of 2016 required the Census Bureau to prioritize 2020 Census activities in 2017. After this prioritization, the field component of the FY 2017 Census test was not afforded under either the House or Senate funding scenario because funds were needed to develop the systems and infrastructure needed to ensure a successful 2020 Census. Because neither Congressional funding report provided resources to conduct the Congressional priority and the field component, the Census Bureau thought it unwise to proceed with an expenditure that appeared not to be supported.**

2. In the same October 18<sup>th</sup> memo, it stated that the Census Bureau will “consider” moving these field sites to be a part of the 2018 End-to-End Census test. Has the Bureau decided whether these field tests will be a part of the 2018 End-to-End test or not?

**We are still considering whether to include the field test sites de-scoped from the 2017 Census Test in the 2018 End-to-End Census Test.<sup>1</sup> The 2018 End-to-End Census Test begins with the address canvassing activity in FY 2017. When we made the decision to de-scope the Field Tests from the 2017 Test, we also decided not to include them in the early operations of the 2018 Test, such as address canvassing, which is scheduled to begin in August 2017.**

3. I appreciate the investments the Census Bureau has made in technology, and moving the Decennial into the 21<sup>st</sup> Century. However, I am still concerned that even with the latest technologies; there is still a great chance of underrepresented populations falling through the cracks if there is not a plan in place to ensure that every citizen is counted in rural America and on Indian Reservations. How will the Census Bureau make sure that Native

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<sup>1</sup> The FY 2018 President’s Budget released in May 2017 proposes conducting the 2018 End-to-End Test at only one location (Providence, Rhode Island). The de-scoped field test sites from the 2017 Census Test are not included in the FY 2018 President’s Budget proposal for the 2018 End-to-End Test.

\*Note: Mr. Thompson retired effective June 30, 2017. These responses are submitted by the Census Bureau.

Americans and the other underrepresented populations, who do have access to internet and technology, will be properly counted in the 2018 End-to-End Census Test?

**The Census Bureau is deeply committed to ensuring a complete and accurate count of everyone living in the country whether or not they have access to the Internet. Households will be able to respond via telephone and mail in addition to the Internet. Census Bureau mailings will explain how to do so and how to request a paper questionnaire. In addition, households identified as unlikely to be connected to the Internet or unlikely to use the Internet to respond to the 2020 Census will be proactively mailed a paper questionnaire with the first Census mailing; these households account for approximately 20 percent of all households in the country. And any household that has not responded after three mailings will also be sent or re-sent a paper questionnaire.**

**Furthermore, through our Partnership Program, we are working closely with national, state, local, and tribal stakeholders that people trust to help communities understand the importance of responding to the Census. Census partners are major organizations, like the National Congress of American Indians, the National Association of Latino Elected Officials, and the National Urban League and community-based organizations like churches or other religions organizations, health clinics, and legal offices. Hundreds of thousands of Census partners join together during the Census to help people understand the importance of being included in the final counts. Working with groups representing American Indians and all other populations that are difficult to count is a high priority for the Census Bureau.**

**In addition, we plan to launch a robust advertising and promotion campaign in late 2019 specifically targeted to hard-to-count populations. These partnership and communications efforts were an important part of our discussions during the 18 Tribal consultations we conducted over the past year. We also plan to have a strong on-the-ground presence to follow up with households that do not respond to the Census during the Nonresponse Followup (NRFU) Operation. The location of the on-the-ground workforce is based upon our anticipated workload and our knowledge of geographic areas that have a large number of hard-to-count populations. Our strategy is to hire locally, so that our interviewers understand the communities where they work. Throughout 2020 Census operations we will be closely monitoring self-response rates and completion rates during NRFU to ensure our workforce is deployed appropriately, and that our data in all areas, including rural America and on Indian Reservations, is complete and accurate.**

**Post-Hearing Questions for the Record  
Submitted to Hon. John Thompson\*  
From Senator James Lankford**

**“High Risk: Government Operations Susceptible to Waste, Fraud, and Mismanagement”**

**February 15, 2017**

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**\*Note: Mr. Thompson retired effective June 30, 2017. These responses are submitted by the Census Bureau.**

During the hearing, I raised a question about the possibility of integrating filing the decennial census with individual tax returns, which contain similar information and are often processed online.

- 1) Has the Census communicated with the IRS in any capacity related to collection efforts?
- 2) Has the Census communicated with the IRS about integrating the processes of filing the Census with the individual tax returns?
- 3) Would the integration of these processes be feasible? What efficiencies could be gained and what challenges would you face?
- 4) Are there any statutory or other impediments to integrating these processes?

**The Census Bureau and the Internal Revenue Service (IRS) have been working closely throughout the decade to understand and operationalize the many ways that IRS data can be helpful in Decennial Census operations. We are exploring the possibility of using IRS data to shorten the American Community Survey, particularly with respect to the questions about household income. For the 2020 Census we already have operations in place to use IRS data to help us reduce the Nonresponse Followup (NRFU) workload. We have not looked into the possibility of directly linking responses to the Census to the tax returns required by the IRS, and we expect that there would be statutory and data quality challenges that we would need to overcome in order to do this. We will explore this with the IRS to understand the challenges that we would have to address in order to integrate self-response to the Decennial Census with the filing of individual tax returns. We also would be happy to meet with you and your staff to discuss your ideas.**

**Post-Hearing Questions for the Record  
Submitted to the Honorable John H. Thompson\*  
From Senator Claire McCaskill**

**“High Risk: Government Operations Susceptible to Waste, Fraud, and Mismanagement”**

**February 15, 2017**

Census: Counting Populations

In October 2016, the Bureau announced plans to stop two field tests for FY 2017 to mitigate risks from funding uncertainty. Two field tests, one which would have been conducted in tribal lands of Washington, North Dakota, and South Dakota, and the other in Puerto Rico, were cancelled. These planned field operations were to test the Bureau’s mail out strategy and Nonresponse Followup (NRFU) and the Spanish versions of software and systems, respectively.

1. In light of these cancellations, does the Bureau have a plan in place that will protect these vulnerable populations from being undercounted in the 2020 Census?

**The Census Bureau is deeply committed to ensuring a complete and accurate count of everyone living in the country. We have carefully selected our test sites since 2013 to**

\*Note: Mr. Thompson retired effective June 30, 2017. These responses are submitted by the Census Bureau.

ensure that they include hard to count populations so that we could thoroughly test our language program and ensure that households that speak languages other than English, including Spanish, are effectively enumerated in the self-response and Nonresponse Followup (NRFU) Operations. In the 2020 Census households will be able to respond via telephone and mail in addition to the Internet, and we will be testing these operations in the 2018 End-to-End Census Test. Households identified as unlikely to be connected to the Internet or unlikely to use the Internet to respond to the 2020 Census will be proactively mailed a paper questionnaire with the first Census mailing; these households account for approximately 20 percent of all households in the country. And any household that has not responded after three mailings will also be sent or re-sent a paper questionnaire.

Furthermore, through our Partnership Program we are working closely with national, state, local, and tribal stakeholders that people trust to help communities understand the importance of responding to the Census. Census partners are major organizations, like the National Congress of American Indians, the National Association of Latino Elected Officials, and the National Urban League and community-based organizations like churches or other religions organizations, health clinics, and legal offices. Hundreds of thousands of Census partners join together during the census to help people understand the importance of being included in the final counts. Working with groups representing populations that are difficult to count is a high priority for the Census Bureau.

In addition, we plan to launch a robust advertising and promotion campaign in late 2019 specifically targeted to hard-to-count populations. We also plan to have a strong on-the-ground presence to follow up with households that do not respond to the Census during the NRFU Operation. The location of the on-the-ground workforce is based upon our anticipated workload and our knowledge of geographic areas that have a large number of hard-to-count populations. Our strategy is to hire locally, so that our interviewers understand the communities where they work. Throughout 2020 Census operations we will be closely monitoring self-response rates and completion rates during NRFU to ensure our workforce is deployed appropriately, and that our data in all areas, including rural America and on Indian Reservations, is as complete and accurate.

#### Census: Contracts

In the lead up to the 2010 count, the Bureau experienced significant challenges with a contract that was critical to the success of the 2010 Census. Shortly before the count began, the Bureau's plan for acquiring handheld devices had to be scrapped, and the Bureau reverted back to a paper and pen operation, costing taxpayers millions of dollars. In August 2016, the Census Bureau awarded a large technical integration contract (\$887 million) to T-Rex Corporation.

2. Does the Bureau have Contracting Officer Representatives in place at contracting sites to provide management and oversight of contracts and to make certain that contractors are meeting deadlines and goals?
  - a. If so, how many are currently working at these sites?

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**Yes. There are a total of 25 Contracting Officer Representatives (COR) working on the 2020 Program at this time. We have one COR on site at the facility managing the T-Rex Technical Integration Contract, and one COR on site for the General Dynamics Information Technology Census Questionnaire Assistance Contract. The remaining 22 CORs work at Census Headquarters assisting the Decennial Contract Execution Office with the management of all of our Decennial contracts.**

**We also have two Contracting Officers (CO) dedicated to the major IT contracts, and we work closely with another 5 COs and 10 Contract Specialists in our Acquisitions Division who assist us with the management of our other Decennial contracts.**

Census: Open GAO Recommendations

GAO placed the 2020 Decennial Census on the High Risk List for 2017 because the cost of the Census has been escalating. The 2010 Census cost approximately \$12.3 billion and resulted in several billion dollars in cost overruns. While the Bureau is planning innovative changes to help save \$5 billion compared to the 2010 Census, these new technologies come with added risks. GAO has made 30 recommendations in this area, but reports that only 6 have been implemented by the Bureau.

3. What progress has the Bureau made to close out the remaining open recommendations?

4. Will these recommendations be closed before the 2018 End-to-End Test?

**We have action plans in place to address each of the recommendations we have received from GAO. While we have closed six of the 30 recommendations they have made in this area, we have completed the action plans for an additional 14 recommendations. GAO is currently reviewing each of these, and we are working with GAO to understand if there are additional steps that we need to take to close them out. We have determined that three of the 30 recommendations are duplicates. Of the remaining seven recommendations, action plans have not been completed for three, and the remaining four have action plans that are scheduled for completion between now and the end of 2018, after the 2018 end-to-end Census Test is complete.**